

Appendix H: State Oversight Agency System Security Program Plan Checklist

Checklist for Reviewing the System Security and Emergency Preparedness Plan

Rail Transit Agency (RTA) _____

State Oversight Agency Reviewer _____ Date _____

#	CHECKLIST ITEM	PLAN REQUIREMENTS Does the PLAN contain or provide for the following:	INCLUDED Yes — No	PAGE REF.	COMMENTS
1.	Policy Statement	<ul style="list-style-type: none"> • A policy statement should be developed for the System Security and Emergency Preparedness Plan. • The policy statement should describe the authority that establishes the SEPP, including statutory requirements and the rail transit agency's relationship with the oversight agency. • The policy statement is signed and endorsed by the rail transit agency's chief executive. 			
1.1	Purpose	<ul style="list-style-type: none"> • The SEPP should identify the purpose of the security program endorsed by the agency's chief executive. • The SEPP should introduce the concept of "system security." • The SEPP introduces the concept of "emergency preparedness." 			
1.2	Goals and Objectives	<ul style="list-style-type: none"> • The SEPP should identify the goals of the SEPP program endorsed by the agency's chief executive. • The SEPP should identify the objectives of the SEPP program endorsed by the agency's chief executive. 			
1.3	Scope	<ul style="list-style-type: none"> • Describe the scope of the SEPP and Program. 			
1.4	Security and Law Enforcement	<ul style="list-style-type: none"> • Describe the security and law enforcement functions that manage and support implementation of the SEPP. 			
1.5	Management Authority and Legal Aspects	<ul style="list-style-type: none"> • Describe the authority which oversees the operation and management of the rail transit agency, including its security/police function. 			

Checklist for Reviewing the System Security and Emergency Preparedness Plan

#	CHECKLIST ITEM	PLAN REQUIREMENTS Does the PLAN contain or provide for the following:	INCLUDED Yes — No	PAGE REF.	COMMENTS
1.6	Government Involvement	<ul style="list-style-type: none"> • Describe how the SEPP interfaces with local, state and federal authorities to ensure security and emergency preparedness for the system. 			
1.7	Security Acronyms and Definitions	<ul style="list-style-type: none"> • Provide a listing of acronyms and definitions used in the SEPP. 			
2.1	Background and History	<ul style="list-style-type: none"> ▪ A description of the agency including general overview, a brief history and scope of rail transit services provided. 			
2.2	Organizational Structure	<ul style="list-style-type: none"> • Organizational charts showing the lines of authority and responsibility as they relate to security and emergency preparedness. 			
2.3	Human Resources	<ul style="list-style-type: none"> • Provide a categorization and break-down of all employees and contractors who work for/on the rail transit agency. 			
2.4	Passengers	<ul style="list-style-type: none"> • Provide a description of the rail transit agency's ridership. 			
2.5	Services and Operations	<ul style="list-style-type: none"> • Describe the rail transit agency's operations and services. 			
2.6	Operating Environment	<ul style="list-style-type: none"> • Describe the rail transit agency's operating environment. 			
2.7	Integration with Other Plans	<ul style="list-style-type: none"> • Describe how the SEPP integrates with other plans and programs maintained by the rail transit agency. 			
2.8	Current Security Conditions	<ul style="list-style-type: none"> • Description of the current security conditions at the rail transit agency and the types of security incidents experienced by the transit system and their frequency of occurrence. 			
2.9	Capabilities and Practices	<ul style="list-style-type: none"> • Summary description of methods and procedures, devices, and systems utilized to prevent or minimize security breaches, including passenger education, campaigns, delay, detection, and assessment devices, and others that may be applicable. 			

Checklist for Reviewing the System Security and Emergency Preparedness Plan

#	CHECKLIST ITEM	PLAN REQUIREMENTS Does the PLAN contain or provide for the following:	INCLUDED Yes — No	PAGE REF.	COMMENTS
3.1	Responsibility for Mission Statement	<ul style="list-style-type: none"> • Identification of the person(s) responsible for establishing a transit system security and emergency preparedness policy and for developing and approving the SEPP. 			
3.2	Management of the SEPP Program	<ul style="list-style-type: none"> • Identification of the person(s) with overall responsibility for transit security and emergency preparedness, including day-to-day operations, SEPP-related internal communications, liaison with external organizations, and identifying and resolving SEPP-related concerns. 			
3.3	Division of Security Responsibility	<ul style="list-style-type: none"> • Listing of SEPP-related responsibilities of the personnel who work within the transit agency security/police function. • Listing of SEPP-related responsibilities of other departments/functions, including their relationship to the security/police function. • Listing of security-related responsibilities for other (non-security/police) rail transit agency employees, including their relationship to the employee's other duties. • A SEPP Program Roles and Responsibilities Matrix should be developed showing interfaces with other transit system departments/functions and the key reports or actions required. • The responsibilities of external agencies for supporting SEPP development and implementation should be identified. • The committees developed by the rail transit agency to address security issues should be identified. 			
4.1	Planning	<ul style="list-style-type: none"> • Identification of SEPP activities and programs in place at the rail transit agency to support planning for system security and emergency preparedness. 			
4.2	Organization	<ul style="list-style-type: none"> • Identification of the organization of SEPP-related activities and programs and the ability to coordinate with external response agencies. 			

Checklist for Reviewing the System Security and Emergency Preparedness Plan

#	CHECKLIST ITEM	<p style="text-align: center;">PLAN REQUIREMENTS</p> <p style="text-align: center;">Does the PLAN contain or provide for the following:</p>	<p style="text-align: center;">INCLUDED</p> <p style="text-align: center;">Yes — No</p>	<p style="text-align: center;">PAGE REF.</p>	<p style="text-align: center;">COMMENTS</p>
4.3	Equipment	<ul style="list-style-type: none"> • Description of the equipment used to support implementation of the SEPP program. 			
4.4	Training and Procedures	<ul style="list-style-type: none"> • Description of SEPP-related training and procedures available to ensure employee proficiency. 			
4.5	Exercises and Evaluation	<ul style="list-style-type: none"> • Description of SEPP-related activities to ensure the conduct of emergency exercises and evaluation. 			
5.1	Threat and Vulnerability Identification	<ul style="list-style-type: none"> • Description of the rail transit agency's activities to identify security and terrorism-related threats and vulnerabilities. 			
5.2	Threat and Vulnerability Assessment	<ul style="list-style-type: none"> • Description of the rail transit agency's activities to assess the likely impacts of identified threats and vulnerabilities on the system and to identify particular vulnerabilities which require resolution. 			
5.3	Threat and Vulnerability Resolution	<ul style="list-style-type: none"> • Description of how response strategies (both short- or long-term strategies) are developed for prioritized vulnerabilities, including the decision process used to determine whether to eliminate, mitigate, or accept security problems. 			
6.1	Required Tasks for Goals and Objectives	<ul style="list-style-type: none"> • Identification of tasks to be performed to implement the goals and supporting objectives required to implement the SEPP. 			
6.2	Task Schedule	<ul style="list-style-type: none"> • General schedule with specific milestones for implementation of the security program, threat and vulnerability analyses, staff security training, and regular program reviews during the implementation process. 			
6.3	Evaluation	<ul style="list-style-type: none"> • Description of the types of internal management reviews to be conducted, the frequencies of the reviews, and the person(s) responsible. 			

Checklist for Reviewing the System Security and Emergency Preparedness Plan

#	CHECKLIST ITEM	<p style="text-align: center;">PLAN REQUIREMENTS</p> <p style="text-align: center;">Does the PLAN contain or provide for the following:</p>	<p style="text-align: center;">INCLUDED</p> <p style="text-align: center;">Yes — No</p>	<p style="text-align: center;">PAGE REF.</p>	<p style="text-align: center;">COMMENTS</p>
7.1	Initiation of SEPP Revisions	<ul style="list-style-type: none"> • Description of process used to initiate revisions to the security plan, gather input for the revisions, procedures for updating the security plan, and identification of responsible person(s). 			
7.2	Review Process	<ul style="list-style-type: none"> • Description of the process used to review and revise the security plan as necessary, including frequency of reviews, and responsible person(s). 			
7.3	Implement Modifications	<ul style="list-style-type: none"> • Description of process used to communicate and disseminate new and revised procedures and other elements of the security plan to appropriate transit agency staff. 			