

ORGANIZATION OF AMERICAN STATES



INTER-AMERICAN DRUG ABUSE CONTROL COMMISSION

cicad

THIRTY-SEVENTH REGULAR SESSION
April 26-29, 2005
Santo Domingo, Dominican Republic

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FINAL REPORT

Second Meeting of the Group of Experts on Maritime Narcotrafficking

April 4-8, 2005
Tegucigalpa, Honduras

**GROUP OF EXPERTS ON
MARITIME NARCOTRAFFICKING
April 4-8, 2005
Tegucigalpa, Honduras**

**OEA/Ser.L/XIV.4
CICAD/doc.3/05
April 11, 2005
Original: English**

**FINAL REPORT
(provisional)**

Executive Summary

During its thirty-sixth regular session in Washington (December 7-9, 2004), the Commission directed the Group of Experts on Maritime Narcotrafficking to meet during 2005. The Group was asked to begin work on the recommendations contained in the report that it presented to the Commission during its XXXVI regular session. Further, Honduras offered to continue in its role as the Chairman of the Group until CICAD's XXXVII regular session. At that time, this responsibility will pass to Mexico and Brazil for the next two years.

The Group of Experts met in Tegucigalpa, Honduras from April 4 to 8, 2005. Captain Juan Pablo Rodriguez Rodriguez, of the Honduran Navy continued as chairman of the Group of Experts. Thirty-four experts representing fifteen countries (Argentina, Bahamas, Brazil, Canada, Chile, Colombia, Ecuador, El Salvador, Haiti, Honduras, Jamaica, Mexico, Trinidad and Tobago, United States and Venezuela) participated in this meeting.

The Group considered all of the recommendations directed to the Group and prioritized them. In addition, the Group began working on a number of priority recommendations identified by the Commission.

The Group of Experts offers the following priority recommendations for the Commission's consideration:

1. That the Commission:
 - **accept** the following reference tool and direct the Executive Secretariat to post them on the CICAD web page:
 - Threat/Risk Assessment Matrix for Coastal Areas and Maritime Approaches (Annex III)
 - **direct** the Group of Experts to combine both the threat assessment matrices on ports and coastal areas/maritime approaches at its next meeting and provide a copy of this combined guide to the International Maritime Organization (IMO).
 - **accept** the proposed two-year plan of action for the Group of Experts (Annex VI)
 - **direct** the Group of Experts to meet and implement the plan as proposed, allowing for the consideration of new or emerging issues

I. BACKGROUND

During its thirty-sixth regular session in Washington (December 7-9, 2004), the Commission considered the report of the Group of Experts on Maritime Narcotrafficking further to its meeting (June 21 to 25, 2004) in Tegucigalpa, Honduras. The Commission accepted the recommendations contained in this report and directed that Group meet in 2005. The Group was asked to continue its work on the recommendations contained in the report that it presented to the Commission during its XXXVI regular session.

Further, Honduras offered to continue its role as the Chairman of the Group until CICAD's XXXVII regular session. At that time, this responsibility will pass to Mexico and Brazil for the next two years. The Group of Experts subsequently met from April 4 to 8, 2005 in Tegucigalpa, Honduras.

II. PROCEEDINGS

A. PARTICIPANTS

1. MEMBER STATES OF CICAD

Thirty experts representing the following thirteen member states participated in this meeting: Argentina, Bahamas, Brazil, Canada, Chile, Ecuador, El Salvador, Haiti, Honduras, Mexico, Trinidad and Tobago, United States and Venezuela). (List of Participants attached in **Annex I**).

B. SESSIONS AND ORGANIZATION OF THE MEETING

1. OPENING SESSION

The opening session for this Group of Experts meeting took place at 9:30 on April 4 at the Clarion Real Hotel in Tegucigalpa. Captain Juan Pablo Rodriguez Rodriguez, of the Honduran Navy and Mr. Ziggy Malyniwsky, Chief of CICAD Supply Reduction and Control Section welcomed the participants and offered opening remarks before the meeting was convened. Captain Rodriguez underlined the extent to which illicit drugs and related contraband are transported by maritime means. In doing so, the Captain stressed the importance of the work that the Group had been tasked to undertake to help CICAD member states to increase their capacity to respond to maritime narcotrafficking.

2. WORKING SESSIONS

The Group of Experts on Maritime Narcotrafficking met in plenary session and in smaller working groups to consider the recommendations in the June 2004 report of the working Group. Captain Juan Pablo Rodriguez Rodriguez, of the Honduran Navy served as chairman of the Group of Experts. The Group began its work using the recommendations contained the report from its last meeting (June 21 - 25, 2004) in Tegucigalpa, Honduras. A copy of the schedule of activities is attached (**Annex II**).

During the course of the working group sessions, Lic. Armida de López Contreras, Designada Presidencial and President of the National Council Against Narcotrafficking of Honduras, joined the Experts in their discussions. She was interested in the status of their discussions and congratulated the experts on their excellent work.

A. Presentations:

The meeting of the Group of Experts began with several presentations in response to recommendations contained in the report from its last meeting.

Business Anti-Smuggling Coalition (BASC)

Mr. Carols Farfan, Executive Director of the World Business Anti-Smuggling Coalition (BASC) provided the Group with an overview of the BASC organization and the process through which it engages the private sector to reduce the potential for legitimate commercial cargos to be used to transport illicit drugs. The BASC approach helps to achieve a balance between control and commerce. Participating companies are certified through a comprehensive assessment process after which the processing of their cargos is expedited.

This presentation generated further discussion in the smaller working groups. Based on this discussion, the working group that later prepared the draft plan of action included an element concerning BASC participation in the hemisphere.

Joint Operations Centers

Recommendation 13 contained in the Priority matrix prepared by the Group during its last meeting included the following:

Examine the feasibility of establishing regional or sub-regional Joint Operations Centers for cooperation among those member states whose laws and regulations allow them to do so.

As a first step, the Group proposed that the Executive Secretary should arrange for a presentation on such centers during the current meeting. To this end, Marc Mes, head of the delegation from Canada, delivered a presentation on Canada's experience in considering and establishing national maritime security operational centers. This presentation generated a great deal of interest and the Group decided to have a working group consider this recommendation and the establishment of such centers.

B. Working Groups:

During the course of the meeting the Group divided into smaller working groups. The following is a summary of their activities, the products they developed and their recommendations for the Commission:

Working Group I:

Prepare a standardized threat/risk assessment matrix for countries to use in evaluating vulnerabilities and gaps in coastal areas

Canada chaired this working group that included representatives from Argentina, Canada, Chile, Haiti, Honduras, Jamaica, Mexico, United States and Venezuela. Using the threat/risk assessment matrix for ports as a model, the working group prepared a similar matrix for coastal waters and maritime access (**Annex III**).

The Group of Experts:

- **offers** the **Threat/Risk Assessment Matrix for Coastal Areas and Maritime Approaches** for the Commission's consideration
- **recommends** that the Commission accept the matrix and to direct the Executive Secretariat to post it on the CICAD web page.
- **recommends** that the Commission direct the Group of Experts to combine both the threat assessment matrices for ports and coastal areas/maritime approaches at its next meeting and provide a copy of this combined guide to the International Maritime Organization (IMO).

Working Group II:

Use the Model Operating Procedures Manual for joint and combined bilateral or regional interdiction operations prepared at the last meeting to prepare a more detailed manual

Honduras chaired this working group that included representatives from Argentina, Brazil, Canada, Chile, Ecuador, Honduras, Trinidad and Tobago and , the United States. The Group reviewed, expanded and updated the model operating procedures manual. In doing so, the Group restructured it into a “best practices” guide (**Annex IV**). It was not possible for the Group to prepare a more detailed manual as planned but proposes to include this task in its plan of action to be completed during its next meeting.

The Group of Experts:

- **offers the Best practices guide for joint and combined bilateral or regional interdiction operations** for the Commission’s consideration
- **recommends** that the Commission accept the guide and to direct the Executive Secretariat to post it on the CICAD web page.

Working Group III:

Develop a model system or vessel registry to monitor pleasure boats, traditional fishing vessels and “go fast” boats in support of maritime domain awareness and investigations

Mexico chaired this working group that included representatives from Argentina, Bahamas, Brazil, Colombia, El Salvador, Honduras, Mexico and the United States. The Group divided their task into two elements; the registry and the monitoring system. During the time available, the Group considered the registry and identified the basic components and information requirements. This will form the basis of a best practices guide for establishing a vessel registry for pleasure craft and other small vessels. The Group proposes to finalize this and the best practices guide for a monitoring system during the next meeting.

The Group of Experts:

- **recommends** that the Commission accept the proposed plan of action for the Group to complete its work on this task.

Working Group IV:

Examine the feasibility of establishing regional or sub-regional Joint Operations Centers for cooperation among those member states whose laws and regulations allow them to do so

Canada chaired this working group that included representatives from all of the countries present. In examining this recommendation, the Group first confirmed the feasibility of establishing such centers. The Group proposed to pursue this issue and develop a reference guide for establishing national information and coordination centers (ICC). These centers would bring together the various agencies and departments concerned with maritime narcotrafficking. The Group was able to agree on some basic principles and elements of such national centers and prepare an outline (**Annex V**) to serve as the basis for further work to be conducted prior to the next meeting. At that time, the Group will present a draft reference guide of best practices in establishing these national information and coordination centers. The Group also proposed to include in its plan of action, the preparation of a similar guide for establishing international joint information and coordination centers.

The Group of Experts:

- **offers** the outline and plan of action related to the preparation of the **Best practices guide for national information and coordination centers** for the Commission's consideration
- **recommends** that the Commission accept the outline and the proposed plan of action for the Group to complete its work on this task.

Working Group V:

Prepare a two-year Plan of Action for the Group of Experts on Maritime Narcotrafficking.

Mexico chaired this working group that included representatives from all of the countries present. In completing its task, the group considered the recommendations contained in the report from its last meeting, the matrix of priority recommendations, contained in this same report and any new issues that came from the discussions in plenary or the working groups. The working group was able to prepare a plan of action (**Annex VI**) that identifies what it proposes to completed over the next two years, how and with what priority. The Group recognized that new or emerging issues requiring attention may present themselves during this same period possibly requiring the Group to adapt its plan of action accordingly.

The Group of Experts:

- **offers** the proposed two-year plan of action for the Group of Experts for the Commission's consideration
- **recommends** that the Commission accept the plan of action and direct the Group to implement it, allowing for the inclusion of new or emerging issues

3. CLOSING SESSION

The Group of Experts concluded its work at 12:30 on April 8. The Chair of the Group closed the meeting and thanked the members for their participation.

III. CONCLUSIONS AND RECOMMENDATIONS OF THE GROUP OF EXPERTS

RECOMMENDATIONS TO CICAD IN ITS THIRTY-SEVENTH REGULAR SESSION:

1. That the Commission:

- **accept** the following reference tools and direct the Executive Secretariat to post them on the CICAD web page:
 - Threat/Risk Assessment Matrix for Coastal Areas and Maritime Approaches (Annex III)
- **direct** the Group of Experts to combine both the threat assessment matrices on ports and coastal areas/maritime approaches at its next meeting and provide a copy of this combined guide to the International Maritime Organization (IMO).
- **accept** the proposed two-year plan of action for the Group of Experts (Annex VI)
- **direct** the Group of Experts to meet and implement the plan as proposed, allowing for the consideration of new or emerging issues

		MEETING OF THE WORKING GROUP ON MARITIME NARCOTRAFFICKING REUNIÓN DEL GRUPO DE TRABAJO SOBRE NARCOTRÁFICO MARÍTIMO April 4-8, 2005 / 4-8 de abril de 2005 Tegucigalpa, Honduras		
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Honduras	Jefe de Prevención de Contaminación	Marina Mercante	Laura Rivera Carbajal	236-8872 / 221-1987 segmaritima@yahoo.com
Honduras	Secretario Ejecutivo	Comisión Nacional de Protección Portuaria	Dennis M. Chinchilla	(504) 221-6451 / 52 dchinchilla@cnpp.gob.hn
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Brasil	Delegado Policial Federal	Misterio da Justica Departamento de Policia Federal	Hebert Reis Mesquita	55-61-3218347 / 55-61-3118300 hebert.hrm@dpf.gov.br
Brasil	Delegado Policial Federal	Departamento de Policia Federal	Ronaldo Liberato de Oliveira	61-4476742 / 61-3118360 liberatorlo@yahoo.com.br
Estados Unidos	Director Latin	Department of State	Thomas H. Martin	(202) 647-9090 / 011-925-937-1955

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PAIS / COUNTRY	CARGO / POSITION	INSTITUCION / INSTITUTIONS	NOMBRE / NAME	TELE. / FAX / CORREO ELECTRONICO PHONE / FAX / E-mail
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O.E.A.	Project Manager Supply Reduction and Control Section	O.E.A / C.I.C.A.D.	Rafael Parada	202-458-3614 / 202-458-3658 rparada@oas.org
Estados Unidos	Program Director Port y Cargo Security	U.S.A. DOT / MARAD	Thomas Morelli	202-366-5473 THOMAS.MORELLI@marad.dot.gov
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PAIS / COUNTRY	CARGO / POSITION	INSTITUCION / INSTITUTIONS	NOMBRE / NAME	TELE. / FAX / CORREO ELECTRONICO PHONE / FAX / E-mail
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Venezuela	Jefe de Operaciones	Armada de Venezuela	Víctor Bordon Fernández.	58-212-3321732 / Fax. 58-212-3322891

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PAIS / COUNTRY	CARGO / POSITION	INSTITUCION / INSTITUTIONS	NOMBRE / NAME	TELE. / FAX / CORREO ELECTRONICO PHONE / FAX / E-mail
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Argentina	Secretario de Embajada Direccion Asuntos Internacionales de Drogas	Cancillería de Argentina	Diego Raúl Tames	(54) 11-48197972 dta@mrecic.gov.ar
Argentina	Prefecto Mayor - Jefe Neparyam Narcotrafico	Prefectura Naval Argentina	Mario Luis Romero	541145767642 / 521145767644 pnadnar@arnet.com.ar
Argentina	Asesor Representante	SEDRONAR Argentina	Josè Alberto Rositano	54-11-4-320-1250 / 1251 arositano@sedronar.gov.ar
Argentina	Asesor Representante	SEDRONAR Argentina	Mariano Leandro Donzelli	4320-1234 / 4320-1200 marianodonzelli@sedronar.gov.ar
Argentina	Secretario de Embajada Direccion Asuntos Internacionales de Drogas	Cancillería de Argentina	Diego Raúl Tames	(54) 11-48197972

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PAIS / COUNTRY	CARGO / POSITION	INSTITUCION / INSTITUTIONS	NOMBRE / NAME	TELE. / FAX / CORREO ELECTRONICO PHONE / FAX / E-mail
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El Salvador	Secretaria de Actas y Colaborador Administrativo	Autoridad Maritima Portuaria (A.M.P.)	Delmy Cecilia Castaneda	(503) 243-8430 / (503) 243-6863 delmycastaneda@hotmail.com
Trinidad y Tobago	Staff Office Maritime	Trinidad and Tobago Defence Force	Cdr Mark Williams	18686222193 / 18686344944 markwopus@yahoo.co.uk
Colombia	Embajador Colombia en Honduras	Embajada de Colombia	Juan Antonio Liebano Rangel	231-1680 / 239-9324 ehonduras@minrelext.gov.co
Colombia	Segundo Secretario Embajada	Embajada de Colombia	Gloria Facio Lince J.	231-1680 / 239-9324 ehonduras@minrelext.gov.co
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Ecuador	Sub Director General de la Marina Mercante y del Litoral	Direccion General de Marina Mercante	Manuel Castellanos Diaz	593-4-2315418 / 593-4-2320385 mafeca680@hotmail.com mmercan2@digmen.org
Jamaica	Ministry of National Security Representative	Jamaica Defense Force Coast Guard	Lt Cdr Paul Wright	876-9678031 / 876-967-8278 Pwright1388@hotmail.com

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Countries / Países: 15		Participants / Participantes: 34		

ORGANIZATION OF AMERICAN STATES



INTER-AMERICAN DRUG ABUSE CONTROL COMMISSION

cicad

**EXPERTS GROUP ON MARITIME
NARCOTRAFFICKING MEETING**
April 4-8, 2005
Tegucigalpa, Honduras

CICAD/inf. 2/05
March 24, 2005
Original: English

SCHEDULE OF ACTIVITIES (draft)

Monday, April 4

- | | |
|---------------|--|
| 08:30 – 09:00 | Registration |
| 09:00 – 09:30 | Opening Remarks |
| 09:30 – 10:30 | Introduction and Review <ul style="list-style-type: none">• Introduction of participants• Background of Group• Schedule of work• Proposed work methodology• Review of tasks assigned and identification of additional issues of concern |
| 10:30 – 10:45 | Break |
| 10:45– 12:30 | Introductory Presentations: <ul style="list-style-type: none">- Port security (Carlos Farfan, World BASC)<ul style="list-style-type: none">- Business Anti-Smuggling Coalition (BASC) and the role of the private sector- ISPS code implementation- Joint Operations Centers for maritime cooperation (Marc Mes, Canada) |

- Systems for monitoring and registering pleasure craft (Colombia)

- 12:00 – 12:30** **Potential Working Group Topics:**
- **Prepare a standardized threat/risk assessment matrix for countries to use in evaluating vulnerabilities and gaps in coastal areas**
 - **Use the Model Operating Procedures Manual for joint and combined bilateral or regional interdiction operations prepared at the last meeting to prepare a more detailed manual**
 - **Develop a model system or vessel registry to monitor pleasure boats, traditional fishing vessels and “go fast” boats in support of maritime domain awareness and investigations**
 - **Communication and maritime points of contact**
 - **Other selected issues**

12:30 – 14:00 **Lunch**

14:00 – 17:30 **Working groups (*cont.*)**

Tuesday, April 5

09:00 – 10:45 **Working groups (*cont.*)**

10:45 – 11:00 **Break**

11:00 – 12:30 **Working groups (*cont.*)**

12:30 – 14:00 **Lunch**

14:00 – 17:30 **Working groups (*cont.*)**

Wednesday, April 6

09:00 – 10:45 **Presentations by working groups**

10:45 – 11:00 **Break**

11:00 – 12:30 **Presentations by working groups**

12:30 – 14:00 **Lunch**

14:00 – 17:30 **Special activities**

Thursday, April 7

09:00 – 10:30 **Plenary discussion of key issues of concern and priorities regarding port security, maritime cooperation and other matters related to the control of maritime narcotrafficking**

10:30 – 10:45 **Break**

10:45 – 12:30 **Working groups: Identification of issues and preparation of a draft 2-year plan of action for the Group of Experts**

12:30 – 14:00 **Lunch**

14:00 – 17:30 **Working groups (*cont.*)**

Friday, April 8

09:00 – 10:45 **Presentations by working groups**

10:45 – 11:00 **Break**

11:00 – 12:30 **Finalize draft Plan of Action**

12:30 – 14:00 **Lunch**

14:00 – 16:00 **Conclusions, commitments and recommendations for action by the Working Group**

16:00 **Closing**

**COASTAL AREAS & MARITIME APPROACHES:
DRUG THREAT/ VULNERABILITY RISK SELF-ASSESSMENT CHECKLIST**

A. Measures to Counter Maritime Narcotrafficking

- 1) Does the national authority or its designate have an existing plan of action for drug enforcement within the coastal areas and maritime approaches?
 - a) Yes
 - b) No

- 2) Has the national authority or its designate established measures to prevent any drugs, chemical precursors and other illegal substances and devices from entering the coastal areas and maritime approaches?
 - a) Yes
 - b) No

- 3) Has the national authority or its designate established procedures for response to an activation of a maritime drug smuggling alert system?
 - a) Yes
 - b) No

- 4) Has the national authority or its designate established the roles and procedures of the drug enforcement coordinating bodies?
 - a) Yes
 - b) No

- 6) Has the national authority or its designate drug enforcement coordinating bodies established their maritime security organization's link with other international, national or local authorities?
 - a) Yes

 - b) No

- 7) Has the national authority or its designate drug enforcement coordinating bodies established communication systems that allow for effective, secure and continuous communication between national or local authorities?
 - a) Yes
 - b) No

- 8) Have the coordinating bodies responsible for drug detection, enforcement and interdiction established the training requirements for personnel with coastal and maritime security responsibility?

- a) Yes
b) No

9)

Which of the following agencies participate in counter drug monitoring and interdiction activities in your coastal areas and maritime approaches?									
	Yes	No		Responsibilities					
				Coordination	Control of cargos	Control of persons	Information gathering	Interdiction	Monitoring
Attorney General's office									
Customs									
National Police									
National Guard									
Coast Guard									
Navy									
Others (please specify)									

10) Has the national authority or its designate drug enforcement coordinating bodies established procedures governing submission and assessment of security reports to the appropriate authorities including international partners within an appropriate period of time, relating to security issues surrounding coastal areas and maritime approaches?

- a) Yes
b) No

11) Does the national authority or its designate conduct a debriefing of all drug incidents and security reports and bring the findings to the attention of drug enforcement coordinating bodies in order to prevent against reoccurrence of similar incidents or the possibility of similar incidents in the future?

- a) Yes
b) No

12) Do the drug enforcement coordinating bodies responsible for coastal areas and maritime approaches have approved equipment (e.g. screening machines, interdiction operation recording systems, etc) and procedures (e.g. risk profiling) to detect, prevent and record the introduction and seizure of illicit drugs and other contraband by vessels, crew, and passengers?

- a) Yes
b) No

- 13) Do the drug enforcement coordinating bodies have the appropriate capacities to interdict suspected vessels in the high-risk coastal areas and maritime approaches?
- a) Yes
 - b) No
- 14) Is there a comprehensive and effective coordination between relevant drug enforcement coordinating bodies (e.g. Customs, Police, etc)?
- c) Yes
 - d) No
- 15) Is there a broad and effective coordination at all administrative level (e.g. local, regional, federal) in all maritime narco-trafficking efforts?
- a) Yes
 - b) No
- 16) Are there adequate legal authorities to support effective interdiction efforts of suspected vessels in the coastal areas and maritime approaches?
- a) Yes
 - b) No
- 17) Are National Authorities parties to international agreements addressing the issue of maritime narco-trafficking?
- a) Yes
 - b) No
- 18) If the response to #17 was "Yes" - are the National Authorities sufficiently empowered to delegate to the drug enforcement coordinating bodies to required powers to conduct effective interdiction actions?
- a) Yes
 - b) No
- 19) Are the national laws effective in addressing the issue of maritime narco-trafficking?
- a) Yes
 - b) No
- 20) Are the national laws effective in the prosecution of individual(s) accused of being involved in maritime narco-trafficking?
- a) Yes
 - b) No

B. Monitoring and Controlling Access to the Maritime Approaches & Coastal Areas

- 1) Does the national authority or its designate communicate the requirements of identification required to access the coastal areas and maritime approaches?
 - a) Yes
 - b) No

- 2) Does the national authority or its designate have the means to differentiate the identification (e.g. through the use of AIS, VTS, GPS, etc) of permanent, temporary, and transiting vessels?
 - a) Yes
 - b) No

- 3) Has the national authority or its designate created procedures to deny access and reports all vessels that are unwilling or unable to establish their identity?
 - a) Yes
 - b) No

- 4) Does the national authority or its designate control access to and from the vessels at anchorage?
 - a) Yes
 - b) No

- 5) Have security measures been established for all means of access (including land, air and sea) to the coastal areas and maritime approaches?
 - a) Yes
 - b) No

- 6) Which of the following resources are employed to monitor the access to coastal areas and maritime approaches?
 - a) Sea
 - i) Patrol boats
 - ii) Detection buoys
 - iii) Volunteer surveillance (e.g. fishing vessels, vessel owners)
 - iv) Underwater detection systems
 - b) Land
 - i) Land based radar (e.g. VTS, AIS, GPS)
 - c) Air
 - i) Airborne maritime patrol
 - ii) Satellite

- 7) Do the drug enforcement coordinating bodies responsible for high-risk coastal areas and maritime approaches have access to and the capability to monitor on water and also land?
 - a) Yes
 - b) No
- 8) Do the drug enforcement coordinating bodies have the appropriate capacities to control access to the coastal areas and maritime approaches?
 - a) Yes
 - b) No
- 9) Do the drug enforcement coordinating bodies have at their disposal, or can make use of, appropriate vessels to control access to the coastal areas and maritime approaches?
 - a) Yes
 - b) No
- 10) Do the coastal area and maritime approaches security patrol personnel regularly vary their patrol/surveillance times to avoid establishing routines that can be identified by drug traffickers?
 - a) Yes
 - b) No
- 11) Are the high-risk coastal areas and maritime approaches routinely patrolled by drug enforcement coordinating bodies?
 - a) Yes
 - b) No
- 12) Are your patrols effective in controlling access to the high-risk coastal areas and maritime approaches?
 - a) Yes
 - b) No
- 13) Do your patrols meet national performance standards in their role to control access to the high-risk coastal areas and maritime approaches?
 - a) Yes
 - b) No

THREAT/VULNERABILITY RISK SELF-ASSESSMENT METHODOLOGY

Develop a standardized threat/vulnerability risk self-assessment matrix for countries to use in evaluating vulnerabilities and gaps in port security, coastal areas, and maritime approaches

Methodology:

The risk assessment methodology provides a consistent and systematic approach to determining the relative security risks.

The risk assessment methodology is built around four core elements:

- Identifying possible scenarios
- Assessing the likelihood of the scenarios
- Identifying and assessing vulnerabilities
- Assessing the potential impacts

Security Risk Assessment Methodology:

Assessing relative risk (Risk = Threat + Vulnerability + Impact) is based upon an analytical assessment of threat, vulnerability and impact using a scoring system.

Scenarios:

Scenarios, based on “reasonable worst cases” serve as proxies to measure the relative risk associated with the selected gaps.

Threat Assessment:

The first step is to estimate the probability of a particular scenario-taking place. The threat assessment is based upon:

- An intelligence evaluation
- History of similar incidents, including frequency, location and targets
- Feasibility of the scenario (Probability and Detection)

Vulnerability Assessment:

Vulnerability is an indication of the probability of success. It consists of the following factors:

- Existing preventative measures
- Location
- Control effectiveness (Vessel and Means of Control)

Impact Assessment:

The impact assessment estimates the consequences. It considers human loss (or potential for loss) and economic consequences (taking into account social impacts).

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 Preventative Measures	Location	Control Effectiveness	
			Vessel	Means of Control
9 (Extreme)	Limited or no preventative measures to limit access	High-risk coastal areas and maritime approaches are not monitored	Vessels (including small boats, go-fasts, fishing boats, submersibles, etc) that have not identified themselves and pose a high risk	Low level of control
6 (High)	Some preventative measure in place to limit access, but not routinely maintained	High-risk coastal areas and maritime approaches are monitored but not effectively	Vessels (including small boats, go-fasts, fishing boats, submersibles, etc) that have identified themselves but not recognized and could pose a risk	Limited level of control
3 (Medium)	Preventative measures in place to limit access	Coastal areas and maritime approaches are monitored but not on a limited basis	Vessels (including small boats, go-fasts, fishing boats, submersibles, etc) that have identified themselves and are recognized but potentially could pose a risk	Moderate level of control
0 (Low)	Extensive and robust preventative measures in place	Coastal areas and maritime approaches are highly monitored	Vessels (including small boats, go-fasts, fishing boats, submersibles, etc) that have identified themselves and recognized as posing little risk	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 (include trade impact, disruption of trade and social impact)
6 (High)	Moderate loss of life and/or injury	Moderate short and long term economic impact (include trade impact, disruption of trade and social impact)
3 (Medium)	Some loss of life and/or injury	Some short term economic impact (include trade impact, disruption of trade and social impact)
0 (Low)	No loss of life or injury	Minimal short term economic consequences (include trade impact, disruption of trade and social impact)

BEST PRACTICES GUIDE FOR DEVELOPING PROCEDURES APPLICABLE TO COMBINED MARITIME COUNTERDRUG OPERATIONS

INTRODUCTION

I. - BACKGROUND

During CICAD's XXXIV Regular Session (November 2003), a Working Group of Experts from ten (10) CICAD Member States presented the results of a study on maritime narcotrafficking in the hemisphere. The Commission accepted the report and recommendations and, among other tasks, directed that Group of Experts to develop a Model Guide for Maritime Operating Procedures.

II. - PURPOSE

Some CICAD Member States have entered into bilateral, regional or multilateral cooperation agreements for international activities to counter maritime narcotrafficking .

For the purpose of saving time and expedite the planning and organization phases of such combined operations, it is useful to have predefined operational procedures that can be activated by the participating countries when suspect vessels or aircraft are identified. The nature of these procedures is defined by the terms and conditions of the agreement between the participating countries.

This Best Practices Guide will orient the design of a Procedures Manual that can be implemented during the bilateral and multilateral combined counterdrug operations. The Best Practices Guide defines the diverse elements that should be included in said procedures and some of the concerns that must be addressed in the procedures.

This guide is the first step in developing a more detailed Procedures Manual.

III. - JURISDICTION

The combined operations will be conducted in observance of the International Conventions and Agreements that are in force and will respect the national legislation of the participating States. All States will observe the sovereignty of the State while operating within a Member State's jurisdictional waters.

PROCEDURES FOR COMBINED OPERATIONS

I. DEFINITIONS

a) PLANNED OPERATIONS

Some countries make use of a predefined plan of action to conduct operational activities within specific parameters such as geographical area, time period, frequency or potential targets or suspects. These operational activities may include information or control patrolling, taking enforcement actions, applying international conventions or bilateral or multilateral agreements with respect to counterdrug situations. These are considered to be **planned operations**.

b) UNPLANNED OPERATIONS

Unplanned operations may be conducted in response to immediate, unanticipated or emergency counterdrug situations for which no prior combined action has been coordinated. These can include detection, control, and interdiction of vessels or aircraft. In all cases, these operations will be conducted in the frame of an agreement between the participating countries with full respect to the sovereignty, jurisdiction, and legislation of these countries.

II. COMBINED OPERATIONS: GENERAL CONSIDERATIONS

A. PURPOSE OF COMBINED OPERATIONS

The purpose of these procedures is to facilitate planning combined counterdrug operations and to coordinate an effective response to situations, such as the detection of objectives of mutual interest

B. TRAINING AND EXERCISES

States are encouraged to participate in training and exercises to ensure preparedness of the participants in the operations and to improve the procedures.

C. LOGISTICS / TECHNICAL SUPPORT

Arrangements should be made to facilitate support to participating States by the Host State during combined counterdrug operations.

D. DESIGNATION OF AN ON – SCENE COORDINATOR

The Member States should define in advance the procedures to be used for designating the On – Scene Coordinator . These procedures will require the designation of this person as early in the operation as possible and all parties will be made aware of the designation .

E. OPERATIONS PLAN

An operations plan will be developed with all Member States involved and, if possible, an operations order will be published emitted and distributed. The Operations Plan is a detailed written plan that identifies the purposes of the operation and how it will be followed. The Operations Plan will include the functions and responsibilities of all parties *involved*.

The Member States that participate in combined operations will clearly define the Operations Plan to follow, taking into consideration all of the resources available for said operation. The Operations Plan can include, among others:

- An Operations Order, when applicable
- Joint review of intelligence / information
- Aircraft coordination
- Personnel exchange
- Reporting requirement
- Rendezvous times
- Command and Control

F. - USE OF FORCE / RULES OF ENGAGEMENT

Participating States will be fully aware of their responsibilities, *as well as all States involved in the operation.*

Prior to commencing an operation, all States will agree on the Use of Force and Rules of Engagement, same that will be reflected in the operating procedures that are established.

G. - BOARDING POLICY

Prior to commencing an operation, the States will agree on when and how a boarding will take place.

The States will know the national legislation and policies, and the bilateral and multilateral agreements that govern this action.

H. - HOT PURSUIT

The States will know the national legislation and policies, and the bilateral and multilateral agreements that govern this action.

III. ELEMENTS OF THE OPERATIONS PLAN

A. PURPOSE OF THE OPERATIONS PLAN

The States will establish how the purpose of each operation will be achieved and include this information in the Operations Plan.

B. ACTION REQUEST

The States will make a formal request for cooperation and action from another State to enforce the law of the requesting State. The type of action being requested will be clearly stated and agreed by all involved States prior to commencing any action.

C. EXCHANGE OF INFORMATION

The requesting States will share all information that is pertinent to the proposed operation, especially regarding the issues contained in the Reference Guide with respect to the Exchange of Information. A line of communication will be established to ensure the immediate flow of information among all of the States involved.

D. EVIDENCE GATHERING / EVIDENCE SEIZURE / EVIDENCE HANDLING

The States will be cognizant of the legal requirements / procedures of their State and other States involved in the operations.

Prior to commencing and operation, all involved States will agree upon the following (that will be included in the Operations Plan):

- What evidence is being sought
- Who will seize the evidence
- How evidence will be handled and stored
- Where it will be stored
- How the evidence will be inventoried
- If evidence can be turned over to another jurisdiction
- Other issues

E. ARREST / PROSECUTION

The States need to be aware of their authority to arrest and prosecute. These authorities can be found in National Legislation, bilateral / multilateral agreements, or international law.

Prior to commencing an operation with another State, all parties will come to an agreement specifying:

- Who will be responsible for making arrests
- Who will secure prisoners
- Where will prisoners be secured
- Who will prosecute

F. LIAISON OFFICERS

When possible, States will identify liaison officers to be on site during an operation to assist with ensuring the proper flow of intelligence and information

G. REPORT OF ACTIONS TAKEN

Reports of any actions taken to enforce the law will be completed in as much detail as possible and will be provided to other States involved in the operation.

Prior to commencing an operation, States will agree to a reporting procedure that can include the following:

- Who is responsible for completing the report
- What format should the report take
- What details need to be covered in the report
- Who will receive the report

H. COMMUNICATIONS PROCEDURES

The States will establish international communications plans, addressing the following:

- The establishment of communications procedures at international level
- Communication security
- Operational security
- Comparable methods of communication
- Establishing agreed codes / geographical points

Vessels can operate in a country's adjacent jurisdictional waters to test communications links and procedures.

I. DEBRIEFING

When completing each operation, the States will conduct full debriefings, that will be distributed among the participants, that include the following:

- Actions taken
- Exchange of information and intelligence
- Logistics issues
- Legal issues
- Recommendations of possible improvements
- Others

ANNEX

1. GLOSSARY

- A list of terms that could be included in the manual to bring clarity to Member States participating in a combined operation. Examples:

Controlled Delivery

Technique allowing illicit or suspect consignments of narcotic drugs, psychotropic substances, precursor chemicals or substances substituted for them to pass out of, through, or into the territory of one or more countries, with the knowledge and supervision of their competent authorities with the purpose of identifying the persons involved in the commission of offences (Article 1(g) of the United Nations Convention against Illicit Traffic in Narcotic Drugs and Psychotropic Substances 1988).

Hot Pursuit

The action undertaken against a foreign ship by a coastal State with good reason to believe that the ship has violated its laws and regulations. It can only be commenced when the foreign ship or one of its boats is within the internal waters, the archipelagic waters, the territorial sea or the contiguous zone of the pursuing State. It may only be continued beyond the territorial sea or the contiguous zone if the pursuit has not been interrupted (Article 111 of the United Nations Convention of the Law of the Sea). The pursuit into the territorial waters of another State may continue only if approved by treaty, convention or by agreement of the State.

2. CONVENTIONS/TREATIES/AGREEMENTS

Copies of all pertinent Conventions and all Treaties / Agreements that the participating Member States are signatory to will be included.

3. SAMPLE OF OPERATIONAL PLAN

A sample of an Operational Plan will be included to act as reference.

4. DIRECTORY OF POINT OF CONTACT

A compiled directory of the competent national authorities will be attached.

Maritime Narcotrafficking Experts Group

Operations Centers

Outline:

- Hemispheric Report Recommendations
- Justification
- Task and Outcome
- Plan of Action
- Framework/Outline
- Issues
- Next Steps/Recommendations to CICAD

Maritime Narcotrafficking Experts Group

Recommendation:

- Examine the feasibility of establishing sub-regional Joint Operations Centers for cooperation efforts among member states
- Provide technical assistance to interested states in establishing National Joint Command and Control Centres

Justification:

- Due to the vast expanse of the sea, narcotraffickers continue to use maritime means to transport illicit drugs.
- Member states suffer from insufficient strategic and tactical information and intelligence.
- These events have highlighted the need for more inter-agency and inter-departmental collaboration, coordination and interoperability at the national, sub-regional and regional levels in our battle to counter maritime narcotrafficking.
- Information and Coordination Centres would strengthen coordination of maritime narcotrafficking efforts.

Tasked:

- The Executive Secretariat gather information on regional or sub-regional centers of this nature that already exist in the area
- The Executive Secretariat will invite a representative from the Kingdom of the Netherlands to deliver a presentation to the Group of Experts during its proposed meeting in 2005 on the experiences with the center in Curacao

Outcome:

- A presentation on marine security operation centres was delivered by Canada to the Group of Experts during its meeting in April 2005 in Tegucigalpa, Honduras
- The Group of Experts will gather information and develop a framework and outline for the creation of operations centers.

NOTE:

- For the purposes of this recommendation, Experts will refer to operations centres as Information and Coordination Centres (ICC)

Plan of Action:

October 2005

- Develop a framework for establishing national Information and Coordination Centres for national cooperative efforts
- Elements of **National ICC**
 - Information gathering
 - Coordination
 - Operation

2006-2007

- **Examine the feasibility of establishing bilateral, sub-regional or regional Information and Coordination Centres among member states.**

Framework/Outline:

- **Purpose**
 - To develop a framework for an ICC where relevant departmental/agency representatives will collect, fuse and analyze information, on a timely basis, to enhance situational awareness and for the development of prioritized actionable targeting
- **Objectives**
 - To develop a coordinated and recognizable maritime picture. This picture can be used for both strategic and tactical purposes when issues of narcotrafficking, security, safety etc are identified.
 - To facilitate the effective coordination of maritime activities through inter-agency staffing
- **Legislation**
 - Authority to establish ICC
 - Authority to exchange/share and disclose information
 - Authority to take action
- **Sharing of Information/Intelligence**
 - Clarify the differences between information and intelligence
 - Classified and non-classified information and the issue of privacy

Framework/Outline (con't) :

- **Structure/Functions**

- Co-location of agency partners each providing a link to their own agency business, functional, operational and technical information. Links to international points of contact could be incorporated in this model if relevant.
- Capable of conducting 24/7 interdepartmental/agency targeting, detection and assessment of security threats resulting in a prioritized target list met through human and automated collaboration.
- Communication systems that allow for effective, secure and real-time information exchange

Issues:

- Information sharing including personal information
- Coordination and governance process
- Legal authorities
- International law
- Change of past practices to a coordinated effort

Next Steps/Recommendations:

- The CICAD Commission task the Group of Experts to gather information and develop a framework for establishing National Information and Coordinating Centres.

**ACTION PLAN FOR THE 2005-2007
MEXICO-BRAZIL CO-CHAIRMANSHIP
OF THE GROUP OF EXPERTS ON MARITIME NARCOTRAFFICKING**

RECOMMENDATION No. 2:

Create a Model Maritime Control Legislation (or a set of laws and regulations) that countries can use to review and update their laws and regulations to ensure adequate maritime jurisdiction and security.

ANALYSIS

At its meeting held in Tegucigalpa, in June 2004, the Group of Experts on Maritime Narcotrafficking, in considering this recommendation, directed the Executive Secretariat to compile information concerning national laws, agreements for cooperation (bilateral, multi-national and regional) and operational points of contact in member states related to the port security and the control of maritime narcotrafficking and post this information on the CICAD web page.

In implementing this recommendation, the Executive Secretariat was unable to obtain replies from many member states. Therefore, the task was not completed.

At the Second Meeting of the Group of Experts, held in Tegucigalpa, in April 2005, the delegation of the United States of North America proposed to present to the Group of Experts, at its next meeting, a document containing **the principles of international legislation on maritime interdiction, for consideration by the Group.**

THE GROUP OF EXPERTS RECOMMENDS:

That the recommendation be addressed at the upcoming meeting of the Group of Experts, and that the document to be presented by the delegation of the United States of North America be reviewed and analyzed to determine its application and use by the member states.

RECOMMENDATION No. 3:

Develop best practices and related strategies that member states could implement to promote effective controls over ports and maritime narcotrafficking in an environment of limited resources (human, financial and equipment)

RECOMMENDATION No. 4:

Examine and evaluate current data collection systems used in ports and prepare a reference guide for use of member states in developing or upgrading their national systems.

RECOMMENDATION No. 6:

Develop a guide for the establishment of an interagency council or committee to coordinate the cooperative implementation of counterdrug port security programs.

RECOMMENDATION No. 11:

Develop a reference guide of best practices and procedures for the effective systemic control of chemical cargoes shipped through ports, in order to prevent their illicit diversion.

RECOMMENDATION No. 12:

Develop a guide of best practices and procedures to enhance security in free trade zones in ports and free ports to a level comparable to other ports.

ANALYSIS

At the meeting, Recommendations 3, 4, 6, 11, and 12 were reviewed and analyzed, underscoring the International Ship and Port Facility Security (ISPS) Code in connection with the following topics:

Recommendation No. 3 **Effective controls of ports and maritime narcotrafficking**

Recommendation No. 4 **Current data collection systems utilized in ports**

Recommendation No. 6 **Establishment of an interagency council or committee to coordinate the cooperative implementation of counterdrug port security programs**

Recommendation No. 11 **Effective systemic control of chemical cargoes shipped through ports. Effective controls of ports and maritime narcotrafficking**

Recommendation No. 12 **Enhance security in free trade zones in ports and free ports**

THE GROUP OF EXPERTS RECOMMENDS TO THE MEMBER STATES:

That, at the upcoming meeting of the Group of Experts, a representative of each delegation's maritime authority participate in order to include and analyze the implementation of, progress made with, and results of the ISPS Code with regard to maritime narcotrafficking in each state.

THE GROUP OF EXPERTS RECOMMENDS TO THE EXECUTIVE SECRETARIAT OF CICAD:

That it extend an invitation to a representative of the International Maritime Organization to present a scheme for implementation of the ISPS Code in the Hemisphere.

The member states are requested to forward to CICAD a report on the status of implementation of the ISPS Code, so that CICAD may in turn forward it to the Group of Experts prior to its next meeting, to serve as reference material in addressing the above-mentioned topic.

RECOMENDATION No. 7:

Develop Model Operating Procedures Manual for joint and combined bilateral or regional interdiction operations, for those member states whose laws and regulations allow them to conduct such operations, taking into account the jurisdictional limits and national legal systems of the parties involved when creating the bilateral or regional agreement or arrangements for such operations.

THE GROUP OF EXPERTS RECOMMENDS TO THE EXECUTIVE SECRETARIAT OF CICAD:

That Trinidad and Tobago be assigned the task of designing a draft procedures manual, taking the best practices guide drafted by the Group as reference. The said manual should be ready for review, updating, and possible approval at the next meeting of the Group of Experts. The delegation of Trinidad and Tobago

will coordinate this task, utilizing electronic media to work with other subgroup members.

The member states are recommended to prepare checklists for use in unplanned operations. They should be posted on the CICAD Web page for the information of and analysis by all members of CICAD.

THE GROUP OF EXPERTS RECOMMENDS TO THE EXECUTIVE SECRETARIAT OF CICAD:

That it compile information regarding national laws, cooperation agreements (bilateral, regional, and multilateral) and operational points of contact in member states related to port security and control of maritime narcotrafficking, and that it post this information on the CICAD web page.

At the next meeting of the Group of Experts, the delegation of Trinidad and Tobago will present proposed checklists for evaluation by the member states.

RECOMMENDATION No. 9:

Develop alternatives to increase private industry stakeholder participation in the funding of and involvement in counterdrug port security.

ANALYSIS

The Group of Experts considered it necessary and important to promote the implementation and expansion in the member states of programs such as the Business Anti-Smuggling Coalition (BASC) program.

And in states that already have this type of program, it considered it necessary to unify criteria, procedures, methods, technology, and personnel in this area.

THE GROUP OF EXPERTS RECOMMENDS TO THE STATES:

That they identify companies with economic and technical capability that may be interested in participating in this type of program, and identify associations or groups of private firms interested in the topic.

That they report whether any programs of this type exist in their countries or, if they do not, to inform CICAD of their interest in implementing this type of program.

THE GROUP OF EXPERTS RECOMMENDS TO THE EXECUTIVE SECRETARIAT OF CICAD:

To promote at the member state level the implementation and expansion of the BASC program or programs similar and/or related to the topic. (Medium-term)

To request from the World BASC Organization, in a questionnaire, information on the status of each country of the Hemisphere in connection with this type of program. (Short-term)

RECOMMENDATION No. 10:

Develop a model system or vessel registry to monitor pleasure boats, traditional fishing vessels and “go fast” boats in support of maritime domain awareness and investigations.

ANALYSIS

At its meeting held in Tegucigalpa, in April 2005, the Group of Experts on Maritime Narcotrafficking decided to develop a model registry system for small vessels, aware that many member states lacked this type of system.

The Group considered the registry and identified the basic components and information requirements necessary for its operation. This task culminated in the approval of the basic scheme for a model small vessel registry system.

This work will serve as the basis for a best practices guide in establishing a registry system for pleasure boats and other small vessels. At its next meeting, the Group proposes to finalize the said best practices guide and begin preparation of a model guide for implementation of a monitoring system.

THE GROUP OF EXPERTS RECOMMENDS:

That at its next meeting, the Group of Experts examine and analyze a model system to monitor small vessels in order to propose the implementation of the said system or the guide to the member states for adoption, to the extent of their capabilities.

THE GROUP OF EXPERTS RECOMMENDS TO THE EXECUTIVE SECRETARIAT OF CICAD:

That it invite a private sector expert to give a presentation on systems to monitor small vessels, to serve as reference for member states in the possible implementation thereof.

That it invite experts from the Republic of Colombia to give a presentation on its small vessel registry and monitoring system, once the presentation has been forwarded by e-mail to all members of the Group of Experts.

RECOMMENDATION No. 13:

Examine the feasibility of establishing regional or sub-regional Joint Operations Centers for cooperation among those member states whose laws and regulations allow them to do so.

ANALYSIS

At the meeting of the Group of Experts on Maritime Narcotrafficking, it was decided to develop a reference document for the establishment of national information and interagency coordination centers in order to concentrate agency efforts in an entity for the transfer and exchange of information on maritime trafficking of drugs for entry into each member state.

To that end, the Group of Experts determined that this recommendation should be addressed in two stages: a first, in which groups would be established for interagency coordination within each member state and, once such centers had been established, consideration could be given to a second stage, which would be to propose how such centers might be established on a subregional or regional level, observing the laws of each member state.

THE GROUP OF EXPERTS RECOMMENDS:

That, at its upcoming meeting, the Group examine the feasibility of establishing bilateral, regional, and/or subregional information centers among member states for exchange of information in time and form on maritime drug trafficking.

THE GROUP OF EXPERTS RECOMMENDS TO THE EXECUTIVE SECRETARIAT OF CICAD:

That it extend an invitation to an expert of the Joint Interagency Task Force-South (JIATF-S) to give a presentation at the upcoming meeting of the Group of Experts on the organization and functions of JIATF-S in order to observe information exchange processes among national agencies (U.S.) and participating agencies of other countries of the Hemisphere.

OTHER PRIORITY TOPICS RESULTING FROM OPEN PROPOSALS TO ALL MEMBER STATES

PROPOSED DATE FOR THE NEXT MEETING OF THE GROUP OF EXPERTS:

DATE: OCTOBER 17-23, 2005

VENUE: MEXICO CITY AND/OR ACAPULCO, GUERRERO