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## **ENSURING SECURITY IN AND FACILITATING INTERNATIONAL TRADE**

### **Trade Recovery**

#### **Guidelines on Measures Toward Enhancing Maritime Trade Recovery Related to the Global Supply Chain System and Maritime Conveyances**

**Submitted by Canada and the United States**

#### **SUMMARY**

*Executive summary:* This document describes the work of the Correspondence Group on the development of voluntary guidelines to promote security and facilitate maritime trade recovery in relation to the global supply chain system and maritime conveyances. The guidelines are intended for use by IMO Member States and industry to increase the resilience of the global maritime supply chain and minimize disruptions in the event of large-scale emergencies.

*Strategic direction:* 8

*High-level action:* 8.0.2

*Planned output:* 8.0.2.6

*Action to be taken:* Paragraph 12

*Related documents:* FAL 37/WP.7, FAL 37/17 and C/ES.26/D

#### **Background**

1 The integrity of the supply chain is contingent on the strength and resilience of its components. In today's inter-related global economy, a maritime supply chain disruption would affect more than just the maritime sector. The interdependency of the maritime supply chain and all of its components requires a web of integration, planning and networks to maintain and minimize disruptions to any of its components.

2 FAL 37 approved the establishment of an intersessional group on Ensuring security in and facilitating trade by means of guidance on measures toward enhancing maritime trade recovery related to the global supply chain system and maritime conveyances. These guidelines are intended for use by IMO Member States and industry to increase the resilience of the global maritime supply chain and minimize disruptions in the event of large-scale emergencies. This recognizes the importance of ensuring that the maritime transportation system is prepared for, and can recover in a timely manner from, major supply chain disruptions. Furthermore, a resilient transportation system is both a less attractive potential target to terrorists, and a more robust and marketable one in general.

3 The Correspondence Group, taking into account the discussions during C 106 and FAL 37, in particular related to documents FAL 37/8/2, FAL 37/8/3 and FAL 37/INF.4, was instructed to:

- .1 collect information on practices, processes, and activities to enhance the mitigation of and recovery from serious disruptions to the international maritime supply chain;
- .2 identify relevant World Customs Organization (WCO) and International Organization for Standardization (ISO) standards and guidelines for their utility for maritime shipping;
- .3 investigate and provide analysis on information gathered under the first two items, which may include:
  - .1 information elements critical to resilience and recovery efforts;
  - .2 communication mechanisms among Governments and non-governmental parties for resilience and recovery planning and response; and
  - .3 recommendations for the development of industry support groups to assist in planning and prioritizing resilience and recovery efforts in advance of and after a disruption; and
- .4 prepare and submit a report of the Correspondence Group together with the draft guidance to FAL 38 for consideration.

4 C/ES.26 approved new planned output 8.0.2.6 of the High-level Action Plan of the Organization and priorities for the 2012-2013 biennium, related to "Ensuring security in, and facilitating, international trade by means of guidance on measures toward enhancing maritime trade recovery related to the global supply chain system and maritime conveyances (with WCO)".

5 The Correspondence Group was created under the leadership of Canada and the United States with the instruction to report to FAL 38 (FAL 37/17, paragraph 8.38). Member States and international organizations were encouraged to participate in the work of the correspondence group and meet the deliverables as outlined in FAL 37/8/2 and the High-level Action Plan.

#### **Work done by the Correspondence Group**

6 Canada and the United States co-chaired a Correspondence Group that had 38 members from the following Member States:

AUSTRALIA  
CANADA  
CHINA  
CYPRUS  
DOMINICA  
GERMANY

ITALY  
JAPAN  
MARSHALL ISLANDS  
SINGAPORE  
SWEDEN  
UNITED STATES

the following intergovernmental organizations:

EUROPEAN COMMISSION (EC)  
WORLD CUSTOMS ORGANIZATION (WCO)

and by the following non-governmental organizations in consultative status:

INTERNATIONAL CHAMBER OF SHIPPING (ICS)  
INTERNATIONAL ORGANIZATION FOR STANDARDIZATION (ISO)  
INTERNATIONAL SHIP SUPPLIERS & SERVICES ASSOCIATION (ISSA)  
WORLD SHIPPING COUNCIL (WSC)

7 Voluntary guidelines were developed based on current and prior experience of developing maritime commerce resilience practices in each country. The draft guidelines were distributed to Correspondence Group members for consultation three times throughout 2012 to ensure a document that accurately reflected the needs and realities of the international maritime community.

8 In developing the Guidelines, instruments related to maritime trade and resilience from the International Organization for Standardization and the World Customs Organization were consulted. Specifically, ISO 28002:2011 – security management systems for the supply chain and the World Customs Organization Trade Recovery Guidelines, were extensively analysed to ensure no duplication of stakeholders' efforts and alignment with existing international frameworks. Material from the Asia-Pacific Economic Cooperation Trade Recovery Programme was also analysed, evaluated and synthesized to provide members of the global maritime supply chain complimentary resources to promote security and facilitate maritime trade recovery.

9 The proposed guidelines consist of three key parts, with all three parts containing information deemed of interest to Member States, owners and operators of SOLAS vessels and facilities, and other maritime community stakeholders involved in the maritime supply chain. This guidance is non-mandatory and has not been designed to form the basis of a mandatory instrument. The first part contains a listing of information requirements critical to improving supply chain resilience and facilitating trade recovery with responsibility for ensuring and/or facilitating maritime trade recovery following a significant disruption to the maritime supply chain. The second part contains information relating to the development of communication mechanisms between parties. The third part contains information pertinent to the establishment of industry support groups.

10 If approved by FAL, the Guidelines will be shared with IMO members and also the WCO and ISO.

11 The co-chairs of the Correspondence Group wish to thank all participants for their work and contribution.

#### **Action requested of the Committee**

12 The Committee is invited to:

- .1 take note of the work of the Correspondence Group above; and
- .2 review and endorse the guidelines, as presented in the annex, for eventual publication.

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## ANNEX

### **GUIDELINES ON MEASURES TOWARD ENHANCING MARITIME TRADE RECOVERY RELATED TO THE GLOBAL SUPPLY CHAIN SYSTEM AND MARITIME CONVEYANCES**

#### **Background**

1 The Facilitation Committee (FAL) of the International Maritime Organization (IMO) at its thirty-seventh session (5 to 9 September 2011) approved the establishment of a correspondence group on Ensuring security in and facilitating trade by means of guidance on measures toward enhancing maritime trade recovery related to the global supply chain system and maritime conveyances. These guidelines are intended for use by IMO Member States and industry to increase the resilience of the global maritime supply chain and minimize disruptions in the event of large-scale emergencies. This recognizes the importance of ensuring that the maritime transportation system is prepared for, and can recover in a timely manner from, major supply chain disruptions. Furthermore, a resilient transportation system is both a less attractive potential target to terrorists, and a more robust and marketable one in general.

2 Taking into account the discussions during C 106 and FAL 37, in particular related to documents FAL 37/8/2, FAL 37/8/3 and FAL 37/INF.4, the correspondence group was instructed to:

- .1 collect information on practices, processes, and activities to enhance the mitigation of and recovery from serious disruptions to the international maritime supply chain;
- .2 identify relevant World Customs Organization (WCO) and International Organization for Standardization (ISO) standards and guidelines for their utility for maritime shipping and to prevent duplication of stakeholders' efforts; and
- .3 investigate and provide analysis on information gathered under the first two items, which may include:
  - .1 information elements critical to resilience and recovery efforts,
  - .2 communication mechanisms among Governments and non-Governmental parties for resilience and recovery planning and response, and
  - .3 recommendations for the development of industry support groups to assist in planning and prioritizing resilience and recovery efforts in advance of and after a disruption.

3 This guidance is non-mandatory and has not been designed to form the basis of a mandatory instrument.

4 It has been formatted into three parts, with all three parts containing information deemed of interest to Member States, owners and operators of SOLAS vessels and facilities, and other maritime community stakeholders involved in the maritime supply chain. Part 1 of the annex contains a listing of information requirements critical to improving supply chain resilience and facilitating trade recovery with responsibility for ensuring and/or facilitating

maritime trade recovery. Part 2 of the annex contains information relating to the development of communication mechanisms between parties. Part 3 of the annex contains information pertinent to the establishment of industry support groups.

5 Member States are invited to consider these non-mandatory Guidelines and adopt them as appropriate.

## **Foreword**

These Guidelines are intended to provide information and best practice guidance to Member States, owners and operators of SOLAS vessels and facilities, and other members of the maritime supply chain with responsibility for ensuring and/or facilitating maritime trade recovery following a disruptive incident.

The Guidelines may be adopted by Member States and others at their own discretion. They are non-mandatory and their application is under the purview of individual Member States. The Guidelines are not intended to form the basis for a mandatory instrument. The Guidelines stress the importance of communication between Governments and non-governmental parties in improving supply chain resilience and in facilitating maritime trade recovery.

The Guidelines have been formatted into three parts. The first part contains a listing of information requirements critical to improving supply chain resilience and facilitating trade recovery following a significant disruption to the maritime supply chain. The second part contains information relating to the development of communication mechanisms between parties. The third part contains information pertinent to the establishment of industry support groups.

Member States and other authorities may wish to use the annex to assist the operators of SOLAS vessels and facilities, and other maritime stakeholders, to implement effective resilience and recovery measures prior to a disruptive incident.

The Guidelines should not be interpreted or applied in a manner inconsistent with the proper respect of fundamental rights and freedoms as set out in international instruments.

In order to ensure harmonization of efforts, these Guidelines take into account, and are informed by, work done by the Asia-Pacific Economic Cooperation (APEC) Trade Recovery Programme, the WCO, and the ISO in developing guidelines for customs administrations and organizations to improve and facilitate trade recovery. Furthermore, relevant guidance from the WCO Trade Recovery Guidelines, the APEC Trade Recovery Programme, and ISO 28002:2011 has been consolidated and integrated into the Guidelines wherever possible.

## Terms and definitions

For the purpose of this document, the following terms and definitions apply:

### **Asset**

Anything that has value to the organization.

### **Community of Interest**

A select group of stakeholders with interest in a certain geographical location, system, or process.

### **Consequence**

Effect of an event, incident, or occurrence.

### **Continuity**

An organization's ability to continue operating outside of normal operating conditions.

### **Disaster**

Event that causes great social, human, or economic loss.

### **Disruptive incident**

Event that affects normal operations.

### **Emergency**

Event that may be anticipated or unforeseen, that is disruptive and requires response.

### **Exercises**

Periodic events that evaluate the performance of a team, group, plan, or protocol.

### **Impact**

The effects of a particular outcome.

### **Mitigation**

Limitation of a negative consequence.

### **Mutual aid agreement**

Pre-arranged agreement between two or more parties to render assistance.

### **Point of Contact**

Public or private sector individual responsible for contact with outside parties such as media, stakeholders, Government representatives and industry groups, as appropriate. Ideally possess specialized training in media and communications.

### **Preparedness**

Any activities, programs or systems developed and implemented to support and enhance prevention, protection from, mitigation of, and recovery from disruptions, emergencies or natural disasters.

### **Prevention**

Any activities, programs or systems that enable an organization to avoid or limit the consequences of a disruption.

**Resilience**

Ability to resist, absorb, recover from or successfully adapt to disruptive events.

**Risk**

The potential for an adverse outcome assessed as a function of threats, vulnerabilities, and consequences associated with an incident, event, or occurrence.

**Stakeholder**

Person or organization that can be affected by a decision or activity.

**Supply Chain**

The worldwide network of transportation, postal, and shipping pathways, assets, and infrastructures by which goods are moved from the point of extraction, to manufacture until they reach an end consumer, as well as supporting communications infrastructure and systems.

**Threat**

Natural or man-made occurrence, individual, entity, or action that has or indicates the potential to harm life, information, operations, the environment and/or property.

**Vulnerability**

Characteristic of design, location, security posture, operation, or any combination thereof, that renders an asset, system, network, or entity susceptible to disruption, destruction, or exploitation.

## **Part 1: Information elements critical to resilience and recovery efforts**

### **1. Introduction**

- 1.1 Access to the right information before, during, and after disruptive incidents can significantly improve the ability of both Government and industry to mitigate, respond and recover.
- 1.2 By being as inclusive as possible when examining information elements, supply chain stakeholders can develop a better, more objective understanding of the assets they need to protect and make more resilient.
- 1.3 A disruptive incident may require the collection, validation, dissemination and storage of critical information, which could introduce significant administrative, financial and/or regulatory burdens for those asked to assemble the information. To mitigate their burden, any existing data should therefore be examined and reviewed before considering whether to request additional data elements.
- 1.4 Information pertaining to risks, threats, vulnerabilities and mitigating measures can be both security and commercially sensitive. Both public and private parties would need to ensure that such information not be compromised and be protected against inappropriate and unlawful use and dissemination.

### **2. Information requirements prior to a disruptive incident**

#### *2.1 From Industry to Government*

##### **2.1.1 Information on threats to individual organizations or the maritime sector as a whole**

Relevant information provided by industry can be compared and contrasted where applicable with information that intelligence and law enforcement agencies collect and receive in order to develop a better picture of the threat environment.

##### **2.1.2 Information on existing or potential vulnerabilities faced by individual organizations or the maritime sector**

Information pertaining to vulnerabilities can significantly improve situational awareness, and allow Governments to work with stakeholders at the sector level on resilience-related activities, including the development of plans to address these vulnerabilities, where there is no conflict with or duplication of existing requirements under the International Ship and Port Facility Security (ISPS) Code.

##### **2.1.3 Information on the physical location of infrastructure assets**

This information can enhance Governments' maritime domain and situational awareness and improve geo-spatial mapping products. In the event of an emergency, such information can improve emergency management by providing responders with a better understanding of assets and hazards within the affected area, and potential assets available for use during a response.

## 2.2 *From Other Member States to Government*

### 2.2.1 **General information on threats with potential impact on the supply chain**

Government can use this information to compare and contrast with existing information where applicable to develop a better picture of the global and organization-specific threat environment and improve risk mitigation products.

### 2.2.2 **Information regarding cargo movement, admissibility, entry, and border security related impacts of potential disruptive incidents**

Given the interdependent nature of the supply chain, a better understanding by industry of the potential impacts an emergency may have on customs-related and other activities by Member States, of relevance to international trade and transportation, would allow industry stakeholders to modify contingency plans accordingly.

### 2.2.3 **Information on the physical location of infrastructure assets**

This information can enhance Governments' maritime domain and situational awareness and improve geo-spatial mapping products. In the event of an emergency, such information can improve emergency management by providing responders with a better understanding of assets and hazards within the affected area, and potential assets available for use during a response.

## 2.3 *From Domestic Government to Industry*

### 2.3.1 **Credible, timely and actionable information regarding potential threats to industry organizations and operations**

Strong links between intelligence, law enforcement and emergency management agencies and industry stakeholders are required to share information in a timely manner in order to assess and where appropriate, address the impact of these threats.

### 2.3.2 **Tools and guidance documents for risk management**

Such instruments, if available, are useful to industry stakeholders as they facilitate organizational-level resiliency planning while encouraging a common approach to risk management.

### 2.3.3 **General information on threats and vulnerabilities**

Owners and operators can incorporate this type of information with their own threat and vulnerability data to develop improved risk mitigation products.

### 2.3.4 **Information regarding impacts of potential emergencies**

Given the interdependent nature of the supply chain, a better understanding by industry of the potential impacts an emergency may have on customs-related and other activities by Member States of relevance to international trade and

transportation, would allow industry stakeholders to modify contingency plans accordingly, where applicable.<sup>1</sup>

## 2.4 *From Other Member States to Industry*

### **2.4.1 General information on threats with potential impact on the supply chain**

Industry can use this information to compare and contrast it with other information available to it in order to develop a better picture of the global threat environment and improve risk mitigation products.

### **2.4.2 Information regarding cargo movement, admissibility, entry, and border security related impacts of potential emergencies.**

Given the interdependent nature of the supply chain, a better understanding by industry of the potential impacts an emergency might have on customs-related and other activities of Member States of relevance to international trade and transportation, would allow industry stakeholders to modify contingency plans accordingly.

## **3. Information requirements following a disruptive incident**

### 3.1 *From Industry to Government*

#### **3.1.1 Information regarding the likely cause or causes of a disruptive incident and its potential impact**

This can help Governments develop more informed situational awareness products, thereby improving response and recovery efforts. A better understanding of the likely cause or causes of the disruption can also help Government plan for and mitigate the likelihood of recurrence.

#### **3.1.2 An indication of the ability of the maritime industry to function during an emergency and recover thereafter**

These elements of information can help Governments develop more informed situational awareness products, thereby improving and helping to prioritize response and recovery efforts. Such elements may include: information on the incident, existing agreements between supply chain partners, and actions already taken since the incident.

#### **3.1.3 Information regarding the extent to which organizations, and the sector as a whole, can take action to mitigate the potential for cascading impacts**

These elements of information can help Governments develop more informed situational awareness products, thereby improving and helping to prioritize response and recovery efforts. Such elements may include: information on the incident, existing agreements between supply chain partners, and actions already taken since the incident.

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<sup>1</sup> Details of customs-related impacts of potential emergencies may be found in the WCO Trade Recovery Guidelines, available on line at [www.wcoomd.org](http://www.wcoomd.org)

**3.1.4 Information regarding the extent to which industry is impacted by a disruptive incident**

These elements of information can help Governments develop more informed situational awareness products, thereby improving and helping to prioritize response and recovery efforts. Such elements may include: information on the incident, existing agreements between supply chain partners, and actions already taken since the incident.

**3.1.5 Information regarding the extent to which industry has requested assistance from other organizations (including organizations in other Member States)**

This can help Governments develop more informed situational awareness products and allow them to better coordinate the response and facilitate forward planning and pre-positioning of resources to respond effectively.

*3.2 From Other Member States to Government*

**3.2.1 Identify affected cargo, national priorities for the movement of goods and people, Information technology and management systems, infrastructure, personnel and/or businesses**

These requirements can help Governments enhance the situational awareness of industry stakeholders so that they can mitigate potential impacts to their operations. It can also improve international and domestic efforts to mitigate the impacts of the disruptive incident and re-establish trade.

**3.2.2 Incident-related information relevant for security control, trade facilitation and risk assessment purposes, including the notification of new requirements for acceptance of cargo, port delays or diversions to other ports**

These requirements can help Governments enhance the situational awareness of industry stakeholders so that they can mitigate potential impacts to their operations. It can also improve international and domestic efforts to mitigate the impacts of the disruptive incident and re-establish trade.

*3.3 From Domestic Government to Industry*

**3.3.1 Information on the time and origin of the disruptive event**

These requirements can improve situational awareness, and allow organizations to modify risk assessments and make more informed decisions to mitigate potential impacts to their operations.

**3.3.2 Information on the impact to the maritime sector**

These requirements can improve situational awareness, and allow organizations to modify risk assessments and make more informed decisions to mitigate potential impacts to their operations.

### **3.3.3 Information on the impact to interdependent sectors**

These requirements can improve situational awareness, and allow organizations to modify risk assessments and make more informed decisions to mitigate potential impacts to their operations.

### **3.3.4 Information on the estimated restoration time**

These requirements can improve situational awareness, and allow organizations to modify risk assessments and make more informed decisions to mitigate potential impacts to their operations.

### **3.3.5 Information on the affected geographic, port delays, or diversions to other port areas**

These requirements can improve situational awareness, and allow organizations to modify risk assessments and make more informed decisions to mitigate potential impacts to their operations.

### **3.3.6 Information on the threat (if the threat is ongoing or if there is potential for residual disruption)**

These requirements can improve situational awareness, and allow organizations to modify risk assessments and make more informed decisions to mitigate potential impacts to their operations.

### **3.3.7 Advice and guidance regarding mitigation action to minimize the impact of the disruptive incident**

These elements of information can help organizations make more informed operational decisions and better manage emergency response and recovery.

### **3.3.8 Guidance regarding the prioritization of inbound and outbound vessels**

These elements of information can help organizations make more informed operational decisions and better manage emergency response and recovery.

### **3.3.9 Status of inbound or outbound cargo in port that has been impacted by (or related to) the incident**

These elements of information can help organizations make more informed operational decisions and better manage emergency response and recovery.

### **3.3.10 Change in operational procedures for release of cargo by Government**

These elements of information can help organizations make more informed operational decisions, including allocation of necessary resources, and better manage emergency response and recovery.

### **3.3.11 Notification of new requirements for cargo acceptance by Government**

These elements of information can help organizations make more informed operational decisions, including allocation of necessary resources, and better manage emergency response and recovery.

**3.3.12 Information about the cross-border impacts of the emergency and any impacts to land-border crossings (if applicable)**

These elements of information can help organizations make more informed operational decisions and better manage emergency response and recovery.

**3.3.13 To the extent possible and appropriate, information about actions being taken to respond to an emergency by Governments, and by other industry stakeholders**

Industry stakeholders can benefit from a shared situational awareness of the actions being taken to respond to an emergency by Government and the private sector, so that actions and expertise of all partners can be leveraged and duplication can be avoided.

*3.4 From Other Member States to Industry*

**3.4.1 Identify affected cargo**

These requirements can improve overall situational awareness and can help organizations make more informed operational decisions, and take necessary mitigation actions.

**3.4.2 Types of cargo that will be given priority clearance at import or export**

These requirements can improve overall situational awareness and can help organizations make more informed operational decisions, and take necessary mitigation actions.

**3.4.3 Notification of new requirements for cargo acceptance**

These requirements can improve overall situational awareness and can help organizations make more informed operational decisions, and take necessary mitigation actions.

## **Part 2: Communication mechanisms among Governments and non-Governmental parties for resilience and recovery planning and response**

### **1. Introduction**

- 1.1 The establishment of pre-event effective and efficient communication mechanisms and protocols between supply chain stakeholders can significantly improve post-event communication and coordination, help to ensure unity of effort, and promote more informed and improved response and recovery activities.
- 1.2 The development of these communication mechanisms is in line with guidance described in ISO 28002:2011, which suggests that organizations work with other supply chain partners and Government to ensure effective post-event communications.
- 1.3 For Government, establishing communication protocols with industry stakeholders in advance can help ensure that industry is a partner in incident response and recovery rather than a bystander.
- 1.4 For industry, being able to coordinate communications with Government before, during and after a disruptive incident (to, in effect "speak with one voice") can help eliminate confusion, uncertainty and wasted effort, and ensure that Government has access to industry expertise and is made aware of industry concerns.
- 1.5 Organizations should establish and maintain communications processes and procedures with supply chain partners. Communication planning helps an organization deliver informed, consistent messaging during and after an emergency, to assure public and shareholder confidence and avoid preventable confusion and scrutiny.

### **2. Government/Industry Communication Mechanisms**

#### **2.1 Identify a Community of Interest (COI) of relevant maritime sector entities from both Government and industry involved in the maritime sector**

Identifying which supply chain stakeholders and Government agencies should be involved in the recovery process can help ensure full supply chain representation prior to a disruptive incident. Establishing support groups, including COIs, are a suggestion based on best practice and can be adopted as and if required; such as a source of information and not necessarily as a first priority.

#### **2.2 Require participating stakeholders within the COI to designate Points of Contact (POCs), including back-up POCs, to manage communications on behalf of their organization**

Given the large number of stakeholders involved in responding to, and recovering from an incident impacting the maritime sector, having a ready, up-to-date list of relevant POCs can simplify the coordination of post-event communication and public messaging. Having one source speak for each organization can help ensure consistent messaging, and reduce duplication of efforts.

POCs who are qualified and capable of managing and disseminating crisis communications, should be identified for each organization. Efforts should be made to ensure that each POC has access to updated information from all parts of the

organization. Personnel within each organization should refer media calls to the organization's POC or other identified organizational spokespersons. COI members should regularly revisit and update their organization's POC lists accordingly.

**2.3 Identify and maintain a prioritized list of elements of information critical to improving supply chain resilience (pre-incident) and facilitating recovery**

An understanding of what elements of information are most critical to COI members prior to, during, and after a disruptive incident can improve supply chain resilience, enhance emergency management and facilitate trade recovery.

**2.4 Establish procedures that allow for reliable and immediate communication among COI members**

Procedures should be established to ensure that communications among COI members (and with emergency responders in particular) can be distributed on short notice.

While these procedures should strive for effective two-way communication among the COI members, at a minimum, they should facilitate the dissemination and reception of notifications and warnings. Notifications in a disruptive or crisis situation should be timely and clear, and should use a variety of procedures and technologies. This can include automated notification systems, websites, web-forums, contact lists, teleconferences. Issues of interoperability should also be considered prior to a disruptive incident.

Given the likelihood that these procedures will be most-needed during and after major emergencies, it is important to have redundancies built into the notification system.

**2.5 Establish measures to protect sensitive information from inappropriate disclosure**

Unauthorized disclosure or access to certain elements of information, such as sensitive business or security information could cause serious damage to companies, the economy and public safety or security.

Concerns about threat, vulnerability, or proprietary information, should be taken into account. Government agencies requesting or receiving commercially sensitive information should take steps to ensure it is not disclosed to non-authorized parties. Industry stakeholders need to be assured that the information they share with Government will be properly safeguarded, and shared with others only if agreed upon in advance. Alternatively, when called on to share information with industry, Government should make certain that recipients have a need to know, have requisite security clearances and can store and handle information in a secure manner.

**2.6 Develop protocols for members of the COI to address and coordinate public messaging**

Preplanning for communications is critical, and draft message templates, scripts and statements can be crafted in advance to minimize delays in communications and response efforts. Establishing quality control mechanisms can ensure that public messaging is accurate, consistent, and reflects the concerns of stakeholders.

**2.7 Develop processes to identify and alert stakeholders potentially impacted by a disruptive incident**

Quickly identifying and contacting affected stakeholders can help ensure situational awareness and assist affected organizations in undertaking the necessary response and mitigation activities.

**2.8 Regularly exercise and evaluate communication protocols and processes**

It is essential that the tools and processes used during routine operations mimic as much as possible, those used during an emergency. Familiarity with information sharing tools and processes are fundamental to the success of any emergency response and recovery activity.

**3. Government/Government Communication Mechanisms**

**3.1 Identify POCs**

Given the global nature of maritime supply chains, trade recovery can require coordination among many countries. Identifying and maintaining an up-to-date list of contacts for each trading partners can simplify the coordination of post-event communication and public messaging. POCs should be expected to coordinate relevant trade recovery activities with other Member States, facilitate communication and exchange of information, improve response, and ensure consistent messaging.

Member States should ensure that POCs are qualified and capable of managing and disseminating crisis communications. Efforts should be made to ensure that each POC has access to updated information, including information from their respective business communities.

The POC list should be regularly reviewed and updated.

**3.2 Identify and maintain a prioritized list of elements of information critical to improving supply chain resilience (pre-incident) and facilitating recovery**

An understanding of what elements of information are most critical to Member States prior to, during, and after a disruptive incident can improve supply chain resilience, enhance emergency management and facilitate trade recovery.

**3.3 Establish agreed-upon forums/communication channels**

Establishing agreed-upon communication channels, through which Member States can communicate securely will help facilitate pre- and post-incident planning and coordination. This can include the development of mutual recognition arrangements between States; mitigation strategies that optimize asset, infrastructure and personnel utilization; and, procedures and criteria for facilitating the movement of priority cargo.

**3.4 Establish criteria to activate communication mechanism(s) and develop means to notify participating Member States**

Based on the scale of the disruptive incident, the relevant Member States can be notified through agreed-upon means.

### **Part 3: Recommendations for the development of industry support groups to assist in planning and prioritizing resilience and recovery efforts in advance of and after a disruption**

#### **1. Introduction**

- 1.1 The development of industry support groups can greatly improve the effectiveness of organizational vulnerability and risk assessments, and thus resilience planning, by providing a forum where supply chain stakeholders have access to a broader range of information and expertise.
- 1.2 Consistent with the APEC Trade Recovery Programme, these guidelines address the need for recovery that is built on trust, transparency and communication, which should be principles for the development of industry support groups.
- 1.3 Industry support groups provide a venue to build pre-incident relationships that engender trust and transparency through the establishment of appropriate instruments or mutual recognition agreements. Mutual recognition agreements, if established in the pre-incident phase, are seen as a means to prevent duplication of security controls and contribute to the facilitation and control of goods moving in the international supply chain.
- 1.4 Industry support groups are also well-positioned to address systemic vulnerabilities and single points of failure. Such groups are also ideal venues for considering and developing industry information requirements and developing the communication mechanisms that ensure the effective dissemination of this information.
- 1.5 Industry support groups can also become a single POC for public sector agencies involved in emergency management and can serve as a forum to coordinate industry response and messaging. This is consistent with ISO 28002:2001, which calls on organizations to develop relationships with public sector agencies, organizations responsible for emergency management and develop arrangement with these stakeholders related to communication and warnings for normal and abnormal conditions. Engaging key suppliers, service providers and other stakeholders tends to open new channels of communication and relationships essential to resuming operations quickly after a crisis.

#### **2. Identify a COI of relevant stakeholders from both Government and industry involved in the maritime sector**

Identifying which supply chain stakeholders and Government agencies should be involved in the recovery process can help ensure full supply chain representation prior to, and following, a disruptive incident. In order to make resilience and recovery planning a manageable endeavour, representative participation rather than comprehensive representation should be considered.

COI members could coordinate relevant trade recovery activities with other members, facilitate communication and exchange of information, improve response, and ensure consistent messaging as deemed appropriate.

**3. Establish a committee, network, or other forum through which to plan and coordinate resilience and recovery efforts among COI members**

Forums which bring together COI members to plan for resilience and recovery can enhance the ability of the supply chain to prevent, mitigate, respond to, and recover from a disruptive incident. To do so, it is important that COI members develop a shared vision of what the group is to accomplish, including a work plan.

Members may wish to consider existing committees, organizations or networks with representation from key COI members.

If the decision is made to utilize an existing group to assist in resilience and recovery planning, it is important to ensure that the group's mandate aligns with planning objectives and that representation is at the appropriate decision-making level.

**4. Require participating stakeholders within the COI to designate a POC, including back-ups, to manage communications on behalf of their organization**

Having one POC speak for each organization can help ensure consistent messaging, and reduce duplication of efforts.

POCs who are qualified and capable of managing and disseminating crisis communications should be identified for each organization. Efforts should be made to ensure that each POC has access to updated information from all parts of the organization. Personnel within each organization should refer media calls to POC or other identified organizational spokespersons.

An up-to-date list of relevant POCs can simplify the coordination of post-event communication and public messaging. As such, COI members should regularly revisit and update the list accordingly.

**5. Establish communication mechanism(s) to facilitate regular and post-incident communication and coordination between COI members**

Effective and efficient communication between COI members forms the basis for successful resilience and recovery planning.

This can include the development of products to improve pre- and post-incident situational awareness among COI members.

**6. Encourage and facilitate the exchange of information and best practices regarding resilience and recovery planning among members**

The exchange of information between COI members prior to an incident can: improve situational awareness and risk assessments; promote the sharing of best practices, build trust and familiarity between members; clarify roles, responsibilities and expectations; and, foster pre-event partnerships.

Information exchange between COI members can take place via periodic meetings, workshops, teleconferences, web-forums or other means.

**7. Establish measures to protect sensitive information from inappropriate disclosure**

Unauthorized disclosure or access to certain elements of information, such as sensitive business or security information, could cause serious damage to companies, the economy and public safety or security.

Concerns about threat, vulnerability and proprietary information, should also be taken into account. Non-disclosure agreements and/or sponsored security clearances can help assure the confidentiality of sensitive information.

**8. Advance a common understanding of Government and industry roles and responsibilities before, during and after a disruptive incident**

A shared understanding of roles and responsibilities before, during, and after a disruptive incident can help eliminate confusion, clarify expectations, and enables COI members to develop and/or improve emergency management plans accordingly.

**9. Identify issues of national, regional or sector-level concern, including threats, vulnerabilities, and risks to the maritime sector**

Industry support groups provide a forum for COI members to identify and address shared threats, vulnerabilities and risks in order to minimize the impacts of a disruptive event, facilitate trade recovery, and better inform organizational resilience and recovery planning.

**10. Encourage organizational-level resilience planning among COI members**

Besides enabling stakeholders to mitigate vulnerabilities, organizational-level resilience planning can help COI members identify and address critical dependencies, and single points of failure.

To evaluate their ability to continue to provide necessary supplies and services in case of a far reaching crisis, COI members should be encouraged to review organizational preparedness, response, continuity and recovery plans, as well as those of their supply chain partners and critical vendors.

ISO 28002:2011 suggests that "supply chain, vendor, or service provider roles and service level agreements should be discussed in advance of the crisis".

**11. Develop tools that facilitate resilience planning among and between COI members**

Tools such as mutual assistance agreements, service level agreements and memorandum of understanding can improve organizational, as well as systemic resilience by formalizing relationships, clarifying expectations, mitigating vulnerabilities, and identifying resources that may be shared with or borrowed from other organizations during a disruption.

Any tools developed should be legally sound and properly documented, clearly understood by all parties involved and representative of available resources. These agreements should be established as appropriate and their contact information maintained.

**12. Support the development of plans and protocols between COI members that address shared risks and interdependencies**

COI members should be encouraged to formalize strategic partnerships with other members through the development of mutually-beneficial plans and protocols in support of improving supply chain resilience and facilitating trade recovery.

**13. Establish processes to address issues affecting a limited number of COI members**

Many issues will require input from only a limited number of COI members. For such issues, it is beneficial to have the flexibility to identify and engage only those affected COI members as doing so can simplify the process.

**14. Develop a framework or process to identify and/or manage the prioritization of cargo following a disruptive incident**

Identifying a framework for managing the prioritization of cargo prior to a disruptive incident can minimize delays in trade recovery and facilitate emergency response.

Prioritization frameworks should take into account factors such as criticality, capacity, capability, supply chain obligations, critical schedules and regulatory requirements.

**15. Regularly exercise and evaluate resilience and recovery products developed by COI members**

Routinely exercising and evaluating planning products helps ensure that they remain up-to-date and enables members to identify and address gaps in plans prior to a disruptive incident. It can also familiarize COI members with post-incident roles and responsibilities.

## **Bibliography**

Asia-Pacific Economic Cooperation Trade Recovery Programme

ISO 28002:2011 – Security management systems for the supply chain – Development of resilience in the supply chain – Requirements with guidance for use

Public Safety Canada Information Sharing Framework

World Customs Organization Trade Recovery Guidelines