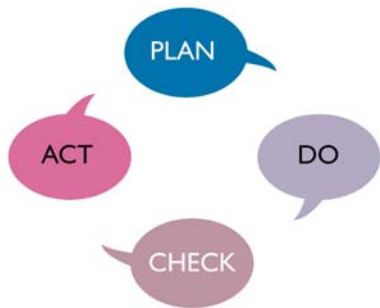# Security Management Systems (SMS) and the Ports

What is a security management system (SMS) at Ports? A SMS is a process for managing Ports' security risks using the plan-do-check-act model. This approach helps Ports identify vulnerabilities, establish action plans and ensure continuous monitoring and measuring – all done in coordination with a Port's strategic objectives and legal requirements (e.g., Marine Transportation Act, 33 CFR).

An Environmental Management System...   **and a Security Management System.**

Why Have a SMS at Ports? As the Nation's waterway "gatekeepers," Ports have had to incorporate security as a part of everyday business. The need is not only to identify security risks, but to institutionalize a process or way of doing business that manages, and in some cases eliminates security risks. A SMS allows Ports to address security priorities, provide training, manage documents, and institutionalize operational controls. A SMS assures the Port can address the "what if" scenarios that are a reality for today's Ports.

How can a SMS be easily adapted to Ports? Ports have a complex array of operations that they must manage on a 24-hour basis (e.g. transportation, labor, navigation). Due to these multiple responsibilities, ports naturally follow a systems-based management approach. Just as Ports have utilized an EMS process for environmental management, a SMS has the potential to provide Ports of all sizes with the ability to manage their specific security needs in a realistic and cost-effective manner through integrating continuous improvement processes into day-to-day activities, operations, and services.

How will an SMS reinforce and strengthen the current vulnerability assessment and other Port requirements? The SMS is not designed to duplicate your current approach and operations, but rather to offer a consistent and proven method to support and promote security compliance needs that you have identified in your operations. The system will help to control and coordinate all related security/police documents and reduce inconsistencies and repetition. All future documentation can be controlled through an electronic documentation management system.

> "We developed a Security Management System based on the ISO 14001 standard. This plan-do-check-act model has already helped assure that we are in compliance with security requirements through the establishment of policies and overall commitment for security concerns, provided us with organizational structure and responsibility for more efficient use of resources, provided an ongoing process to monitor and measure key security parameters, and guided us to reallocate resources to highest security priorities."
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> *Russell Whitmarsh, Chief of Police, Port of Houston Authority*

What has been a Ports SMS Experience? The Port of Houston Authority has undertaken a SMS beginning with the AAPA/EPA Ports EMS Assistance Project, and is now beginning their second year of SMS development and implementation. The SMS process for the Port identified many elements that required them to address and prepare for the vulnerabilities and address priorities. Other benefits that are still in progress include improvement in security language in lease agreements, bid specifications, and within other departments during scoping meetings prior to work scheduled. Security equipment maintenance, which is a significant vulnerability, has been addressed in the short term with effective programs that are fundamental to a SMS (i.e., operational controls, calibration, monitoring and measurement and training). The SMS will also support overall maintenance of the site specific Facility Security Plans for continual improvement.

How can the AAPA and GETF experience be transferred to a SMS for Ports?
AAPA and GETF have been working together in partnership over the past two years training 11 ports in EMS implementation. A new flight of SMS Ports can be identified and the process can begin within four months. For those Ports already engaged in an EMS, the process can be quickly adapted and tailored to focus on security in addition to environmental risks.

What are the costs to participate in the SMS flight? Costs are $25k per year for a two year program ($50k total).

What value does this approach have for the Department of Homeland Security and State Homeland Security Administrators? The benefits of applying such a model to DHS include:

- A systematic, field tested approach for identifying, managing, monitoring, and continually improving a security management system in a sector that is receiving considerable attention from the public eye.

- A systematic method to prioritize vulnerabilities in order to align resources with short and long term goals efficiently and effectively with security priorities.

- A security management system that contains all of the requirements in 33 CFR and other Maritime Security regulations. Ports are already undertaking many of the SMS elements as they move forward to achieve compliance with these new regulations. The SMS offers a way to stay current with existing and newly promulgated regulations in a coordinated framework.

- The SMS is replicated from a proven, successful approach and offers Ports a way to track costs, benefits, lessons learned and keys to success in managing their security vulnerabilities. (Tracking costs for MARSEC 1, 2 and 3 levels are easily added to existing monitoring and measuring practices inherent in the process management approach.)

- Allows for the dissemination of critical information to the Port community.

- SMS implementation is consistent with VA/ERP sequencing.

- Supports the objectives of HSPD-5 for National Response Planning and HSPD-8 for National Preparedness.

- Lessons learned, keys to success, and best practices can be readily applied to the National Incident Management System (NIMS).