

Security Exercise Record

IMPORTANT NOTE: *Once completed this document could contain Confidential or Security-sensitive information. It should be assessed, marked and handled in accordance with the operator's document classification policy.*

This form has been developed as a voluntary tool for signatories of the 2007 TC / RAC security MOU to record exercise information for the purposes of the MOU. It can be customized by operators for use within their specific systems.

INSTRUCTIONS FOR COMPLETING THE EXERCISE RECORD

1. Complete form by filling out the white boxes. Add any document handling marks (e.g. Confidential, Security Sensitive)
2. Save the completed form under a new name.
3. Retain a copy for your records
4. Forward a copy of the "Exercise Summary for Annual RAC Report" section to the person responsible for the annual report to RAC. (The person preparing the annual report to RAC should copy this table from the individual exercise records and paste them into a single document for forwarding to RAC by December 15.)

Template Changes – April 2016

This template has been modified to help operators clearly document:

- The Emergency Management Portions of the Security Plan that were tested as part of the exercise. For additional information on Emergency Management Portions, refer to "TC / RAC 2007 Security MOU Guideline - "Emergency Management Portions" & Exercise Reporting."
- If the Security Plan was updated
- Addition of an "Exercise Summary for Annual RAC Report" which lays out the information that needs to be reported to TC / RAC as part of annual reporting requirements under the MOU. (Due to the RAC by December 15 each year).

This form may be used to document the "After Action Report" information required to support a request to count a security incident as an exercise. The form must be submitted, with other required information, to TC in accordance with the TC Protocol "Process for Requesting an Incident to be Approved as an Exercise - Railway Security MOU (2007) Section 3.3".

Security Exercise Record

Exercise Summary for Annual RAC Report

Operator	Exercise Plan				Pre-Notification ¹			Results	
	Date, time and location	Type ²	Objective(s)	Participants	Date	To TC ³	To RAC ²	Security Plan Modified (Y/N)	Exercise Program Assessment ⁴ & Emergency Management Portions Tested ⁵

¹ Notification should be:

- Provided prior to the exercise and as soon as practicable, and
- Sent via e-mail to:
 - Transport Canada at: railsec@tc.gc.ca
 - RAC, Tanis Peterson at: tpeterson@railcan.ca

² Exercise types include: ACTUAL INCIDENT; SEMINAR; WORKSHOP; TABLETOP; GAME; DRILL; FUNCTIONAL; FULL SCALE

³ Indicate Yes or No. If Yes, include a brief explanation of what has changed in the “Exercise Program Assessment...” column.

⁴ This section should include high level lessons learned, the Operator’s opinion on how this exercise contributed to the overall exercise program / plan and its status within the 3-year cycle (e.g. one exercise planned which meets the three-year requirement as Operator’s risk is low; exercise is designed to test 5 out of 5 emergency management portions.). It should also include some description about the extent / complexity of individual exercises.

⁵ These should align with the Emergency Management portions defined under your company’s Security Plan.

Security Exercise Record

DETAILS – FOR OPERATOR’S INTERNAL USE ONLY

COMPANY INFORMATION	
COMPANY NAME:	
COMPANY CONTACT:	
ADDRESS:	

TC / RAC SECURITY MOU NOTIFICATION REQUIREMENTS	
ELECTRONIC PRE-NOTIFICATION	DATE SENT
Transport Canada (Ottawa) to: railsec@tc.gc.ca	
RAC to: tpeterson@railcan.ca	

EXERCISE DETAILS							
ORGANIZER / PLANNER:							
EXERCISE DATE / TIME:							
EXERCISE LOCATION:							
EXERCISE TYPE:	(INDICATE EXERCISE TYPE WITH AN “X”)						
ACTUAL INCIDENT	<input type="checkbox"/>	SEMINAR	<input type="checkbox"/>	WORKSHOP	<input type="checkbox"/>	TABLETOP	<input type="checkbox"/>
GAME	<input type="checkbox"/>	DRILL	<input type="checkbox"/>	FUNCTIONAL	<input type="checkbox"/>	FULL SCALE	<input type="checkbox"/>

EXERCISE OVERVIEW:
Briefly describe the exercise: <ul style="list-style-type: none"> Goals / Objectives / Needs including specific potential or actual threat scenario vulnerabilities and challenges in relation to security controls that should be validated Scope Evaluation methodology.

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DETAILS – FOR OPERATOR’S INTERNAL USE ONLY

EVALUATION:

- Summary of Post-Exercise Debriefing
- Summary of lessons learned including:
 - Were exercise objectives met
 - What worked well (i.e. successes)
 - Shortcomings identified in existing security measures, processes, resources and an indication of their seriousness.

SECURITY PLAN MODIFIED? INDICATE YES OR NO ON WHETHER IMPROVEMENTS ARE REQUIRED TO THE SECURITY PLAN.

- If yes, provide a summary of what was changed.
- If no, provide a brief explanation of why a change was not required e.g. Plan functioned as expected.

IMPROVEMENT PLANNING

- Based on Evaluation result, summary of:
 - Recommendations on how to address shortcomings and build on successes
 - Associated corrective action plans (if required).