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## **ADVICE TO THE DEPUTY MINISTER**

c.c. Associate Deputy Minister

### **Lockdown Exercise**

#### **SUMMARY**

- The Report on the lockdown exercise, which took place at 235 Queen Street on March 30, 2016, provides 10 recommendations to improve emergency response procedures.
- An action plan to implement recommendations has been developed.
- Once action plan items have been addressed, this pilot will be rolled out across regions and other ISED locations, and training will be provided to facilitate implementation.
- Lockdown exercises at ISED locations will be integrated into the planning cycle and will become annual events, as recommended by RCMP Protective Policing and Ottawa Police Services.

#### **BACKGROUND**

A lockdown exercise was held in Ottawa at the C.D. Howe Building on March 30<sup>th</sup> as a pilot. ISED is the first non-security organization, and the first organization in a multi-tenant building, to hold a lockdown exercise. All other federal government organizations in the building participated in our exercise, including the Office of the Auditor General, House of Commons, Canadian Space Agency, Shared Services Canada, and The Administrative Tribunals Support Services of Canada.

In addition, as this was a pilot, our ISED colleagues from other locations in Ottawa (CIPO, Competition Bureau, Measurement Canada, and CRC) came to observe, as did security personnel from other government departments (RCMP, Treasury Board Secretariat, Transport Canada, Employment and Social Development Canada, Public Services and Procurement Canada, Public Safety, and Privy Council Office), who wanted to learn from our experience and hold similar exercises in their own organizations. Officers from Ottawa Police Services, RCMP

Protective Policing and the Parliamentary Precinct were also involved to provide advice and to help assess the lockdown. By all accounts, the exercise went very well and there were no significant concerns.

## CONSIDERATIONS

The purpose of the exercise was to validate response procedures and provide ISED and OGD employees with an opportunity to practice these procedures in the event of a lockdown situation. Feedback from floor emergency officers and other observers resulted in 10 recommendations, which can be broken down into the following themes:

- Employee behaviour (e.g., talking and working during exercise);
- Communications (e.g., public announcements not heard in some areas, e-mails not received by all participants);
- Facilities/electronics (e.g., visibility issues, ringing cell phones, lights on).

The complete report on the lockdown exercise is attached for reference (Annex A), including an action plan to facilitate the implementation of each recommendation.

## NEXT STEPS

An article in *ISED Weekly* will be published shortly to inform participants of the outcomes of the exercise and will include a link to FAQs to address specific issues. Once action plan items have been addressed, the pilot will be rolled out across regions and other ISED locations, and training will be provided to facilitate implementation. In addition, all ISED lockdown documentation will be shared with the Government of Canada security community, for its use in developing its own exercises. Finally, lockdown exercises at ISED locations will be integrated into the planning cycle and will become annual events, as recommended by RCMP Protective Policing and Ottawa Police Services.



David Enns  
Assistant Deputy Minister  
Corporate Management Sector

Attachments

CCM 0288265

# Pilot Lockdown Exercise Final Report

April, 2016



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## **INTRODUCTION**

A lockdown exercise was held on March 30, 2016 at the C.D. Howe Building in Ottawa, as a pilot. The purpose of the exercise was to introduce the concept of live lockdown practices and to analyse, validate and standardize response procedures for Innovation, Science and Economic Development (ISED) and other government departmental (OGD) employees, as well as the Emergency Management Team (EMT) in a lockdown incident.

A lockdown occurs when there is a major incident or threat of violence within the building, or in relation to the building. In this situation, employees must stop work, hide in a safe place, and await further instructions from building security, or law enforcement officials.

The lockdown exercise which took place at the C.D. Howe building at 235 Queen Street on March 30, 2016, involved floors 1 through 11. The commercial and base building levels were not involved and the exercise lasted a total of 8 minutes. An action plan has been developed to capture observations and recommendations and the pilot will be rolled out to ISED's regional offices and other ISED locations once our lockdown procedures have been adjusted.

## **SCOPE AND APPROACH**

The lockdown exercise took place on floors 1 through 11 at 235 Queen Street, and the scenario involved an active shooter in the building. Advance communication with employees and first responders was a priority and ensured that everyone knew this was an exercise only.

Prior to the exercise, ISED and OGD employees were provided with instructions on how to respond to the lockdown exercise, through a number of channels. Two advance articles with specific instructions were published in *ISED Weekly* and senior management was asked to ensure that their sectors were well prepared and knew what to do. ISED employees on S1 (Shipping/Receiving and Mailroom) were provided training specific to their work areas and were invited to participate in the exercise by joining their directorates on floors two and four for the duration of the exercise. Employees were asked not to schedule meetings with external visitors immediately prior to the lockdown and contractors were briefed by the responsible manager on procedures to follow during the exercise.

Before the exercise began, ISED employees were reminded several times that this was an exercise only, via messages on the public announcement (PA) and building emergency email systems.

Ottawa Police Services (OPS) and RCMP Protective Policing were advised of the exercise to ensure there were no ambiguities about the March 30th lockdown and to seek their advice and assistance in developing and running our first lockdown practice. OPS and RCMP provided useful advice and insights and had no significant concerns about the exercise. An additional benefit from the involvement of OPS is that they now have a complete profile of 235 Queen Street, are familiar with our control centre and monitoring systems and have a comprehensive "crash bag" (floor maps, access cards, master keys, etc.) ready for them in the event of a real emergency.

Prior to the lockdown, all exercise staff reviewed their roles and responsibilities, as well as the lockdown procedures, and were prepared to provide guidance to employees if required. Floor emergency officers (FEOs) were used as exercise evaluators and were assigned locations

throughout the building to assist, observe and take notes as the exercise unfolded. Evaluators also participated in the post-exercise debrief to develop a list of high level observations and recommendations. As this was a pilot, our colleagues from the Canadian Intellectual Property Office (CIPO), Competition Bureau (CB), Measurement Canada (MC) and the Communications Research Council (CRC) came to observe, as did a number of security personnel from other government departments, (OGDs) who wanted to learn from our experience and hold similar exercises in their organizations. OGDs who came to observe included Treasury Board Secretariat (TBS), Transport Canada (TC), Employment and Social Development Canada (ESDC), Public Services and Procurement Canada (PSPC), Public Safety Canada (PSC) and Shared Services Canada (SSC). In addition, we had officers present from the House of Commons Police, Ottawa Police Services, and RCMP to help assess the efficacy of the exercise.

## **OBJECTIVES**

The objectives of the lockdown exercise were to:

- Clarify the roles and responsibilities of everyone involved during a lockdown scenario;
- Provide an opportunity for employees to learn and practice procedures to follow during a lockdown; and
- Verify the effectiveness of ISED's lockdown procedures, including communications.

## **METHODOLOGY**

The following section summarizes the approach taken to design, run and report on the lockdown exercise.

### **Phase I: Planning**

The objective of this phase was to plan and develop the administrative and operational tools required to capture and analysis the necessary data. This included the development of detailed exercise instructions, the event timetable, roles and responsibilities, voice and email communication messages as well as an evaluator/observer reporting checklist.

Prior to the exercise, the roles and responsibilities for the key players were clearly defined. Training documents and instructions were developed for organizers, evaluators and observers from OGDs. Communications materials (*ISED Weekly* articles, sector e-mails, FAQs, etc.) were developed and a presentation was made to DMC to brief senior management and answer questions. All documentation was shared for assessment with PCO's Departmental Security Officer (DSO) Centre for Development, the RCMP, Ottawa Police Services and Treasury Board Secretariat, and the initiative was widely supported.

### **Phase II: Exercise**

The exercise lasted a total of 8 minutes and was conducted on floors 1 through 11. The exercise did not include the commercial area or parking garage and timing was follows:



Timing	Action	Details
1:00pm	First warning message over PA/email announcing exercise start time.	PA and email messages were done concurrently to reach the maximum audience.
1:30pm	Final exercise briefing	Exercise leads, lead floor emergency officers (LFEOs), observers from OGDs as well as their ISED escorts met at the Oasis boardroom for a final briefing.
1:40pm	Exercise staff move to their assigned positions.	LFEOs went to their respective floors to give final instructions to the FEOs.  Concurrently, ISED escorts were assigned observers and floors.
1:55pm	Second warning message over PA/email announcing exercise start time.	PA and email messages were done concurrently to reach the maximum audience.
1:59pm	Final warning message over PA/email announcing exercise start time.	PA and email messages were done concurrently to reach the maximum audience.
2:00pm	STARTEX – lockdown initiated.	PA and email messages were done concurrently to reach the maximum audience.  FEOs, ISED escorts and their assigned observers walked through their designated floors to observe and record how the exercise unfolded. These participants were also ready to offer assistance and guidance in the event of a real incident.  FEOs signaled floors were cleared via CCTV from elevator lobby areas to the East Desk. Information was passed to the EMT Manager.
2:05pm	Reminder message over PA/email that exercise still in effect.	PA and email messages were done concurrently to reach the maximum audience.
2:08pm	ENDEX – lockdown lifted.	PA and email messages were done concurrently to reach the maximum audience.
2:30pm	Group debrief in Oasis boardroom.	Brief post-exercise meeting to identify items needing immediate attention.  This meeting included LFEOs, ISED escorts, observers as well as exercise staff.



### Phase III: Reporting

Following the exercise, FEOs, ISED escorts and observers were asked to report observations from the exercise through the completion of a feedback form. This data was then organized, analyzed and presented for discussion at a formal debrief meeting one week following the exercise. An action plan was subsequently developed (Annex A) to address recommendations to improve emergency response issues.

### Phase IV: Implementation of Action Plan

The action plan recommendations as listed in Annex A will be shared with senior management, and employees will be reminded of procedures, or informed of changes, through an *ISED Weekly* article and FAQs. Where specific action items are recommended, they will be implemented in Spring/Summer 2016.

### **SAFETY AND SECURITY**

Safety was the paramount consideration in all aspects of the exercise and precautionary plans were put in place to prioritize dealing with real-life emergencies if they arose during the exercise. The term "REAL LIFE EMERGENCY" was to be used to stop the exercise and FEOs and employees would have been asked to follow instructions as appropriate (e.g. evacuation for fire, as per normal procedures).

Environmental and fire system procedures were maintained and a review of evacuation exits and protocols was part of the advance training.

### **RESULTS AND RECOMMENDATIONS**

Overall, the exercise was a success and an invaluable experience for employees and security personnel. ISED and OGD employees actively participated in the exercise and there was a high level of interest in the development and implementation of this initiative. Likewise, while federal security organizations like the RCMP and CSE have held lockdown exercises in the past, ISED is the first non-security department to hold such an exercise, and, as such, security personnel from OGDs attended the exercise as observers, to inform their own future lockdown exercises. These OGDs also vetted and endorsed ISED's proposed approach, and provided valuable feedback throughout the subsequent planning and reporting phases. ISED's lockdown exercise was also the first of its kind for a Government of Canada multi-tenant building with a commercial area with access to the public, bringing an additional level of complexity to all phases of the exercise.

Issues identified through the feedback process resulted in the recommendations in the attached action plan (Annex A). For the most part recommendations are centered on reminding employees about procedures, and this will be addressed through an *ISED Weekly* article and FAQs. Some minor physical modifications to building facilities will also be considered, such as light switches and the public announcement system.

Once recommendations have been incorporated into the lockdown procedures, the pilot will be rolled out to ISED's regional offices and other locations and training will be provided to facilitate implementation. In addition, all ISED lockdown documentation will be shared with the Government of Canada security community, for their use in developing their own exercises.

Finally, lockdown exercises at ISED locations will be integrated into the planning cycle and will become annual events, as recommended by RCMP Protective Policing and Ottawa Police Services.

#	OBSERVATION	DESCRIPTION	RECOMMENDATION	ETA	OPI	STATUS
1	Talking during exercise.	Employees at all levels were heard talking while they were hiding.	Remind employees to stay quiet to prevent the aggressor from knowing where they are hiding.  Include this point in the post-exercise article/FAQs.	May - June 2016	SSD	
2	Working during exercise.	Some employees kept working during the lockdown exercise. When reminded of their required participation most stopped working.	Remind employees to participate fully in the exercise as it can impact their reaction during a real incident.  Include this point in the post-exercise article/FAQs.	May - June 2016	SSD	
3	Ringling cellular telephones.	Cellular telephones could be heard ringing in hiding areas.	Remind employees to participate fully in the exercise by turning off their electronic devices.  Include this point in the post-exercise article/FAQs.	May - June 2016	SSD	
4	Glass walls and windows in some boardrooms and closed offices.	Some rooms provided minimal visual protection and left employees exposed.	Remind employees to hide in a location providing the best protection, including visually. Close blinds/curtains if available. Block windows with objects located within the room if no other hiding options.  Boardrooms and closed offices are only a recommended hiding place if they are considered relatively secure. Hide under desks or other furniture if they offer more protection.  Include this point in the post-exercise article/FAQs.	May - June 2016	SSD	



5	Some boardroom/office lights were on.	In some rooms, lights could not be turned off.	<p>Facilities Management to look at options, such as installing simple off/on switches or posting instructions for some complicated switches.</p> <p>Remind employees to hide in a location providing the best protection, including under desks and other furniture.</p> <p>Boardrooms and closed offices are only a recommended hiding place if they are considered relatively secure.</p> <p>Include this point in the post-exercise article/FAQs.</p>	May - June 2016	FM  SSD	
6	Anxiety issues.	Some employees were nervous during the exercise and some left the building before the exercise began.	<p>Include pre-exercise communications to remind employees what to do if they suffer from anxiety, including leaving before the exercise begins if their condition is serious.</p> <p>Ensure proper instructions are given to exercise staff on how to deal with anxiety issues.</p>	May - June 2016	SSD	
7	Voice communications.	<p>The final message indicating that the exercise was over was not heard on all floors (1, 2, and 3 West as well as 1 East).</p> <p>Some employees are unclear on the difference between "lockdown" and "shelter-in-place".</p>	<p>Brookfield will verify the PA system at the next voice communication testing.</p> <p>Ensure that voice communication over the public announcement system states, in plain language what is happening, such as "the building is in lockdown, the threat is within the building..." or "the building is in shelter-</p>	<p>April 2016</p> <p>May - July 2016</p>	<p>Brookfield</p> <p>SSD / CMB</p>	

			<p>in-place, the threat is outside the building...".</p> <p>Include this point in the post-exercise article/FAQs and re-record messages with plain language.</p>			
8	Email / Cellular Communications issues.	<p>E-mail messages did not reach everyone (ISED and OGD employees).</p> <p>Cellular communication might be intermittent due to high volume and should not be relied upon as the only mode of communication during an incident.</p> <p>The glow from cellular telephones might attract attention when used in a dark room.</p>	<p>Current lists must be updated on a regular basis, both within ISED and the primary contacts for the OGDs at 235 Queen.</p> <p>Public announcements will be used in conjunction with email messages to ensure a redundancy approach.</p> <p>RCMP Protective Policing recommends that cellular telephones be turned off during an incident and this approach will be evaluated.</p> <p>Include this point in the post-exercise article/FAQs</p>	<p>May - June 2016</p> <p>Completed</p> <p>May - June 2016</p>	<p>SSD / SSC</p> <p>SSD / Brookfield</p> <p>Police Services SME</p>	
9	Pre-Exercise arrangements were put in place by some FEOs.	<p>Some FEOs unlocked doors in advance of the Exercise, and designated areas to facilitate hiding.</p>	<p>Hiding areas are not to be pre-assigned as they identify the location of the employees if it is an insider threat. Rather, remind employees of the importance of considering a variety of possible hiding locations as opposed to a pre-planned location.</p> <p>In a real situation rooms could be locked and employees would need to adapt accordingly.</p> <p>Include these points in the post-exercise article/FAQs.</p>	<p>May - June 2016</p>	<p>SSD</p>	

10	Access to hiding places.	Once doors were closed and locked, some employees allowed others to enter after the exercise had started. These actions have the potential to put everyone in the room at risk if the employee seeking entry is the threat.	<p>Remind employees that it is strongly recommended not to open doors once they have been locked.</p> <p>Inform employees that some decisions will need to be made on-the-spot using available facts and common-sense.</p> <p>Include this point in the post-exercise article/FAQs.</p>	May - June 2016	SSD	
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