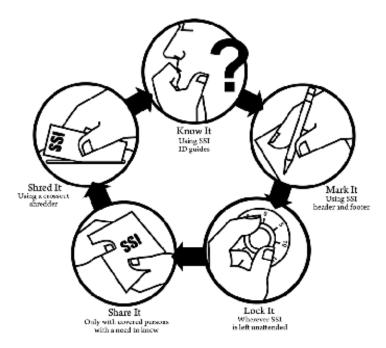
DEPARTMENT OF HOMELAND SECURITY

# SENSITIVE SECURITY INFORMATION

Cover Sheet



For more information on handling SSI, contact SSI@dhs.gov.

WARNING: This record contains Sensitive Security Information that is controlled under 49 CFR parts 15 and 1520. No part of this record may be disclosed to persons without a "need to know", as defined in 49 CFR parts 15 and 1520, except with the written permission of the Administrator of the Transportation Security Administration or the Secretary of Transportation. Unauthorized release may result in civil penalty or other action. For U.S. government agencies, public disclosure is governed by 5 U.S.C. 552 and 49 CFR parts 15 and 1520.

DHS Form 11054 (8/10) Reference: 49 CFR § 1520.13, Marking SSI



# Baseline Assessment & Security Enhancement Review Checklist

Types of Service  Light Rail  Heavy Rail  Rapid Rail  Monorail  Inclined Plane  Funicular  Trolley  Automated Guideway  Tourist  Historic  Scenic  Excursion  Commuter  Regional  Intercity							
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Types of Service  Light Rail  Heavy Rail  Rapid Rail  Monorail  Inclined Plane  Funicular  Trolley  Automated Guideway  Tourist  Historic  Scenic  Excursion  Commuter  Regional  Intercity  Bus							
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	receives Grant Funding under S	<b>)</b> .	er Section 5311 of Title 49:	□ re□ No	System Grant I	Ranking	
	,			_ ,	<u> </u>		
Agency Points of Contact		Agency Po		nts of Contact			
Name: Title: Phone Phone Email Address	T		Title:	Phone	Phone	Email Address	
			•	•	•	•	
Additional Points of Contact	_	Additional 1					
Name: Title: Phone Phone Email Address	T		Title:	Phone	Phone	Email Address	

Paperwork Reduction Act Statement: This is a voluntary collection of information. TSA estimates that the total average burden per assessment and response associated with this collection is approximately 46 hours. An agency may not conduct or sponsor, and a person is not required to respond to a collection of information unless it displays a valid OMB control number. The control number assigned to this collection is OMB 1652-XXXX, which expires on XX/XX/XXXX.

# **Surface Field Office** FSD AOR Field Office (Optional) Fill in only if Applicable Agency Assessed <<Agency Name>> **Assessment Dates** Date Transportation Security Administration Stakeholder In-Brief Assessment Started <<date>> Assessment Completed <<date>> Out-Brief <<date>> Local Approval Date HQ Approval Date Delivery of Executive Summary In-Brief Team Name: Title: Airport Code Phone Email Address Assessment Team Name: Title: Airport Code Phone Email Address Lead Inspector Out-Brief Team Name: Airport Code Title: Phone Email Address Supervisory Approval Airport Code Name: Title: Date Email Address STSI AFSD-I

Headquarters Approval							
Name:	Title:	Airport Code	Date	Email Address			

Baseline Assessment & Security Enhancement Review Checklist STSI Inspector: 0
Telephone: 0
Completed: <<date>> <<Agency Name>> Description Verification Score SP Rec. Action Regulatory Reference TSF # Other Documents MANAGEMENT AND ACCOUNTABILITY
1.000 Establish Written System Security Plans (SSP) and Emergency Response Plans (ERPs)
1.100 System Security Plans (SSP)
1.101 Does the transit agency have a System Security Plan (SSP)? Does the SSP identify the goals and objectives for the security 1.102 FTA SEPP, Chapter 3 & FTA Resource Toolkit, Appendix G 1.103 Does a written policy statement exist that endorses and adopts the policies and procedures of the SSP that is approved and signed by top management, including the agency's chief executive? FTA SEPP, Chapter 3 & FTA Resource Toolkit, Appendix G Is the SSP separate from the agency's System Safety Program Plan (SSPP)? 1.104 Do the Security and Emergency Response Plans address protection and response for critical underwater tunnels, underground stations/ tunnels and critical systems, where applicable? 1.105 FTA SEPP, Chapter 3 & FTA Resource Toolkit, Appendix G Does the SSP contain or reference other documents establishing procedures for the management of security incidents by the operations control center? FTA SEPP, Chapter 3 & FTA Resource Toolkit, Appendix G Does the SSP contain or reference other documents that establish protocols addressing specific threats from (i) Improvised Explosive Devices (IED) and (ii) Weapons of Mass Destruction (chemical, biological, radiological hazards)? 1.109 Are visible, random security measures integrated into security plans to introduce unpredictability into security activities for deterrent Т3 Does the SSP include provisions requiring that security be addres in extensions, major projects, new vehicles and equipment procurement and other capital projects, and including integration with the transit agency's safety certification process? FTA SEPP, Chapter 8 & FTA Resource Toolkit, Appendix G Does the SSP include or reference other documents adopting Crime Prevention Through Environmental Design (CPTED) principles as part of the agency's engineering practices? FTA Security Design 1.112 Does the SSP require an annual review? FTA Resource Toolkit, Appendix 1.113 Does the transit agency produce periodic reports reviewing its progress in meeting its SSP goals and objectives? FTA Resource Toolkit, Appendix Has an annual review of the SSP been performed and documented the preceding 12 months? 1.114 1.115 N/A Not Governed By 49 CFR Part 659 FTA Resource Toolkit, Appendix 1.116 N/A Not Governed By 49 CFR Part 659 4 1.117 N/A Not Governed By 49 CFR Part 659 4 1.200 Emergency Response Plan (ERP)

 1.201 Does the transit agency have an Emergency Response Plan (ERP)? 1.202 Does a written policy statement exist that endorses and adopts the policies and procedures of the ERP that is approved and signed by top management, including the agency's chief executive? 1.203 Does the ERP require an annual review to determine if it needs to be updated? Has an annual review of the ERP been performed and documented the preceding 12 months?

 Does the ERP include a process or review provision to ensure coordination with the rail transit agency 5 SSPP and SSP? N/A Not Governed By 49 CFR Part 659 4 1.207 Does the ERP contain or reference other documents that establish procedures for the management of emergency events, including those to be employed by the operations control center? 1.208 FTA Resource Toolkit, Appendix TCRP/NCHRP Continuity of Operations (COOP) Planning Guidelines for Transportation Does the ERP contain or reference other documents to provide for Continuity of Operations while responding to emergency events? 1.210 Does the agency have a written Business Recovery Plan to guide restoration of facilities and services following an emergency event? 1.211 Does the agency have a written Business Continuity Plan and COOP to guide restoration of facilities and services following an emergency event? 1.212 Does the agency have a back-up operations control center capability? Define Roles and Responsibilities for Security and Emergency Management 2.000 stanagement
System Security Plan (SSP)

Does the SSP establish and assign responsibility for implementation
of the security program to a Senior Manager who is a "direct report"
to the agency's Chiefe Executive Officer? Has the agency established lines of delegated authority/succession security responsibilities and, if so, has that information been distributed to agency managers? 2 102 Are security-related roles and responsibilities for non-security and/s law enforcement personnel (i.e., operators, conductors, maintenanc workers and station attendants) established in the SSP or other documents? FTA SEPP, Chapter 3 & FTA Resource Toolkit, Appendix G 2.104 Do senior staff and middle management conduct security meetings on a regular basis to review recommendations for changes to plans and processes? FTA SEPP, Chapter 3 & FTA Resource Toolkit, Appendix G T2 2.106 FTA SEPP, Chapter 3 & FTA Resource Toolkit, Appendix G Does a Security Review Committee (or other designated group) regularly review security incident reports, trends, and program audit findings? 2.107 Are informational briefings with appropriate personnel held whenever security protocols, threat levels, or protective measures at updated or as security conditions warrant? FTA SEPP, Chapter 3 & FTA Resource Toolkit, Appendix G 2.108 FTA SEPP, Chapter 6 & FTA Resource Toolkit, Appendix G Has the agency appointed a Primary and Alternate Security
Coordinator to serve as its primary and immediate 24-hr contact for
intelligence and security-related contact with TSA and are the names
of those Coordinators on file with TSA OSPIE office correct? 2.109 FTA SEPP, Chapter 3 & FTA Resource Toolkit, Annendix G 2.110 Does the agency maintain a record of security related incidents that are reported within the agency? 2.200 Emergency Response Plan (ERP)

			SENSII	IVE SECU	KII	YINFORMATIO
2.201	Does the ERP establish and assign responsibility for implementation of the security program to a Senior Manager who is a "direct report" to the agency's Chief Executive Officer?	- 1				FTA Critical Incident Management Guidelines & TCRP Public Transportation
2.202	Are emergency response roles and responsibilities for all departments identified in the ERP or other supporting documents?	+				a abit. Transportation
2.203	Are roles and responsibilities for front-line personnel (i.e. system law enforcement, system security officials, train or vehicle operators,					
	entorcement, system security orticals, train or venice operators, conductors, station attendants, maintenance workers) described in the system's Emergency Response Plan (ERP)?				T5	
2.204	Has the ERP been distributed to appropriate departments in the organization?					FTA Resource Toolkit, Appendix G
2.205	Have appropriate reference guides or other written instructions or procedures been distributed to transit employees to implement the requirements of the ERP?					FTA Critical Incident Management Guidelines & TCRP Public Transportation Emergency
2.206	Are senior staff and middle management ERP coordination meetings held on a regular basis?					Mobilization and Emergency Operations Guide
2.207	Are informational briefings with appropriate personnel held whenever emergency response protocols are substantially changed or updated?					
2.208	Does the agency use National Fire Protection Association (NFPA) Standard 130 or equivalent local codes to evaluate fire/life safety in					
	sation design or modification (including fire detection systems, firewalls and flame-resistant materials, back-up powered emergency lighting, defaults in turnstile and other systems supporting emergency exists, and pre-recorded public amouncements)?					
3	Ensure that operations and maintenance supervisors, forepersons					
3.101	Ensure that operations and maintenance supervisors, to repersons and managers are held accountable for security issues under their control.  Do managers and supervisors routinely provide information to front- line personnel regarding security and emergency response issues?					FTA SEPP, Chapter 6 & FTA
3.102						Resource Toolkit, Appendix G FTA SEPP, Chapter 6 & FTA
3.102	Are regular supervisor, manager, and/or foreperson security review and coordination briefings held? If so, detail frequency and subjects covered in the justification.					Resource Toolkit, Appendix G
3.103	Does the agency have a program for confirming that personnel have a working knowledge of security protocols? If so, summarize program in the justification.					FTA SEPP, Chapter 6 & FTA Resource Toolkit, Appendix G
3.104	Are managers and/or supervisors required to debrief front-line employees regarding their involvement in or management of any security or emergency incidents?					
4.000	Coordinate Security and Emergency Management Plan(s) with local and regional agencies					
4.101	Have Mutual Aid agreements been established between the transit agency and entities in the area that would be called upon to supplement the agency's resources in the event of an emergency event?					FTA SEPP, Chapter 3 & FTA Resource Toolkit, Appendix G. The security section of the SSPP "should also specify how state and
4.102	Does the agency participate in a regional Emergency Management	_				local law enforcement and FTA SEPP, Chapter 3 & FTA
4.103	Working Group or similar regional coordinating body for emergency preparedness and response?  Have regional incident management protocols been shared with the					Resource Toolkit, Appendices E & G FTA SEPP, Chapter 3 & FTA
4.104	agency and incorporated into the agency's ERP?  Have agency resources been appropriately identified and provided to	-				Resource Toolkit, Appendices E & G FTA SEPP Chanter 3 & FTA
4.105	the regional EMA?  Does the agency have a designated point-of-contact or liaison with the local/regional Emergency Operations Center (EOC)?					Resource Toolkit, Appendices E & G FTA SEPP, Chapter 3 & FTA Resource Toolkit, Appendices E
4.106	Does the agency send a representative to the local/regional EOC, should it be activated?					FTA SEPP, Chapter 3 & FTA Resource Toolkit, Appendices E
4.107	Does the agency have information sharing capabilities with the regional/local EOC (i.e., contacts, procedures, resource inventories, etc.)?					FTA SEPP, Chapter 3 & FTA Resource Toolkit, Appendices E & G
4.108	Has the agency developed internal incident management protocols that comply with the National Response Plan and the National Incident Management System?					FTA SEPP, Chapter 3 & FTA Resource Toolkit, Appendices E & G
4.109	Have the agency's emergency response protocols been shared with the EMA and appropriate first responder agencies?					FTA SEPP, Chapter 3 & FTA Resource Toolkit, Appendices E & G
4.110	Has the transit system tested its communications systems for interoperability with appropriate emergency response agencies? If the agency's communications systems are NOT inter-operable with				T5	FTA SEPP, Chapter 3 & FTA Resource Toolkit, Appendices E & G FTA SEPP, Chapter 3 & FTA
	appropriate emergency response agencies, have alternate communication protocols been established? Describe the alternate communication protocols in the justification.					Resource Toolkit, Appendices E & G
5.000	SECURITY AND EMERGENCY RESPONSE TRAINING Establish and Maintain a Security and Emergency Training Program					
5.101	Is initial training provided to all new agency employees regarding security orientation/awareness?				T4	FTA SEPP, Chapter 7 & FTA Resource Toolkit, Appendices E & G
5.102	is annual refresher training provided regarding security orientation/awareness to Senior Management staff, managers and supervisors?				T4	FTA SEPP, Chapter 7 & FTA Resource Toolkit, Appendices E & G
5.103	Is annual refresher training provided regarding security orientation/awareness to managers and supervisors?				T4	8.0
5.104 5.105	Is annual refresher training provided regarding security orientation/awareness to front-line employees? Is ongoing advanced security training focused on job function				T4	FTA SEPP, Chapter 7 & FTA
5.106	provided at least annually?  Is initial training provided to all new transit employees regarding					Resource Toolkit, Appendices E & G FTA SEPP, Chapter 7 & FTA
	emergency response?				T4	Resource Toolkit, Appendices E & G
5.107	Is annual refresher training provided regarding emergency response to Senior Management staff, supervisors, and managers?				T4	FTA SEPP, Chapter 7 & FTA Resource Toolkit, Appendices E & G
5.108	Is annual refresher training provided regarding emergency response to Managers and Supervisors? Is annual refresher training provided regarding emergency response	_			T4	
5.110	to front-line Employees?  Have agency employees received general training on Incident Command System (ICS) procedures in accordance with National Incident Management System at least annually?				T4	
5.111	Incident Management System at least annually?  Has ICS and NIMS training appropriate to the position been				T4	
	provided to Senior Management staff, supervisors, and managers at least annually?					
5.112	Has ICS and NIMS training appropriate to the position been provided to managers and supervisors at least annually?					
5.113	Has ICS and NIMS training appropriate to the position been provided to front-line employees at least annually? Has the agency developed a program and provided annual training on					
5.115	its own incident response protocols?  as training on the agency's incident response protocols appropriate to the position been provided to Senior Management staff, managers and supervisors at least amually?				T4	
5.116	Has training on the agency's incident response protocols appropriate to the position been provided to managers and supervisors?	+			T4	
5.117	Has training on the agency's incident response protocols appropriate to the position been provided to from-line employees at least				T4	
5.118	annually?  Has the transit system implemented an annual training program for	-			14	FTA SEPP, Chapter 7 & FTA Resource Toolkit, Appendices E
	nersonnel regarding response to terrorism, including (i) Improvised Explosive Devices and ii) Weepons of Mass Destruction (chemical, biological, radiological, nuclear)? If so, summarize the relevant programs in the justification.				T4	Resource Toolkit, Appendices E & G
5.119	Has training focused on IEDs and WMDs appropriate to the position been provided to Senior Management staff, managers, and supervisors at least annually?	$\dashv$				
		-+				
5.120	Has training focused on IEDs and WMDs appropriate to the position been provided to manager and supervisors?					
5.120						
	Has training focused on IEDs and WMDs appropriate to the position been provided to manager and supervisors?					FTA SEPP, Chapter 7 & FTA Resource Toolkit, Appendices E & G
5.121	Has training focused on IEDs and WMDs appropriate to the position been provided to manager and supervisors? Has training focused on IEDs and WMDs appropriate to the position been provided to front-line employees at least annually? Do law enforcement security department personnel at the agency receive specialized training in counter-terrorism annually?					Resource Toolkit, Appendices E

1.50				SENSIT	IVE SECON		INFORMATIO
1.00   1.00	5.124	Does the agency have an established program to monitor employee training and to schedule employees for training as needed?					FTA SEPP, Chapter 7 & FTA Resource Toolkit, Appendices E
The content of the	5.125						
Company		periodic and other)?					& G
1	5.126	Does the transit agency have a system that records and tracks personnel training for emergency response courses (including initial, periodic and other)?					FTA SEPP, Chapter 7 & FTA Resource Toolkit, Appendices E & G
1	5.127	Does the agency have a program to regularly review and update security awareness and emergency response training materials?					FTA SEPP, Chapter 7 & FTA Resource Toolkit, Appendices E
19	5.128	Are all appropriate personnel notified via briefings, email, voicemail,					& G
1.10   1.10		or signage of changes in threat condition, protective measures or the employee watch programs?				T4	
The state of the s	5.129	programs cover response and recovery operations in critical facilities and infrastructure? If so, summarize relevant provisions of program					
Company   Comp		in the justification.				11	
Company   Comp	5.130	Has the agency provided training to regional first responders (law enforcement agencies, firefighters, and emergency medical response					
March   Company   Compan		teams) to enable them to operate in critical racilities and infrastructure?				T1	
1. A contract of the contract	5.131	Does training of transit system law enforcement and/or security personnel integrate the concept and employment of visible, random security measures?				тз	
NOTICES LEGISLATION AND PROVED THE PROPERTY OF THE PROVINCE OF	5.132	Has the agency implemented a program to annually train or orient					
Section of the control of the contro		teams) and other potential supporting assets (e.g., TSA regional personnel for VIPR exercises)on railroad familiarization?				T4	
1.00	6,000						
1010 Annual Control of		Terrorism Advisory System (NTAS).  Does the SSP contain or reference other documents identifying					FTA Protective Measures
1.512 In the query promoted moral transport of the promoted promoted and promoted promoted and promoted promoted and promoted pro		NTAS threat?					
A statistic continuous and interface the completion of the complet						T2	FTA Protective Measures
Appelence and continue of finite Service and Energence  Applications of Continue of Service and Energence  Applications of Continue of Service and Energence  Applications of Service and Energence		on job function regarding the incremental activities to be performed by employees?					
15.00 In the contract war year contracted applies entropy  15.01 Period agreement of the contract of the contr	7.000						
And the gameny promised active profession county for several to an experiment of the profession of the	7.101	Has the transit agency developed and implemented a public security and emergency awareness program?					FTA's Transit Watch
1.7.10  1.7.10	7.102						FTA's Transit Watch
Section   Process   Proc		See Something, Say Something", message boards, brochures, channel cards, posters, fliers)?				Т6	
1-10. No the value of the control of	7.103	Is the above consistent with agency's overall announcement program?				Т6	
1-10. No the value of the control of	7.104	Are general security awareness and emergency preparedness messages included in public announcement messages at stations and				TE	
The public control of	7.105	on board vehicles?				10	
The personnel of the personnel of the personnel of the security of the personnel of the per	7.105	enforcement or security personnel, and/or a contact telephone number? If so summarize the type of materials used and content in				Т6	
and almemory ownersine programs?  200 Dec American providence of the control of t		the justification.					
Section of the control of the contro		and emergency awareness program?					ETA's Terrois Materia
Part	7.107					т6	FIA's Iransit Water
2.710   Do- the games yame public evices answered green green electrons to be called a feet property for a feet property of the comment of		awareness materials and messages?					
2.710   Do- the games yame public evices answered green green electrons to be called a feet property for a feet property of the comment of	7.108	Does the agency issue public service announcements or press releases to local media (e.g. newspaper, radio, television, social media. ORC codes, and/or agos for smart phones) regarding security					FTA's Transit Watch
27-10 Des the growth and purpose conduction and energy programs for memory and an internal conduction and energy programs.  27-11 See the training approximation and energy programs.  27-12 Despite the growth and an internal programs in mildle energy and the second of the policy of the programs.  27-12 Despite the growth and energy and the energy of the programs of the policy of the programs of t	7 109						FTA's Transit Watch
Till Des the transit gargest conduct an outstrach programs to reliant to the transit gargest conduct an outstrach programs to reliant to the conduction of t							
7.11 Des de transit agracy conduct a ceremé program to molitic methods of gode has accessors processors volutions, maintra in methods of gode has accessors processors volutions, maintra in methods of gode has accessors processors volutions, maintra in methods of gode has accessors processors volutions, maintra in methods of gode has accessors and an accessor of the control of the processor of the processor of the control of the processor of the proc	7.110	Does the transit agency conduct a volunteer training program for non-employees to aid with system evacuations and emergency response?					FTA's Transit Watch
Non-placehood Wash programs	7.111	Does the transit agency conduct an outreach program to enlist members of the public as security awareness volunteers, similar to					
meter account underground facilities?  7.114 Dates the growth missing are another decrease effect?  8.101 STARLEN & SEAN ASSESSMENT AND INFORMATION SHARLEN FORCESS.  8.102 Establish and use a Risk Management Process to assess and management responses to assess and other control of the process of the particulation.  8.102 In the agency laboral resistance of process and control of the laboral control of the process of the particulation.  8.103 In the laboral response of the particulation.  8.104 In the laboral response of the particulation of the part	7.112	Neighborhood Watch programs?  Do public awareness materials and/or messages inform passengers on					
security activities to relative content effect?  1.11	7 1 1 2	underwater/underground facilities?				T1	
STABLISH A RISK ASSISMENT AND INFORMATION  SIARINF PROCESS  Datablish and use a Risk Management Process to assess and enaborate information and consequences.  B.00  Datablish and use a Risk Management Process to assess and enaborate information and consequences.  B.101  Datablish and use a Risk Management Process approved by its management of the process and volumentalities? If so, aumuntate the process in the justification.  B.102  Illus the agency identified facilities and systems it considers to be its critical anext?  Illus the agency identified facilities and systems it considers to be its critical anext?  Illus the agency identified facilities and systems it considers to be its critical anext?  Illus the agency identified facilities and systems it considers to be its critical anext?  Illus the agency identified facilities and systems it considers to be its critical anext?  Illus the agency identified facilities and systems it considers to be its critical anext?  Illus the agency identified facilities and systems it considers to be its critical anext?  Illus the agency identified facilities and systems it considers to be its critical anext?  Illus the agency identified facilities and systems it considers to be its critical anext?  Illus the agency identified facilities and systems it considers to be its critical anext.  Illus the agency identified facilities and systems it considers to be its critical anext.  Illus the agency identified facilities and systems it considers to be its critical anext.  Illus the agency hours a family frequently facility as considered for the account of the agency and a facilities and consideration and anomalies analysis and anomalies		security activities to enhance deterrent effect?  Does the agency track and monitor customer complaints reported by				T3	
8.001 Dee the agency have a risk assessment process approved by its summarize the process in the justification.  8.101 Dee the agency have a risk assessment process approved by its summarize the process in the justification.  8.102 Its the agency have a risk assessment process approved by its summarize the process in the justification.  8.103 Its the agency have a risk assessment accordates to be its critical assessment in a critical assessment and the critical assessment in a critical assessment in a critical assessment and the critical assets and intransacture, and systems which the past 3 years? Its assessment process the property stands of manager the process of the past 3 years? Its assessment process the property stands of manager the process of the proce		ESTABLISH A RISK ASSESSMENT AND INFORMATION					
Does the agency have a risk assessment process approved by its management, for managing threats and vulnerabilities? If so, assessment process is possible and process and pro	8.000	Establish and use a Risk Management Process to assess and					
8.102 Has the agency identified facilities and systems it considers to be its critical assets?  8.103 Has the agency between the consideration of the consid	8.101	Does the agency have a risk assessment process approved by its				_	FTA's SEPP, Chapter 5, FTA's
critical assers?  6.103 Has the grappy had an internal or external risk or vulnerability assessment as in critical assers within the past 3 years? Specify the dates of the most recent assersment and the entity (ivs) that conducted the assessment and the entity (ivs) that the past 3 years? Here management and saff responsible for the risk assessment process the properly stated to manage the process.  8.105 Has the system implemented procedures to limit and monitor authorized access to undergozonal and underwater tamoth? If so, numerate procedures the injection of the past of t		management, for managing threats and vulnerabilities? It so, summarize the process in the justification.				T2	Resource Toolkit Appendix G
alter of the most revent assessment and the entity(res) that solutions of the assessment of the assess	8.102	Has the agency identified facilities and systems it considers to be its critical assets?					
alter of the most revent assessment and the entity(res) that solutions of the assessment of the assess	8.103	Has the agency had an internal or external risk or vulnerability assessment on its critical assets within the past 3 years? Specify the					
tritical assets and inferiorature, and systems within the para 3 years? Here management and staff reprocessor for the residence of the paragement processor for the paragement processor for prography intended in analogue the processor.  8.105  8.105  8.105  8.106  8.106  8.107  8.107  8.107  8.108  8.108  8.109  8.109  8.100  8.10		dates of the most recent assessments and the entity(ies) that				T2	
tritical assets and inferiorature, and systems within the para 3 years? Here management and staff reprocessor for the residence of the paragement processor for the paragement processor for prography intended in analogue the processor.  8.105  8.105  8.105  8.106  8.106  8.107  8.107  8.107  8.108  8.108  8.109  8.109  8.100  8.10	8.104	Based on the results of question 9.103, has a Risk Assessment, analyzing threat, vulnerability, & consequence, been conducted for					
8.105  8.105  8.106  8.106  8.107  8.107  8.108  8.		critical assets and infrastructure, and systems within the past 3 years? Have management and staff responsible for the risk assessment				T1	
authorized acces to undergound and undervater numbe? If so, summarize procedures the light fiction.  8.106 Are security investments prioritized using information developed in the risk accessment proces?  8.107 Has the dute of the nont recent vulnerability assessments been growther to SAA at a massersing different provided access to the agency?  8.108 Upon request, has TAS here provided access to the agency?  9.200 Upon request, has TAS here provided access to the agency?  9.200 Upon request, has TAS here provided access to the agency?  9.200 Upon request, has TAS here provided access to the agency?  9.200 Upon request, has TAS here provided access to the agency has a formation that one of the control o							
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State   Stat	8.106	Are security investments prioritized using information developed in					
5.000 Exabilith and use an information sharing process for threat and intelligence information  5.010 Does the agency have a formulated process and procedures for eporture and including intelligence information with rederal, State, and the local base reducement agencies?  5.010 Does the votem report threat and intelligence information directly to proceed the process of the proce	8.107	Has the date of the most recent vulnerability assessment been					
intelligence information  3.101  3.102  3.103  3.103  3.104  3.105  3.10	8.108	Upon request, has TSA been provided access to the agency's vulnerability assessments, Security Plan and related documents?				T1	
Federal, Sate, and the local law enforcement agencies?  9.102 Does the yourse report them and antiligence information directly to FBI Joint Terrotom Task Force (JTF) or other regional anti-errotom task force?  9.103 Dees the system have a protocol to report thereas or significant exceeding covered to appropriate the selfectment authorities, and exceeding coverent to appropriate the selfectment authorities, and the selfectment authorities authorities and the selfectment authorities, and the selfectment authorities, and the selfectment authorities authorities authorities authorities, and the selfectment authorities, and the selfectment authorities authorities authorities authorities aut	3,000	intelligence information					
9.102 Does the system report threat and intelligence information directly to recreation task force (PTE) or other regional units recreating the force of	9.101	Does the agency have a formalized process and procedures for reporting and exchange of threat and intelligence information with Federal, State, and/or local law enforcement agencies?					
Perceion task force?	9.102					тэ	
security concerns to appropriate law enforcement authorities, and TSA Transportation Security Operations Center (TSOC)  9.104 Does the agency readurely receive threat and intelligence information described from any Feeding security of the Regional or State Intelligence Foston Center, PT- SSAs, or softer trains agnostic.  9.105 Does the agency report their NTD security data to FTA as required by 96 CFR C609  BRILLS AND EXERCISES  10.000 Conduct Tableton and Functional Delite  Conduct Tableton and Functional Delite FTA's SEPP, Chapter 7, FTA's Resource Todalit's Apprendice's I. Resource Todalit's Apprendice's I. Resource Todalit's Apprendice's I. Resource Todalit's Apprendice's I. G.	9.103	terrorism task force?  Does the system have a protocol to report threats or significant					
D.N.L., or other trained agencies/  9.105 Dees the approxy report their NTD security data to FTA as required by 40 GFR 620°    10.00 Conduct Tableton and Functional Drills  10.00 Conduct Tableton and Functional Drills  10.10 Dees the approx's System Safety Program Plant (SSPP) contain or reference a document describing the process used by the agency to develop an approxed; controlled a challe for all programs or the programs of the agency to develop an approxed; controlled a challe for a program Plant (SSPP) contain or reference a document describing the process used by the agency to develop an approxed; controlled a challe for a program Plant (SSPP) contain or reference a document of challe for a program Plant (SSPP) contain or reference a document of challe for a program Plant (SSPP) contain or reference a document of challe for a program Plant (SSPP) contain or reference a document of challe for a program Plant (SSPP) contain or reference a document of challe for a program Plant (SSPP) contain or reference a document of challe for a program Plant (SSPP) contain or reference a document of challe for a program Plant (SSPP) contain or reference a document of challe for a program Plant (SSPP) contain or reference a document of challe for a program Plant (SSPP) contain or reference a document of challe for a program Plant (SSPP) contain or reference a document of challe for a program Plant (SSPP) contain or reference a document of challe for a program Plant (SSPP) contain or reference a document of challe for a program Plant (SSPP) contain or reference a document of challe for a program Plant (SSPP) contain or reference a document of challe for a program Plant (SSPP) contain or reference a document of challe for a program Plant (SSPP) contain or reference a document of challe for a program Plant (SSPP) contain or reference a document of challe for a program Plant (SSPP) contain or reference a document of challe for a program Plant (SSPP) contain or reference a document of challe for a program Plant (SSPP) contain		security concerns to appropriate law enforcement authorities, and TSA's Transportation Security Operations Center (TSOC)?				T2	
D.N.L., or other trained agencies/  9.105 Dees the approxy report their NTD security data to FTA as required by 40 GFR 620°    10.00 Conduct Tableton and Functional Drills  10.00 Conduct Tableton and Functional Drills  10.10 Dees the approx's System Safety Program Plant (SSPP) contain or reference a document describing the process used by the agency to develop an approxed; controlled a challe for all programs or the programs of the agency to develop an approxed; controlled a challe for a program Plant (SSPP) contain or reference a document describing the process used by the agency to develop an approxed; controlled a challe for a program Plant (SSPP) contain or reference a document of challe for a program Plant (SSPP) contain or reference a document of challe for a program Plant (SSPP) contain or reference a document of challe for a program Plant (SSPP) contain or reference a document of challe for a program Plant (SSPP) contain or reference a document of challe for a program Plant (SSPP) contain or reference a document of challe for a program Plant (SSPP) contain or reference a document of challe for a program Plant (SSPP) contain or reference a document of challe for a program Plant (SSPP) contain or reference a document of challe for a program Plant (SSPP) contain or reference a document of challe for a program Plant (SSPP) contain or reference a document of challe for a program Plant (SSPP) contain or reference a document of challe for a program Plant (SSPP) contain or reference a document of challe for a program Plant (SSPP) contain or reference a document of challe for a program Plant (SSPP) contain or reference a document of challe for a program Plant (SSPP) contain or reference a document of challe for a program Plant (SSPP) contain or reference a document of challe for a program Plant (SSPP) contain or reference a document of challe for a program Plant (SSPP) contain or reference a document of challe for a program Plant (SSPP) contain or reference a document of challe for a program Plant (SSPP) contain	9.104	Does the agency routinely receive threat and intelligence information directly from any Federal government agency, State Homeland Security Office, Regional or State Intelligence Fusion Center, PT-					
DRILLS AND EXERCISES  10.000 Conduct Tabletop and Functional Drills  10.101 Does the gaspey's System Steley Program Plant (SSPP) contain or reference a document doctribing the process used by the agency to develop an approach, control and proposed, control and pro		ISAC, or other transit agencies?					
10.000   Conduct Tabletop and Functional Drill.	9.105						
10.101 Dees the agency's System Safety Program Bent (SSP) contain or  FFA's SEPP. Chapter 7, FTA's  reference a colument describing the pracess used by the agency to  develop an approved, coordinated schedule for all emergency  management program articities, including foot-levelopied emergency  G		Conduct Tabletop and Functional Drills					
management program activities, including local/regional emergency	10.101	Does the agency's System Safety Program Plan (SSPP) contain or					FTA's SEPP, Chapter 7, FTA's Resource Toolkit Appendices E & G
		management program activities, including local/regional emergency					

			SENSIT	IVE SECU	RIT	Y INFORMATIO
10.102	Does the agency's SSPP or SSP describe or reference how the agency performs its emergency planning responsibilities and requirements regarding emergency drills and exercises?					FTA's SEPP, Chapter 7, FTA's Resource Toolkit Appendices E & G
10.103	Does the agency evaluate its emergency preparedness by using annual field exercises, tabletop exercises, and/or drills? If so, please summarize the exercise events held in the past year.				T5	FTA's SEPP, Chapter 7, FTA's Resource Toolkit Appendices E & G
10.104	Does the agency's SSPP or a related document include a requirement for annual field exercises, tabletops and drills?					FTA's SEPP, Chapter 7, FTA's Resource Toolkit Appendices E &
10.105	Does the agency's SSPP or SSP describe or reference how the agency documents the results of its emergency preparedness evaluations (i.e., briefings, after action reports and implementation of findings)?					G FTA's SEPP, Chapter 7, FTA's Resource Toolkit Appendices E & G
10.106	Does the agency's SSPP or a related document describe or reference its program for providing employee training on emergency response protocols and procedures?					FTA's SEPP, Chapter 7, FTA's Resource Toolkit Appendices E & G
10.107	Does the agency participate as an active player in full-scale, regional exercises held at least annually?					
10.108	In the last year, has the agency conducted and/or participated in a drill, tabletop exercise, and/or field exercise including scenarios involving (i) IED's and (ii) WMD (chemical, biological, radiological, nuclear) with other transit agencies and first responders (e.g., NTAS scenarios)?				T5	
10.109	In the last year, has the agency reviewed results and prepared after- action reports to assess performance and develop lessons learned for all drills, tabletop, and/or field exercises?				T5	TCRP/NCHRP Guidelines for Transportation Emergency Training Exercises
10.110	In the last 12 months, has the agency updated plans, protocols and processes to incorporate after-action report recommendations/findings and corrective actions? If so, summarize the actions taken in the justification.				T5	TCRP/NCHRP Guidelines for Transportation Emergency Training Exercises
10.111	the actions taken in the justification.  Has the agency established metrics to assess its performance during emergency exercises and to measure improvements?					
10.112	Does the system conduct drills and exercises of its security and emergency response plans to test capabilities of i) employees and ii) first responders to operate effectively in underwater/underground				T1	
10.113	infrastructure?  Does the tramit system integrate local and regional first responders (law enforcement, fireflighters, emergency medical teams) in drills, tabletop exercises, and/or field exercises? If so, summarize each joint event and state when it tool place.					
					T5	
11.101	Developing a Comprehensive Cyber Security Strategy  Has the agency conducted a risk assessment to identify operational control and communication/business enterprise IT assets and					FTA's SEPP, Chapter 6, FTA's Resource Toolkit Appendix G
11.102	potential vulnerabilities?  Has the agency implemented protocols to ensure that all IT facilities					FTA's SEPP, Chapter 6, FTA's
11.102	rias the agency impermented protocos to ensure that an 11 ractimes (e.g., data centers, server rooms, etc) and equipment are properly secured to guard against internal or external threats or attacks?					Resource Toolkit Appendix G
11.103	Has a written strategy been developed and integrated into the overall security program to mitigate the cyber risk identified?					
11.104	Does the agency have a designated representative to secure the internal network frough appropriate access controls for employees, a strong authentication (i.e., password) policy, encrypting sensitive data, and employing netword security infrastructure (example: firewalls, intrusion detection systems, IT security audits, antivirus, etc.)?					FTA's SEPP, Chapter 6, FTA's Resource Toolkit Appendix G
11.105	Does the agency ensure that recurring cyber security training reinforces security roles, responsibilities, and duties of employees at all levels to protect against and recognize cyber threats?					FTA's SEPP, Chapter 6, FTA's Resource Toolkit Appendix G
11.106 11.107	Has the agency established a cyber-incident response and reporting protocol?  Is the agency aware of and using available resources (e.g., standards, PT-ISAC, US CERT, National Cyber Security Communication and					FTA's SEPP, Chapter 7
	PT-ISAC, US CERT, National Cyber Security Communication and Integration Center, etc)?  FACILITY SECURITY AND ACCESS CONTROLS					
12.000	Control Access to Security Critical Facilities with ID badges for all visitors, employees and contractors					
12.101	Have assets and facilities requiring restricted access been identified?					FTA's SEPP, Chapter 8 & Resource Toolkit, Appendix G
12.102	Are ID badges or other measures employed to restrict access to facilities not open to the public?					FTA's SEPP, Chapter 8 & Resource Toolkit, Appendix G
12.103	Has the transit agency developed and implemented procedures to monitor, update and document access control (e.g. card key, ID badges, keys, safe combinations, etc.)?				T2	FTA's SEPP, Chapter 8 & Resource Toolkit, Appendix G
12.104	Does the agency have procedures to issue ID badges for visitors and contractors?					FTA's SEPP, Chapter 8 & Resource Toolkit, Appendix G
12.105	Does the agency require escorts for visitors accessing non-public areas?					FTA's SEPP, Chapter 8 & Resource Toolkit, Appendix G
12.106	Is CCTV equipment installed in transit agency facilities?					FTA's SEPP, Chapter 8 & Resource Toolkit, Appendix G
12.107	Is CCTV equipment protecting critical assets interfaced with an access control system?  Is CCTV equipment installed on transit vehicles?					FTA's SEPP, Chapter 8 &
12.109	Are Crime Prevention through Environmental Design (CPTED) and	_				Resource Toolkit, Appendix G FTA's SEPP, Chapter 8 & Resource Toolkit, Appendix G
12.110	technology (e.g., CCTV, access control, intrusion detection, bollards, etc) incorporated into design criteria for all new and/or existing capital projects?					Resource Toolkit, Appendix G  FTA's SEPP. Chanter 8 &
	Based on the risk assessment, does the agency use fencing, barriers, and/or intrusion detection to protect against unauthorized entry into stations, facilities, and other identified critical assets?					Resource Toolkit, Appendix G
12.111	Has the system implemented pratective measures to secure high including consequence assets and systems (destrilled in risk, assessment). Examples of pratective measures include but are not sectionally. Recognition of the productive measures for the exchanging, Precing, enhanced lighting, access control, LE garots, K-Sp, pratection of ventilation systems. If protective measures for their infrastructures are employed, summarize type and location in in the justification.				T2	FTA's SEPP, Chapter 8 & Resource Toolkit, Appendix G
12.112	Does the transit agency monitor a network of security, fire, duress, intrusion, utility and internal 911 alarm systems?					FTA's SEPP, Chapter 8 & Resource Toolkit, Appendix G
12.113	Are emergency call boxes provided for passengers?					FTA's SEPP, Chapter 8 & Resource Toolkit, Appendix G
12.114	Do transit agency personnel administer an automated employee access control system and perform corrective analysis of security breaches?					FTA's SEPP, Chapter 8 & Resource Toolkit, Appendix G
12.115	Does the agency have policies and procedures for screening of mail and/or outside deliveries?					FTA's SEPP, Chapter 8 & Resource Toolkit, Appendix G
12.116	Have locks, bullet resistant materials and anti-fragmentation materials been installed/used at critical locations?  Does the agency use National Fire Protection Association (NFPA)					FTA's SEPP, Chapter 8 & Resource Toolkit, Appendix G FTA's SEPP, Chapter 8 &
	Sandard 130 or equivalent to evaluate firefulfe safety in station design or modification (including fire declared systems, firewalls and flame-resistant materials, back-dup converted emergency lighting-defaults in turnstile and other systems supporting emergency exists, and gre-recorded public amount cements)?					Resource Toolkit, Appendix G
12.118	Is directional signage with adequate lighting provided in a consistent manner in all stations, both to provide orientation and to support emergency evacuation?					FTA's SEPP, Chapter 8 & Resource Toolkit, Appendix G
12.119	Are gates and locks used on all facility doors to prevent unauthorized access?					FTA's SEPP, Chapter 8 & Resource Toolkit, Appendix G
						ETAL CERR CL 0.0
12.120	Are keys controlled through an established program managed by the security/police function?  Are gates and locks also used to close down system facilities after					FTA's SEPP, Chapter 8 & Resource Toolkit, Appendix G FTA's SEPP, Chapter 8 &

			SENSII	IVE SECU	KII.	Y INFORMATIO
12.122	Do transit vehicles have radios, silent alarms, and/or passenger communication systems?					FTA's SEPP, Chapter 8 & Resource Toolkit, Appendix G
12.123	Does the transit agency use graffiti-resistant/etch-resistant materials for walls, ceilings, and windows?					FTA's SEPP, Chapter 8 & Resource Toolkit, Appendix G
12.124	Are University the Power Supply (USF) or reduciant power sources received for earliery and receivery of critical engineers, use has but not mineted or exit and platform lighting garding lot lighting, ancillarly space and shop lighting, intunsion detection claumed rooms and spaces, fare collection equipment, etc.), for electron, aftern and supersoism systems, public address (shop and public areas); call-for- functions; etc.?"					FTA's SEPP, Chapter 8 & Resource Toolkit, Appendix G
12.125	As passenger stations at which a volverability assessment has clearlifed sugarficant (side, and to the extent practicable, has the convent/openate removed trash receptacles, and other non-essential receptacles or containers (with the exception of bomb resistant receptacles or core plastic containers) from the platform areas of passenger terminals and stations?					
12.126	nee the agency region yearling protective resource for all critical constructives (e.g., neach, budges, statisses, countel centus, evil destinited through the risk accomment particularly at access points and verialision infrastructure in place and national of nonlineal condition? Examples of protective neasures include, but are not limited to, CCVI, intensi nedection systems, sunct camera souther, nation protection, places as much camera souther, nation protection, physical practical for vertilation systems. If protective neasures for this infrastructure are employed, summarize type and location in the justification.					
12.127	Does the agency have or utilize explosive detection canine teams, either maintained by the system or made available from other law enforcement agencies? If so, has the system implemented procedures for reporting of and response to positive reactions by the canine?				T1	
12.128	Is there a process in place, with necessary training provided to personnel, to ensure that in service rail cars are inspected at regular periodic intervals for suspicious or unattended items? Specify type and frequency of inspections.					
12.129	Is there a process in place, with necessary training provided to personnel, to ensure that all critical infrastructure are inspected at regular periodic intervals for suspicious or unattended items? Specify type and frequency of inspections.					
13.101	Conduct Physical Security Inspections  Does the agency conduct frequent inspections of key facilities, stations, terminals, trains and vehicles, or other critical assets for persons, materials, and items that do not belong?				T1	
13.102	Has the transit agency established procedures for inspecting/sweeping vehicles and stations to identify and manage asspicious items, based on HOT characteristics (hidden, obviously suspicious, not typical) or equivalent system?					FTA's SEPP, Chapter 6 & Resource Toolkit, Appendix G
13.103	Has the transit agency developed a form or quick reference guide for operations and personnel for the conduct of pre-trip, post-trip, and within trip inspections?					FTA's SEPP, Chapter 6 & Resource Toolkit, Appendix G
13.104	Has the transit agency developed a form or quick reference guide for station attendants and others regarding station and facility inspections?					FTA's SEPP, Chapter 6 & Resource Toolkit, Appendix G
13.105	Does the system document the results of inspections and implement any changes to policies and procedures or implement corrective actions, based on the findings?				T2	
13.106	Does the agency conduct frequent inspections of access points, ventilation systems, and the interior of underground/underwater assets and systems for indications of suspicious activity?				T2	
13.107	Does the system integrate randomness and unpredictability into its security activities to enhance deterrent effect?  BACKGROUND INVESTIGATIONS					
14.000	Conduct Background Investigations of Employees and Contractor  Does the agency conduct background investigations (i.e., criminal					
	history and motor vehicle records) on all new front-line operations and maintenance employees, and employees with access to sensitive security information, facilities and systems?				T2	
14.102	To the extent allowed by agency policy or law, does the agency conduct background investigations on contractors, including vendors, with access to critical facilities, sensitive security systems, and sensitive security information?				T2	
14.103	Has counsel for the agency reviewed the process for conducting employee background investigations to confirm that procedures are consistent with applicable statutes and regulations?					
14.104 14.105	Is the background investigation process documented?  Is the criteria for background investigations based on employee type (senior management staff, law enforcement offices, managers/supervisors, operators, maintenance, safety/security sensitive, contractor, etc.) and/or responsibility and access documented?					
15.000	DOCUMENT CONTROL  Control Access to documents of security critical systems and					
15.101	Does the agency keep documentation of its security critical systems, such as tunnels, bridges, HVAC systems and intrusion alarm					
15.102	such as tunnes, orages, it vAL systems and intrusion asiam detection systems (i.e. plans, schematics, etc.) protected from unauthorized access?  Has the agency designated a department/person responsible for administering the access control policy with respect to agency				T2	
15.103	documents?  Does the security review committee (or other designated group) review document control practices, assers compliance applicable procedures, and identify discrepancies and necessary corrective					
16.000	action?  Process for handling and access to Sensitive Security Information (SSI)					
16.101	Does the agency have a documented policy for identifying and controlling the distribution of and access to documents it considers to be Sensitive Security Information (SSI) pursuant to 49 CFR Part 15 or 1520?					
16.102	Does the agency have a documented policy for proper handling, control, and storage of documents labeled as or otherwise determined to be Sensitive Security Information (SSI) pursuant to 49 CFR Part 15 or 1520?					
16.103	Are employees who may be provided SSI materials per 49 CFR Part 15 or 1520 flamiliar with the documented policy for the proper handling of such materials? Have employees provided access to SSI material per 49 CFR Part 15 or 1520 received training on proper labeling, handling, dissemination,					49 CFR Parts 15 and 1520
	and storage (such as through the TSA on-line SSI training program)?					
17.000	SECURITY PROGRAM AUDITS Audit Program					leave a
17.101	Has the agency established a schedule for conducting its internal security audit process?					FTA Resource Toolkit, Appendices E and G
17.102	Does the SSP contain a description of the process used by the agency to audit its implementation of the SSP over the course of the agency's published schedule?  Has the transit agency established checklists and procedures to					FTA Resource Toolkit, Appendices E and G FTA Resource Toolkit,
17.103	Has the transit agency established checklists and procedures to govern the conduct of its internal security audit process?					Appendices E and G
17.104	Is the transit agency complying with its internal security audit schedule?  Is each internal security audit documented in a written report, which includes evaluation of the adequacy and effectiveness of the SSP element and applicable implementing procedures audited, needed corrected actions, needed recommendations, an implementation schedule for corrective actions and status reporting?					FTA Resource Toolkit, Appendices E and G FTA Resource Toolkit, Appendices E and G
				l .	_	l

	In the last 12 months, has the Security Review Committee (or other designated group) addressed the findings and recommendations from the internal security audits, and updated plans, protocols and processes as necessary?						FTA Resource Toolkit, Appendices E and G
17.107	Does the transit agency's internal security audit process ensure that auditors are independent from those responsible for the activity being audited?						
17.108	N/A Not Governed By 49 CFR Part 659	4			N/A	§ 659.23 (e) & § 659.27(a)	
17.109	N/A Not Governed By 49 CFR Part 659	4			N/A	§ 659.27(e)	
17.110	N/A Not Governed By 49 CFR Part 659	4			N/A	§ 659.27 (c)	
17.111	N/A Not Governed By 49 CFR Part 659	4			N/A	§ 659.27 (f)	
17.112	N/A Not Governed By 49 CFR Part 659	4			N/A	§ 659.27 (g)	
17.113	N/A Not Governed By 49 CFR Part 659	4			N/A	§ 659.27 (g)	
17.114	N/A Not Governed By 49 CFR Part 659	4			N/A	§ 659.27 (h)	FTA Resource Toolkit, Appendices E and G
	Should be 0 if all Line Items were rated	195	0	0	Total SPs and RAs		
				0	# of 0,1 and 2	i	
				0	This should be 0 if the # of RAs match the # of ratings ≤ 2		

# OBJECTIVELY MESSURED RISK REDUCTION (OMRR)

Total Explo	sive-detection Canine Teams:		
Total Num	per of Canine Teams:		
	Number of TSA-funded Teams:		
	Number of TSA-legacy Teams:		
	Number of Other (non-TSA) Teams:		
Total Num	per of Behavior Detection Officers:		
Total Num	per of Officers in Department:		
Total Num	oer of BDOs on Specialized Units:		

	1st Quarter	2nd Quarter	3rd Quarter	4th Quarter
Total High Visibility Operations (last 12 months				

## <<Agency Name>>

# **Smart Security Practice Addendums (SP)**

Instructions: For each item identified as a possible "Smart Practice", copy the cells in columns A thru D from the referenced line item in the "Checklist" into the "<<copy and paste from checklist>> line below, then provide a description of the program or practice. For additional entries, copy and paste additional rows.

Item	Description	Score	SP						
< <copy and="" checklist="" from="" paste="">&gt;</copy>									
Smart Secu	Smart Security Practice Description								

<<Enter SP here>>

	Item	Description	Score	SP
_			-	•

<<copy and paste from checklist>>

**Smart Security Practice Description** 

<<Enter SP here>>

Item	Description		
		Score	SP

<<copy and paste from checklist>>

**Smart Security Practice Description** 

<<Enter SP here>>

**Total SPs** 

0

# **EXAMPLE**

Item	Description	Score	SP			
1.101	1.101 Does Amtrak have a System Security Plan (SSP)?					
Smart Secu	rity Practice Description		•			
Amtrak's SS	P is wonderful and should be a model for all transit	systems.				

<<Agency Name>>

# **Recommended Action Addendums**

Instructions: For each item where "Recommended Action" is suggested, copy the cells in columns A thru E from the referenced line item in the "Checklist" Tab into the "<<copy and paste from checklist>>" line below, then provide a description of the recommended corrective action. Include the planned timing for completion in the description. For additional entries, copy and paste additional rows.

Item	Description	Score	SP	RA			
< <copy and<="" td=""><td colspan="7">&lt;<copy and="" checklist="" from="" paste="">&gt;</copy></td></copy>	< <copy and="" checklist="" from="" paste="">&gt;</copy>						
Recommended Action Description							
Option for consideration:							

Item	Description	Score	SP	RA		
< <copy and="" checklist="" from="" paste="">&gt;</copy>						
Recommend	led Action Description					

**Recommended Action Description**Option for consideration:

Item	Description	Score	SP	RA			
< <copy and<="" td=""><td colspan="7">&lt;<copy and="" checklist="" from="" paste="">&gt;</copy></td></copy>	< <copy and="" checklist="" from="" paste="">&gt;</copy>						
Recommend	led Action Description						

Option for consideration:

Item	Description	Score	SP	RA
< <copy and<="" td=""><th>paste from checklist&gt;&gt;</th><td></td><td></td><th></th></copy>	paste from checklist>>			

## **Recommended Action Description**

Option for consideration:



Item	Description	Score	SP	RA
1.101	Does Amtrak have a System Security Plan (SSP)?	0		X

# **Recommended Action Description**

Option for consideration: Develop an SSP. Utilize FTA's SSP template posted on FTA's website.

Assessment of Transportation Security Fundamentals (TSF)

< <agency name="">&gt;</agency>						
DO NOT	MODIFY OR ENTER ANY DATA ON TH	IS SHEET	Γ!			
BASE Section	Description	Score (0-4)	Explanatory Notes / Justification			
TSF-1: P	Protection of High Risk / High Consequence	Underwate	er / Underground Assets and Systems.			
1.105	Do the Security and Emergency Response Plans address protection and response for critical underwater tunnels, underground stations/ tunnels and critical systems, where applicable?	NOT SCORED	0			
5.129	Do the agency's security awareness and emergency response training programs cover response and recovery operations in critical facilities and infrastructure? If so, summarize relevant provisions of program in the justification.	NOT SCORED	0			
5.130	Has the agency provided training to regional first responders (law enforcement agencies, firefighters, and emergency medical response teams) to enable them to operate in critical facilities and infrastructure?	NOT SCORED	0			
7.112	Do public awareness materials and/or messages inform passengers on the means to evacuate safely from transit vehicles and underwater/underground facilities?	NOT SCORED	0			
8.104	Based on the results of question 9.103, has a Risk Assessment, analyzing threat, vulnerability, & consequence, been conducted for critical assets and infrastructure, and systems within the past 3 years? Have management and staff responsible for the risk assessment process been properly trained to manage the process?	NOT SCORED	0			
8.108	Upon request, has TSA been provided access to the agency's vulnerability assessments, Security Plan and related documents?	NOT SCORED	0			
10.112	Does the system conduct drills and exercises of its security and emergency response plans to test capabilities of i) employees and ii) first responders to operate effectively in underwater/underground infrastructure?	NOT SCORED	0			
12.127	Does the agency have or utilize explosive detection canine teams, either maintained by the system or made available from other law enforcement agencies? If so, has the system implemented procedures for reporting of and response to positive reactions by the canine?	NOT SCORED	0			
13.101	Does the agency conduct frequent inspections of key facilities, stations, terminals, trains and vehicles, or other critical assets for persons, materials, and items that do not belong?	NOT SCORED	0			
TSF-2. I	Protection of other high risk/high consequen	ce assets ic	dentified by system risk assessments.			
2.105	Do senior staff and middle management conduct security meetings on a regular basis to review recommendations for changes to plans and processes?	NOT SCORED	0			

6.102	Does the agency have actionable operational response protocols for the specific threat scenarios from NTAS?	NOT SCORED	0
8.101	Does the agency have a risk assessment process approved by its management, for managing threats and vulnerabilities? If so, summarize the process in the justification.	NOT SCORED	0
8.103	Has the agency had an internal or external risk or vulnerability assessment on its critical assets within the past 3 years? Specify the dates of the most recent assessments and the entity(ies) that conducted the assessment(s).	NOT SCORED	0
8.105	Has the system implemented procedures to limit and monitor authorized access to underground and underwater tunnels? If so, summarize procedures in the justification.	NOT SCORED	0
9.102	Does the system report threat and intelligence information directly to FBI Joint Terrorism Task Force (JTTF) or other regional anti-terrorism task force?	NOT SCORED	0
9.103	Does the system have a protocol to report threats or significant security concerns to appropriate law enforcement authorities, and TSA's Transportation Security Operations Center (TSOC)?	NOT SCORED	0
12.103	Has the transit agency developed and implemented procedures to monitor, update and document access control (e.g. card key, ID badges, keys, safe combinations, etc.)?	NOT SCORED	0
12.111	Has the system implemented protective measures to secure high risk/high consequence assets and systems identified in risk assessments? Examples of protective measures include but are not limited to CCTV, intrusion detection systems, smart camera technology, fencing, enhanced lighting, access control, LE patrols, K-9s, protection of ventilation systems. If protective measures for this infrastructure are employed, summarize type and location in in the justification.	NOT SCORED	0
13.105	Does the system document the results of inspections and implement any changes to policies and procedures or implement corrective actions, based on the findings?	NOT SCORED	0
13.106	Does the agency conduct frequent inspections of access points, ventilation systems, and the interior of underground/underwater assets and systems for indications of suspicious activity?	NOT SCORED	0
14.101	Does the agency conduct background investigations (i.e., criminal history and motor vehicle records) on all new front-line operations and maintenance employees, and employees with access to sensitive security information, facilities and systems?	NOT SCORED	0
14.102	To the extent allowed by agency policy or law, does the agency conduct background investigations on contractors, including vendors, with access to critical facilities, sensitive security systems, and sensitive security information?	NOT SCORED	0

15.101	Does the agency keep documentation of its security		0
15.101	critical systems, such as tunnels, bridges, HVAC		
	systems and intrusion alarm detection systems (i.e.	NOT	
	plans, schematics, etc.) protected from unauthorized	SCORED	
	access?		
TSF-3. U	Jse of visible, unpredictable deterrence.		
1.109	Are visible, random security measures integrated into	NOT	0
	security plans to introduce unpredictability into security activities for deterrent effect?	SCORED	
F 404			0
5.131	Is annual refresher training provided regarding security orientation/awareness to managers and supervisors?	NOT	0
	orientation awareness to managers and supervisors.	SCORED	
7.113	Does the system integrate randomness and		0
	unpredictability into its security activities to enhance	NOT SCORED	
	deterrent effect?	SCORED	
TSF-4. T	Cargeted counter-terrorism training for key f	ront-line s	staff.
5.101	Is initial training provided to all new agency employees	NOT	0
	regarding security orientation/awareness?	SCORED	
5.102	Is annual refresher training provided regarding security		0
3.102	orientation/awareness to Senior Management staff,	NOT	
	managers and supervisors?	SCORED	
5.103	Is annual refresher training provided regarding security	NOT	0
	orientation/awareness to managers and supervisors?	SCORED	
5.104	Is annual refresher training provided regarding security orientation/awareness to front-line employees?	NOT	0
	orientation/awareness to front-fine employees:	SCORED	
5.106	Is initial training provided to all new transit employees	NOT	0
	regarding emergency response?	SCORED	
5.107	Is annual refresher training provided regarding	NOT	0
	emergency response to Senior Management staff, supervisors, and managers?	SCORED	
F 100	-		0
5.108	Is annual refresher training provided regarding emergency response to Managers and Supervisors?	NOT	0
		SCORED	
5.109	Is annual refresher training provided regarding	NOT	0
	emergency response to front-line Employees?	SCORED	
5.110	Have agency employees received general training on Incident Command System (ICS) procedures in	NGT	0
	accordance with National Incident Management System	NOT SCORED	
	at least annually?	CONLD	
5.115	as training on the agency's incident response protocols		0
	appropriate to the position been provided to Senior	NOT	
	Management staff, managers and supervisors at least annually?	SCORED	
F 446	·		0
5.116	Has training on the agency's incident response protocols appropriate to the position been provided to	NOT	0
	managers and supervisors?	SCORED	
5.117	Has training on the agency's incident response	NOT	0
	protocols appropriate to the position been provided to	NOT SCORED	
	front-line employees at least annually?	JCOKED	
5.118	Has the transit system implemented an annual training		0
	program for personnel regarding response to terrorism, including (i) Improvised Explosive Devices and ii)		
	Weapons of Mass Destruction (chemical, biological,	NOT	
	radiological, nuclear)? If so, summarize the relevant	SCORED	
	programs in the justification.		

5.128	Are all appropriate personnel notified via briefings, email, voicemail, or signage of changes in threat condition, protective measures or the employee watch programs?	NOT SCORED	0
5.132	Has the agency implemented a program to annually train or orient first responders (law enforcement, firefighters, emergency medical teams) and other potential supporting assets (e.g., TSA regional personnel for VIPR exercises)on railroad familiarization?	NOT SCORED	0
TSF-5. 1	Emergency preparedness drills and exercises	•	
2.203	Are roles and responsibilities for front-line personnel (i.e. system law enforcement, system security officials, train or vehicle operators, conductors, station attendants, maintenance workers) described in the system's Emergency Response Plan (ERP)?	NOT SCORED	0
4.110	Has the transit system tested its communications systems for interoperability with appropriate emergency response agencies?	NOT SCORED	0
10.103	Does the agency evaluate its emergency preparedness by using annual field exercises, tabletop exercises, and/or drills? If so, please summarize the exercise events held in the past year.	NOT SCORED	0
10.108	In the last year, has the agency conducted and/or participated in a drill, tabletop exercise, and/or field exercise including scenarios involving (i) IED's and (ii) WMD (chemical, biological, radiological, nuclear) with other transit agencies and first responders (e.g., NTAS scenarios)?	NOT SCORED	0
10.109	In the last year, has the agency reviewed results and prepared after-action reports to assess performance and develop lessons learned for all drills, tabletop, and/or field exercises?	NOT SCORED	0
10.110	In the last 12 months, has the agency updated plans, protocols and processes to incorporate after-action report recommendations/findings and corrective actions? If so, summarize the actions taken in the justification.	NOT SCORED	0
10.113	Does the transit system integrate local and regional first responders (law enforcement, firefighters, emergency medical teams) in drills, tabletop exercises, and/or field exercises? If so, summarize each joint event and state when it took place.	NOT SCORED	0
<b>TSF-6.</b> 1	Public awareness and preparedness campaign	ns.	
7.102	Does the agency provide active public outreach for security awareness and emergency preparedness (e.g., Transit Watch, "If You See Something, Say Something", message boards, brochures, channel cards, posters, fliers)?	NOT SCORED	0
7.103	Is the above consistent with agency's overall announcement program?	NOT SCORED	0
7.104	Are general security awareness and emergency preparedness messages included in public announcement messages at stations and on board vehicles?	NOT SCORED	0

7.105	Are passengers urged to report unattended property, suspicious behavior, and security concerns to uniformed crew members, law enforcement or security personnel, and/or a contact telephone number? If so, summarize the type of materials used and content in the justification.	NOT SCORED	0
7.107	Does the agency have an appropriate mechanism in place for passengers to communicate an (e.g., 1-800 number, smart phone applications, social media, etc.) that can be called or used to report security concerns? If so, is this information indicated in public awareness materials and messages?	NOT SCORED	0
7.109	Does the agency issue public service announcements or press releases to local media (e.g. newspaper, radio and/or television) regarding security and emergency protocols?	NOT SCORED	0

#### Guidance

#### **PIAP Tool Guidance**

#### PIAP Checklist Tab:

Column "A" represents the BASE checklist question category and line item

Column "B" represents the line item question

Column "C" represents the score (do not change score values)

Columns "D-F" identify SP, RA, and Justification

#### Guide for answering dropdown boxes:

Column "H" - HQs will pre-select "Yes" from the drop down box as to whether the PIAP is required within a category.

Column "I" select yes/no from the drop down box as to whether the PIAP toolkit was utilized. Only applicable to those items identified in Column "I".

Column "J" select from the drop down box whether the vulnerability was addressed or unaddressed. Only applicable to those items identified in Column "I".

Column "K" provide additional comments. Only applicable to those items identified in Column "I".

#### **PIAP Conclusion:**

Complete the PIAP, update the BASE (on the checklist tab) and resubmit to HQs via the STSIP@dhs.gov email box every three months.

#### **Document Library:**

Click on the URL address below to access the document library.

https://team.ishare.tsa.dhs.gov/sites/OpsNet/Inspectors/Surface/BASE/Forms/AllItems.aspx?RootFolder=%2fsites%2fOpsNet@

#### Color Key:





Baseline Security Questions



Baseline "Yes" response



Baseline score 2 or below

Please remember this a work in progress!! Your assistance and suggestions for improvements will be appreciated. For further information or to offer suggestions, please contact:

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# Performance Improvement Action Plan (PIAP) Checklist

<<Agency Name>>

Section		Score (do NOT change scoring values)	Smart Security Practice	Rec. Action	Justification	PIAP Required? (Yes/No)	Referenced PIAP Toolkit (Yes/No)	Improvement Status: (Addressed/Una ddressed)	Additional Comments:
	MANAGEMENT AND ACCOUNTABILITY								
	Establish Written System Security Plans (SSPs) and Eme System Security Plan (SSP)	rgency Response Plans	ERPs)						
1.101	Does the agency have a System Security Plan (SSP)?	NOT SCORED	0	0	0				
1.102	Does the SSP identify the goals and objectives for the security program?	NOT SCORED	0	0	0				
1.103	Does a written policy statement exist that endorses and adopts the policies and procedures of the SSP that is approved and signed by top management, including the agency's chief executive?	NOT SCORED	0	0	0				
1.104	Is the SSP separate from the agency's System Safety Program Plan (SSPP)?	NOT SCORED	0	0	0				
1.105	Program Fran (SSFP)? Do the Security and Emergency Response Plans address protection and response for critical underwater tunnels, underground stations/ tunnels and critical systems, where applicable?	NOT SCORED	0	0	0				
1.106	Does the SSP contain or reference other documents establishing procedures for the management of security incidents by the operations control center?	NOT SCORED	0	0	0				
1.107	Does the SSP contain or reference other documents establishing plans, procedures, or protocols for responding to security events with external agencies (such as law enforcement, local EMA, fire departments, etc.)?	NOT SCORED	0	0	0				
1.108	Does the SSP contain or reference other documents that establish protocols addressing specific threats from (i) Improvised Explosive Devices (EED) and (ii) Weapons of Mass Destruction (chemical, biological, radiological hazards)?	NOT SCORED	0	0	0				
	Are visible, random security measures integrated into security plans to introduce unpredictability into security activities for deterrent effect?	NOT SCORED	0	0	0				
1.110	Does the SSP include provisions requiring that security be addressed in extensions, major projects, new whicles and equipment procurement and other capital projects, and including integration with the agency's safety certification process?	NOT SCORED	0	Ō	0				
1.111	Does the SSP include or reference other documents adopting Crime Prevention Through Environmental Design (CPTED) principles as part of the agency's engineering practices?	NOT SCORED	0	0	0				
1.112	Does the SSP require an annual review?	NOT SCORED	0	0	0				
	Does the agency produce periodic reports reviewing its progress in meeting its SSP goals and objectives?  Has an annual review of the SSP been performed and	NOT SCORED	0	0	0				
1.115	documented in the preceding 12 months?  N/A Not Governed By 49 CFR Part 659	NOT SCORED  4	0	0	0 <b>N/A</b>				
1.116	N/A Not Governed By 49 CFR Part 659	4	0	0	N/A				
1.117 1.200	N/A Not Governed By 49 CFR Part 659 Emergency Response Plan (ERP)	4	0	0	N/A				
1.201	Does the agency have an Emergency Response Plan (ERP)?	NOT SCORED	0	0	0				
1.202	Does a written policy statement exist that endorses and adopts the policies and procedures of the ERP that is approved and signed by top management, including the agency's chief executive?	NOT SCORED	0	0	0				
1.203	Does the ERP require an annual review to determine if it		_		_				
1.204	needs to be updated?  Has an annual review of the ERP been performed and	NOT SCORED	0	0	0				
1.205	documented in the preceding 12 months?	NOT SCORED	0	0	0				
	Does the ERP include a process or review provision to ensure coordination with the agency's SSPP and SSP?	NOT SCORED	0	0	0				
1.206 1.207	N/A Not Governed By 49 CFR Part 659	4	0	0	N/A				
1.207	Does the ERP contain or reference other documents establishing plans, procedures, or protocols for responding to emergency events with external agencies (such as law enforcement, local EMA, fire departments, etc.)?	NOT SCORED	0	0	0				
1.208	Does the ERP contain or reference other documents that establish procedures for the management of emergency events, including those to be employed by the operations control center?	NOT SCORED	0	0	0				
1.209	Does the ERP contain or reference other documents to provide for Continuity of Operations while responding to emergency events?	NOT SCORED	0	0	0				
1.210	Does the agency have a written Business Recovery Plan to guide restoration of facilities and services following an emergency event?	NOT SCORED	0	0	0				
1.211	Does the agency have a written Business Continuity Plan and COOP to guide restoration of facilities and services following an emergency event?	NOT SCORED	0	0	0				
1.212	Does the agency have a back-up operations control center capability?	NOT SCORED	0	0	0				
	Define Roles and Responsibilities for Security and Emerg	ency Management							•
2.100 2.101	System Security Plan (SSP)  Does the SSP establish and assign responsibility for								
	implementation of the security program to a Senior Manager who is a "direct report" to the agency's Chief Executive Officer? Has the agency established lines of delegated	NOT SCORED	0	0	0				
	authority/succession of security responsibilities and, if so, has that information been distributed to agency managers?	NOT SCORED	0	0	0				
	Are roles and responsibilities for security and/or law enforcement personnel assigned by title and/or position established in the SSP or other documents?	NOT SCORED	0	0	0				
2.104	Are security-related roles and responsibilities for non- security and/or law enforcement personnel (i.e., operators, conductors, maintenance workers and station attendants) established in the SSP or other documents?	NOT SCORED	0	0	0				
2.105	Do senior staff and middle management conduct security meetings on a regular basis to review recommendations for changes to plans and processes?	NOT SCORED	0	0	0				
2.106	Does a Security Review Committee (or other designated group) regularly review security incident reports, trends, and program audit findings?	NOT SCORED	0	0	0				

2.107	Are informational briefings with appropriate personnel held whenever security protocols, threat levels, or protective measures are updated or as security conditions warrant?	NOT SCORED	0	0	0				
2.100		NOT SCOKED	Ü		·				
2.108	Have appropriate reference guides or other written instructions or procedures been distributed to transit employees to implement the requirements of the SSP?	NOT SCORED	0	0	0				
2.109	Has the agency appointed a Primary and Alternate Security					<u> </u>			
	Coordinator to serve as its primary and immediate 24-hr contact for intelligence and security-related contact with TSA and are the names of those Coordinators on file with	NOT SCORED	0	0	0				
	TSA OSPIE office correct?	NOT SCORED	0	"	U				
2.110	Does the agency maintain a record of security related incidents that are reported within the agency?		_	_	0				
		NOT SCORED	0	0	0				
2.200 2.201	Emergency Response Plan (ERP)  Does the ERP establish and assign responsibility for			_	I	1	I	I	
	implementation of the security program to a Senior Manager who is a "direct report" to the agency's Chief Executive Officer?	NOT SCORED	0	0	0				
2.202	Are emergency response roles and responsibilities for all departments identified in the ERP or other supporting	NOTECORED							
2.203	documents?  Are roles and responsibilities for front-line personnel (i.e.	NOT SCORED	0	0	0				
2.203	system law enforcement, system security officials, train or webicle operators, conductors, station attendants								
	maintenance workers) described in the system's Emergency Response Plan (ERP)?	NOT SCORED	0	0	0				
2.204	Has the ERP been distributed to appropriate departments in					-			
2.205	the organization?  Have appropriate reference guides or other written	NOT SCORED	0	0	0	-			
	instructions or procedures been distributed to transit employees to implement the requirements of the ERP?	NOT SCORED	0	0	0				
2.206	Are senior staff and middle management ERP coordination	NOT SCORED	0	0	0	l			
2.207	meetings held on a regular basis?  Are informational briefings with appropriate personnel held				-	<b>-</b>			
	whenever emergency response protocols are substantially changed or updated?	NOT SCORED	0	0	0				
2.208	Does the agency use National Fire Protection Association (NFPA) Standard 130 or equivalent local codes to evaluate fire/life safety in station design or modification (including								
	fire detection systems, firewalls and flame-resistant materials, back-up powered emergency lighting, defaults in turnstile and other systems supporting emergency exists.	NOT SCORED	0	0	0				
	turnstile and other systems supporting emergency exists, and pre-recorded public announcements)?								
3	Exercise that assertions and		one hold	la fau cas	as under their control				
3.101	Ensure that operations and maintenance supervisors, for Do managers and supervisors routinely provide information								
	to front-line personnel regarding security and emergency response issues?	NOT SCORED	0	0	0				
3.102	Are regular supervisor, manager, and/or foreperson security review and coordination briefings held? If so, detail frequency and subjects covered in the justification.	NOT SCORED	0	0	0				
3.103	Does the agency have a program for confirming that personnel have a working knowledge of security protocols? If so, summarize program in the justification.	NOT SCORED	0	0	0				
3.104	Are managers and/or supervisors required to debrief front-								
3.104	line employees regarding their involvement in or management of any security or emergency incidents?	NOT SCORED	0	0	0				
4.000	Coordinate Security and Emergency Management Plan(s	with local and regions	al agencies						
4.101	Have Mutual Aid agreements been established between the								
	agency and entities in the area that would be called upon to supplement the agency's resources in the event of an emergency event?	NOT SCORED	0	0	0				
4.102	supplement the agency's resources in the event of an emergency event?  Does the agency participate in a regional Emergency	NOT SCORED	0	0	0				
4.102	supplement the agency's resources in the event of an emergency event?	NOT SCORED	0	0	0				
4.102	supplement the agency's resources in the event of an emergency event?  Does the agency participate in a regional Emergency Management Working Group or similar regional coordinating body for emergency preparedness and				0				
	supplement the agency's resources in the event of an emergency event?  Does the agency participate in a regional Emergency Management Working Group or similar regional coordinating body for emergency preparetieses and response?  Have regional incident management protocols been shared with the agency and increporated into the agency's EBP?  Have agency resources been appropriately identified and	NOT SCORED	0	0	0				
4.103	supplement the agency's resources in the event of an emergency event?  Does the agency participate in a regional Emergency Management Working Group or similar regional coordinating body for emergency preparedness and tesponse?  Have regional incident management protocols been shared with the agency and incorporated into the agency's ERP?  Have agency resources been appropriately identified and provided to the regional EMAT?  Does the agency have decisionated point-of-contact or Does the agency have decisionated point-of-contact or	NOT SCORED  NOT SCORED  NOT SCORED	0	0	0 0				
4.103 4.104 4.105	supplement the agency's resources in the event of an emergency event?  Does the agency participate in a regional Emergency Management Working Group or similar regional coordinating body for emergency preparetieses and exequite the exposite of the exposit	NOT SCORED	0	0	0				
4.103 4.104 4.105	supplement the agency's resources in the event of an emergency event?  Does the agency participate in a regional Emergency Management Working Group or similar regional coordinating body for emergency preparetieses and exequite the exposite of the exposit	NOT SCORED  NOT SCORED  NOT SCORED	0	0	0 0				
4.103 4.104 4.105	supplement the agency's resources in the event of an emergency event?  Does the agency participate in a regional Emergency Management Working Group or similar regional coordinating body for emergency preparedness and regional.  Have regional incident management protocols been shared with the agency and incorporated into the agency's ERP?  Have agency resources been appropriately identified and large agency resources been appropriately identified and large agency resources been appropriately identified and into the agency bear agency and the appropriately identified and large agency resources been appropriately identified and large agency resources been appropriately identified and large agency been a designated opinion of contract or lation with the ford/regional Emergency Operations Center (EGC)?	NOT SCORED  NOT SCORED  NOT SCORED	0 0	0 0	0 0				
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5.113	Has ICS and NIMS training appropriate to the position		1	I	1			
	been provided to front-line employees at least annually?	NOT SCORED	0	0	0			
5.114	Has the agency developed a program and provided annual training on its own incident response protocols?	NOT SCORED	0	0	0			
5.115	Has training on the agency's incident response protocols appropriate to the position been provided to Senior Management staff, managers and supervisors at least annually?	NOT SCORED	0	0	0			
5.116	Has training on the agency's incident response protocols appropriate to the position been provided to managers and supervisors at least annually?	NOT SCORED	0	0	0			
5.117	Has training on the agency's incident response protocols appropriate to the position been provided to front-line employees at least annually?	NOT SCORED	0	0	0			
5.118	Has the transit system implemented an annual training program for personnel regarding response to terrorism, including (i) Improvised Explosive Devices and ii) Weapons of Mass Destruction (chemical, biological, radiological, nuclear)? If so, summarize the relevant programs in justification.	NOT SCORED	0	0	0			
5.119	Has training focused on IEDs and WMDs appropriate to the position been provided to Senior Management staff, managers, and supervisors at least annually?	NOT SCORED	0	0	0			
5.120	Has training focused on IEDs and WMDs appropriate to the position been provided to manager and supervisors at least annually?	NOT SCORED	0	0	0			
5.121	Has training focused on IEDs and WMDs appropriate to the position been provided to front-line employees at least	NOT SCORED	0	0	0			
5.122	annually?  Do law enforcement/security department personnel at the agency receive specialized training in counter-terrorism				·			
5.123	annually? Summarize program in the justification.  Do law enforcement/security department personnel at the agency receive specialized training supporting their	NOT SCORED	0	0	0			
	incident management and emergency response roles at least annually? Summarize program in justification.	NOT SCORED	0	0	0			
5.124	Does the agency have an established program to monitor employee training and to schedule employees for training as needed?	NOT SCORED	0	0	0	L		
5.125	Does the agency have a system that records and tracks personnel training for all security-related courses (including initial, annual, periodic and other)?	NOT SCORED	0	0	0			
5.126	Does the agency have a system that records and tracks personnel training for emergency response courses (including initial, annual, periodic and other)?	NOT SCORED	0	0	0		 	
5.127	Does the agency have a program to regularly review and update security awareness and emergency response training materials?	NOT SCORED	0	0	0			
5.128	Are all appropriate personnel notified via briefings, email, voicemail, or signage of changes in threat condition, protective measures or the employee watch programs?	NOT SCORED	0	0	0			
5.129	Do the agency's security awareness and emergency response training programs cover response and recovery							
5.130	operations in critical facilities and infrastructure? If so, summarize relevant provisions of program in the justification.	NOT SCORED	0	0	0			
5.130	Has the agency provided training to regional first responders (law enforcement agencies, firefighters, and emergency medical response teams) to enable them to operate in critical facilities and infrastructure?	NOT SCORED	0	0	0			
5.131	Does training of agency law enforcement and/or security personnel integrate the concept and employment of visible, random security measures?	NOT SCORED	0	0	0			
5.132	Has the agency implemented a program to annually train or orient first responders (law enforcement, firefightes), emergency medical teams) and other potential supporting assets (e.g., TSA regional personnel for VIPR exercises) on railroad familiarization?	NOT SCORED	0	0	0			
6.000	NATIONAL TERRORISM ADVISORY SYSTEM (NTA Establish plans and protocols to respond to the DHS Nation	*	ry System (NTAS).					
6.101	Does the SSP contain or reference other documents identifying incremental actions (imminent or elevated) to				_			
6.102	be implemented for a NTAS threat?  Does the agency have actionable operational response	NOT SCORED	0	0	0			
6.103	protocols for the specific threat scenarios from NTAS?  Has the agency provided annual training and/or instruction focused on job function regarding the incremental activities	NOT SCORED	0	0	0			
	locused on job function regarding the incremental activities to be performed by employees?  PUBLIC AWARENESS	NOT SCORED	0	0	0			
	Implement and reinforce a Public Security and Emergence	y Awareness program:						
7.101	Has the agency developed and implemented a public security and emergency awareness program?	NOT SCORED	0	0	0			
7.102	Does the agency provide active public outreach for security awareness and emergency preparedness (e.g., Transit Watch, "If You See Something," as message boards, brochures, channel cards, posters, fliers)?	NOT SCORED	0	0	0			
7.103	Is the above consistent with agency's overall announcement program?	NOT SCORED	0	0	0			
7.104	Are general security awareness and emergency preparedness messages included in public announcement messages at stations and on board vehicles?	NOT SCORED	0	0	0			
7.105	Are passengers urged to report unattended property, suspicious behavior, and security concerns to uniformed crew members, law enforcement or security personnel, and/or a contact telephone number? If so, summarize the type of materials used and content in the justification.	NOT SCORED	0	0	O			
7.106	Does the agency use Transit Watch materials in its security and emergency awareness program?	NOT SCORED	0	0	0			
7.107	ante emergency awareness program:  Does the agency have an appropriate mechanism in place for passengers to communicate an (e.g., 1-800 number, samt phone applications, social media, etc.) that can be called or used to report security concerns? If so, is this automation indicated in public awareness materials and messiages?	NOT SCORED	0	0	0			
7.108	Does the agency issue public service announcements or press releases to local media (e.g. newspaper, radio, selevision, social media, QRC codes, and/or apps for smart phones) regarding security and emergency protocols?	NOT SCORED	0	0	0			
7.109	Does the agency issue public service announcements or press releases to local media (e.g. newspaper, radio, television, social media, QRC codes, and/or apps for smart phones) regarding security and emergency protocols?	NOT SCORED	0	0	0			
7.110	Does the agency conduct a volunteer training program for	NOT SCORED	0	0	0			
7.110	non-employees to aid with system evacuations and emergency response?	HOT SCORED						I .

	Does the agency conduct an outreach program to enlist members of the public as security awareness volunteers, similar to Neighborhood Watch programs?	NOT SCORED	0	0	0		
7.112	Do public awareness materials and/or messages inform passengers on the means to evacuate safely from transit vehicles and/or from underwater/underground facilities?	NOT SCORED	0	0	0		
7.113	Does the system integrate randomness and unpredictability into its security activities to enhance deterrent effect?	NOT SCORED	0	0	0		
7.114	Does the agency track and monitor customer complaints	NOT SCORED	0	0	0		
8	reported by passengers?  ESTABLISH A RISK ASSESSMENT AND INFORMAT  Establish and use a Risk Management Process to assess an			equences		l	
8.101	Does the agency have a risk assessment process approved by its management, for managing threats and vulnerabilities? If so, summarize the process in the justification.	NOT SCORED	0	0	0		
8.102	Has the agency identified facilities and systems it considers to be its critical assets?	NOT SCORED	0	0	0		
8.103	Has the agency had an internal or external risk or vulnerability assessment on its critical assets within the past 3 years? Specify the dates of the most recent assessments and the entity(ies) that conducted the assessment(s).	NOT SCORED	0	0	0		
8.104	Based on the results of question 9.103, has a Risk Assessment, analyzing threat, vulnerability, & consequence, been conducted for critical assess and consequence, been conducted for critical assess and compensation of the consequence of the consequence and staff responsible for the risk sussessment guesties been consequenced and staff responsible for the risk sussessment guesties that the consequence of the c	NOT SCORED	0	0	0		
8.105	Has the system implemented procedures to limit and monitor authorized access to underground and underwater tunnels? If so, summarize procedures in the justification.	NOT SCORED	0	0	0		
8.106	Are security investments prioritized using information developed in the risk assessment process?	NOT SCORED	0	0	0		
8.107	Has the date of the most recent vulnerability assessment been provided to TSA at sd.masstransit@dhs.gov?	NOT SCORED	0	0	0		
8.108	been provided to TSA at sd.masstransit@dhs.gov?  Upon request, has TSA been provided access to the agency's vulnerability assessments, Security Plan and related documents?	NOT SCORED	0	0	0		
	ESTABLISH A RISK ASSESSMENT AND INFORMAT						
9.000	Establish and use a Risk Management Process to assess as Does the agency have a formalized process and procedures	nd manage threats, vul	nerabilities and con	sequences			
9.102	for reporting and exchange of threat and intelligence information with Federal, State, and/or local law enforcement agencies?  Does the system report threat and intelligence information	NOT SCORED	0	0	0		
9.103	directly to FBI Joint Terrorism Task Force (JTTF) or other regional anti-terrorism task force?  Does the system have a protocol to report threats or	NOT SCORED	0	0	0		
9.103	Does the system have a protocot to report tureas or significant security concerns to appropriate law enforcement authorities, and TSA's Transportation Security Operations Center (TSOC)?	NOT SCORED	0	0	0		
9.104	Does the agency routinely receive threat and intelligence information directly from any Federal government agency, State Homeland Security Office, Regional or State Intelligence Fusion Center, PT-ISAC, or other transit agencies?  Does the agency report their NTD security data to FTA as	NOT SCORED	0	0	0		
9.105	required by 49 CFR 659?	NOT SCORED	0	0	0		
10.000	required by 49 CFR 6597  Conduct Tabletop and Functional Drills  Does the agency's System Safety Program Plan (SSPP) contain or reference a document describing the process used by the agency to develop an approved, coordinated schedule for all emergency management program activities, and containing food and emergency planning and participation in exercises and drills?	NOT SCORED	0	0	0		
10.000	required by 49 CFR 6597  Conduct Tabletop and Functional Drills  Does the agency's System Safety Program Plan (SSPP)  contain or reference a document describing the process used by the agency to develop an approved, coordinated schedule for all emergency management program activities, including logal/regional emergency voluming and						
10.000	required by 40 CFR 6597  Conduct Tablety and Functional Drills  Doe the agency's System Sulery Program Plac (SSTP)  Too the agency's System Sulery Program Plac (SSTP)  Too totalin or reference a document describing the process used by the agency to develop an approved, coordinated schedule for all emergency management program activities, including local/regional emergency planning and participation in exercises and drills'  Diese the agency's SSTP or SSP describe or reference how the agency performs in emergency planning expensional little and requirements regioning emergency	NOT SCORED	0	0	0		
10.000 10.101	required by 40 CFR 6597  Conduct Tablety and Functional Drills  Doe the agency's System Sulery Pengann Plan (SSTP)  The the agency's System Sulery Pengann Plan (SSTP)  Touthing the reference and comment describing the process used by the agency to develop an approved, coordinated schedule for all emergency management program activities, including local/regional emergency planning and participation in exercises and drills'  Does the agency's SSTP or SSP describe or reference how the agency self-tours in emergency planning responsibilities and requirements regarding emergency drills and exercises?  Due the agency chanta in temperacy preparadises by doing amount fired exercises, subletty evertices, and/or drills. If so, please summarize the exercise events held in  drills. If so, please summarize the exercise events held in	NOT SCORED	0	0	0		
10.000 10.101 10.102 10.103	required by 40 CFR 6597  Conduct Tablety and Functional Drills  Does the agency's System Salesy Program Plan (SSPP) contain or reference a document describing the process used by the agency to develop an approved, coordinated schedule for all energency sunsagreement program activities, participation in exercises and drills?  Does the agency's SSPP or SSP describe or reference how the agency performs the emergency planning office of the agency of the system of the system of the system  distance of the agency contains to the system of the syste	NOT SCORED  NOT SCORED	0	0	0		
10.000 10.101 10.102 10.103	required by 40 CFR 6597  Conduct Tablety and Functional Drills  Doe the agency's System Sulery Pengann Plan (SSFP)  contain a reference adoutment describing the process used by the agency to develop an approved, coordinated schedule for all emergency management program activities, including local/regional emergency planning and participation in excretices and drills?  Does the agency's SSFP or SSF describe or reference how the agency performs in emergency planning expossibilities and requirements regarding emergency drills and exercises?  Does the agency evaluate in energency preparadoses by drills and exercises.  Does the agency exposition in the property preparadose by drills; If so, please summarize the exercise events held in the past year.  Does the agency SSFP or a related document include a requirement for annual field exercises, bulletops and coldinate to the agency's SSFP or S a related document include a requirement for annual field exercises, bulletops and cold to the agency of the state of the state of the state of the state of the degradory documents the results of its emergency preparedoses evolutions (e.e., befining), and excricine proparadoses evolutions (e.e., befining), and excricines (e.e., preparedoses evolutions (e.e., befining), and excricine proparadoses evolutions (e.e., befining), and excricine proparadoses evolutions (e.e., befining), and excricine pro- tine agency and excricines are also as a second or and excricines.	NOT SCORED  NOT SCORED  NOT SCORED	0	0 0	0		
10.000 10.101 10.102 10.103 10.104	required by 40 CFR 6597  Conduct Tablety and Functional Drills  Does the agency's System Salesy Program Plan (SSPP) contains or reference a document describing the process used by the agency to develop an approved, coordinated schedule for all energency sunsangement programs activities, participation in exercises and drills?  Does the agency's SSPP or SSP describe or reference how the agency performs to energency planning out of the special programs are supported by the special programs of the special pro	NOT SCORED  NOT SCORED  NOT SCORED  NOT SCORED	0	0 0 0 0	0		
10.000 10.101 10.102 10.103 10.104	required by 40 CFR 6597  Conduct Tablety and Functional Drills  Does the agency 4 System Safety Program Plan (SSPP) contains or reference a document describing the process used by the agency to develop an approved, coordinated schedule for all energency management program activities, native programs are striken for the containing and participation in exercises and drills?  Does the agency in SSPP or SSP describe or reference how the agency performs its emergency planning read programs and activities, and the approachabilities and requirements regarding emergency drills and exercises?  Does the agency evaluate its emergency personal field exercises in the past of the pas	NOT SCORED  NOT SCORED  NOT SCORED  NOT SCORED  NOT SCORED	0 0 0 0	0 0 0 0 0	0 0 0		
10.000 10.101 10.102 10.103 10.104 10.105	required by 49 CFR 6597  Conduct Tablety and Functional Drills  Does the agency's System Safety Pingam Plan (SSPP) contains or reference a document describing the process used by the agency to develop an approved, coordinated schedule for all energency management program activities, nativities, and contains or reference and contains or reference program activities, nativities, and contains the services of the s	NOT SCORED  NOT SCORED  NOT SCORED  NOT SCORED  NOT SCORED  NOT SCORED	0 0 0 0 0 0	0 0 0 0 0 0	0 0 0 0		
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10.101  10.102  10.103  10.104  10.105  10.106  10.106  10.107	required by 40 CFR 6297  Conduct Tablety and Functional Drills  Does the agency's System Safety Program Plan (SSPP) contains or reference a document describing the process used by the agency to develop an approved, coordinated schedule for all energency management program activities, articles for the program of the program and contains or reference and drills?  Does the agency's SSPP or SSP describe or reference how the agency performs its emergency planning and participation in exercises and drills?  Does the agency's SSPP or SSP describe or reference how the agency reforms its emergency planning drills and exercises?  Does the agency evaluate its emergency preparedness by using animal field exercises, subletog exercises, and/or the past year.  Does the agency's SSPP or SSP describe or reference how the past year.  Does the agency's SSPP or a related document include a requirement for animal field exercises, subletog exercises, and/or agency's SSPP or a related document include a requirement for animal field exercises, tabletops and drills?  Does the agency's SSPP or a related document include a requirement for animal field exercises, tabletops and drills's agency documents the results of its emergency preparedness evaluations (i.e., birefings, after action reports and implementation of findings)?  Does the agency of the past year, and a service in the past year and implementation of findings?  Does the agency of the past year and action reports and implementation of findings?  Does the agency of the past year and the exercise in program for providing employee training on exercises, response protocols and proceedural?  Does the agency of the past year of the p	NOT SCORED	0 0 0 0 0 0 0 0	0 0 0 0 0 0 0 0	0 0 0 0 0 0 0 0 0 0 0 0 0 0 0 0 0 0 0 0		
10.000  10.101  10.102  10.103  10.104  10.105  10.106  10.107  10.108  10.109  10.110	required by 40 CFR 6297  Conduct Tablety and Functional Drills  Does the agency's System Salesy Program Plan (SSPP) contains or reference a document describing the process used by the agency to develop an approved, coordinated schedule for all recognizing contains or reference and online of section participation in exercises and drills?  Does the agency's SSPP or SSP describe or reference how the agency performs to enterpency planning and a contains or section of the	NOT SCORED	0 0 0 0 0 0 0 0	0 0 0 0 0 0 0 0	0 0 0 0 0		
10.102  10.103  10.104  10.105  10.106  10.107  10.108  10.109  10.111  10.111	required by 40 CFR 6297  Conduct Tablety and Functional Drills  Does the agency's System Safety Program Plan (SSPP) contains or reference a document describing the process used by the agency to develop an approved, coordinated schedule for all energency management program activities, articles for the program of the program and contains or reference and drills?  Does the agency's SSPP or SSP describe or reference how the agency performs its emergency planning and participation in exercises and drills?  Does the agency's SSPP or SSP describe or reference how the agency reforms its emergency planning drills and exercises?  Does the agency evaluate its emergency preparedness by using animal field exercises, subletog exercises, and/or the past year.  Does the agency's SSPP or SSP describe or reference how the past year.  Does the agency's SSPP or a related document include a requirement for animal field exercises, subletog exercises, and/or agency's SSPP or a related document include a requirement for animal field exercises, tabletops and drills?  Does the agency's SSPP or a related document include a requirement for animal field exercises, tabletops and drills's agency documents the results of its emergency preparedness evaluations (i.e., birefings, after action reports and implementation of findings)?  Does the agency of the past year, and a service in the past year and implementation of findings?  Does the agency of the past year and action reports and implementation of findings?  Does the agency of the past year and the exercise in program for providing employee training on exercises, response protocols and proceedural?  Does the agency of the past year of the p	NOT SCORED  NOT SCORED					

11.102	Has the agency implemented protocols to ensure that all IT facilities (e.g., data centers, server rooms, etc) and							
	equipment are properly secured to guard against internal or external threats or attacks?	NOT SCORED	0	0	0			
11.103	Has a written strategy been developed and integrated into the overall security program to mitigate the cyber risk identified?	NOT SCORED	0	0	Ō	l .		
11.104	Does the agency have a designated representative to secure							
	the internal network through appropriate access controls for employees, a strong authentication (i.e., password) policy.					l .		
	encrypting sensitive data, and employing network security infrastructure (example: firewalls, intrusion detection systems, IT security audits, antivirus, etc)?	NOT SCORED	0	0	0			
11.105	Does the agency ensure that recurring cyber security					<b> </b>		
	training reinforces security roles, responsibilities, and duties of employees at all levels to protect against and	NOT SCORED	0	0	0	l .		
	recognize cyber threats?	NOT SCORED	Ů		· ·	l .		
11.106	Has the agency established a cyber-incident response and reporting protocol?	NOT SCORED	0	0	0			
11.107	Is the agency aware of and using available resources (e.g., standards, PT-ISAC, US CERT, National Cyber Security							
	Communication and Integration Center, etc)?	NOT SCORED	0	0	0	l .		
	FACILITY SECURITY AND ACCESS CONTROLS							
12.000	Control Access to Security Critical Facilities with ID badg Have assets and facilities requiring restricted access been						1	
12.102	identified?  Are ID badges or other measures employed to restrict	NOT SCORED	0	0	0	ļ		
12.102	access to facilities not open to the public?  Has the agency developed and implemented procedures to	NOT SCORED	0	0	0	ļ		
12.103	monitor, update and document access control (e.g. card key, ID badges, keys, safe combinations, etc.)?	NOT SCORED	0	0	0	l .		
12.104	Does the agency have procedures to issue ID badges for					L		
12.104	Does the agency have procedures to issue ID badges for visitors and contractors?  Does the agency require escorts for visitors accessing non-	NOT SCORED	0	0	0			
12.105	public areas?  Is CCTV equipment installed at the agency's facilities?	NOT SCORED	0	0	0	l		
12.106	Is CCTV equipment instaned at the agency's racinties?  Is CCTV equipment protecting critical assets interfaced	NOT SCORED	0	0	0			
12.107	Is CCTV equipment protecting critical assets interfaced with an access control system?  Is CCTV equipment installed on transit vehicles?	NOT SCORED	0	0	0	<u> </u>		
12.108	Are Crime Prevention through Environmental Design	NOT SCORED	0	0	0			
	(CPTED) and technology (e.g., CCTV, access control, intrusion detection, bollards, etc) incorporated into design criteria for all new and/or existing capital projects?	NOT SCORED	0	0	0			
12.110	Based on the risk assessment, does the agency use fencing, barriers, and/or intrusion detection to protect against unauthorized entry into stations, facilities, and other	NOT SCORED	0	0	0			
	identified critical assets?	NOT SCORED	Ů	Ů	· ·			
12.111	Has the system implemented protective measures to secure high risk/high consequence assets and systems identified in risk assessments? Examples of protective measures include							
	but are not limited to CCTV, intrusion detection systems, smart camera technology, fencing, enhanced lighting,					l .		
	access control, LE patrols, K-9s, protection of ventilation systems. If protective measures for this infrastructure are	NOT SCORED	0	0	0	l .		
	employed, summarize type and location in the justification.					l .		
						l .		
12.112	Does the agency monitor a network of security, fire, duress, intrusion, utility and internal 911 alarm systems?	NOT SCORED	0	0	0			
12.113	Are emergency call boxes provided for passengers?					-		
12.114	Do agency personnel administer an automated employee	NOT SCORED	0	0	0	l		
	access control system and perform corrective analysis of security breaches?	NOT SCORED	0	0	0			
12.115	Does the agency have policies and procedures for screening of mail and/or outside deliveries?	NOT SCORED	0	0	Ō			
12.116	Have locks, bullet resistant materials and anti- fragmentation materials been installed/used at critical	NOT SCORED	0	0	Ō			
12.117	locations?  Does the agency use National Fire Protection Association					<b> </b>		
	(NFPA) Standard 130 or equivalent local codes to evaluate fire/life safety in station design or modification (including							
	fire detection systems, firewalls and flame-resistant materials, back-up powered emergency lighting, defaults in turnstile and other systems supporting emergency exists, and pre-recorded public announcements)?	NOT SCORED	0	0	0	l .		
	and pre-recorded public announcements)?					l .		
12.118	Is directional signage with adequate lighting provided in a					-		
	consistent manner in all stations, both to provide orientation and to support emergency evacuation?	NOT SCORED	0	0	Ō	l .		
12.119	Are gates and locks used on all facility doors to prevent					<b> </b>		
12.120	Are keys controlled through an established program	NOT SCORED	0	0	0	<b> </b>		
12.121	managed by the security/police function?  Are gates and locks also used to close down system	NOT SCORED	0	0	0	<b> </b>		
12.122	facilities after operating hours?  Do passenger vehicles have radios, silent alarms, and/or	NOT SCORED	0	0	0	<b> </b>		
12.123	passenger communication systems?  Does the agency use graffiti-resistant/etch-resistant	NOT SCORED	0	0	0	l		
	materials for walls, ceilings, and windows?	NOT SCORED	0	0	0			
12.124	Are Uninterruptible Power Supply (UPS) or redundant power sources provided for safety and security of critical equipment, such as but not limited to: exit and platform							
	equipment, such as but not limited to: exit and platform lighting; parking lot lighting; ancillary space and shop lighting; intrusion detection (alarmed rooms and spaces,					l .		
	fare collection equipment, etc.); fire detection, alarm and suppression systems; public address (shop and public areas); call-for-aid telephones; CCTV; emergency trip	NOT SCORED	0	0	0			
	areas); call-for-aid telephones; CCTV; emergency trip stations; vital train control functions; etc.?	NOT SCORED	Ů		U	l .		
12.125	At nacconstar crations at which a subsensitive acco					<b> </b>		
12.123	At passenger stations at which a vulnerability assessment has identified a significant risk, and to the extent practicable, has the owner/operator removed trash							
	receptacles and other non-essential receptacles or containers (with the exception of bomb resistant receptacles or clear plastic containers) from the platform areas of	NOT SCORED	0	0	0			
	passenger terminals and stations?							
12.126	Does the agency employ spacific protessing massage (					<b> </b>		
12.120	Does the agency employ specific protective measures for all critical infrastructure (e.g., tunnels, bridges, stations, control centers, etc), identified through the risk assessment							
	particularly at access points and ventilation infrastructure in place and maintained in optimal condition? Examples of protective measures include, but are not limited to, CCTV,							
	intrusion detection systems, smart camera technology, fencing lighting access control law enforcement patrols							
	canine patrols, physical protection for ventilation systems. If protective measures for this infrastructure are employed,	NOT SCORED	0	0	0			
	summarize type and location in the justification.							
12.127	Does the agency have or utilize explosive detection canine teams, either maintained by the system or made available from other law enforcement agencies? If so, has the system							
	from other law enforcement agencies? If so, has the system implemented procedures for reporting of and response to positive reactions by the canine?	NOT SCORED	0	0	0			

12.128	Is there a process in place, with necessary training provided to personnel, to ensure that in service rail cars are								
	inspected at regular periodic intervals for suspicious or unattended items? Specify type and frequency of	NOT SCORED	0	0	ō	l .			
	inspections.					l .			
12.129	Is there a process in place, with necessary training provided					-			
	to personnel, to ensure that all critical infrastructure are inspected at regular periodic intervals for suspicious or unattended items? Specify type and frequency of					l .			
		NOT SCORED	0	0	0				
	inspections.								
	Conduct Physical Security Inspections								
13.101	Does the system conduct frequent inspections of key facilities, stations, terminals, trains and vehicles, or other								
	key assets for persons, materials, and items that do not belong?	NOT SCORED	0	0	0	l .			
13.102	Has the agency established procedures for inspecting/sweeping vehicles and stations to identify and manage suspicious items, based on HOT characteristics								
	(hidden, obviously suspicious, not typical) or equivalent	NOT SCORED	0	0	0				
	system?								
13.103	Has the agency developed a form or quick reference guide								
	for operations and personnel for the conduct of pre-trip, post-trip, and within trip inspections?	NOT SCORED	0	0	0				
13.104	Has the agency developed a form or quick reference guide for station attendants and others regarding station and				_				
	facility inspections?	NOT SCORED	0	0	0	l .			
13.105	Does the system document the results of inspections and								
	implement any changes to policies and procedures or implement corrective actions, based on the findings?	NOT SCORED	0	0	0				
13.106									
13.106	Does the agency conduct frequent inspections of access points, ventilation systems, and the interior of					l .			
	underground/underwater assets and systems for indications of suspicious activity?	NOT SCORED	0	0	0				
						-			
	Does the system integrate randomness and unpredictability	NOT SCORED	0	0	0				
13.107	into its security activities to enhance deterrent effect?					-			
14.000	BACKGROUND INVESTIGATIONS  Conduct Background Investigations of Employees and Co	ontractors				_			
14.101	Does the agency conduct background investigations (i.e.					-			
	criminal history and motor vehicle records) on all new front-line operations and maintenance employees, and								
	employees with access to sensitive security information, facilities and systems?	NOT SCORED	0	0	0				
	постыев ана зуменья								
14.102	To the entent allowed by					I			
14.102	To the extent allowed by agency policy or law, does the agency conduct background investigations on contractors, including vendors, with access to critical facilities,								
		NOT SCORED	0	0	0				
	information?								
14.103	Has counsel for the agency reviewed the process for conducting employee background investigations to confirm								
	that procedures are consistent with applicable statutes and	NOT SCORED	0	0	0				
	regulations?	GOKED							
14.104	Is the background investigation process documented?								
14.104	is the background investigation process documented:	NOT SCORED	0	0	0	l .			
14.105	Are the criteria for background investigations based on employee type (senior management staff, law enforcement								
	officers, managers/supervisors, operators, maintenance,					l .			
	safety/security sensitive, contractor, etc.) and/or responsibility and access documented?	NOT SCORED	0	0	0	l .			
						l .			
	DOCUMENT CONTROL								
15.000	Control Access to documents of security critical systems a	and facilities							
15.101	Does the agency keep documentation of its security critical								
	systems, such as tunnels, bridges, HVAC systems and intrusion alarm detection systems (i.e. plans, schematics,	NOT SCORED	0	0	0	l .			
	etc.) protected from unauthorized access?				_	l .			
15.102									
15.102	Has the agency designated a department/person responsible for administering the access control policy with respect to	NOT SCORED	0	0	0				
	for administering the access control policy with respect to agency documents?	NOT SCORED	0	0	0				
15.102	for administering the access control policy with respect to agency documents? Does the security review committee (or other designated group) review document control practices, assess	NOT SCORED	0	0	0				
	for administering the access control policy with respect to agency documents?  Does the security review committee (or other designated	NOT SCORED	0	0	0				
	for administering the access control policy with respect to agency documents?  Does the security review committee (or other designated group) review document control practices, assess compliance applicable procedures, and identify								
15.103 16.000	for administering the access control policy with respect to agency document?  Does the security review committee (or other designated group) review document control practices, assess complaince applicable procedure, and identify discrepancies and necessary corrective action?  Process for handling and access to Sensitive Security Info	NOT SCORED							
15.103	for administering the access control policy with respect to gency document?  Does the security review committee for other designated group) review document control pontices, and dentity descripanties and access to Sensitive Security India descripanties and access to Sensitive Security India Process for handling and access to Sensitive Security India Does the agency laws a document pulse for identifying or rounglished best dentioned and access to Sensitive Security India or committee the effection and advances to suppose	NOT SCORED							
15.103 16.000	for administering the access control policy with respect to genery documents?  Does the security review committee (or other designated guoup) review document control practices, assess administration of the control practices, assess discrepancies and necessary corrective action?  Process for handling and access to Sensitive Security Info Does the agency have a documented policy for identifying considers to be Sensitive Security Information (SSI).	NOT SCORED							
15.103 16.000	for administering the access control policy with respect to gency document?  Does the security review committee for other designated group) review document control pontices, and dentity descripanties and access to Sensitive Security India descripanties and access to Sensitive Security India Process for handling and access to Sensitive Security India Does the agency laws a document pulse for identifying or rounglished best dentioned and access to Sensitive Security India or committee the effection and advances to suppose	NOT SCORED	0	0	0				
15.103 16.000	for administering the access control policy with respect to gency document?  Does the security review committee for other designated group review comment control practice, access compliance applicable procedure, and identify document of the procedure, and identify document of the control practice, and identify document of the control practice, and identify document of the control practice and in the control practice of the control pra	NOT SCORED	0	0	0				
15.103 16.000 16.101	for administering the access control policy with respect to agency document?  Does the security review committee for other designated group review comment control practices, assess compliance applicable procedures, and dentity descripancies and recessary corrective action?  Process for handling and access to Sensitive Security Info Daes the agency laws a hocument guilary for identifying accounting the destribution of and access to the unema is considers to the Sensitive Security Information (SSI) prosumant to 40 CFR Part 15 or 1520?  Daes the agency laws a document guilary for proper controlling the destribution of and access to the unema in considers to the Sensitive Security Information (SSI) Daes the agency laws a document guilary for proper conducting, control, and using or of forcement babbels as destributed for the sensitive Security Information deliverse determined to be Sensitive Security Information deliverse determined to be Sensitive Security Information	NOT SCORED  rmation (SSI)  NOT SCORED	0	0	0				
15.103 16.000 16.101	for administering the access control policy with respect to genery document?  Does the security review committee (or other designand group) review document control practices, assess compliance applicable procedures, and identify discrepancies and recessary corrective action?  Process for handling and access to Sensitive Security Info Does the agency have a documented policy for identifying and committing the distribution of and access to documents and committee of the committee of the committee of the presentation of the committee of the committe	NOT SCORED	0	0	0				
15.103 16.000 16.101	for administering the access control policy with respect to genery document?  Does the security review committee for other designated goody review document control practices, assess compliance applicable procedures, and identify alternatives of the control procedures, and identify alternatives of the control procedures and identify alternatives of the control procedure of the control Process for handling and access to Sensitive Security Info Deset the agency have a documented policy for identifying and controlling the destriction of and access to documents it considers to be Sensitive Security Information (SSI) pursuant to 45 CFR but it for 1520?  Does the agency have a documented policy for proper handling, control, and stonge of documents labeled as or delivervoe determined to be Sensitive Security Information (SSI) pursuant to 45 CFR Part 15 or 1520?	NOT SCORED  rmation (SSI)  NOT SCORED	0	0	0				
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15.103 16.000 16.101	for administering the access control policy with respect to genery document?  Does the security review committee for other designated goody review document control practices, assess compliance applicable procedures, and identify lateraptaces and access (overview each careful and horizontaces) and creases (overview each careful and Process for handling and access to Sensitive Security Info Deset the agency laws a documented policy for identifying and controlling the destriction of and access to documents it considers to be Sensitive Security Information (SSI) pursuant in 40 CFR bril for in SSI)  Does the agency laws a documented policy for proper handling, control, and stonger of documents labeled as or delivervie determined to be Sensitive Security Information (SSI) pursuant to 40 CFR Part 15 or 1520?	NOT SCORED  rmation (SSI)  NOT SCORED	0	0	0				
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15.103  16.000  16.101  16.102  16.103  16.104  17.000  17.101  17.103  17.104  17.105  17.107  17.107  17.108  17.107  17.108  17.109  17.101  17.101  17.101  17.101  17.101	for administering the access control policy with respect to grown you downward.  Does the security review committee (or other designated grown you common?)  Does the security review committee (or other designated grown you common to the property of the p	NOT SCORED  A  4  4  4  4  4  4  4  4	0 0 0 0 0 0 0 0 0 0 0 0 0 0 0 0 0 0 0 0	0 0 0 0 0 0 0 0 0 0 0 0 0 0 0 0 0 0 0	0 0 0 0 0 0 0 0 0 0 0 0 0 0 0 0 0 0 0	Tesponses Tesponses		- Autorosecu- responses	

0	# of 0,1 and 2
	This should be 0 if the # of RAs match the # of ratings ≤ 2

#### Color Key:

Transportation Security Fundamentals Questions

Baseline Security Questions

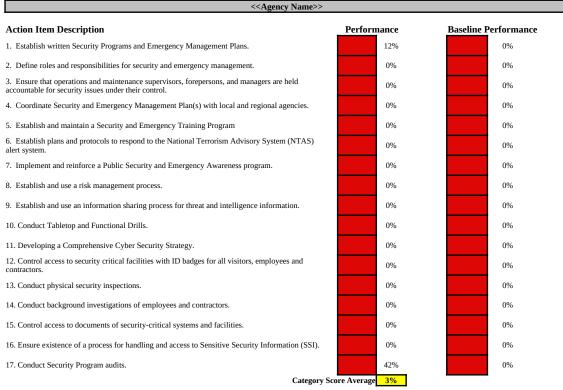


Baseline score 2 or below

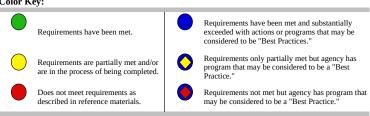
Baseline "Yes" response

Baseline Assessment & Security Enhancement Review

#### **Transit Agency Overview**



#### Color Key:

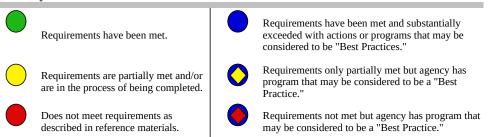


# Baseline Assessment & Security Enhancement Review

# **Transit Agency Overview**

#### <<Agency Name>> **Transit Security Fundamentals Performance** TSF-1. Protection of high risk/high consequence underwater/underground assets and systems. 0% TSF-2. Protection of other high risk/high consequence assets that have been identified through system-0% wide risk assessments. TSF-3. Use of visible, unpredictable deterrence. 0% TSF-4. Targeted counter-terrorism training for key front-line staff. 0% TSF-5. Emergency preparedness drills and exercises. 0% TSF-6. Public awareness and preparedness campaigns. 0%

#### Color Key:



#### **BASE Technical Scoring Sheet**

This sheet is for data analysis only.

1.100 Es 1.100 Sy 1.101 B D 1.102 Dp pr 1.103 B D 1.104 B Is	Questions  MANAGEMENT AND ACCOUNTABILITY  Establish Written System Security Plans (SSPs) and Emergency R  System Security Plan (SSP)	Score	Weight																			etail
1.000   Es   1.100   Sy   1.101   B   Di   1.102   Di   pr   1.103   B   Di   1.103   B   Di   1.104   B   Is (S   S   S   S   S   S   S   S   S   S	Establish Written System Security Plans (SSPs) and Emergency R			Points	Possible	Grade	Line	Elem	ent 1	Elem	ent 2	Elem	nent 3	Elem	ent 4	Elem	ent 5	Elen	nent 6	Line	Eleme	nt 1
1.100 Sy 1.101 B D 1.102 Dp pr 1.103 B Dp 1.104 B Is (S							Grade:		0%		0%		0%		0%		0%		0%	Grade:		0%
1.101 B D  1.102 D D  1.103 B D  1.104 B Is (S	System Security Plan (SSP)	Response Plans (	(ERPs)	0.0071720	0.0601740	12%		Points	Possible	Points	Possible	Points	Possible	Points	Possible	Points	Possible	Points	Possible		0.000000	0.026592
1.102 Dr. pr 1.103 B Dr. pr m 1.104 B Is (S				0.0048320	0.0300840	16%	Totals:	0	0.039533	0	0.123892	0	0.00834889	0	0.02809735	0	0.0315	(	0.02622518	Totals:	0.000000	0.008928
1.103 B D pc m  1.104 B Is (S	Does the transit agency have a System Security Plan (SSP)?	NOT SCORED	0.000472	NOT SCORED	0.001888	NOT SCORED	1.101													1.101	NOT SCORED	0.001888
1.104 B Is (S	Does the SSP identify the goals and objectives for the security program?	NOT SCORED	0.000465	NOT SCORED	0.001860	NOT SCORED	1.102													1.102		
(S	Does a written policy statement exist that endorses and adopts the policies and procedures of the SSP that is approved and signed by top management, including the agency's chief executive?	NOT SCORED	0.000466	NOT SCORED	0.001864	NOT SCORED	1.103													1.103	NOT SCORED	0.001864
1.105 B T1	Is the SSP separate from the agency's System Safety Program Plan (SSPP)?	NOT SCORED	0.000385	NOT SCORED	0.001540	NOT SCORED	1.104													1.104	NOT SCORED	0.001540
	Do the Security and Emergency Response Plans address protection and response for critical underwater tunnels, underground stations/	NOT SCORED	0.000459	NOT SCORED	0.001836	NOT SCORED	1.105	NOT SCORED	0.001836											1.105	NOT SCORED	0.001836
pr	numels and critical systems, where applicable?  Does the SSP contain or reference other documents establishing procedures for the management of security incidents by the operations control center?	NOT SCORED	0.000445	NOT SCORED	0.001780	NOT SCORED	1.106													1.106		
pl. ex	Does the SSP contain or reference other documents establishing plans, procedures, or protocols for responding to security events with external agencies (such as law enforcement, local EMA, fire departments, etc.)?	NOT SCORED	0.000450	NOT SCORED	0.00180	NOT SCORED	1.107													1.107	NOT SCORED	0.001800
pr	Does the SSP contain or reference other documents that establish protocols addressing specific threats from (i) Improvised Explosive Devices (IED) and (ii) Weapons of Mass Destruction (chemical, piological, radiological hazards)?	NOT SCORED	0.000463	NOT SCORED	0.001852	NOT SCORED	1.108													1.108		
to	Are visible, random security measures integrated into security plans to introduce unpredictability into security activities for deterrent effect?	NOT SCORED	0.000454	NOT SCORED	0.001816	NOT SCORED	1.109					NOT SCORED	0.001816							1.109		
in pr	Does the SSP include provisions requiring that security be addressed in extensions, major projects, new whicles and equipment procurement and other capital projects, and including integration with the transit agency's safety certification process?	NOT SCORED	0.000465	NOT SCORED	0.001860	NOT SCORED	1.110													1.110		
Pr	Does the SSP include or reference other documents adopting Crime Prevention Through Environmental Design (CPTED) principles as part of the agency's engineering practices?	NOT SCORED	0.000454	NOT SCORED	0.001816	NOT SCORED	1.111													1.111		
1.112 D	Does the SSP require an annual review?	NOT SCORED	0.000449	NOT SCORED	0.00180	NOT SCORED	1.112													1.112		
	Does the transit agency produce periodic reports reviewing its progress in meeting its SSP goals and objectives?	NOT SCORED	0.000438	NOT SCORED	0.001752	NOT SCORED	1.113													1.113		
th	Has an annual review of the SSP been performed and documented in the preceding 12 months?	NOT SCORED	0.000447	NOT SCORED	0.001788	NOT SCORED	1.114													1.114		
	N/A Not Governed By 49 CFR Part 659	4	0.000400	0.0016	0.001600	100%	1.115													1.115		
	N/A Not Governed By 49 CFR Part 659 N/A Not Governed By 49 CFR Part 659	4	0.000406	0.001624	0.001624	100%	1.116 1.117													1.116		
	*	4	0.000402	0.001608	0.001608	100%	1.117													1.117 1.200	0.000000	0.015004
	Emergency Response Plan (ERP)  Does the transit agency have an Emergency Response Plan (ERP)?	NOT	0.000652	0.00234 NOT	0.03009	NOT	1.200													1.200	0.000000 NOT SCORED	0.017664 0.002608
pc	Does a written policy statement exist that endorses and adopts the policies and procedures of the ERP that is approved and signed by top management, including the agency's chief executive?	NOT SCORED	0.000632	NOT SCORED	0.002572	NOT SCORED	1.202													1.202	NOT SCORED	
	Does the ERP require an annual review to determine if it needs to be	NOT	0.000631	NOT	0.002524	NOT	1.203													1.203	NOT SCORED	0.002524
1.204 H	updated?  Has an annual review of the ERP been performed and documented in the preceding 12 months?	NOT SCORED	0.000631	SCORED NOT SCORED	0.002524	SCORED NOT SCORED	1.204													1.204	NOT SCORED	0.002324

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Top 17 Scor	ing I	Detail						Transit Sec	urity Funda	mentals Sco	ring Detail									
Category		Questions	Score	Weight	Points	Possible	Grade	Line	Elem	ent 1	Elem	ent 2	Elem	ent 3	Elem	ent 4	Elem	ent 5	Eleme	ent 6
		MANAGEMENT AND ACCOUNTABILITY						Grade:		0%		0%		0%		0%		0%		0%
1.205	В	Does the ERP include a process or review provision to ensure coordination with the rail transit agency's SSPP and SSP?	NOT SCORED	0.000612	NOT SCORED	0.002448	NOT SCORED	1.205				0,0				3,70				
1.206	7	N/A Not Governed By 49 CFR Part 659	4	0.000585	0.00234	0.00234	100%	1.206												
1.207	В	Does the ERP contain or reference other documents establishing plans, procedures, or protocols for responding to emergency events with external agencies (such as law enforcement, local EMA, fire departments, etc.)?	NOT SCORED	0.000629	NOT SCORED	0.002516	NOT SCORED	1.207												
1.208	В	Does the ERP contain or reference other documents that establish procedures for the management of emergency events, including those to be employed by the operations control center?	NOT SCORED	0.000623	NOT SCORED	0.002492	NOT SCORED	1.208												
1.209		Does the ERP contain or reference other documents to provide for Continuity of Operations while responding to emergency events?	NOT SCORED	0.000634	NOT SCORED	0.002536	NOT SCORED	1.209												
1.210		Does the agency have a written Business Recovery Plan to guide restoration of facilities and services following an emergency event?	NOT SCORED	0.000628	NOT SCORED	0.002512	NOT SCORED	1.210												
1.211		Does the agency have a written Business Continuity Plan and COOP to guide restoration of facilities and services following an emergency event?	NOT SCORED	0.000629	NOT SCORED	0.002516	NOT SCORED	1.211												
1.212	В	Does the agency have a back-up operations control center capability?	NOT SCORED	0.000626	NOT SCORED	0.002504	NOT SCORED	1.212												
2.000	_	Define Roles and Responsibilities for Security and Emergency Ma System Security Plan (SSP)	nagement		0		0% 0%	2.100												
2.101	_	Does the SSP establish and assign responsibility for implementation			0	0.029446	0%	2.101												
2.101		Does use 33* established to a Senior Manager who is a "direct report" to the agency's Chief Executive Officer?	NOT SCORED	0.000761	NOT SCORED	0.003044	NOT SCORED	2.101												
2.102		Has the agency established lines of delegated authority/succession of security responsibilities and, if so, has that information been distributed to agency managers?	NOT SCORED	0.000730	NOT SCORED	0.002920	NOT SCORED	2.102												
2.103	В	Are roles and responsibilities for security and/or law enforcement personnel assigned by title and/or position established in the SSP or other documents?	NOT SCORED	0.000744	NOT SCORED	0.002976	NOT SCORED	2.103												
2.104	В	Are security-related roles and responsibilities for non-security and/or law enforcement personnel (i.e., operators, conductors, maintenance workers and station attendants) established in the SSP or other documents?	NOT SCORED	0.000731	NOT SCORED	0.00292	NOT SCORED	2.104												
2.105	T	2 Do senior staff and middle management conduct security meetings on a regular basis to review recommendations for changes to plans and processes?	NOT SCORED	0.000727	NOT SCORED	0.002908	NOT SCORED	2.105			NOT SCORED	0.002908								
2.106		Does a Security Review Committee (or other designated group) regularly review security incident reports, trends, and program audit findings?	NOT SCORED	0.000718	NOT SCORED	0.002872	NOT SCORED	2.106												
2.107	В	Are informational briefings with appropriate personnel held whenever security protocols, threat levels, or protective measures are updated or as security conditions warrant?	NOT SCORED	0.000757	NOT SCORED	0.00303	NOT SCORED	2.107												
2.108	В	Have appropriate reference guides or other written instructions or procedures been distributed to transit employees to implement the requirements of the SSP?	NOT SCORED	0.000694	NOT SCORED	0.002776	NOT SCORED	2.108												
2.109	В	Has the agency appointed a Primary and Alternate Security Coordinator to serve as its primary and immediate 24-hr contact for intelligence and security-related contact with TSA and are the names of those Coordinators on file with TSA OSPIE office correct?	NOT SCORED	0.000758	NOT SCORED	0.0030	NOT SCORED	2.109												
2.11		Does the agency maintain a record of security related incidents that are reported within the agency?	NOT SCORED	0.000744	NOT SCORED	0.0030	NOT SCORED													
2.200		2.b. Emergency Response Plan (ERP):			0.00000	0.03012	0%	2.200												
2.201		Does the ERP establish and assign responsibility for implementation of the security program to a Senior Manager who is a "direct report" to the agency's Chief Executive Officer?	NOT SCORED	0.00098	NOT SCORED	0.00392	NOT SCORED	2.201												

	ecurity Scoring D	etail
Line	Eleme	ent 1
Grade:		0%
1.205	NOT SCORED	0.002448
1.206		
1.207	NOT SCORED	0.002516
1.208	NOT SCORED	0.002492
1.209		
1.210		
	NOT SCORED	0.002504
2	0	0.033742
2.100 2.101	0.000000	0.014702
2.102		
2.103	NOT SCORED	0.002976
2.104	NOT SCORED	0.002920
2.105		
2.106		
2.107	NOT SCORED	0.003030
2.108	NOT SCORED	0.002776
2.109		
	NOT SCORED	0.003000
2.200	0.000000	0.019040
2.200	0.000000	0.019040

Top 17 Scor	ring l	Detail						Transit Sec	rity Fundamentals Sco	ring Detail						
Category	H	Questions	Score	Weight	Points	Possible	Grade	Line	Element 1	Element 2	Element 3	Element 4	Elemei	nt 5	Eleme	ent 6
		MANAGEMENT AND ACCOUNTABILITY						Grade:	0%	0%	0%	0%		0%		0%
2.202	В	Are emergency response roles and responsibilities for all departments identified in the ERP or other supporting documents?	NOT SCORED	0.00095	NOT SCORED	0.00380	NOT SCORED	2.202								
2.203	ВТ	The roles and responsibilities for front-line personnel (i.e. system law enforcement, system security officials, train or vehicle operators, conductors, station attendants, maintenance workers) described in the system's Emergency Response Plan (ERP)?	NOT SCORED	0.00095	NOT SCORED	0.00380	NOT SCORED	2.203					NOT SCORED	0.0038		
2.204	В	Has the ERP been distributed to appropriate departments in the organization?	NOT SCORED	0.00096	NOT SCORED	0.00384	NOT SCORED	2.204								
2.205	В	Have appropriate reference guides or other written instructions or procedures been distributed to transit employees to implement the requirements of the ERP?	NOT SCORED	0.00095	NOT SCORED	0.00380	NOT SCORED	2.205								
2.206		Are senior staff and middle management ERP coordination meetings held on a regular basis?	NOT SCORED	0.00093	NOT SCORED	0.00372	NOT SCORED	2.206								
2.207	В	Are informational briefings with appropriate personnel held whenever emergency response protocols are substantially changed or updated?	NOT SCORED	0.00095	NOT SCORED	0.00380	NOT SCORED	2.207								
2.208	П							2.208								
		Does the agency use National Fire Protection Association (NFPA) Standard 130 or equivalent local codes to evaluate fire/life safety in station design or modification (including fire detection systems, firewalls and flame-resistant materials, back-up powered emergency lighting, defaults in turnstile and other systems supporting emergency exists, and pre-recorded public announcements)?	NOT SCORED	0.00086	NOT SCORED	0.00344	NOT SCORED									
3.000		Ensure that operations and maintenance supervisors, forepersons and managers are held accountable for security issues under their control			0.0000	0.0576	6 0%	3.000								
3.101	В	Do managers and supervisors routinely provide information to front- line personnel regarding security and emergency response issues?	NOT SCORED	0.0037	NOT SCORED	0.0148	NOT SCORED	3.101								
3.102		Are regular supervisor, manager, and/or foreperson security review and coordination briefings held? If so, detail frequency and subjects covered in the justification.	NOT SCORED	0.0036	NOT SCORED	0.0144	NOT SCORED	3.102								
3.103	В	Does the agency have a program for confirming that personnel have a working knowledge of security protocols? If so, summarize program in the justification.	NOT SCORED	0.0036	NOT SCORED	0.0144	NOT SCORED	3.103								
3.104	В	Are managers and/or supervisors required to debrief front-line employees regarding their involvement in or management of any security or emergency incidents?	NOT SCORED	0.0036	NOT SCORED	0.014	NOT SCORED	3.104								
4.000		Coordinate Security and Emergency Management Plan(s) with local and regional agencies			0.0000	0.0584	1 0%	4.000								
4.101	П	Have Mutual Aid agreements been established between the transit agency and entities in the area that would be called upon to supplement the agency's resources in the event of an emergency event?	NOT SCORED	0.001331	NOT SCORED	0.005324	NOT SCORED	4.101								
4.102	В	Does the agency participate in a regional Emergency Management Working Group or similar regional coordinating body for emergency preparedness and response?	NOT SCORED	0.001336	NOT SCORED	0.005344	NOT SCORED	4.102								
4.103	В	Have regional incident management protocols been shared with the agency and incorporated into the agency's ERP?	NOT SCORED	0.001293	NOT SCORED	0.005172	NOT SCORED	4.103								
4.104		Have agency resources been appropriately identified and provided to the regional EMA?	NOT SCORED	0.001263	NOT SCORED	0.005052	NOT SCORED	4.104								
4.105	В	Does the agency have a designated point-of-contact or liaison with the local/regional Emergency Operations Center (EOC)?	NOT SCORED	0.001394	NOT SCORED	0.005576	NOT SCORED	4.105								
4.106		Does the agency send a representative to the local/regional EOC, should it be activated?	NOT SCORED	0.001347	NOT SCORED	0.005388	NOT SCORED	4.106								
4.107		Does the agency have information sharing capabilities with the regional/local EOC (i.e., contacts, procedures, resource inventories, etc.)?	NOT SCORED	0.001343	NOT SCORED	0.005372	NOT SCORED	4.107								
4.108	В	Has the agency developed internal incident management protocols that comply with the National Response Plan and the National Incident Management System?	NOT SCORED	0.001314	NOT SCORED	0.005256	NOT SCORED	4.108								

Line	ecurity Scoring Detail									
	Eleme	nt 1								
Grade:		0%								
2.202										
	NOT SCORED	0.003800								
2.203										
	NOTCOPED	0.000000								
	NOT SCORED	0.003800								
2.204	NOT SCORED	0.003840								
2.205										
	NOT SCORED	0.003800								
2.206										
2.206										
2.207										
	NOT SCORED	0.003800								
3.000										
	0.000000	0.043200								
3.101										
	NOT SCORED	0.014800								
3.102										
3.103										
5.105	NOT SCORED	0.014400								
3.104										
3.104	NOT SCORED	0.014000								
4.000	0.000000	0.032136								
4.101										
4.102										
	NOT SCORED	0.005344								
4.103	NOT SCORED	0.005172								
4.104										
4.105	NOT COOPE	0.005555								
	NOT SCORED	0.005576								
4.106										
4.107										
4.108	NOT SCORED	0.005256								
	MOI SCORED	0.003230								

Top 17 Sco	ring	Detail						Transit Sec	urity Fundamentals S	Scoring Detail						
Category		Questions	Score	Weight	Points	Possible	Grade	Line	Element 1	Element 2	Element 3	Element 4	Eleme	ent 5	Eleme	nt 6
	Н	MANAGEMENT AND ACCOUNTABILITY						Grade:	0%	0%	0%	0%		0%		0%
4.109	$\prod$	Have the agency's emergency response protocols been shared with the EMA and appropriate first responder agencies?	NOT SCORED	0.001286	NOT SCORED	0.005144	NOT SCORED	4.109								
4.110	В	T5 Has the transit system tested its communications systems for interoperability with appropriate emergency response agencies?	NOT SCORED	0.001325	NOT SCORED	0.005300	NOT SCORED	4.110					NOT SCORED	0.0053		
4.111	В	If the agency's communications systems are NOT inter-operable with appropriate emergency response agencies, have alternate communication protocols been established? Describe the alternate communication protocols in the justification.	NOT SCORED	0.001372	NOT SCORED	0.005488	NOT SCORED	4.111								
		SECURITY AND EMERGENCY RESPONSE TRAINING														
5.000 5.101	R 7	Establish and Maintain a Security and Emergency Training Prog			0.0000	0.0597	0%	<b>5.000</b> 5.101				NOT 0 00405450				
		security orientation/awareness?	NOT SCORED	0.0004879287	NOT SCORED	0.001951715	NOT SCORED					SCORED 0.00195172				
5.102		14 Is annual refresher training provided regarding security orientation/awareness to Senior Management staff, managers and supervisors?	NOT SCORED	0.0004731258	NOT SCORED	0.001892503	NOT SCORED	5.102				NOT SCORED 0.0018925				
5.103	В	Is annual refresher training provided regarding security orientation/awareness to managers and supervisors?	NOT SCORED	0.0004755414	NOT SCORED	0.001902166	NOT SCORED	5.103				NOT SCORED 0.00190217				
5.104	В	Is annual refresher training provided regarding security orientation/awareness to front-line employees?	NOT SCORED	0.0004724569	NOT SCORED	0.001889827	NOT SCORED	5.104				NOT SCORED 0.00188983				
5.105	П	Is ongoing advanced security training focused on job function provided at least annually?	NOT SCORED	0.0004678834	NOT SCORED	0.001871533	NOT SCORED	5.105								
5.106	В	Is initial training provided to all new transit employees regarding emergency response?	NOT SCORED	0.0004844891	NOT SCORED	0.001937956	NOT SCORED	5.106				NOT SCORED 0.00193796				
5.107	1	Is annual refresher training provided regarding emergency response to Senior Management staff, supervisors, and managers?	NOT SCORED	0.0004723312	NOT SCORED	0.001889325	NOT SCORED	5.107				NOT SCORED 0.00188933				
5.108	В	Is annual refresher training provided regarding emergency response to Managers and Supervisors?	NOT SCORED	0.0004772006	NOT SCORED	0.001908802	NOT SCORED	5.108				NOT SCORED 0.0019088				
5.109	В	Is annual refresher training provided regarding emergency response to front-line Employees?	NOT SCORED	0.0004721768	NOT SCORED	0.001888707	NOT SCORED	5.109				NOT SCORED 0.00188871				
5.110	В	14 Have agency employees received general training on Incident Command System (ICS) procedures in accordance with National Incident Management System at least annually?	NOT SCORED	0.0004620408	NOT SCORED	0.001848163	NOT SCORED	5.110				NOT SCORED 0.00184816				
5.111		Has ICS and NIMS training appropriate to the position been provided to Senior Management staff, supervisors, and managers at least annually?	NOT SCORED	0.0004401906	NOT SCORED	0.001760762	NOT SCORED	5.111								
5.112	В	Has ICS and NIMS training appropriate to the position been provided to managers and supervisors at least annually?	NOT SCORED	0.0004655049	NOT SCORED	0.001862020	NOT SCORED	5.112								
5.113	П	Has ICS and NIMS training appropriate to the position been provided to front-line employees at least annually?	NOT SCORED	0.0004498054	NOT SCORED	0.001799222	NOT SCORED	5.113								
5.114	В	Has the agency developed a program and provided annual training on its own incident response protocols?	NOT SCORED	0.000473801	NOT SCORED	0.001895204	NOT SCORED	5.114								
5.115	7	14 as training on the agency's incident response protocols appropriate to the position been provided to Senior Management staff, managers and supervisors at least annually?	NOT SCORED	0.0004649697	NOT SCORED	0.001859879	NOT SCORED	5.115				NOT SCORED 0.00185988				
5.116	В	14 Has training on the agency's incident response protocols appropriate to the position been provided to managers and supervisors?	NOT SCORED	0.0004705526	NOT SCORED	0.00188221	NOT SCORED	5.116				NOT SCORED 0.00188221				_
5.117	В	14 Has training on the agency's incident response protocols appropriate to the position been provided to front-line employees at least annually?	NOT SCORED	0.0004678563	NOT SCORED	0.001871425	NOT SCORED	5.117				NOT SCORED 0.00187143				
5.118	1	14 Has the transit system implemented an annual training program for personnel regarding response to terrorism, including (f) Improvised Explosive Devices and ii) Weapons of Mass Destruction (chemical, biological, radiological, nuclear)? If so, summarize the relevant programs in the justification.	NOT SCORED	0.0004304554	NOT SCORED	0.001721822	NOT SCORED	5.118				NOT SCORED 0.00172182				

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Line	Elemen	nt 1
Grade:		0%
4.109		
4.110	NOT SCORED	0.005300
4.111	NOT SCORED	0.005488
5.000	0.000000	0.029914
5.101	NOT SCORED	0.001952
5.102		
5.103	NOT SCORED	0.001902
5.104	NOT SCORED	0.001890
5.105		
5.106	NOT SCORED	0.001938
5.107		
5.108	NOT SCORED	0.001909
5.109	NOT SCORED	0.001889
5.110	NOT SCORED	0.001848
5.111		
5.112	NOT SCORED	0.001862
5.113		
5.114	NOT SCORED	0.001895
5.115		
5.116	NOT SCORED	0.001882
5.117	NOT SCORED	0.001871
5.118		

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Top 17 Sco	ring	Detail						Transit Sec	urity Funda	mentals Sco	ring Detail								
Category		Questions	Score	Weight	Points	Possible	Grade	Line	Elem	ent 1	Elem	ent 2	Elem	ent 3	Element 4	Eler	nent 5	Elem	ent 6
		MANAGEMENT AND ACCOUNTABILITY						Grade:		0%		0%		0%	0%		0%		0%
5.119		Has training focused on IEDs and WMDs appropriate to the position been provided to Senior Management staff, managers, and supervisors at least annually?	NOT SCORED	0.0004603006	NOT SCORED	0.001841202	NOT SCORED	5.119											
5.120		Has training focused on IEDs and WMDs appropriate to the position been provided to manager and supervisors?	NOT SCORED	0.0004755921	NOT SCORED	0.001902368	NOT SCORED	5.120											
5.121		Has training focused on IEDs and WMDs appropriate to the position been provided to front-line employees at least annually?	NOT SCORED	0.000470337	NOT SCORED	0.001881348	NOT SCORED	5.121											
5.122		Do law enforcement/security department personnel at the agency receive specialized training in counter-terrorism annually? Summarize program in the justification.	NOT SCORED	0.0004839312	NOT SCORED	0.001935725	NOT SCORED	5.122											
5.123		Do law enforcement/security department personnel at the agency receive specialized training supporting their incident management and emergency response roles at least annually? Summarize program in the justification.	NOT SCORED	0.0004855209	NOT SCORED	0.001942083	NOT SCORED	5.123											
5.124	В	Does the agency have an established program to monitor employee training and to schedule employees for training as needed?	NOT SCORED	0.000464592	NOT SCORED	0.001858368	NOT SCORED	5.124											
5.125		Does the agency have a system that records and tracks personnel training for all security-related courses (including initial, annual, periodic and other)?	NOT SCORED	0.000460541	NOT SCORED	0.001842164	NOT SCORED	5.125											
5.126		Does the transit agency have a system that records and tracks personnel training for emergency response courses (including initial, periodic and other)?	NOT SCORED	0.0004613165	NOT SCORED	0.001845266	NOT SCORED	5.126											
5.127		Does the agency have a program to regularly review and update security awareness and emergency response training materials?	NOT SCORED	0.0004573624	NOT SCORED	0.00182945	NOT SCORED	5.127											
5.128		T4 Are all appropriate personnel notified via briefings, email, voicemail, or signage of changes in threat condition, protective measures or the employee watch programs?	NOT SCORED	0.0004789105	NOT SCORED	0.00191564	NOT SCORED	5.128							NOT SCORED 0.00191564				
5.129	В	T1 Do the agency's security awareness and emergency response training programs cover response and recovery operations in critical facilities and infrastructure? If so, summarize relevant provisions of program in the justification.	NOT SCORED	0.0004592505	NOT SCORED	0.001837002	NOT SCORED	5.129	NOT SCORED	0.001837									
5.130	В	T1 Has the agency provided training to regional first responders (law enforcement agencies, firefighters, and emergency medical response teams) to enable them to operate in critical facilities and infrastructure?	NOT SCORED	0.0004320796	NOT SCORED	0.0017283	NOT SCORED	5.130	NOT SCORED	0.001728									
5.131	,	T3 Does training of transit system law enforcement and/or security personnel integrate the concept and employment of visible, random security measures?	NOT SCORED	0.0004807451	NOT SCORED	0.001922980	NOT SCORED	5.131					NOT SCORED	0.00192298					
5.132	В	T4 Has the agency implemented a program to annually train or orient first responders (law enforcement, firefighters, emergency medical teams) and other potential supporting assets (e.g., TSA regional personnel for VIPR exercises)on railroad familiarization?	NOT SCORED	0.0004343031	NOT SCORED	0.001737212	NOT SCORED	5.132							NOT SCORED 0.00173721				
		HOMELAND SECURITY ADVISORY SYSTEM (HSAS)																	
6.000		Establish plans and protocols to respond to the National Terrorism Advisory System (NTAS) alert system			0.0000	0.0558	0%	6.000											
6.101	В	Does the SSP contain or reference other documents identifying incremental actions (imminent or elevated) to be implemented for a NTAS threat?	NOT SCORED	0.00439	NOT SCORED	0.01756	NOT SCORED	6.101											
6.102	В	T2 Does the agency have actionable operational response protocols for the specific threat scenarios from NTAS?	NOT SCORED	0.00474	NOT SCORED	0.01896	NOT SCORED	6.102			NOT SCORED	0.01896							
6.103		Has the agency provided annual training and/or instruction focused on job function regarding the incremental activities to be performed by employees?	NOT SCORED	0.00483	NOT SCORED	0.01932	NOT SCORED	6.103											
		PUBLIC AWARENESS																	
7.000		Implement and reinforce a Public Security and Emergency Awar	ness program		0.0000	0.0609	0%	7.000											
7.101	В	Has the transit agency developed and implemented a public security and emergency awareness program?	NOT SCORED	0.0011954039	NOT SCORED	0.004781615	NOT SCORED	7.101											

	ecurity Scoring D	etail
Line	Eleme	ent 1
Grade:		0%
5.119		070
5.120		
5.121		
5.122		
5.123		
5.124	NOT SCORED	0.001858
5.125		
5.126		
5.127		
5.128	NOT SCORED	0.001916
5.129	NOT SCORED	0.001837
5.130	NOT SCORED	0.001728
5.131		
5.132	NOT SCORED	0.001737
6.000	0.000000	0.03652
6.101	NOT SCORED	0.017560
6.102	NOT SCORED	0.018960
6.103		
<b>7.000</b> 7.101	0.000000	0.032156
	NOT SCORED	0.004782

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Ton	17	Scoring	Detai

Top 17 Sco	ring l	Detail							urity Funda	mentals Sco	ring Detail									
Category		Questions	Score	Weight	Points	Possible	Grade	Line	Elen	nent 1	Elem	ent 2	Elen	nent 3	Elem	ent 4	Elem	ent 5	Elem	nent 6
		MANAGEMENT AND ACCOUNTABILITY						Grade:		0%		0%		0%		0%		0%		0%
7.102	ВТ	6 Does the agency provide active public outreach for security awareness and emergency preparedness (e.g., Transit Watch, "If You See Something, Say Something", message boards, brochures, channel cards, posters, fliers)?	NOT SCORED	0.0011855708	NOT SCORED	0.004742283	NOT SCORED	7.102											NOT SCORED	0.00474228
7.103	Т	6 Is the above consistent with agency's overall announcement program?	NOT SCORED	0.0010196385	NOT SCORED	0.004078554	NOT SCORED	7.103											NOT SCORED	0.00407855
7.104	ВТ	6 Are general security awareness and emergency preparedness messages included in public announcement messages at stations and on board vehicles?	NOT SCORED	0.0010649991	NOT SCORED	0.004259996	NOT SCORED	7.104											NOT SCORED	0.00426
7.105	ВТ	6 Are passengers urged to report unattended property, suspicious behavior, and security concerns to uniformed crew members, law enforcement or security personnel, and/or a contact telephone number? If so, summarize the type of materials used and content in the justification.	NOT SCORED	0.0011935343	NOT SCORED	0.004774137	NOT SCORED	7.105											NOT SCORED	0.00477414
7.106		Does the transit agency use Transit Watch materials in its security and emergency awareness program?	NOT SCORED	0.0008782366	NOT SCORED	0.003512947	NOT SCORED	7.106												
7.107	ВТ	6 Does the agency have an appropriate mechanism in place for passengers to communicate an (e.g., 1-800 number, smart phone applications, social media, etc.) that can be called or used to report security concerns? If so, is this information indicated in public awareness materials and messages?	NOT SCORED	0.0010689693	NOT SCORED	0.004275877	NOT SCORED	7.107											NOT SCORED	0.00427588
7.108		Does the agency issue public service announcements or press releases to local media (e.g. newspaper, radio, television, social media, QRC codes, and/or apps for smart phones) regarding security and emergency protocols?	NOT SCORED	0.0010393544	NOT SCORED	0.004157418	NOT SCORED	7.108												
7.109	Т	6 Does the agency issue public service announcements or press releases to local media (e.g. newspaper, radio and/or television) regarding security and emergency protocols?	NOT SCORED	0.0010235837	NOT SCORED	0.004094335	NOT SCORED	7.109											NOT SCORED	0.00409434
7.110		Does the transit agency conduct a volunteer training program for non-employees to aid with system evacuations and emergency response?	NOT SCORED	0.001090416	NOT SCORED	0.004361664	NOT SCORED	7.110												
7.111		Does the transit agency conduct an outreach program to enlist members of the public as security awareness volunteers, similar to Neighborhood Watch programs?	NOT SCORED	0.0010891143	NOT SCORED	0.004356457	NOT SCORED	7.111												
7.112	ВТ	Do public awareness materials and/or messages inform passengers on the means to evacuate safely from transit vehicles and underwater/underground facilities?	NOT SCORED	0.0011780789	NOT SCORED	0.004712316	NOT SCORED	7.112	NOT SCORED	0.004712										
7.113	ВТ	3 Does the system integrate randomness and unpredictability into its security activities to enhance deterrent effect?	NOT SCORED	0.0011524762	NOT SCORED	0.004609905	NOT SCORED	7.113					NOT SCORED	0.00460991						
7.114		Does the agency track and monitor customer complaints reported by passengers?	NOT SCORED	0.0010422635	NOT SCORED	0.004169054	NOT SCORED	7.114												
		RISK MANAGEMENT																		
8.000		Establish and use a risk management process			0.0000	0.0560	0%	8.000												
8.101	ВТ	2 Does the agency have a risk assessment process approved by its management, for managing threats and vulnerabilities? If so, summarize the process in the justification.	NOT SCORED	0.00180	NOT SCORED	0.0072000	NOT SCORED	8.101			NOT SCORED	0.0072								
8.102	В	Has the agency identified facilities and systems it considers to be its critical assets?	NOT SCORED	0.00179	NOT SCORED	0.0071600	NOT SCORED	8.102												
8.103	ВТ	2 Has the agency had an internal or external risk or vulnerability assessment on its critical assets within the past 3 years? Specify the dates of the most recent assessments and the entity(ies) that conducted the assessment(s).	NOT SCORED	0.00175	NOT SCORED	0.0070000	NOT SCORED	8.103			NOT SCORED	0.007								
8.104	ВТ	Based on the results of question 9.103, has a Risk Assessment, analyzing threat, vulnerability, & consequence, been conducted for critical assets and infrastructure, and systems within the past 3 years? Have management and staff responsible for the risk assessment process been properly trained to manage the process?	NOT SCORED	0.00177	NOT SCORED	0.0070800	NOT SCORED	8.104	NOT SCORED	0.007080										
8.105	ВТ	2 Has the system implemented procedures to limit and monitor authorized access to underground and underwater tunnels? If so, summarize procedures in the justification.	NOT SCORED	0.00172	NOT SCORED	0.0068800	NOT SCORED	8.105			NOT SCORED	0.00688								

ecurity Scoring Do	
Elemen	
	0%
NOT SCORED	0.004742
NOT SCORED	0.004260
NOT SCORED	0.004774
NOT SCORED	0.004276
NOT SCORED	0.004/12
NOTECORED	0.004616
NOT SCORED	0.004010
0.000000	0.049000
NOT SCORED	0.007200
NOT SCORED	0.007160
NOT SCORED	0.007000
NOT SCORED	0.007080
	NOT SCORED  NOT SCORED  NOT SCORED  NOT SCORED  0.000000  NOT SCORED  NOT SCORED  NOT SCORED

Transit Security Fundamentals Scoring Detail **Top 17 Scoring Detail** Questions Score Weight **Points** Possible Grade Element 1 Element 2 Element 3 Element 4 Element 5 Element 6 Category MANAGEMENT AND ACCOUNTABILITY Grade: 0% 0% 0% 0% 0% 8.106 Are security investments prioritized using information developed in 0.00174 0.0069600 the risk assessment process? SCORED SCORED SCORED 8.107 NOT NOT NOT 8 107 Has the date of the most recent vulnerability assessment been 0.00168 0.0067200 SCORED SCORED SCORED provided to TSA at sd.masstransit@dhs.gov? 8.108 Upon request, has TSA been provided access to the agency's 8.108 NOT ilnerability assessments. Security Plan and related documents? 0.00696 0.006960 0.00174 SCORED SCORED SCORED SCORED ESTABLISH A RISK ASSESSMENT AND INFORMATION SHARING PROCESS Establish and use an information sharing process for threat and 9.000 9.000 0.0387 0.0000 0% Does the agency have a formalized process and procedures for reporting and exchange of threat and intelligence information with NOT NOT 0.00804 0.00201 Federal, State, and/or local law enforcement agencies? SCORED SCORED SCORED B T2 Does the system report threat and intelligence information directly to 9.102 NOT NOT NOT NOT FBI Joint Terrorism Task Force (JTTF) or other regional anti-0.00195 0.0078 0.0078 SCORED SCORED SCORED SCORED errorism task force? 9 103 9 103 B T2 Does the system have a protocol to report threats or significant security concerns to appropriate law enforcement authorities, and 0.00784 TSA's Transportation Security Operations Center (TSOC)? 0.00196 0.00784 SCORED SCORED SCORED SCORED 9.104 Does the agency routinely receive threat and intelligence information 9.104 directly from any Federal government agency, State Homeland Security Office, Regional or State Intelligence Fusion Center, PT-ISAC, or other transit agencies? 0.00186 0.00744 SCORED SCORED SCORED 9.105 Does the agency report their NTD security data to FTA as required 9.105 NOT NOT NOT 0.00190 0.0076 by 49 CFR 659? SCORED SCORED SCORED 10.000 Conduct Tabletop and Functional Drills 10.000 0.0000 0.0578 10.101 Does the agency's System Safety Program Plan (SSPP) contain or 10,101 rence a document describing the process used by the agency to develop an approved, coordinated schedule for all emergency management program activities, including local/regional emergency 0.00116 0.00464 SCORED SCORED planning and participation in exercises and drills? 10.102 Does the agency's SSPP or SSP describe or reference how the 10.102 agency performs its emergency planning responsibilities and irements regarding emergency drills and exercises? 0.00114 0.00456 SCORED SCORED SCORED 10.103 5 Does the agency evaluate its emergency preparedness by using annual field exercises, tabletop exercises, and/or drills? If so, please NOT NOT NOT NOT nmarize the exercise events held in the past year. 0.00117 0.00468 0.00468 SCORED SCORED SCORED SCORED 10.104 Does the agency's SSPP or a related document include a requirement 10.104 NOT NOT 0.00100 0.0040 for annual field exercises, tabletops and drills? SCORED SCORED SCORED 10.105 Does the agency's SSPP or SSP describe or reference how the agency documents the results of its emergency preparedness NOT NOT NOT 0.00114 evaluations (i.e., briefings, after action reports and implementation of 0.00456 SCORED SCORED SCORED findings)? 10.106 Does the agency's SSPP or a related document describe or reference 10.106 NOT 0.00113 0.00452 SCORED SCORED SCORED protocols and procedures? 10.107 Does the agency participate as an active player in full-scale, regional NOT NOT 10.107 NOT 0.00101 0.00404 exercises held at least annually? SCORED SCORED SCORED '5 In the last year, has the agency conducted and/or participated in a 10.108 10.108 drill, tabletop exercise, and/or field exercise including scenarios involving (i) IED's and (ii) WMD (chemical, biological, radiological nuclear) with other transit agencies and first responders (e.g., NTAS 0.00099 0.00396 0.00396 SCORED SCORED SCORED SCORED 10.109 In the last year, has the agency reviewed results and prepared after 10.109 action reports to assess performance and develop lessons learned for NOT NOT NOT NOT all drills, tabletop, and/or field exercises? 0.00111 0.00444 0.00444 SCORED SCORED SCORED SCORED

Line S	ecurity Scoring D	etan
	Eleme	nt 1
Grade:		0%
8.106		
8.107	NOT SCORED	0.006720
8.108	NOT SCORED	0.006960
9.000	0.000000	0.023680
9.101	NOT SCORED	0.008040
9.102	NOT SCORED	0.007800
9.103	NOT SCORED	0.007840
9.104		
9.105		
10.000 10.101	0.000000	0.035720
10.102	NOT SCORED	0.004640
10.102	NOT SCORED	0.004560
10.103	NOT SCORED	0.004680
10.104	NOT SCORED	0.004000
10.105	NOT SCORED	0.004560
10.106		
10.107	NOT SCORED	0.004040
10.108		

0%

Top 17 Scor	ring l	Detail						Transit Sec	urity Funda	mentals Sco	ring Detail		1							
Category		Questions	Score	Weight	Points	Possible	Grade	Line	Elem	ent 1	Elen	nent 2	Elen	ent 3	Elen	nent 4	Elem	ent 5	Elem	ent 6
		MANAGEMENT AND ACCOUNTABILITY						Grade:		0%		0%		0%		0%		0%		0%
10.110	Т	5 In the last 12 months, has the agency updated plans, protocols and processes to incorporate after-action report recommendations/findings and corrective actions? If so, summarize the actions taken in the justification.	NOT SCORED	0.00116	NOT SCORED	0.00464	NOT SCORED	10.110									NOT SCORED	0.00464		
10.111		Has the agency established metrics to assess its performance during emergency exercises and to measure improvements?	NOT SCORED	0.00113	NOT SCORED	0.00452	NOT SCORED	10.111												
10.112	ВТ	Does the system conduct drills and exercises of its security and emergency response plans to test capabilities of i) employees and ii) first responders to operate effectively in underwater/underground infrastructure?	NOT SCORED	0.00114	NOT SCORED	0.00456	NOT SCORED	10.112	NOT SCORED	0.004560										
10.113	ВТ	5 Does the transit system integrate local and regional first responders (law enforcement, firefighters, emergency medical teams) in drills, tabletop exercises, and/or field exercises? If so, summarize each joint event and state when it took place.	NOT SCORED	0.00117	NOT SCORED	0.00468	NOT SCORED	10.113									NOT SCORED	0.00468		
11.000		Developing a Comprehensive Cyber Security Strategy			0.0000	0.0600	0%	11.000												
11.101	В	Has the agency conducted a risk assessment to identify operational control and communication/business enterprise IT assets and potential vulnerabilities?	NOT SCORED	0.002137	NOT SCORED	0.008548	NOT SCORED	11.101												
11.102		Has the agency implemented protocols to ensure that all IT facilities (e.g., data centers, server rooms, etc) and equipment are properly secured to guard against internal or external threats or attacks?	NOT SCORED	0.002186	NOT SCORED	0.008744	NOT SCORED	11.102												
11.103		Has a written strategy been developed and integrated into the overall security program to mitigate the cyber risk identified?	NOT SCORED	0.002108	NOT SCORED	0.008432	NOT SCORED	11.103												
11.104		Does the agency have a designated representative to secure the internal network through appropriate access controls for employees, a strong authentication (i.e., password) policy, encrypting sensitive data, and employing network security infrastructure (example: firewalls, intrusion detection systems, IT security audits, antivirus, etc.)?	NOT SCORED	0.002166	NOT SCORED	0.008664	NOT SCORED	11.104												
11.105		Does the agency ensure that recurring cyber security training reinforces security roles, responsibilities, and duties of employees at all levels to protect against and recognize cyber threats?	NOT SCORED	0.002123	NOT SCORED	0.008492	NOT SCORED	11.105												
11.106	В	Has the agency established a cyber-incident response and reporting protocol?	NOT SCORED	0.002123	NOT SCORED	0.0085	NOT SCORED	11.106												
11.107		Is the agency aware of and using available resources (e.g., standards, PT-ISAC, US CERT, National Cyber Security Communication and Integration Center, etc)?	NOT SCORED	0.002148	NOT SCORED	0.008592	NOT SCORED	11.107												
12.000	4	FACILITY SECURITY AND ACCESS CONTROLS  Control Access to Security Critical Facilities with ID badges for			0.0000	0.0007	00/	12.000												
		all visitors, employees and contractors			0.0000	0.0607	0%													
12.101	В	Have assets and facilities requiring restricted access been identified?	NOT SCORED	0.000549	NOT SCORED	0.002196	NOT SCORED	12.101												
	ВТ	Are ID badges or other measures employed to restrict access to facilities not open to the public?  Has the transit agency developed and implemented procedures to	NOT SCORED	0.000541	NOT SCORED	0.002164	NOT SCORED	12.102												
	2 .	monitor, update and document access control (e.g. card key, ID badges, keys, safe combinations, etc.)?	NOT SCORED	0.000541	NOT SCORED	0.002164	NOT SCORED				NOT SCORED	0.002164								
12.104	В	Does the agency have procedures to issue ID badges for visitors and contractors?	NOT SCORED	0.000543	NOT SCORED	0.0022	NOT SCORED	12.104												
12.105		Does the agency require escorts for visitors accessing non-public areas?	NOT SCORED	0.000541	NOT SCORED	0.002164	NOT SCORED	12.105												
12.106		Is CCTV equipment installed in transit agency facilities?	NOT SCORED	0.000541	NOT SCORED	0.002164	NOT SCORED	12.106												]
12.107		Is CCTV equipment protecting critical assets interfaced with an access control system?  Is CCTV equipment installed on transit vehicles?	NOT SCORED	0.000539	NOT SCORED	0.002156	NOT SCORED	12.107												
12.108		15 CC1 v equipment instaned on transit venicies?	NOT SCORED	0.000487	NOT SCORED	0.001948	NOT SCORED	12.108												

Line S	ecurity Scoring D	etail		
Line	Eleme	nt 1		
Grade:		0%		
10.110				
10.111				
10,112				
10.112	NOT SCORED	0.004560		
10.113	NOT SCORED	0.004680		
11.000	0.000000	0.017048		
11.101	NOT SCORED	0.008548		
11.102				
11.103				
11.104				
11.105				
11.106	NOT SCORED	0.008500		
11.107				
12.000	0.000000	0.017358		
12.101	NOT SCORED	0.002196		
12.102	NOT SCORED	0.002164		
12.103	NOT SCORED	0.002164		
12.104	NOT SCORED	0.002200		
12.105				
12.106				
12.107				
12.108				

Top 17 Scor	ing I	Detail						Transit Sec	urity Funda	mentals Sc	oring Detail		1							
Category	Ĭ	Questions	Score	Weight	Points	Possible	Grade	Line		ent 1		nent 2	Elem	ent 3	Elem	nent 4	Elem	ent 5	Eleme	ent 6
		MANAGEMENT AND ACCOUNTABILITY						Grade:		0%		0%		0%		0%		0%		0%
12.109		Are Crime Prevention through Environmental Design (CPTED) and technology (e.g., CCTV, access control, intrusion detection, bollards, etc) incorporated into design criteria for all new and/or existing capital projects?	NOT SCORED	0.000532	NOT SCORED	0.002128	NOT SCORED	12.109												
12.110		Based on the risk assessment, does the agency use fencing, barriers, and/or intrusion detection to protect against unauthorized entry into stations, facilities, and other identified critical assets?	NOT SCORED	0.000532	NOT SCORED	0.002128	NOT SCORED	12.110												
12.111	ВТ	Has the system implemented protective measures to secure high risk/high consequence assers and systems identified in risk assessments? Examples of protective measures include but are not limited to CCTV, intrusion detection systems, smart camera technology, fencing, enhanced lighting, access control, LE parots, K-9s, protection of ventilation systems. If protective measures for this infrastructure are employed, summarize type and location in in the justification.	NOT SCORED	0.000540	NOT SCORED	0.002160	NOT SCORED	12.111			NOT SCORED	0.00216								
12.112		Does the transit agency monitor a network of security, fire, duress, intrusion, utility and internal 911 alarm systems?	NOT SCORED	0.000528	NOT SCORED	0.002112	NOT SCORED	12.112												
12.113		Are emergency call boxes provided for passengers?	NOT SCORED	0.000481	NOT SCORED	0.001924	NOT SCORED	12.113												
12.114		Do transit agency personnel administer an automated employee access control system and perform corrective analysis of security breaches?	NOT SCORED	0.000540	NOT SCORED	0.002160	NOT SCORED	12.114												
12.115		Does the agency have policies and procedures for screening of mail and/or outside deliveries?	NOT SCORED	0.000508	NOT SCORED	0.002032	NOT SCORED	12.115												
12.116		Have locks, bullet resistant materials and anti-fragmentation materials been installed/used at critical locations?	NOT SCORED	0.000525	NOT SCORED	0.00210	NOT SCORED	12.116												
12.117		Does the agency use National Fire Protection Association (NFPA) Standard 130 or equivalent to evaluate fire/life safety in station design or modification (including fire detection systems, firewalls and flame-resistant materials, back-up powered emergency lighting, defaults in turnstile and other systems supporting emergency exists, and pre-recorded public announcements)?	NOT SCORED	0.000499	NOT SCORED	0.001996	NOT SCORED	12.117												
12.118		Is directional signage with adequate lighting provided in a consistent manner in all stations, both to provide orientation and to support emergency evacuation?	NOT SCORED	0.000532	NOT SCORED	0.00213	NOT SCORED	12.118												
12.119		Are gates and locks used on all facility doors to prevent unauthorized access?	NOT SCORED	0.000539	NOT SCORED	0.002156	NOT SCORED	12.119												
12.120		Are keys controlled through an established program managed by the security/police function?	NOT SCORED	0.000531	NOT SCORED	0.002124	NOT SCORED	12.120												
12.121	В	Are gates and locks also used to close down system facilities after operating hours?	NOT SCORED	0.000540	NOT SCORED	0.002160	NOT SCORED	12.121												
12.122		Do transit vehicles have radios, silent alarms, and/or passenger communication systems?  Does the transit agency use graffiti-resistant/etch-resistant materials	NOT SCORED	0.000526	NOT SCORED	0.002104	NOT SCORED	12.122												
	В	for walls, ceilings, and windows?  Are Uninterruptible Power Supply (UPS) or redundant power sources	NOT SCORED	0.000403	NOT SCORED	0.001612	NOT SCORED	12.123												
12.11.4	3	provided for safety and security of critical equipment, such as but not limited to: exit and platform lighting: parking lot lighting; ancillary space and shop lighting; intrusion detection (alarmed rooms and spaces, fare collection equipment, etc.); fire detection, alarm and suppression systems; public address (shop and public areas); call-foraid telephones; CCTV; emergency trip stations; vital train control functions; etc.?	NOT SCORED	0.000538	NOT SCORED	0.00215	NOT SCORED	12.124												
12.125		At passenger stations at which a vulnerability assessment has identified a significant risk, and to the extent practicable, has the owner/operator removed trash receptacles and other non-essential receptacles or containers (with the exception of bomb resistant receptacles or clear plastic containers) from the platform areas of passenger terminals and stations?	NOT SCORED	0.000467	NOT SCORED	0.001868	NOT SCORED	12.125												

Baseline S	ecurity Scoring D	etail							
Line	Element 1								
Grade:		0%							
12.109									
12.110									
12.111									
	NOT SCORED	0.002160							
12.112									
12.113									
12.114									
12.115									
12.116									
12.117									
12.118									
12.119									
12.120									
12.121	NOT SCORED	0.002160							
12.122									
12.123									
12.124									
	NOT SCORED	0.002150							
12.125									

Transit Security Fundamentals Scoring Detail

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Ton	17	Scoring	Detai

Category	Questions	Score	Weight	Points	Possible	Grade	Line		ent 1	Elem	ent 2	Elem	ent 3	Elem	ent 4	Elem	ent 5	Elem	ent 6
	MANAGEMENT AND ACCOUNTABILITY						Grade:		0%		0%		0%		0%		0%		0%
12.126 B	В						12.126										***		
	Does the agency employ specific protective measures for all critical infrastructure (e.g., tunnels, bridges, stations, control centers, etc) identified through the risk assessment particularly at access points and ventilation infrastructure in place and maintained in optimal condition? Examples of protective measures include, but are not limited to, CCTV, intrusion detection systems, smart camera technology, fencing, lighting, access control, law enforcement patrols, canine patrols, physical protection for ventilation systems. If protective measures for this infrastructure are employed, summarize type and location in the justification.	NOT SCORED	0.000541	NOT SCORED	0.002164	NOT SCORED													
	Does the agency have or utilize explosive detection canine teams, either maintained by the system or made available from other law enforcement agencies? If so, has the system implemented procedures for reporting of and response to positive reactions by the canine?	NOT SCORED	0.000529	NOT SCORED	0.00212	NOT SCORED	12.127	NOT SCORED	0.002120										
12.128	Is there a process in place, with necessary training provided to personnel, to ensure that in service rail cars are inspected at regular periodic intervals for suspicious or unattended items? Specify type and frequency of inspections.	NOT SCORED	0.000525	NOT SCORED	0.00210	NOT SCORED													
12.129	Is there a process in place, with necessary training provided to personnel, to ensure that all critical infrastructure are inspected at regular periodic intervals for suspicious or unattended items? Specify type and frequency of inspections.	NOT SCORED	0.000527	NOT SCORED	0.00211	NOT SCORED													
13.000	Conduct Physical Security Inspections			0.0000	0.0588	0%	13.000												
13.101 B	B T1 Does the agency conduct frequent inspections of key facilities, stations, terminals, trains and vehicles, or other critical assets for persons, materials, and items that do not belong?	NOT SCORED	0.00218	NOT SCORED	0.0087	NOT SCORED	13.101	NOT SCORED	0.008700										
13.102 B	Has the transit agency established procedures for inspecting/sweeping vehicles and stations to identify and manage suspicious items, based on HOT characteristics (hidden, obviously suspicious, not typical) or equivalent system?	NOT SCORED	0.00215	NOT SCORED	0.009	NOT SCORED	13.102												
13.103	Has the transit agency developed a form or quick reference guide for operations and personnel for the conduct of pre-trip, post-trip, and within trip inspections?	NOT SCORED	0.00205	NOT SCORED	0.0082	NOT SCORED	13.103												
13.104	Has the transit agency developed a form or quick reference guide for station attendants and others regarding station and facility inspections?	NOT SCORED	0.00186	NOT SCORED	0.00744	NOT SCORED	13.104												
13.105	T2 Does the system document the results of inspections and implement any changes to policies and procedures or implement corrective actions, based on the findings?	NOT SCORED	0.00208	NOT SCORED	0.0083	NOT SCORED	13.105			NOT SCORED	0.0083								
13.106 B	B T2 Does the agency conduct frequent inspections of access points, ventilation systems, and the interior of underground/underwater assets and systems for indications of suspicious activity?	NOT SCORED	0.00214	NOT SCORED	0.00856	NOT SCORED	13.106			NOT SCORED	0.00856								
13.107	Does the system integrate randomness and unpredictability into its security activities to enhance deterrent effect?	NOT SCORED	0.00214	NOT SCORED	0.00856	NOT SCORED													
14.000	BACKGROUND INVESTIGATIONS  Conduct Background Investigations of Employees and Contracto	vc		0.0000	0.0596	0%	14.000												
	B T2 Does the agency conduct background investigations (i.e., criminal	13		0.0000	0.0596	0%	14.101												
19.101 B	B 12 Does me agency conduct baceground investigations (i.e., criminal history and motor vehicle records) on all new front-line operations and maintenance employees, and employees with access to sensitive security information, facilities and systems?	NOT SCORED	0.00303	NOT SCORED	0.01212	NOT SCORED	14.101			NOT SCORED	0.01212								
14.102 B	B T2 To the extent allowed by agency policy or law, does the agency conduct background investigations on contractors, including vendors, with access to critical facilities, ensitive security systems, and sensitive security information?	NOT SCORED	0.00300	NOT SCORED	0.01200	NOT SCORED	14.102			NOT SCORED	0.012								

Baseline Security Scoring Detail Line											
Line	Element 1										
Grade:		0%									
12.126	NOT SCORED										
12.127											
12.128											
12.129											
13.000	0	0.02626									
13.101		0,,,,,,,,,,,,,,,,,,,,,,,,,,,,,,,,,,,,,,									
	NOT SCORED	0.008700									
13.102	NOT SCORED	0.009000									
13.103											
13.104											
13.105											
13.106	NOT SCORED	0.008560									
14.000	0.000000	0.035000									
14.101	0.000000	0.035880									
	NOT SCORED	0.012120									
14.102	NOT SCORED	0.012000									

Transit Security Fundamentals Scoring Detail **Top 17 Scoring Detail** Questions Score Weight Points Possible Grade Element 1 Element 2 Element 3 Element 4 Element 5 Element 6 Category MANAGEMENT AND ACCOUNTABILITY 0% 0% Grade: 0% 0% 0% 0% 14.103 Has counsel for the agency reviewed the process for conducting employee background investigations to confirm that procedures are consistent with applicable statutes and regulations? NOT 0.00299 0.01196 SCORED SCORED SCORED 14.104 Is the background investigation process documented? 14.104 NOT NOT NOT 0.00294 0.01176 SCORED SCORED SCORED Is the criteria for background investigations based on employee type (senior management staff, law enforcement officers, 14.105 14.105 managers/supervisors, operators, maintenance, safety/security NOT NOT NOT 0.00293 0.01172 sensitive, contractor, etc.) and/or responsibility and access SCORED SCORED SCORED DOCUMENT CONTROL 15 000 Control Access to documents of security critical systems and facilities 0.0000 0.0588 15 000 Does the agency keep documentation of its security critical sy such as tunnels, bridges, HVAC systems and intrusion alarm 0.0050 0.0200 0.02 detection systems (i.e. plans, schematics, etc.) protected from SCORED SCORED SCORED unauthorized access? Has the agency designated a department/person responsible for administering the access control policy with respect to agency 15 102 15 102 NOT NOT NOT 0.0049 0.0196 SCORED SCORED SCORED 15.103 Does the security review committee (or other designated group) 15.103 review document control practices, assess compliance applicable NOT NOT 0.0192 0.0048 procedures, and identify discrepancies and necessary corrective SCORED SCORED 16.000 Process for handling and access to Sensitive Security Information (SSI) 16.000 0.0000 0.0590 16.101 Does the agency have a documented policy for identifying and 16.101 ontrolling the distribution of and access to documents it considers NOT NOT 0.003764 0.015056 to be Sensitive Security Information (SSI) pursuant to 49 CFR Part SCORE SCORED SCORED 16.102 Does the agency have a documented policy for proper handling, 16.102 control, and storage of documents labeled as or otherwise determine NOT NOT 0.003653 0.014612 to be Sensitive Security Information (SSI) pursuant to 49 CFR Part SCORED SCORED SCORED 15 or 1520? 16.103 Are employees who may be provided SSI materials per 49 CFR Part 16.103 NOT NOT NOT 15 or 1520) familiar with the documented policy for the proper 0.014544 0.003636 SCORED SCORED SCORED handling of such materials? 16.104 Have employees provided access to SSI material per 49 CFR Part 15 16.104 or 1520 received training on proper labeling, handling, dissemination, and storage (such as through the TSA on-line SSI training program)? 0.003706 0.014824 SCORED SCORED SCORED SECURITY PROGRAM AUDITS 17.000 17.000 Audit Program 0.0547 0.0228 42% 17.101 Has the agency established a schedule for conducting its internal NOT NOT NOT 0.000895 0.00358 security audit process? SCORED SCORED SCORED 17.102 17.102 Does the SSP contain a description of the process used by the agency NOT NOT o audit its implementation of the SSP over the course of the agency 0.001210 0.00484 SCORED SCORED SCORED nublished schedule? Has the transit agency established checklists and procedures to NOT vern the conduct of its internal security audit process? 0.004836 0.001209 SCORED SCORED SCORED 17.104 Is the transit agency complying with its internal security audit 17.104 NOT NOT NOT 0.001188 0.004752 chedule? SCORED SCORED SCORED 17.105 17.105 Is each internal security audit documented in a written report, which ncludes evaluation of the adequacy and effectiveness of the SSP element and applicable implementing procedures audited, needed NOT corrected actions, needed recommendations, an implementation 0.004816 0.001204 SCORED SCORED SCORED schedule for corrective actions and status reporting? In the last 12 months, has the Security Review Committee (or other 17.106 designated group) addressed the findings and recommendations from NOT NOT the internal security audits, and updated plans, protocols and 0.001157 0.004628 SCORED SCORED SCORED processes as necessary? 17.107 Does the transit agency's internal security audit process ensure that 17.107 NOT NOT NOT

auditors are independent from those responsible for the activity being

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Line	ecurity Scoring D								
	Element 1								
Grade:		0%							
14.103									
14.104									
14.104	NOT SCORED	0.011760							
14.105									
15.000	0.000000	0.039600							
15.101	0.000000	0.033000							
10.101	NOTICOPER	0.000000							
	NOT SCORED	0.020000							
15.102	NOTCOPED	0.010000							
	NOT SCORED	0.019600							
15.103									
16.000	0.000000	0.029668							
16.101	0.000000	0.029000							
10.101									
	NOT SCORED	0.015056							
16.102									
	NOT SCORED	0.014612							
16.103									
16.104									
17.000	0.000000	0.019244							
17.101									
17.102									
	NOT SCORED	0.004840							
17 102									
17.103	NOT SCORED	0.004836							
17.103	NOT SCORED	0.004836							
17.103 17.104									
17.104	NOT SCORED	0.004836							
17.104	NOT SCORED	0.004752							
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17.104	NOT SCORED	0.004752							
17.104 17.105	NOT SCORED	0.004752							
17.104	NOT SCORED	0.004752							
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17.104 17.105	NOT SCORED	0.004752							
17.104 17.105	NOT SCORED	0.004752							

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Top 17 Scoring Detail

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Category			Questions	Score	Weight	Points	Possible	Grade
			MANAGEMENT AND ACCOUNTABILITY					
17.108			N/A Not Governed By 49 CFR Part 659	4	0.000863	0.003452	0.003452	100%
17.109		Г	N/A Not Governed By 49 CFR Part 659	4	0.000845	0.00338	0.003380	100%
17.110		Г	N/A Not Governed By 49 CFR Part 659	4	0.000810	0.00324	0.003240	100%
17.111		Г	N/A Not Governed By 49 CFR Part 659	4	0.000810	0.00324	0.003240	100%
17.112		Г	N/A Not Governed By 49 CFR Part 659	4	0.000817	0.003268	0.003268	100%
17.113		Г	N/A Not Governed By 49 CFR Part 659	4	0.000789	0.003156	0.003156	100%
17.114			N/A Not Governed By 49 CFR Part 659	4	0.000756	0.003024	0.003024	100%

Transit Sec	urity Funda	mentals Sco	ring Detail									
Line	Elem	ent 1	Elem	ent 2	Elem	ent 3	Elem	ent 4	Elem	ent 5	Elem	ent 6
Grade:		0%		0%		0%		0%		0%		0%
17.108												
17.109												
17.110												
17.111												
17.112												
17.113												
17.114												

Baseline Se	curity Scoring I	etail
Line	Eleme	ent 1
Grade:		0%
17.108		
17.109		
17.110		
17.111		
17.112		
17.113		
17.114		

Questions NOT SCORED

#### Color Key:



Transportation Security Fundamentals Questions



Baseline Security Questions

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