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EXIS Criteria

In order to build an exercise that fits a stakeholders security needs the OSO Surface Compliance Branch encourages stakeholders to participate in a BASE assessment at least 6 months prior to participating in an EXIS exercise.

EXIS exercises can be conducted in all modes of surface transportation to include:

- Passenger and Commuter Rail
- Freight Rail
- Mass Transit
- Highway
- Maritime
- Pipeline
- Critical Infrastructure
- Shipper/Receiver

POST EXERCISE

60 days post exercise the TSA will deliver the Exercise After Action Report (AAR) draft to the participating agency. The agency will then be given access to the EXIS system which will allow the agency and the TSA to track the options for consideration that were discovered during the exercise. The local TSA Surface Compliance office will continue to work with the agency on improving their security posture by utilizing other TSA Surface Compliance security programs such as RMAST and SETA.

Exercise Information System - EXIS

The Transportation Security Administration (TSA) Office of Security Operations (OSO) Surface Compliance Branch (SCB) and the TSA Office of Security Policy and Industry Engagement (OSPIE) Cross-Modal Division partnered to expand the reach and capability of the TSA Intermodal Security Training and Exercise Program (I-STEP) Exercise Information System (EXIS). EXIS will examine, through a tabletop exercise, a surface transportation operator's implementation of transportation security focusing on the mission areas of: Prevention, Protection, Mitigation, Response, and Recovery. This initiative helps to fulfill the Congressional mandate contained in 6 USC 1136. Security Exercises.

Background - TSA OSO has utilized the EXIS tool with Surface Transportation Security Inspectors to design and conduct EXIS exercises with transportation agencies throughout the country. These exercises are facilitated by Surface Transportation Security Inspectors who obtained their Master Exercise Practitioner (MEP) certification through FEMA.

Goals - These discussion-based tabletop exercises are intended to explore or evaluate multi-agency coordination of preventative and protective actions related to a terrorist attack. These exercises afford valuable opportunities to better understand the role an agency, their employees and their security partners play in preventing a major security incident or responding after an event. Participation by the agency's key personnel is essential to ensure their perspective is presented during the discussion of security topics and to provide an opportunity to enhance existing relationships with other agencies as we work toward a common goal of increased security preparedness.

Milestones -

• **March 2014 –** First EXIS exercise conducted in Grand Rapids, Michigan

• **July 2015 –** Milwaukee County Transit received $429,000 in transit grants for security enhancements because of outcomes of their EXIS exercise

• **July 2015 –** National Exercise with Greyhound Lines Inc.

• **May 2016 –** National Highway (School Bus) Exercise with First Student

• **June 2016 –** 23 TSA Surface Transportation Security Inspectors received their FEMA Master Exercise Practitioner certification.

• **September 2017 –** National Freight Rail Exercise with Genessee and Wyoming

• **January 2018 –** National Highway (Trucking) Exercise with Sentinel Transportation

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Eligible Participants

TSA Inspectors are available to conduct BASE reviews with Mass Transit and Highway entities across the nation.

There are two types of BASE Assessments:

- Mass Transit BASE
- Highway BASE

Companies Included;

- Mass Transit / Intercity Bus
- Mass Transit light or heavy rail
- School Bus
- Over the Road Bus /Motorcoach
- Trucking

Team Qualifications

BASE Teams consist of TSA Inspectors who are trained to conduct activities specific to surface transportation modes.

BASELINE ASSESSMENT FOR SECURITY ENHANCEMENT (BASE)

The Transportation Security Administration (TSA), in coordination with the Federal Transit Administration (FTA), the American Public Transit Association (APTA) and various Mass Transit and Highway trade associations developed the BASE program in support of TSA's Risk Based Security (RBS) initiative. The BASE program is provided to Mass Transit and Highway stakeholders at no cost.

Scope - The BASE program is designed to establish standards for security programs, identify strengths as well as potential vulnerabilities and assess progress with TSA's stakeholders within the mass transit, passenger rail and highway modes. The BASE is aligned with the requirements identified in the 9/11 Commission Act's security assessment section, which directs the TSA to identify critical assets, infrastructure and systems and their vulnerabilities and assist public transportation authorities to address their security programs.

Goal - The BASE program is intended to elevate the security posture and readiness throughout the mass transit and highway surface transportation modes by implementing and sustaining baseline security measures applicable to the operating environment and system characteristics.

Documents- Prior to the assessment, TSA Inspectors will request documents such as security plans, safety plans, emergency response plans, driver manuals, IT plans etc. While not required, these documents will assist the Inspectors in completing a comprehensive evaluation of program elements, which include but are not limited to the transit agency's security plans, security awareness and emergency response training, drills/exercise programs, public outreach efforts, and background check programs.

Process- A BASE is typically conducted by a team of two inspectors who will sit down with the company's personnel to review a series of questions related to security. The questions for the BASE are broken down into categories called Security Action Items (SAIs) and cover a variety of topics ranging from security and emergency response plans, facility and vehicle security, security and emergency training, to maintaining a public security and emergency awareness program. The assessment team will request various department heads to be available during the interview process in order to answer questions pertinent to the BASE.

Completion- Inspectors use the results of the in-person interview, onsite observation, as well as review of all available documents provided, to develop an Executive Summary report. The Executive Summary outlines strengths that your company has, as well as provides options for considerations for future security improvements.

Planning - If your agency would like to participate in a BASE, you are encouraged to contact your local TSA Surface office. If you require this contact information, please contact the TSA HQ Surface Program at STSIP@DHS.GOV for further information.

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SETA

SETA assessments are voluntary and will be tailored to meet the security needs and procedures of the stakeholder. Stakeholder participation throughout the planning and execution is vital for a successful program.

There are three types of SETA activities:

- Pre-Trip Inspection
- In-Service Inspection
- Post-Trip Inspection

The SETA program has the ability to be conducted within all modes of surface transportation to include:

- Passenger and Commuter Rail
- Freight Rail
- Mass Transit
- Highway
- Maritime
- Pipeline
- Shipper/Receiver

SETA Qualification

The completion of at least one BASE assessment is recommended prior to participation within the SETA program. It is preferred but not required that agencies have participated in an EXIS exercise and RMAST activities.

Security Enhancement Through Assessment (SETA)

The Office of Security Operations (OSO), Surface Compliance Branch has developed the SETA program in support of TSA's Risk Based Security (RBS) initiative. The SETA program supports a national strategy for performing risk mitigation by utilizing the APTA Revenue Vehicle Security Inspections recommended practice SS-SRM-RP-012-09 as a security standard. These assessments consist of covertly placing unattended bags/suspicious bags on multiple transit vehicles simultaneously to simulate a coordinated terrorist attack.

The SETA program will consist of five key elements that are completed in three phases: **Identify**, **Assess**, **Mitigate**, **Reassess,** and **Sustain**. Phase I includes identifying vulnerabilities and establishing the baseline security posture. Phase II is to mitigate the vulnerability through security training. Phase III includes a re-assessment and plan development to maintain an effective security posture.

Phase I:

Identify-TSA Inspectors and the participating stakeholder will jointly discuss and decide which vulnerability fits within the SETA assessment capabilities (pre-trip, mid-trip, post-trip). Additional assessment scenarios are under development and will be based on stakeholder input and needs.

Assessment-This is the initial assessment and will establish a baseline security posture for the stakeholder. It is very important that knowledge of the assessment is limited to need-to-know employees only. Prior to the assessment, inspectors will conduct covert surveillance operations to gain first-hand knowledge of the daily operations. Following the completion of Phase I, inspectors will provide a Phase I debriefing to provide the assessment results and options for consideration to address any security vulnerabilities discovered during Phase I.

Phase II:

Mitigate- Transportation Security Inspectors will provide the stakeholder with a security briefing or security training to front line employees. These options would focus directly on the area being assessed. This phase is recommended to be completed within 30-60 days from the completion of Phase I.

Phase III:

Reassessment-This will be an assessment replicating the Phase I assessment and provide the stakeholder the ability to see if the assessed security posture has changed.

Sustain-At the completion of Phase III, TSA and the stakeholder will jointly establish a sustainment plan to maintain an increased level of security. This plan can consist of the stakeholder establishing an internal assessment program, internal Standard Operation Procedure (SOP) changes, or utilization of the TSA SETA program to address additional security vulnerabilities.

BASE Policy & Procedure Review

EXIS Tabletop Exercise

RMAST Security Training & Mitigation

SETA Assess Tactical Security Functions

Baseline Assessment for Security Enhancment

Exercise Information System

Risk Mitigation Activities for Surface Transportation

Security Enhancement Through Assessment