



COMDTINST 16601.28A  
11 JUN 2013

COMMANDANT INSTRUCTION 16601.28A

Subj: AREA MARITIME SECURITY PLAN (AMSP) AND AREA MARITIME SECURITY (AMS)  
ASSESSMENT DEVELOPMENT AND MAINTENANCE PROCESS

- Ref: (a) Maritime Transportation Security Act (MTSA) of 2002, Public Law 107-295  
 (b) Navigation and Navigable Waters, Maritime Security: Area Maritime Security, 33 C.F.R. Part 103  
 (c) Security and Accountability For Every Port Act (SAFE Port Act) of 2006, Public Law 109-347, as amended  
 (d) Coast Guard Authorization Act of 2010, Public Law 111-281  
 (e) DHS Strategy to Enhance International Supply Chain Security  
 (f) Customs and Border Protection/United States Coast Guard Joint Protocols for the Expeditious Resumption of Trade  
 (g) Recovery of the Marine Transportation System for Resumption of Commerce, COMDTINST 16000.28 (series)  
 (h) Guidelines for Development of Area Maritime Security Committees (AMSC) and Area Maritime Security Plans (AMSP) Required for U.S. Ports, COMDT PUB P16700.4, Navigation Vessel Inspection Circular (NVIC) 09-02 (series)  
 (i) National Maritime Transportation Security Plan (NMTSP) (series)  
 (j) National Response Framework (NRF)  
 (k) U.S. Coast Guard Strategy for Maritime Safety, Security and Stewardship, 19 January 2007  
 (l) Contingency Preparedness Planning Manual Volume I, Planning Doctrine and Policy, COMDTINST M3010.11 (series)  
 (m) Contingency Preparedness Planning Manual Volume III, Exercise, COMDTINST M3010.13 (series)  
 (n) Commandant (CG-544) Policy Letter 01-11, Annual Report of Area Maritime Security Committee (AMSC) Activities

DISTRIBUTION – SDL No. 162

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NON-STANDARD DISTRIBUTION:

1. PURPOSE. This Instruction supplements existing laws and regulations to assign roles and clarify responsibilities within the Coast Guard, and provides policy and guidance to the operational commanders for the development, maintenance, approval, and exercising of Area Maritime Security Plans (AMSPs), and the development and maintenance of associated Area Maritime Security (AMS) Assessments.
2. ACTION. Coast Guard area commanders, district commanders, sector commanders/captains-of-the-port, deputy/assistant commandants, and chiefs of headquarters staff elements shall comply with the provisions of this Instruction. Internet release is authorized.
3. DIRECTIVES AFFECTED. Area Maritime Security Plan (AMSP) and Area Maritime Security (AMS) Assessment, Development, and Maintenance Process, COMDTINST 16601.28 is hereby cancelled.
4. BACKGROUND.
  - a. AMSPs have been established pursuant to Reference (a). Content requirements for AMSPs were established by Reference (b), were expanded by Reference (c) to include a Salvage Response Plan (SRP), and by Reference (d) to include recovery protocols to prepare for, respond to, and recover from a Transportation Security Incident (TSI).
  - b. Reference (e) identified AMSPs as a principle means for supporting resumption of commerce at the port level following a transportation disruption. Reference (f) established and Reference (g) implemented national-level protocols for resumption of trade with associated port-level supporting requirements.
  - c. Reference (h) provides guidance on AMSP development, maintenance, exercises, and related AMS Assessments to the Coast Guard Captain of the Port (COTP), who is also designated as the Federal Maritime Security Coordinator (FMSC), and the Area Maritime Security Committee (AMSC).
5. DISCUSSION.
  - a. Commandant's Intent. The Coast Guard shall sponsor and support continuing engagement with port community stakeholders to develop, exercise, and when necessary, implement joint efforts for responding to, recovering from, or otherwise mitigating the effects of maritime threats or TSIs. AMSPs provide the overarching framework to plan for the coordination of measures and procedures used by port stakeholders for TSIs and other disruptions to the Marine Transportation System (MTS). AMSPs cover the spectrum of issues involved in planning for Area Maritime Security, including; prevention, protection, and security response activities; and the facilitation of MTS stabilization and recovery of basic MTS functionality in support of References (i) through (k).
  - b. This Instruction establishes responsibilities for implementing Reference (h), and for the regular review, amendment, validation and approval of AMSPs. It also provides policy and guidance to Operational Commanders for the coordination, review and approval of port level AMSPs and associated AMS Assessments.

## 6. RESPONSIBILITIES.

### a. Commandant, Assistant Commandant for Prevention Policy (CG-5P).

- (1) The Office of Port and Facility Compliance (CG-FAC) is responsible for policy and guidance governing AMSPs and associated AMS Assessments. This includes exercise requirements, annual review and validation of AMS Assessments and AMSPs, and the comprehensive five-year review and update process for AMS Assessments and AMSPs. CG-FAC is also responsible for policy and guidance governing the oversight of AMSCs and MTS stabilization and recovery policy.
- (2) The Office of International and Domestic Port Security (CG-PSA) is responsible for policy, guidance and execution of the Port Security Assessment Program, and policy and guidance governing the use of the Maritime Security Risk Analysis Model (MSRAM).

### b. Area Commanders.

- (1) Direct and oversee implementation of Reference (h) by appropriate subordinate units and fulfill the duties of the AMSP Approving Authority pursuant to Reference (b).
- (2) Coordinate, administer, and establish a timeline for the development, maintenance, exercise, evaluation, and approval for each AMSP in accordance with References (a) through (d), (h), (l), and (m).
- (3) Ensure that AMS Assessments and related reports are completed at least once every five years, prior to the five-year formal review and update of the AMSPs. The AMS Assessments shall meet the requirements specified in 33 C.F.R. §§103.310 and 101.510, and incorporate the elements specified in § 103.405. AMS Assessment reports shall meet the requirements specified in 33 C.F.R. § 103.400.
- (4) Ensure that all AMSP and related appendices, annexes, and tabs undergo a formal review and update at least once every five years. The basis for determining the five year period shall be the approval date for the most recent AMSP. All modifications, reviews and final approval of AMSPs shall be completed prior to the end of the five year period and documented. In order to manage local workloads, the AMS Approving Authority has the discretion to stagger the review and approval sequence within the five year cycle.
- (5) Provide an electronic copy of each approved AMSP to Commandant (CG-FAC) and ensure that the updated AMSP is entered into the Contingency Preparedness System (CPS) Plans Module in accordance with References (l) and (m).
- (6) Identify, assess, and coordinate plan development issues, best practices, lessons learned, and other issues with Commandant (CG-FAC) on a continuing basis.
- (7) Ensure Regional National Security planning requirements are considered in each AMSP submitted for approval.

- (8) Ensure that each AMS Assessment and AMSP has undergone an annual validation.
- c. District Commanders.
- (1) Serve as the AMSP Reviewing Authority pursuant to Reference (b). Implement Reference (g) within their respective Districts.
  - (2) Oversee AMS Assessment and AMSP development, maintenance, review, and the exercise process within the District according to the schedule and implementing directions published by the Plan Approving Authority.
  - (3) Ensure that AMSPs and related enclosures, appendices, annexes, and tabs within the District have been posted in HOMEPORTR.
- d. Sector Commanders. Support the COTPs within their Sector Area of Responsibility (AOR) in the performance of their duties as FMSC, pursuant to Reference (b), and the other COTP responsibilities specified herein.
- e. Captains of the Port.
- (1) Perform the duties of FMSC, pursuant to Reference (b).
  - (2) Implement Reference (h) within their COTP Zone.
  - (3) Develop, maintain and exercise AMSPs in accordance with Reference (h), and execute the schedule and other implementing directions published by the AMSP Approving Authority.
  - (4) Ensure that an AMS Assessment is conducted and documented in a written report at least once every five years. The AMS Assessment shall then be reviewed and validated at least annually to ensure currency, before the annual review of the AMSP described in Paragraph 6.f (5) below. The annual validation of the AMS Assessment shall consider the results of any port risk assessments, port security assessments, current national or local threat intelligence, vulnerability, consequence assessments, changes in port infrastructure and critical port operations, and lessons learned from exercises or real world events. The AMS Assessment shall be updated if the annual validation indicates that data or other information that provided the basis for the original AMS Assessment has changed since the previous assessment.
  - (5) Ensure that each AMSP is reviewed at least annually to ensure its adequacy, accuracy, consistency, and completeness. The purpose of this informal review is to ensure that the AMSP has incorporated any relevant and appropriate changes/updates resulting from the annual validation of the Area Maritime Security Assessment, remedial action items, and lessons learned from Area Maritime Security Training and Exercise Program (AMSTEP) exercises and real world events.
  - (6) Ensure that each AMSC within each COTP's AOR conducts a detailed review of their specific AMSP at least once every five years, taking into account the results of port risk

assessments, port security assessments, current national or local threat intelligence, vulnerability and consequence assessments, changes in port infrastructure and critical port operations, and lessons learned from any real world security events or exercises.

- (7) Ensure that access to Protected Critical Infrastructure Information (PCII), as defined in the Homeland Security Act (6 U.S.C. §§131(3) and 212(3)), is limited to the purpose for which it was obtained and voluntarily provided by owners of such material. Access to, use of, and safeguarding PCII shall be done in strict accordance with the requirements of [6 C.F.R. Part 29](#). PCII shall not be included in the AMSP, and will be maintained and safeguarded separately.
- (8) Maintain a current version of each completed AMSP on HOMEPORT, providing access to the appropriate Commandant, Area and District staff elements. The specific Area and District staff elements requiring access to the plans shall be identified by the Plan Approving and Plan Reviewing Authorities.
- (9) Include all AMSP appendices, annexes, and tabs contained in Reference (h) in the submission of the AMSP to the Plan Reviewing Authority. Where a region-wide AMSP has been established and major sub-areas are addressed using AMSC sub-committees, ensure these geographically defined areas are included as annexes to the Plan.
- (10) Establish, direct, and administer the AMSC in accordance with 33 C.F.R. § 103.205, Marine Safety Manual Volume VII, Port Security Compliance, COMDTINST M16000.12 (series) and other guidance published in Enclosure (1) to Reference (h).
- (11) Direct, assist, and coordinate as needed with AMSCs to fulfill AMSC responsibilities pursuant to Reference (b). AMSC responsibilities regarding AMSPs discussed in Reference (b) include (but are not limited to) the following:
  - (a) Identify critical port infrastructure and operations;
  - (b) Identify risks (threats, vulnerabilities, and consequences);
  - (c) Determine mitigation strategies and implementation methods;
  - (d) Develop and describe the process to continually evaluate overall port security by considering consequences and vulnerabilities, how they may change over time, and what additional mitigation strategies can be applied;
  - (e) Advise and assist the COTP in developing and maintaining the AMSP;
  - (f) Ensure that a risk based AMS Assessment is completed and meets the requirements specified in 33 C.F.R. §§103.310 and 101.510, and incorporates the elements specified in § 103.405. Ensure completion of an AMS Assessment report that meets the requirements specified in 33 C.F.R. § 103.400;

(g) Serve as a conduit for communicating terrorist threats, changes in Maritime Security (MARSEC) levels, and other appropriate security information among port stakeholders; and,

(h) Support the COTP in exercising the AMSP.

7. DISCLAIMER. This document is intended to provide operational requirements for Coast Guard personnel and is not intended to nor does it impose legally-binding requirements on any party outside the Coast Guard.

8. DISTRIBUTION. No paper distribution will be made of this Instruction. An electronic version will be located on the following Commandant (CG-612) web sites. Internet: <http://www.uscg.mil/directives/>, and CG Portal: <https://cgportal2.uscg.mil/library/SitePages/Home.aspx>

9. RECORDS MANAGEMENT CONSIDERATIONS. This Instruction has been evaluated for potential records management impacts. The development of this Instruction has been thoroughly reviewed during the directives clearance process, and it has been determined there are no further records scheduling requirements, in accordance with Federal Records Act, 44 U.S.C. 3101 et seq., National Archives and Records Administration (NARA) requirements, and the Information and Life Cycle Management Manual, COMDTINST M5212.12 (series). This policy does not have any significant or substantial change to existing records management requirements.

10. ENVIRONMENTAL ASPECT AND IMPACT CONSIDERATIONS.

- a. The development of this Instruction and the general policies contained within it have been thoroughly reviewed by the originating office in conjunction with the Office of Environmental Management, and are categorically excluded (CE) under current USCG CE # 33 from further environmental analysis, in accordance with Section 2.B.2. and Figure 2-1 of the National Environmental Policy Act Implementing Procedures and Policy for Considering Environmental Impacts, COMDTINST M16475.1 (series). Because this Instruction contains guidance on, and provisions for, compliance with applicable environmental mandates, Coast Guard categorical exclusion #33 is appropriate.
- b. This directive will not have any of the following: significant cumulative impacts on the human environment; substantial controversy or substantial change to existing environmental conditions; or inconsistencies with any Federal, State, or local laws or administrative determinations relating to the environment. All future specific actions resulting from the general policies in this Instruction must be individually evaluated for compliance with the National Environmental Policy Act (NEPA), DHS and Coast Guard NEPA policy, and compliance with all other environmental mandates. Due to the administrative and procedural nature of this Instruction, and the environmental guidance provided within it for compliance with all applicable environmental laws prior to promulgating any directive, all applicable environmental considerations are addressed appropriately in this Instruction.

11. FORMS/REPORTS. None.

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