CHECKLIST FOR REVIEWING OF SYSTEM SECURITY PLANS

Rail Fixed Guideway System: **RTD**

Reviewer: Anthony Lovato					**Date:** 11/9/11		

659.X Ref.	CHECKLIST ITEM PUC - RULE #	SSP Sect.	SSP REQUIREMENTS Does the plan contain or provide for:	IN PLAN Yes	No	PAGE or (SECTION)	COMMENTS
23(a)	7344 (a) Introduction		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		1.2 1.3	
	7344 (a) (IV)		A clear definition of the goals and objectives of the SSP.	xx		1.4 1.5	
	7344 (a) (V)		A statement of management responsibilities to ensure the goals and objectives of the SSP are achieved.	xx		1.6 1.7	
	7344 (a) (VI)		Specifications of policies in place to support implementation of the security portions of the SSP and a description of the specific activities required to implement the	xx		1.7	

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			system security program including:				
	7344 (a) (VI)(A)		Tasks to be performed by the rail transit security function, by position and management accountability, specified in matrices and narrative format.	xx		1.7 2.0 2.7	Table 2-6 Table 3-1
	7344 (a) (VI)(B)		Security-related tasks to be performed by other rail transit departments, by position and management accountability, specified in matrices and narrative format.	xx		2.7 3.0 3.1 3.2	Table 2-7 Table 3-1 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		1.8 4.1 4.2	
	7344 (b) System Security Department Activities of the Transit 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	Table 2-1 Table 2-2 Table 2-3 Table 2-4

Effective date: 3/14/2008

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	7344 (b)(I)		vulnerabilities, both proactive and reactive, during operations, and for major projects, extensions, new vehicles and equipment including integration with the safety certification process. Such process must include the process for assessment and resolution of the threats and vulnerabilities identified.				Table 2-5 (Bus)
23(c)	7344 (b)(II)		Identification of controls in place that address the personal security of passengers and employees.	xx		2.2	
23(d)	7344 (b)(III)		Documentation of the transit agency's process for conducting internal security reviews to evaluate compliance and measure the effectiveness of the SSP.	xx		2.3 5.1	
23(e)	7344 (b)(IV)		Documentation of the transit agency's process for making its SSP and accompanying procedures available to the Commission for review and approval.	xx		1.8 2.4 4.1 4.2 5.1	
	7344 (b)(V)		Emergency response training, coordination and management both internal and external.	xx		2.5	
	7344 (b)(VI)		A process for the collection and analysis of security data.	xx		2.6	

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				Yes	No		
	7344 (c) Security-related Activities of Other Departments of the transit agency		The security-related activities of other departments section of the SSP shall contain the following:				
	7344 (c)(I)		Security related activities of other departments of the transit agency.	xx		3.0 3.1	
	7344 (c)(II)		A matrix of security related tasks that shows department responsibility.	xx		3.2	Table 3-1 Table 3-2
	7344 (d) System Security Plan Implementation and Maintenance		The system security plan implementation and maintenance section of the SSP shall contain the following:				
	7344 (d)(I)		Program schedule for implementation and maintenance of the SSP which shall contain the following:	xx		4.0	
	7344 (d)(I)(A)		Specified time intervals between SSP reviews to determine whether or not the SSP needs to be revised because of changed operating conditions and/or system modifications.	xx		4.1 4.2	
	7344 (d)(I)(B)		A detailed description of	xx		4.2	

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			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		1.8 4.2	
	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		1.8 4.1 4.2 5.0 5.1	
	7344 (d)(II)(A)		Identification of departments and functions subject to review.	xx		1.8 4.2 5.1	"All RTD departments" and "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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			reviews, including the development of written checklists and procedures and the issuing of findings.				5.2 addresses external security reviews
	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 (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 Plan Verification		verification section of the SSP shall contain the following:				
	7344 (e)(I)		A process to ensure that the design and construction of new systems and/or extensions comply with the SSP.	xx		6.0 6.1	
	7344 (e)(II)		A process to ensure compliance of existing operating systems with the SSP.	xx		6.2	
	7344 (f) Security audits and review of the SSP		A process to ensure that security audits and review of the SSP are conducted including consideration of security aspects of occupational safety and health, fire protection, safety training, and safety information and reporting.	xx		1.8 4.2 5.1	Not explicitly stated; however, implied by including "all" RTD departments and programs

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