

PORT – DRUG THREAT/RISK ASSESSMENT



PORT – DRUG THREAT/RISK ASSESSMENT CHECKLIST

A. Performance of Port Facility Security Duties

(Circle the appropriate answers)

- 1) Does the port facility have an existing plan of action for drug enforcement within the facility?
 - a) Yes, the port facility has an existing plan of action for drug enforcement
 - b) No, the port facility does not have an existing plan of action for drug enforcement

- 2) Has the port facility established measures to prevent any drugs and other illegal substances and devices from entering the facility?
 - a) Yes, measures governing illegal drugs have been established
 - b) No, measures governing illegal drugs have not been established

- 3) Has the port facility established control measures on the movement of chemical precursors within the facility?
 - a) Yes, the port facility has established control measures on the movement of chemical precursors
 - b) No, the port facility does not have established control measures on the movement of chemical precursors

- 4) Has the port facility established procedures for response to an activation of a drug smuggling alert system?
 - a) Yes, measures governing response procedures have been established
 - b) No, measures governing response procedures have not been established

B. Organization of Port Facility Drug Detection Duties

- 1) Has the port facility established the roles and procedures of the drug enforcement coordinating bodies?
 - a) Yes, the roles and procedures have been established
 - b) No, the roles and procedures have not been established

- 2) Has the coordinating bodies responsible for drug detection, enforcement and interdiction established the training requirements for personnel with security roles?
 - a) Yes, the training for personnel was established
 - b) No, the training requirements for personnel were not established



3) Which of the following agencies participate in counter drug monitoring and interdiction activities in your ports?								
	Yes	No		Responsibilities				
				Coordination	Control of cargos	Control of persons	Information gathering	Interdiction
Private port authority								
Governmental port authority								
Attorney General's office								
Customs								
National Police								
National Guard								
Coast Guard								
Navy								
Others (please specify)								

- 4) Have the port facility drug enforcement coordinating bodies established their individual security organization's link with other national or local authorities with security responsibilities?
- a) Yes, cooperative links have been established
 - b) No, cooperative links have not been established
- 5) Have the port facility drug enforcement coordinating bodies established communication systems that allow for effective and continuous communication between security personnel, and, when appropriate, national or local authorities with security responsibilities?
- a) Yes, communication systems have been established
 - b) No, communication systems have not established
- 6) Have the port facility drug enforcement coordinating bodies established procedures and practices to protect and ensure the level of security-sensitive information held in paper or electronic format?
- a) Yes, information protection procedures have been established
 - b) No, information protection procedures have not been established
- 7) Have the port facility drug enforcement coordinating bodies established procedures governing submission and assessment of reports relating to possible breaches of security or security concerns?
- a) Yes, submission and assessment procedures have been established
 - b) No, submission and assessment procedures have not been established



- 8) Does the port facility have adequate arrangements for protecting administrative offices including computer equipment – hardware/software, against all types of vessel/shore interface emergencies?
- a) Yes, adequate arrangement to protective offices have been established
 - b) No, adequate arrangement to protective offices have not been established
- 9) Does the port facility have safe and secure back-up office equipment systems to guarantee against loss of data and/or loss resulting from other serious disruptions?
- a) Yes, the port facility has established secure back-up systems
 - b) No, the port facility has not established secure back-up systems
- 10) Does the port facility control the discharge of animal waste, garbage, domestic waste, sanitary waste/sewage, pollutants - oily and noxious liquid substances, etc that might contain illicit drugs on the facility or into adjacent waters?
- a) Yes,
 - b) No,
- 11) Does your operation have a Security Education or Drug Enforcement Awareness program (training) to educate and provide employees with regular updates (refreshers) on the importance of drug enforcement issues?
- a) Yes,
 - b) No,
- 12) Does the port facility have written procedures for documenting all drug incidents and ensuring proper maintenance of records pertaining to such incidents/threats – major/minor, which have occurred and affected the port facility in any way in the last ten years?
- a) Yes,
 - b) No,
- 13) Does the port facility conduct a debriefing of all drug incidents and bring the findings to the attention of the staff and facility workers/service providers, etc. in order to prevent against reoccurrence of similar incidents in the future?
- a) Yes,
 - b) No,
- 14) Are telephone numbers for key personnel accurate and routinely validated?
- a) Yes, phone numbers for key personnel are accurate, and routinely validated
 - b) Yes, phone numbers for key personnel are accurate, but not routinely validated
 - c) No, phone numbers for key personnel were not accurate and validation measures were not were outlined



C. Controlling Access to the Port Facility

- 1) Have security measures been established for all means of access (including drainages, tunnels, etc.) to the port facility?
 - a) Yes, security measures have been established for all access points
 - b) No, security measures have not been established for all access points
- 2) Does the port facility specify the means of identification required to access the port facility?
 - a) Yes, specific means of identification are required to access the port facility
 - b) No, specific means of identification are not required to access the port facility
- 3) Does the port facility have the means to differentiate the identification of permanent, temporary, and visiting individuals?
 - a) Yes, means of identification differentiation are utilized at the port facility
 - b) No, means of identification differentiation are not utilized at the port facility
- 4) Has the port facility established provisions to ensure that its identification systems are regularly updated?
 - a) Yes, procedures have been established for scheduled identification system updates
 - b) No, specific procedures have not been established for scheduled identification system updates
- 5) Has the port facility assigned disciplinary actions for procedural abuse?
 - a) Yes, disciplinary actions have been established for procedural abuse
 - b) No, disciplinary actions have not been established for procedural abuse
- 6) Has the port facility created procedures to deny access and report all individuals who are unwilling or unable to establish their identity?
 - a) Yes, procedures are utilized to deny access and report the incident to the proper authorities
 - b) No, procedures are not utilized to deny access and report the incident to the proper authorities
- 7) Has the port facility identified an appropriate location(s) for inspection of persons, personal effects, and vehicles?
 - a) Yes, an appropriate location(s) has been designated as an inspection area(s)
 - b) No, an appropriate location(s) has not been designated as an inspection area(s)



- 8) Has the port facility established procedures to utilize separate locations for embarking and disembarking passengers, ship's personnel, and their effects to ensure that unchecked personnel do not come in contact with checked persons?
- a) Yes, measures are employed to separate checked and unchecked persons and their effects
 - b) Yes, measures are employed to separate checked and unchecked passengers, but separation measures do not exist for the ship's crew
 - c) No, measures are not employed to separate either checked or unchecked individuals and their effects
- 9) Has the port facility established the procedures to control shore leave for ship's personnel?
- a) Yes, personnel management procedures have been established
 - b) No, personnel management procedures have not been established
- 10) Has the port facility established procedures to control visitor access to the ship, to include representatives of seafarers' welfare and labor organizations?
- a) Yes, ship visitor access procedures have been established
 - b) No, ship visitor access procedures have not been established
- 11) Have unauthorized personnel breached the fencing?
- a) Yes,
 - b) No,
- If "Yes", have records been maintained of past occurrences?
- a) Yes,
 - b) No,
- 12) Has all information on a breach of security been reported to all drug enforcement-coordinating bodies within 24 hours of the incident?
- a) Yes,
 - b) No,
- 13) Do you employ trained drug enforcement personnel to check and control personnel and vehicles at all access points to the port facility?
- a) Yes,
 - b) No,
- 14) Do you maintain a written or electronic record of all visitors, service personnel, vehicles, cargo traffic (inbound/outbound) etc?
- a) Yes,
 - b) No,



- 15) Do the security patrol personnel regularly vary their patrol/surveillance times to avoid establishing routines that can be identified by drug traffickers?
- a) Yes,
 - b) No,
- 16) Within the limits of the port facility, is there an active/working railway track in use for hauling inbound/outbound cargoes that is subject to access controls?
- a) Yes,
 - b) No,
- 17) Does the port facility have approved equipment to detect and prevent the introduction of illicit drugs and other contraband by vessels' crew, visitors, service providers, vehicle operators, etc.?
- a) Yes,
 - b) No,
- 18) Does the port facility have approved equipment (e.g. screening machines, drug detecting canines) and procedures (e.g. risk profiling) to screen passengers and carry-on baggage for drugs when boarding a vessel?
- a) Yes,
 - b) No,
- 19) Do you screen your embarking passengers in a secure port facility building?
- a) Yes,
 - b) No,
- 20) Once screened, do you keep all passengers in a secure area or if required, do you provide secure, non-stop transportation for passengers and their baggage to the vessel and direct embarkation?
- a) Yes,
 - b) No,
- 21) Does your port facility use X-ray equipment (i.e. scanning, gamma) to inspect passengers' and crews' baggage?
- a) Yes,
 - b) No,
- 22) Is the X-Ray equipment calibrated according to manufacture's specifications?
- a) Yes,
 - b) No,
- 23) Does the port facility maintain and calibrate the foregoing equipment on its own or
- a) Yes,
 - b) No,



If "No", does it seek the services of the equipment manufacturers/authorized service agents?

- a) Yes,
- b) No,

24) Are the contractors required to be security cleared?

- a) Yes,
- b) No,

25) Are the operators required to be security cleared?

- a) Yes,
- b) No,

26) Are the operators trained on the equipment in use?

- a) Yes,
- b) No,

27) Is the X-ray equipment kept in a secure area when not in use?

- a) Yes,
- b) No,

28) Does your port facility use drug-detecting canine teams to screen baggage for drugs and other illicit substances?

- a) Yes,
- b) No,

29) Does your port facility use electronic detection equipment to screen baggage for drugs and other illicit substances?

- a) Yes,
- b) No,

30) Are the drug-detecting canines from a certified training school?

- a) Yes,
- b) No,

31) Are the dogs' handlers required to be security cleared?

- a) Yes,
- b) No,

32) Is your operation supported by a video surveillance system?

- a) Yes,
- b) No,



33) Is the surveillance system remotely monitored?

- a) Yes,
- b) No,

34) Do you have procedures for a lost key/access card recovery plan?

- a) Yes,
- b) No,

35) Do you have all combination lock numbers and critically keyed locks changed periodically?

- a) Yes,
- b) No,

D. Monitoring of the Port Facility, including Anchoring and Berthing Area(s)

1) Do the port facility drug enforcement coordinating bodies have access to and the capability to continuously monitor on land and water the port facility and its nearby approaches?

- a) Yes, the port facility drug enforcement coordinating bodies have adequate provisions to access and continuously monitor the entire port area
- b) No, the port facility drug enforcement coordinating bodies do not have adequate provisions to access and continuously monitor the entire port area

2) Which of the following resources are employed to monitor the port facility and nearby approaches?

- a) Security guards
- b) Security vehicles
- c) Drug-detecting canines
- d) Radio system
- e) Telephone system
- f) Computer system (E-mail or equivalent messaging capability)
- g) Watercraft
- h) Automatic intrusion-detection devices
- i) Surveillance equipment
- j) Other non-mechanical means
- k) Other mechanical means

3) Are there established procedures, mechanisms and equipment necessary to ensure that monitoring equipment will be able to perform continuously, including the possible effects of weather or power disruptions?

- a) Yes
- b) No



- 4) Does the port facility have adequate illumination, without shadowed areas, to allow for detection of unauthorized personnel?
 - a) Yes
 - b) No

- 5) Are measures established to control the entry, parking, loading, and unloading of vehicles?
 - a) Yes, measures have been established to control vehicle access and traffic
 - b) No, measures have not been established to control vehicle access and traffic

- 6) Are measures established to control movement and storage of cargo and ship's stores?
 - a) Yes, measures have been established to control movement and storage of cargo and ship's stores
 - b) No, measures have not been established to control movement and storage of cargo and ship's stores

- 7) Are measures established to control unaccompanied baggage or personal effects?
 - a) Yes, measures have been established to control unaccompanied baggage or personal effects
 - b) No, measures have not been established to control unaccompanied baggage or personal effects

- 8) Which of the following security measures are utilized to control access to port facilities?
 - a) Permanent barriers to surround port facility
 - b) Access points controlled by security guards when in use
 - c) Access points that can be locked or barred when not in use
 - d) Use of passes to indicate a person's authorization for access
 - e) Marking of vehicles that are allowed access
 - f) Use of guards and patrols
 - g) Use of automatic intrusion-detection devices or surveillance equipment and systems
 - h) Control of vessel movement in vicinity of ships using port facility

- 9) Do you have any waterborne surveillance capability (e.g. CCTV, vessel patrols, etc.) or other means of preventing access to your port facility?
 - a) Yes,
 - b) No,

- 10) Do you have on staff, or a procedure in place to obtain, certified/qualified divers to conduct underwater surveys of vessels or dock facilities?
 - a) Yes,
 - b) No,



- 11) Do you have any underwater monitoring equipment to monitor and inspect the port facility, approaches, anchorages and vessels?
- a) Yes,
 - b) No,
- 12) Do you have or can you make use of a boat or vessel to prevent and/or control access to the port facility from seaward?
- a) Yes,
 - b) No,
- 13) Is the water adjacent to the port facility adequately illuminated during silent hours and/or in poor weather conditions?
- a) Yes,
 - b) No,
- 14) Is the water adjacent to the port facility routinely patrolled by a law enforcement agency?
- a) Yes
 - b) No
- 15) Does the local law enforcement agency have a capability to conduct water patrols adjacent to your port facility?
- a) Yes
 - b) No
- 16) Does the port facility control access to and from the vessel at anchorage?
- a) Yes
 - b) No

E. Supervising the Handling of Cargo

- 1) Are measures employed to routinely monitor and control the integrity of cargo and inventory stored in the port facility?
- a) Yes, technology is employed to monitor and control the cargo and inventory storage area
 - b) No, technology is not employed to monitor and control the cargo and inventory storage area
- 2) Which of the following means are employed to conduct cargo inspection?
- a) Visual inspection
 - b) Physical inspection
 - c) Scanning or detection equipment
 - d) Drug detecting canine
 - e) Other mechanical means



- 3) Do you receive cargo manifests 24 hours before arrival/loading and use it for drug risk profiling before authorizing access of the cargo to the port facility?
 - a) Yes, documentation is received and cross-referenced, allowing only cargo due for export or import into the facility
 - b) Yes, documentation is received but not cross-referenced before allowing cargo due for export or import into the facility
 - c) No, documentation is not received and cross-referenced, allowing only cargo due for export or import into the facility

- 4) Are ship's stores inspected to ensure package integrity?
 - a) Yes, personnel perform visual or physical inspections of all ship's stores to ensure seals and packages were intact
 - b) Yes, personnel perform random visual or physical inspections of ship's stores to ensure seals and packages were intact
 - c) No, personnel do not inspect ship's stores for package integrity

- 5) Are procedures followed to ensure that, based upon a risk profile system, ship's stores will be inspected?
 - a) Yes, ship's stores inspection procedures are followed
 - b) No, ship's stores inspection procedures are not followed

- 6) Which of the following means are employed to inspect ship's stores?
 - a) Visual inspection
 - b) Physical inspection
 - c) Scanning or detection equipment
 - d) Other mechanical means
 - e) Drug detecting canine teams

- 7) Are ship's stores deliveries controlled with a corresponding manifest and order documentation?
 - a) Yes, deliveries are validated with a manifest and order documentation
 - b) No, deliveries are not validated with a manifest or order documentation

- 8) Does the port facility have transit/long-term storage facilities near the berth (pier)?
 - a) Yes
 - b) No



DRUG – PORT THREAT/RISK ASSESSMENT MATRIX

Gap Scenario	Threat			Vulnerability				Impact		Total Risk Score	Mitigation Action	Agency Responsible	Comment
	Intelligence	History	Feasibility	Existing Security	Location	Control Effectiveness		Human Loss	Economic				
						Personnel	Means of Control						



SCORING DEFINITIONS AND EXPLANATIONS

THREAT ASSESSMENT SCORING

Score	Intelligence Assessment	History	Feasibility
9 (Imminent)	Multiple sources confirm: <ul style="list-style-type: none"> • Target • Intent • Parties involved Events have occurred that serve as a catalyst	Scenario has occurred frequently in the past	High probability of success Difficult to detect
6 (High)	Multiple sources confirm: <ul style="list-style-type: none"> • Target • Intent • Parties involved 	Scenario has occurred infrequently in the past.	Moderate probability of success Limited ability to detect
3 (Medium)	Limited sources suggesting: <ul style="list-style-type: none"> • Target • Intent • Parties involved 	Scenario has been considered, but not yet occurred	Limited probability of success Moderate ability to detect
0 (Low)	No reporting suggesting consideration or intent of scenario	No indication that this particular scenario has ever been considered	Low probability of success Easily detectable

VULNERABILITY ASSESSMENT SCORING

Score	Existing Security	Location	Control Effectiveness	
			Personnel	Means of Control
9 (Extreme)	Limited or no security measures to limit access	Cargo/Container storage area	Vessel crews	Low level of control
6 (High)	Some security measure in place to limit access, but not maintained or supported by policies / procedures	Anchorage and berthing areas Docks/Piers	Outside contractors Suppliers Port facility workers	Limited level of control
	Security	Access points	Vessel	Moderate level of



3 (Medium)	measures in place to limit access	Passenger terminals	passengers Port facility workers	control
0 (Low)	Extensive and robust security measures in place	Restricted areas in the port facility	Security cleared personnel	High level of control



IMPACT ASSESSMENT SCORING

Score	Human Losses	Economic Consequences
9 (Extreme)	Extensive loss of life and injury	Significant short and long term consequences
6 (High)	Moderate loss of life and/or injury	Moderate short and long term economic impact
3 (Medium)	Minor loss of life and/or injury	Some short term economic impact
0 (Low)	No loss of life or injury	Minimal short term economic consequences



COMPLETED RISK ASSESSMENT WORKSHEET

SAMPLE #1

1. IDENTIFICATION OF GAP (Name & Number)		
<ul style="list-style-type: none"> • Lack of monitoring of the port facility, including anchoring and berthing area(s) (D#1) 		
2. DESCRIPTION OF ASSOCIATED SCENARIO (Reasonable, detailed description)		
<p>Drug traffickers, using small inconspicuous vessels, take advantage of the blind side of a boat to download drugs:</p> <ul style="list-style-type: none"> • Blind side of boat is blocked from camera surveillance • Small vessels operate from un-patrolled and isolated beach areas • Lack of monitoring and patrols on blind side of boats that are approaching or 		
3. THREAT EVALUATION		
Factor	Score (0,3,6,9)	Rational
Intelligence Assessment	9	Multiple sources confirm: <ul style="list-style-type: none"> • Target • Intent • Parties involved Events have occurred that serve as a catalyst
History of Similar Incidents	9	Scenario has occurred frequently in the past
Feasibility	9	High probability of success and difficult to detect
4. VULNERABILITY ASSESSMENT		
Factor	Score (0,3,6,9)	Rational
Existing Security	6	Some security measure in place to limit access, but not maintained or supported by policies/procedures
Location	6	Anchorage and berthing areas; Docks/Piers
Control Effectiveness		
Personnel	9	Vessel crews
Means of Control	6	Limited level of control
5. IMPACT ASSESSMENT		
Factor	Score (0,3,6,9)	Rational
Human Loss	0	No loss of life or injury
Economic Consequence	6	Moderate short and long term economic impact
6. RISK ASSESSMENT		
Total Risk Score	54	
7. Mitigation Action		



8. Agency(s) Responsible	
9. Comments	



COMPLETED RISK ASSESSMENT WORKSHEET

SAMPLE #2

1. IDENTIFICATION OF GAP (Name & Number)		
<ul style="list-style-type: none"> • Lack of monitoring of the container loading areas 		
2. DESCRIPTION OF ASSOCIATED SCENARIO (Reasonable, detailed description)		
Drugs are taken out of or put into containers: <ul style="list-style-type: none"> • 20 hours before lading 		
3. THREAT EVALUATION		
Factor	Score (0,3,6,9)	Rational
Intelligence Assessment	0	No reporting suggesting consideration or intent of scenario
History of Similar Incidents	3	Scenario has been considered, but not yet occurred
Feasibility	3	Limited probability of success and moderate ability to detect
4. VULNERABILITY ASSESSMENT		
Factor	Score (0,3,6,9)	Rational
Existing Security	3	Security measures in place to limit access
Location	9	Cargo/Container storage area
Control Effectiveness		
Personnel	6	Outside contractors Suppliers Port facility workers
Means of Control	0	High level of control
5. IMPACT ASSESSMENT		
Factor	Score (0,3,6,9)	Rational
Human Loss	0	No loss of life or injury
Economic Consequence	3	Some short term economic impact
6. RISK ASSESSMENT		
Total Risk Score	27	
7. Mitigation Action		
8. Agency(s) Responsible		
9. Comments		

