

Appendix G: DRPT SSO SEPP Checklist  
Last Revised: April 2018



Conformance Checklist for Review and Approval of SECURITY EMERGENCY PREPAREDNESS PLAN (SEPP)					
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"> <li>Is a policy statement developed for the System Security and Emergency Preparedness Plan (SEPP)?</li> <li>Does the policy statement describe the authority that establishes the SEPP, including statutory requirements and the RTA's relationship with the DRPT (SSO)?</li> <li>Is the policy statement signed and endorsed by the RTA's chief executive?</li> </ul>			
1.1	Purpose	<ul style="list-style-type: none"> <li>Does the SEPP identify the purpose of the security program?</li> <li>Does the SEPP introduce the concept of "system security?"</li> <li>Does the SEPP identify the objectives?</li> </ul>			
1.2	Goals and Objectives	<ul style="list-style-type: none"> <li>Are SEPP goals identified?</li> <li>Are SEPP objectives identified?</li> </ul>			
1.3	Scope	<ul style="list-style-type: none"> <li>Is the SEPP scope described in the program?</li> </ul>			
1.4	Security and Law Enforcement	<ul style="list-style-type: none"> <li>Are the security and law enforcement functions that manage and support implementation of the SEPP described?</li> </ul>			
1.5	Management Authority and Legal Aspects	<ul style="list-style-type: none"> <li>Is the authority that oversees the operation and management of the RTA, including its security/police function described?</li> </ul>			
1.6	Government Involvement	<ul style="list-style-type: none"> <li>Are the SEPP interfaces with local, state, and federal authorities to ensure security and emergency preparedness for the system described?</li> </ul>			
1.7	Security Acronyms and Definitions	<ul style="list-style-type: none"> <li>Is a listing of acronyms and definitions used in the SEPP provided?</li> </ul>			

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2.1	Background and History	<ul style="list-style-type: none"> <li>Is a Description of the RTA, including general overview, a brief history, and scope of rail transit services provided?</li> </ul>			
2.2	Organizational Structure	<ul style="list-style-type: none"> <li>Do organizational charts show the lines of authority and responsibility as they relate to security and emergency preparedness?</li> </ul>			
2.3	Human Resources	<ul style="list-style-type: none"> <li>Is a categorization and breakdown of all employees and contractors who work for/on the rail transit agency provided?</li> </ul>			
2.4	Passengers	<ul style="list-style-type: none"> <li>Is a description of the RTA's ridership provided?</li> </ul>			
2.5	Services and Operations	<ul style="list-style-type: none"> <li>Is a description of the RTA's operations and services provided?</li> </ul>			
2.6	Operating Environment	<ul style="list-style-type: none"> <li>Is a Description of the RTA's operating environment provided?</li> </ul>			
2.7	Integration with other Plans	<ul style="list-style-type: none"> <li>Does the SEPP describe how it integrates with other plans and programs maintained by the RTA?</li> </ul>			
2.8	Current Security Conditions	<ul style="list-style-type: none"> <li>Is a description of the current security conditions at the RTA provided?</li> <li>Are Descriptions of the types of security incidents experienced by the RTA and their frequency of occurrence provided?</li> </ul>			
2.9	Capabilities and Practices	<ul style="list-style-type: none"> <li>Is a 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 provided?</li> </ul>			

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3.1	Responsibility for Mission Statement	<ul style="list-style-type: none"> <li>Are the person(s) responsible for establishing a transit system security and emergency preparedness policy and for developing and approving the SEPP identified?</li> </ul>			
3.2	Management of the SEPP Program	<ul style="list-style-type: none"> <li>Are 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 identified?</li> </ul>			
3.3	Division of Security Responsibility	<ul style="list-style-type: none"> <li>Is a listing of SEPP-related responsibilities of the personnel who work within the RTA security/police function provided?</li> <li>Is a listing of SEPP-related responsibilities of other departments/functions, including their relationships to the security/police function provided?</li> <li>Is a listing of security-related responsibilities for other (non-security/police) RTA employees, including their relationship to the employee's other duties provided?</li> <li>Is a SEPP Program Roles and Responsibilities Matrix that shows interfaces with other RTA systems departments/functions and the key reports or actions required?</li> <li>Is identification of external agencies responsible for supporting SEPP development and implementation provided?</li> <li>Is identification of the committees developed by the RTA to address security provided?</li> </ul>			
4.1	Planning	<ul style="list-style-type: none"> <li>Is identification of SEPP activities and programs in place</li> </ul>			



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		at the RTA to support planning for system security and emergency preparedness provided?			
4.2	Organization	<ul style="list-style-type: none"> <li>Is identification of the organization of SEPP-related activities and programs and the ability to coordinate with external response agencies provided?</li> </ul>			
4.3	Equipment	<ul style="list-style-type: none"> <li>Is a description of the equipment used to support implementation of the SEPP provided?</li> </ul>			
4.4	Training and Procedures	<ul style="list-style-type: none"> <li>Is a description of SEPP-related training and procedures available to ensure employee proficiency?</li> </ul>			
4.5	Exercises and Evaluation	<ul style="list-style-type: none"> <li>Is a description of SEPP-related activities to ensure the conduct of emergency exercises and evaluation provided?</li> </ul>			
5.1	Threat and Vulnerability Identification	<ul style="list-style-type: none"> <li>Is a description of the RTA's activities to identify security and terrorism-related threats and vulnerabilities addressed?</li> </ul>			
5.2	Threat and Vulnerability Assessment	<ul style="list-style-type: none"> <li>Is a description of the RTA's activities to assess the likely impacts of identified threats and vulnerabilities on the system and to identify particular vulnerabilities that require resolution provided?</li> </ul>			
5.3	Threat and Vulnerability Resolution	<ul style="list-style-type: none"> <li>Is a description of how response strategies (both short- or long-term strategies) for prioritized vulnerabilities, including the decision process used to determine whether to eliminate, mitigate, or accept security problems developed?</li> </ul>			
6.1	Required Tasks for Goals and Objectives	<ul style="list-style-type: none"> <li>Are the identification of tasks performed to implement the goals and supporting objectives required by the SEPP provided?</li> </ul>			

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6.2	Task Schedule	<ul style="list-style-type: none"> <li>Is a 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 developed?</li> </ul>			
6.3	Evaluation	<ul style="list-style-type: none"> <li>Is a description of the types of internal management reviews conducted, the frequencies of the reviews, and the person(s) responsible provided?</li> </ul>			
7.1	Initiation of SEPP Revisions	<ul style="list-style-type: none"> <li>Is a description of the process used to initiate revisions to the security plan, gather input for the revisions, procedures for updating the SEPP, and identification of the responsible person(s) provided?</li> </ul>			
7.2	Review Process	<ul style="list-style-type: none"> <li>Is a description of the process used to review and revise the SEPP as necessary, including frequency of reviews, and responsible person(s) provided?</li> </ul>			
7.3	Implement Modifications	<ul style="list-style-type: none"> <li>Is a description of the process used to communicate and disseminate new and revised procedures and other elements of the SEPP to appropriate RTA staff provided?</li> </ul>			