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PPA MEMORANDUM ORDER

No. 03 - 2015

TO : The Port Managers, Designated Port Facility Security Officers,
Accredited Service Providers, Port Users and Others Concerned

SUBJECT : **GUIDELINES AND PROCEDURES ON THE CONDUCT OF
INTERNAL SECURITY AUDIT OF PORT FACILITIES**

1. AUTHORITY

- 1.1 Article IV, Section 6, (iii) 6-C, 26 and 43 of P.D. 857-Revised Charter of the Philippine Ports Authority.
- 1.2 National Security Programme for Sea Transport and Maritime Infrastructure, Book II in relation to International Maritime Organization's (IMO) International Ship and Port Facility Security (ISPS) Code.

2. SCOPE

These guidelines and procedures cover the conduct of internal security audit for all facilities in the port system under the administration of the Philippine Ports Authority

3. OBJECTIVES

- 3.1 To standardize the procedures in the conduct of verification and evaluation of port security measures embodied in the security plan.
- 3.2 To measure compliance with PPA and ISPS security framework standards, policies and procedures in addressing defined risk, and provide confirmation that current security measures in the Port Facilities as originally defined remain viable and corrected or updated where necessary.
- 3.3 To assess the effectiveness of the physical protection assets, guard force personnel, along with the policies and procedures that guide framework implementation.

VISION

By 2030, PPA shall have provided globally competitive port service in the Philippines characterized by increased productivity, efficiency, connectivity, comfort, safety, security and environmental sustainability.

MISSION

1. Provide reliable and responsive services in ports, sustain development of community and the environment, and be a model corporate agency of the government.
2. Establish mutually beneficial, equitable and fair relationship with partners and service providers.
3. Provide meaningful and gainful employment while creating a nurturing environment that promotes continuous learning and improvement.
4. Establish a world class port operation that is globally competitive adding values to the country's image and reputation.

4. RESPONSIBILITY

- 4.1 The Assistant General Manager for Operations is responsible for the Annual Internal Security Audit Plan for the whole PPA port facilities.
- 4.2 The Superintendent, Port Police Department/Deputy Superintendent is responsible for the actual scheduling of the audit and the deployment of personnel for the engagement. The Superintendent, PPD shall approve all internal security audit programs and is responsible for the submission of the report to the AGM-O and the General Manager.
- 4.3 The Division Manager, Operations-PPD/ or duly designated officer shall be assigned as Audit Team Supervisor for each audit engagement and shall ensure that Audit Program and the Internal Security Audit standards of the Port Police Department are followed to achieve the audit objectives.
- 4.4 The Chief, Civil Security Officer or duly designated officer shall be assigned as Team Supervisor, who shall be responsible for the preparation of audit program, schedules and reports for submission to PP Superintendent through the Division Manager, Operations-PPD/Team Supervisor.
- 4.5 Audit Team members shall be assigned for each area based on his/her specific knowledge, skills or his qualifications as identified in the audit program. All working papers prepared by each member shall be reviewed by the Team Supervisor.

5. RULES OF CONDUCT

5.1 Integrity

Port Security Internal Auditors:

5.1.1 Shall perform their work with honesty, diligence, and responsibility.

5.1.2 Shall respect and contribute to the legitimate and ethical objectives of the port police organization.

5.2 Objectivity

Port Security Internal Auditors:

5.2.1 Shall not participate in any activity or relationship that may impair or be presumed to impair their unbiased evaluation or assessment.

5.2.2 Shall not accept anything that may impair or be presumed to impair their professional judgment.

5.2.3 Shall disclose all material facts known to them that, if not disclosed, may distort the reporting of activities under review.

5.3 Confidentiality

Port Security Internal Auditors:

5.3.1 Shall be prudent in the use and protection of information acquired in the course of their duties.

5.3.2 Shall not use information for any personal gain or in any manner that would be contrary to the law or detrimental to the legitimate and ethical objectives of the organization.

5.4 Competency

Port Security Internal Auditors:

5.4.1 Shall engage only in those services for which they have the necessary knowledge, skills, and experience.

5.4.2 Shall continually improve their proficiency and the effectiveness and quality of their services.

6. AUDIT METHODOLOGY

The internal security audit for Port Facilities shall be conducted in accordance with PPA rules and regulations.

6.1 Planning the Audit

The planning phase consist of interviews and consultation with the auditee, review of information, documents and reports and the development of an audit program and associated tools. The Division Manager-Operations Division prepares the Port Police Department Order constituting the internal security audit schedule for the activity based on the approved plans and programs. The review includes the contract of security services provider, Port Facility Security Plan, internal policy and procedures, applicable rules and regulations and previous audit reports and findings from the authorities.

6.2 Examination Phase/Audit Proper

The examination phase included the following approach:

- Interviews with Port Facility Security Officers, other employees and concerned port users
- Observations of physical safeguards in different facilities; and
- Documentation examination and comparative analysis against best practices and guidance provided by lead security agencies.

Detailed audit criteria or check off list is provided in Annex "A"

7. POST AUDIT ACTIVITIES

The audit team shall conduct post audit conference with the auditee and shall submit the report within reasonable time to the AGM for Operations thru the Superintendent, Port Police Department.

7.1 Audit Reports

7.1.1 Statement of Assurance

The Port Security Internal Audit Report shall state that the examination/audit was conducted in accordance with PPA regulation, memorandum or circular. The auditors shall further state in assurance that professional judgment, sufficient and appropriate audit procedures have been conducted and evidence gathered to support the accuracy of the conclusions reached and contained in the audit report.

7.1.2 Audit Opinion

The auditors shall provide opinion whether security measures and management controls were sufficient or not to ensure rigorous and documented security risk management pertaining to port facility security. Any deficiencies shall be noted in the following areas: threat and risk management, roles and responsibilities, awareness, policies and procedures, and incident management.

7.1.3 Recommendations and Management Response

Audit reports shall include recommendations from the auditors and approval/or disapproval from the management with corresponding detailed action plan for each developed recommendations.

This memorandum order takes effect immediately and any previous issuances that are in conflict with these rules and regulations are deemed modified, revised or repealed accordingly.

A handwritten signature in black ink, appearing to read 'J. Sta. Ana', with a long horizontal line extending to the right.

JUAN C. STA. ANA
General Manager



**PHILIPPINE PORTS
AUTHORITY**
PORT POLICE DEPARTMENT

PORT FACILITY SECURITY AUDIT CHECKLIST

Name of Port Facility:	Location (Latitude & Longitude)
Mailing Address:	Classification: <input type="checkbox"/> International <input type="checkbox"/> Domestic
Name of Company	Head of the Company: Title:
Mailing Address:	Contact No.:
Security Equipments: <input type="checkbox"/> Baggage X Ray Machine <input type="checkbox"/> Others <input type="checkbox"/> Walk Thru Metal <input type="checkbox"/> Hand Held Metal <input type="checkbox"/> Vapor Analyzer <input type="checkbox"/> CCTV Camera	Communication Equipments: <input type="checkbox"/> Radio Base <input type="checkbox"/> Hand Held Radio <input type="checkbox"/> Fax Machine <input type="checkbox"/> Telephone <input type="checkbox"/> Others
Port Facility Security Officer:	Contact No.:
Who prepared the PFSA/PFSP <input type="checkbox"/> PFSO <input type="checkbox"/> Recognized Security Organization <input type="checkbox"/> Security Consultant	
Port Category: <input type="checkbox"/> Cargo <input type="checkbox"/> Passenger <input type="checkbox"/> Ro-Ro	
Ship Catered: <input type="checkbox"/> Passenger Ship <input type="checkbox"/> Chemical Tanker <input type="checkbox"/> Cargo Ship <input type="checkbox"/> Gas Carrier <input type="checkbox"/> Bulk Carrier <input type="checkbox"/> Mobile Offshore Drilling <input type="checkbox"/> Oil Tanker <input type="checkbox"/> Others (Specify)	

ISPS/PFSP TEMPLATES/NSP		ADMINISTRATIVE PROVISIONS	YES	NO	FINDING/OBSERVATIONS
1	16.60 Part B	Are all changes to the security plan approved by the Designated Authority?	YES	NO	
2	16.7 Part A Sec.3 Template	Is the security plan properly protected from unauthorized access or disclosure	YES	NO	
3	17.1/A 1.18/B; 16.2/B	Does the company issued designation order to the port facility security officer (PFSO) and described his duties and responsibilities as such?	YES	NO	
4	17.2/A; 4.2b Template	Are the PFSO's duties and responsibilities being performed?	YES	NO	
5	15.4/A; 16.5B- 16.59/B; 16.35/B; Sec. 12 Template	Are procedures on regular review/updates and updating of the PFSP conducted	YES	NO	
6	16.39/A para 11.2 Template	Are procedure on reporting of security incident being followed?	YES	NO	
7	16.3.1/A	Are measures designed to prevent weapons or any other dangerous substances and devices which is not authorised, from being introduced into the port facility or on board a ship properly implemented?	YES	NO	
8	16.3.2/A	Are measures designed to prevent unauthorized access to the Port Facility, to Ships moored at, and to restricted areas of the port facility being performed?	YES	NO	
9	16.3.3/A para 8.3.1 Template	Are the procedures for responding to security threats or breaches of security, including provisions for maintaining critical operations of the Port Facility or Ship/Port Facility interface being performed?	YES	NO	
10	para 8.3.3 Template	Are the procedures for evacuation in case of any security threats or breaches of security had been performed?	YES	NO	
11	18.2/B;16.3.6/ A	Are the Port Facility Security personnel and other facility personnel on security aspects familiar or their respective role and responsibilities?	YES	NO	
12	16.3.7/A 16.56/B	Are the procedures for interfacing with ship security activities being performed?	YES	NO	
13	16.39/A 16.3.6/B Sec. 11 Template	Are the procedures for reporting security incidents being performed?	YES	NO	

ISPS/PFSP TEMPLATES/NSP		ADMINISTRATIVE PROVISIONS			FINDING/OBSERVATIONS
14	16.3.10/A Annex A Templates	Is the identification of the PFSP including 24-hour contact details properly disseminated?	YES	NO	
15	6.3.11/A; 16.7/A; 16.8/A; Sec. 3	Are the measures to ensure security of information in the PFSP being observed?	YES	NO	
16	16.3.12/A; 16.30/B; Para 6.5 Templates	Are the measures designed to ensure effective security of cargo and the cargo handling equipment at the Port Facility being implemented?	YES	NO	
17	16.3.14/A; sub Para 8.3.4 Template	Are the procedures for responding in case the ship security alert system of a ship at the Port Facility has been activated being practiced?	YES	NO	
18	16.3.15/A 16.8.4/B; Para 8.3.4 of NSP	Are the procedures for facilitating shore leave for ship's personnel or personnel changes, as well as access of visitors to the ship including representatives of seafarers' welfare and labour organizations being implemented?	YES	NO	
SECURITY AUDITS/RECORDS					
19	16.58/B	Are (internal) security audits performed within the port facility according to procedures in PFSP?	YES	NO	
20	16.4/A	Are the internal audits conducted by personnel independent of the activities being audited?	YES	NO	
21	16.5/B; sec. 7 NSP; Para 9.1 Template	Are there records maintained on the following: a - Training drills and exercises b - Reports of security incidents c - Changes in security level d - Maintenance, calibration and testing of security measure and equipment e - Communication relating to the port facility and ship berthed therein f - Internal audits and review of security activities kept in the facility g - Security meetings	YES YES YES YES YES YES YES YES	NO NO NO NO NO NO NO NO	
22	17.2.4/A	Is the PFSP undertaking regular security inspections of the Port Facility?	YES	NO	
23	16.3.9A; 17.2.5A	Is there evidence that the PFSP is reporting all security deficiencies, non-conformities, and security incidents?	YES	NO	
24	17.2.5/A	Is the PFSP promptly addressing deficiencies and non-conformities?	YES	NO	

ISPS/PFSP TEMPLATES/NSP		ADMINISTRATIVE PROVISIONS		FINDING/OBSERVATIONS	
25	16.5/B; Sec. 7.7 NSP; Para 9.1 Template	Is the PFSO's corrective action documented?	YES	NO	
26	17.2.7/A 18.2/B Sec. 10 Template	Does the PFSO's provide adequate training for personnel assigned security duties port facility?	YES	NO	
27	14.2.7/A; 16.8.4/B	Is the PFSO ensuring effective communication and coordination with ship officers?	YES	NO	
28	17.2.6/A; 18.3/B	Does the PFSO enhance the security awareness and vigilance in the port facility personnel?	YES	NO	

SECURITY MANPOWER AND DEPLOYMENT

29	15.8/B	Is the present security force strength and composition commensurate with the degree of security protection described in the PFSP?	YES	NO	
30	Para 6.1 Template	Are all security posts, fixed and mobile provided with security details?	YES	NO	
31	16.49.2/B	Do security personnel make regular patrols including building, perimeter, and wharf?	YES	NO	

SECURITY MEASURES Access to the Port Facility

32	16.16/B	Are security point identified and monitored?	YES	NO	
33	16.12/B; 16.13/B	Are identity documents of all person seeking to enter the port facility/board the ship checked?	YES	NO	
34	16.12/B	Are lost badge/access pass replaced with badge/access pass bearing different seal number?	YES	NO	
35	16.17.3/B	Are random administrative inspection made of vehicles entering the facility?	YES	NO	
36	16.17.6/B	Are vehicles destined to be loaded on board car carries, roro and other passenger ship searched prior to loading in accordance with the frequency required in the PFSP?	YES	NO	
37	16.17.2/B	Are the reasons for the people boarding the ship confirmed by checking joining instructions, passenger tickets, boarding passes, work order etc?	YES	NO	
38	16.16/B	Are the personal effects of passengers/crew of the ships berthed within the port facility controlled?	YES	NO	
39	16.12/B	Is the embarkation of crew controlled?	YES	NO	
40	16.15/B	Are checked personal effects, segregated from unchecked persons and their personal effects?	YES	NO	

ISPS/PFSP TEMPLATES/NSP		ADMINISTRATIVE PROVISIONS			FINDING/OBSERVATIONS
41	16.15/B	Is the embarking segregated from the disembarking passengers?	YES	NO	
42	16.19.1/B	Are additional personnel assigned to guard access point and patrol perimeter barriers to deter unauthorized access?	YES	NO	
43	16.19.2/B	Is the number of access point to the port facility and the ship therein limited, identifying those to be closed and the means of adequately securing them	YES	NO	
44	16.19.4/B	are the frequency and details of searched of people, personal effect, and vehicles increased during security level 2 or security level 3 being performed?	YES	NO	
RESTRICTED AREAS					
46	16.21/B	Are restricted areas identified and protected by security measures?	YES	NO	
47	16.23/B	Are signage properly posted in all restricted areas?	YES	NO	
48	16.16.27.1/B	Is there provision for permanent or temporary barriers to surround the restricted areas?	YES	NO	
49	16.15/B	Is the shore-side of the ship established as a restricted area, and have close co-operation with the ships?	YES	NO	
50	16.27.2/B	Is security provided at access points of restricted areas?	YES	NO	
51	16.49.2/B	Does security personnel perform routine patrols of restricted areas?	YES	NO	
52	16.12/B	Are all permanently employed personnel required to display a picture ID badge or card at all times when working within restricted areas?	YES	NO	
53	16.22/B	Are procedures in place to limit access of restricted areas to security and essential personnel?	YES	NO	
54	16.25.7/B	Is surveillance equipment, e.g., security alarms, used to monitor the restricted areas?	YES	NO	
55	16.24/B	Are automatic intrusion detection devices used to alert the port facility's personnel of unauthorized access?	YES	NO	
56	16.27.4/B	Are vehicles allowed access to the restricted areas clearly marked?	YES	NO	
57	16.27.7/B	Are the measures to prevent unauthorized access to shore and waterside areas adjacent to ships in port properly implemented?	YES	NO	

ISPS/PFSP TEMPLATES/NSP		ADMINISTRATIVE PROVISIONS			FINDING/OBSERVATIONS
HANDLING OF CARGO					
58	16.23.1/B	Are there routines in place for checking of cargo, cargo transport units and cargo storage areas prior to, and during, cargo handling operations?	YES	NO	
59	16.32/B;	Is the handling of cargo supervised by the port facility security personnel (PFSO or officers assigned with security duties)?	YES	NO	
60	16.34/B:	Are procedures in place for the movement and storage of cargo?	YES	NO	
61	16.32.2/B;	Are procedures to ensure that cargo being loaded matches the cargo documentation being performed?	YES	NO	
62	16.32.4/B;	Are procedures for checking of seals or other methods used to prevent tampering of cargos conducted?	YES	NO	
63	16.33.1/B	Is cargo being checked visually or by examinations?	YES	NO	
64	16.33.2/B	Is scanning or detection equipment, mechanical devices or dogs being used?	YES	NO	
65	16.35/B	Are more detailed checking of cargo, cargo transport units performed?	YES	NO	
DELIVERY OF SHIP STORE					
66	16.41/B	Are procedures to visually and/or physically inspect ship's stores being performed?	YES	NO	
67	16.40.2/B	Is there advanced notification as to composition of load, driver details and vehicle registration?	YES	NO	
68	16.38.3/B	Are procedures to prevent tampering with ship's stores being implemented?	YES	NO	
69	16.38.2/B	Are inspections of delivery vehicles performed prior to entry into the facility?	YES	NO	
70	16.38.6/B	Are escorts provided for delivery vehicles within the facility?	YES	NO	
71	16.38.4/B	Are unscheduled deliveries of ship's stores prevented from being accepted?	YES	NO	
72	16.41.2/B	Are ship's stores screened using scanning / detection equipment, mechanical devices, or canines?	YES	NO	

ISPS/PFSP TEMPLATES/NSP		ADMINISTRATIVE PROVISIONS			FINDING/OBSERVATIONS
HANDLING OF UNACCOMPANIED BAGGAGE					
73	16.45/B	Are procedures to handle and where to store unaccompanied baggage being performed?	YES	NO	
74	16.48.2/B	Are procedures to restrict, suspend, or refuse to handle unaccompanied baggage being implemented?	YES	NO	
75	16.45/B	Is unaccompanied baggage identified prior to entering the facility or before transferring between facility and ship?	YES	NO	
76	16.46/B	Is scanning equipment being used in the inspection of unaccompanied baggage?	YES	NO	
MONITORING THE SECURITY OF THE PORT FACILITY					
77	16.49/B	Is there sufficient security lighting to observe the general port facility area, including perimeter of all restricted areas, shore and water-side access to it?	YES	NO	
78	16.52/B	Are all vehicle entrances illuminated?	YES	NO	
79	16.52.2/B	Are the access routes properly illuminated?	YES	NO	
80	16.49.3/B	Is there security and surveillance equipment to observe the general port facility area, including shore and waterside area?	YES	NO	
81	16.51./B;16.52 /B	Is there an alternate or independent power source available for use on the system in the event of power failure?	YES	NO	
82	16.49.3/B	Are there automatic intrusion detectors, surveillance equipment to observe the access points, barriers and restricted areas?	YES	NO	
83	16.41.2/B	Is all communications equipment properly maintained?	YES	NO	

BRIEF SUMMARY OF FINDING / RESULT OF AUDIT

Findings and observations duly noted by:

Printed Name of PFSO and Signature

Recommendations

Date of Inspection/Audit : _____

Members of Inspection/Audit Team : _____
