## CHECKLIST FOR REVIEWING OF SYSTEM SECURITY PLANS

Rail Fixed Guideway System: RTD

| Reviewer: Anthony Lovato |  |  |  | Date: 11/6/08 |  |  |  |
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| 659.X | CHECKLIST ITEM | SSP | SSP REQUIREMENTS <br> Does the plan contain or provide for: | IN PLAN |  | PAGE or (SECTION) | COMMENTS |
| Ref. | PUC - RULE \# | Sect. |  | Yes | No |  |  |
| 23 (a) | $\begin{aligned} & 7344 \quad \text { (a) } \\ & \text { Introduction } \end{aligned}$ |  | The Introduction section of the SSP shall contain the following: |  |  |  |  |
|  | 7344 (a) (I) |  | A policy statement supporting the SSP from the General Manager/Executive Director of the transit agency. | xx |  | Inside Cover |  |
|  | 7344 (a) (II) |  | A statement of the legal authority for the SSP. | xX |  | 1.1 |  |
|  | 7344 (a) (III) |  | A description of the purpose and scope of the SSP. | xx |  | $\begin{aligned} & 1.2 \\ & 1.3 \end{aligned}$ |  |
|  | 7344 (a) (IV) |  | A clear definition of the goals and objectives of the SSP. | xx |  | $\begin{aligned} & 1.4 \\ & 1.5 \end{aligned}$ |  |
|  | 7344 (a) (V) |  | A statement of management responsibilities to ensure the goals and objectives of the SSP are achieved. | xx |  | $\begin{aligned} & 1.6 \\ & 1.7 \end{aligned}$ | Table 1-2 |
|  | 7344 (a) (VI) |  | Specifications of policies in place to support <br> implementation of the security portions of the SSP and a description of the specific activities required to implement the | xx |  | 1.7 |  |


| 659 | $\begin{aligned} & \text { CHECKLIST ITEM } \\ & \text { PUC-RULE \# } \end{aligned}$ | $\begin{array}{\|l\|} \hline \text { SSP } \\ \text { Sect. } \end{array}$ | SSP REQUIREMENTS Does the plan contain or provide for: | IN PLAN |  | PAGE or (SECTION) | COMMENIS |
| :---: | :---: | :---: | :---: | :---: | :---: | :---: | :---: |
| Ref. |  |  |  | Yes | No |  |  |


|  |  | system security program including: |  |  |  |
| :---: | :---: | :---: | :---: | :---: | :---: |
|  | $\begin{aligned} & \hline 7344 \text { (a) } \\ & \text { (VI) (A) } \end{aligned}$ | Tasks to be performed by the rail transit security function, by position and management accountability, specified in matrices and narrative format. | xX | $\begin{aligned} & 1.7 \\ & 2.0 \end{aligned}$ | $\begin{aligned} & \text { Table 2-6 } \\ & \text { Table 2-7 } \end{aligned}$ |
|  | $\begin{aligned} & \hline 7344 \text { (a) } \\ & \text { (VI) (B) } \end{aligned}$ | Security-related tasks to be performed by other rail transit departments, by position and management accountability, specified in matrices and narrative format. | x x | $\begin{aligned} & 2.7 \\ & 3.0 \\ & 3.1 \\ & 3.2 \end{aligned}$ | Table 2-6 <br> Table 2-7 <br> Table 3-1 <br> Table 3-2 |
|  | 7344 (a) (VII) | Identification of the procedures for controlling updates and modifications to the SSP including specification of an annual assessment of whether the SSP should be updated and a requirement of coordination with the Commission, including timeframes for submission, revision, and approval. | xx | $\begin{aligned} & 1.8 \\ & 4.1 \\ & 4.2 \end{aligned}$ |  |
|  | 7344 (b) <br> System Security <br> Department <br> Activities of <br> the Transit <br> Agency | The system security department activities of the transit agency section of the SSP shall contain the following: |  |  |  |
| 23 (b) | 7344 (b) (I) | A description of the transit agency's process for identifying and managing threats and | xx | 2.1 | $\begin{aligned} & \hline \text { Table } 2-1 \\ & \text { Table } 2-2 \\ & \text { Table 2-3 } \\ & \text { Table 2-4 } \\ & \hline \end{aligned}$ |


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| Ref. | PUC- RULE \# | Sect. | Does the plan contain or provide for: | Yes | No |  |
| (SECTION) |  |  |  |  |  |  |



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| 659 | CHECKLIST ITEM <br> PUC- RULE \# | $\begin{aligned} & \text { SSP } \\ & \text { Sect. } \end{aligned}$ | SSP REQUIREMENTS <br> Does the plan contain or provide for: | IN PLAN |  | PAGE or (SECTION) | COMMENTS |
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| Ref. |  |  |  | Yes | No |  |  |
|  |  |  | the SSP revision process including the identification of the persons responsible for initiating, developing, and approving changes to the SSP. |  |  |  |  |
|  | 7344 (d) (I) (C) |  | A statement that the Commission will be notified of all changes to the SSP and supplied with a copy of all revised pages. | XX |  | $\begin{aligned} & 1.8 \\ & 4.2 \end{aligned}$ |  |
|  | 7344 (d) (II) |  | A description of the process and procedure for conducting planned and scheduled internal security reviews to evaluate compliance with the SSP and comply with rule 7349 including the review and modification of the SSP based upon audit results. This procedure shall include the following: | xX |  | $\begin{aligned} & 1.8 \\ & 4.1 \\ & 4.2 \\ & 5.0 \\ & 5.1 \end{aligned}$ |  |
|  | 7344 (d) (II) (A) |  | ```Identification of departments and functions subject to review.``` | XX |  | $\begin{aligned} & 1.8 \\ & 4.2 \\ & 5.1 \end{aligned}$ | "A11 <br> departments" and <br> "All program elements" |
|  | 7344 (d) (II) (B) |  | The transit agency's schedule for conducting internal reviews and the responsibility for scheduling such reviews. | XX |  | 5.1 |  |
|  | 7344 (d) (II) (C) |  | A description of the process for conducting | XX |  | 5.1 |  |


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| Ref. |  |  |  | Yes | No |  |  |


|  | reviews, including the development of written checklists and procedures and the issuing of findings. |  |  |  |
| :---: | :---: | :---: | :---: | :---: |
| 7344 (d) (II) (D) | Written documentation of the process and procedures of issuing audit findings including an evaluation of the adequacy and effectiveness of the SSP. | XX | 5.1 |  |
| 7344 (d) (II) (E) | A process for the review of reporting requirements. | XX | 5.1 |  |
| 7344 (d) (II) (F) | A process for tracking the status of implemented recommendations. | XX | 5.1 |  |
| $7344 \text { (d) (II) (G) }$ | A requirement for an annual audit report, a copy of which must be submitted to the Commission by February 15 each year, which summarizes the results of the internal audits performed during the previous year, including a summary of required corrective actions taken, if any, and provision for follow up to ensure timely implementation and to determine effectiveness. | xx | 5.1 |  |
| 7344 (d) (II) (H) | Coordination with the Commission. | xX | 5.1 |  |
| 7344 (e) | The system security plan |  |  |  |


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|  | System Security <br> Plan <br> Verification | verification section of the <br> SSP shall contain the <br> following: |  |  |  |
| :--- | :--- | :--- | :--- | :--- | :--- | :--- |
| 7344 (e)(I) A process to ensure that <br> the design and construction <br> of new systems and/or <br> extensions comply with the <br> SSP. $x x$ | 6.1 |  |  |  |  |

