



COMDTINST 16601.28B  
22 MAY 2020

COMMANDANT INSTRUCTION 16601.28B

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 Expedious Resumption of Trade
  - (g) Marine Transportation System Recovery Planning and Operations, 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, COMDTPUB P16700.4, Navigation and Vessel Inspection Circular (NVIC) 09-02 (series)
  - (i) DHS Transportation Systems Sector-Specific Plan (TSS-SP) 2015
  - (j) National Response Framework (NRF)
  - (k) U.S. Coast Guard Maritime Commerce Strategic Outlook, October 2018
  - (l) U.S. Coast Guard Emergency Management Manual, Volume I: Emergency Management Planning Policy, COMDTINST M3010.11 (series)
  - (m) Contingency Preparedness Planning Manual Volume 3 - Exercises, COMDTINST M3010.13 (series)
  - (n) Commandant (CG-FAC) Policy Letter 17-01 Change 2, Annual Reporting Requirements for Area Maritime Security Committees

DISTRIBUTION – SDL No. 170

	a	b	c	d	e	f	g	h	i	j	k	l	m	n	o	p	q	r	s	t	u	v	w	x	y	z
A																										
B	X	X	X		X									X												
C					X																			X		
D		X		X	X						X															
E					X				X					X				X								
F																										
G																										
H						X																				

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 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 (COTP), Deputy/Assistant Commandants, and Chiefs of Headquarters staff elements must 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 16601.28A 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 COTP, who is also designated as the Federal Maritime Security Coordinator (FMSC) and oversees the Area Maritime Security Committee (AMSC).
5. **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.
6. **MAJOR CHANGES.** This instruction implements major changes resulting from the change 5 update to Reference (h) and publication of Navigation and Vessel Inspection Circular 04-18, "Guidelines for Drafting the Marine Transportation System Recovery Plan." The Marine Transportation System Recovery Plan (MTSRP) is now a stand-alone plan and has been removed from this instruction. The other major change to this instruction is the addition of a Cyber Incident Response Plan Template that is found in Enclosure 5 of Reference (h).

7. 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 Department of Homeland Security (DHS) categorical exclusion (CATEX) A3 from further environmental analysis, in accordance with “Implementation of the National Environmental Policy Act (NEPA)”, DHS Instruction Manual 023-01-001-01 (series).
  - b. This Instruction 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), Department of Homeland Security (DHS) and Coast Guard NEPA policy, and compliance with all other environmental mandates.
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.dcms.uscg.mil/directives> and CG Portal: <https://cgportal2.uscg.mil/library/directives/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. DISCUSSION.
  - a. Commandant's Intent. The Coast Guard must 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.

## 11. RESPONSIBILITIES.

### a. 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 policies and guidance for 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 Assessment (CG-PSA) is responsible for policy, guidance and execution of the Port Security Resiliency Assessment Program, and policy and guidance governing the use of the Maritime Security Risk Analysis Model.

### 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 must 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 must 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 must be the approval date for the most

recent AMSP. All modifications, reviews and final approval of AMSPs must 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 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 CG-FAC on a continuing basis.
- (7) Ensure applicable Regional and 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, and pursuant to Reference (n) is reported in the AMSC Annual Report.

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 Homeport.
- (4) Report to the AMSP Plan Approval Authority that each AMS Assessment and AMSP within their respective District has undergone annual validation, and pursuant to Reference (n) is reported in the AMSC Annual Report.

d. Sector Commanders. If applicable support the Marine Safety Units who have COTP authority 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 must be reviewed and validated at least annually to ensure currency, before the annual review of the AMSP described in (5) below. The annual validation of the AMS Assessment must consider the results of any port risk assessments, port security resiliency 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 must be updated if the annual validation indicates data or other information 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. The dates of annual reviews and plan updates must be documented in the Plans Module of the CPS.
- (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 resiliency 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 must be done in strict accordance with the requirements of 6 C.F.R. Part 29. PCII must not be included in the AMSP, it will be maintained and safeguarded separately.
- (8) Maintain a current version of each completed AMSP on HOMEPORT (e.g., in a Homeport SBU Community), providing access to the appropriate Commandant, Area, and District staff elements. The specific Area and

- (9) District staff elements requiring access to the plans must be identified by the Plan Approving and Plan Reviewing Authorities. AMSP information must be entered in the Plans Module of the Contingency Preparedness System.
- (10) 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 Regional sub-committees, ensure these geographically defined areas are included as annexes to the Plan.
- (11) Establish, direct, and administer the AMSC in accordance with 33 C.F.R. § 103.205 and other guidance published in Enclosure (1) to Reference (h).
- (12) 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 physical and cyber 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) Serve as a conduit for communicating terrorist threats, enhanced security measures, changes in Maritime Security (MARSEC) levels, and other appropriate security information among port stakeholders; and,
  - (g) Support and coordinate with the COTP in exercising the AMSP.

12. FORMS/REPORTS. None.

13. REQUEST FOR CHANGES. All requests for changes and questions regarding implementation of this Instruction should be directed to the Critical Infrastructure Branch within the Domestic Ports Division, (CG-FAC-1), at [AMSC@uscg.mil](mailto:AMSC@uscg.mil).

R. V. TIMME /s/  
Rear Admiral, U. S. Coast Guard  
Assistant Commandant for Prevention Policy