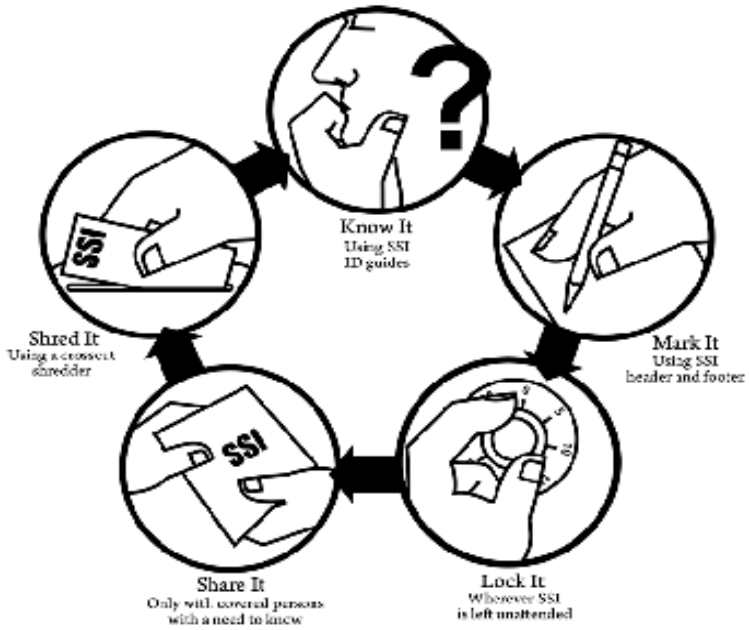
DEPARTMENT OF HOMELAND SECURITY

SENSITIVE SECURITY INFORMATION

Cover Sheet



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

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

Line Element		SIDoT
1.101	Does the transit agency have a System Security Plan (SSP) which addresses personnel security, facility security, vehicle security and Threat/Vulnerability Management?	Document Review
1.102	Does the SSP identify and actively monitor the goals and objectives for the security program ?	Document Review
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, such as the agency's chief executive?	Document Review
1.104	Is the SSP separate from the agency's System Safety Program Plan (SSPP)?	Document Review
1.105 TSF 1	Response Plans address protection and response for critical systems? (i.e., facilities, stations, terminals, offices, building, underwater tunnels, underground stations/ tunnels and	Document Review
1.106	Does the SSP contain or reference other documents establishing procedures for the management of security incidents by the	Document R

	operations control center (or dispatch center) or other formal process?	
1.107	other documents establishing plans, procedures, or protocols for responding to security events with external agencies (such as law enforcement, local EMA, fire	Document Review
1.108	Has the agency partnered with local law enforcement/ first responders to develop Active Shooter procedures or protocols?	Interview / Document Review
1.109	Does the SSP contain or reference other documents that establish procedures or protocols for responding to active shooter events?	Document Review
1.110	other documents that establish protocols addressing specific threats from (i) Improvised Explosive Devices (IED) and (ii) Weapons of Mass Destruction (chemical, biological, radiological	Document Review
1.111 / TSF3	Are visible, random security measures, based on employee type, integrated into security plans to introduce unpredictability into security activities for deterrent effect?	Document Review
1.112	Does the SSP include provisions requiring that security be addressed in extensions, major projects, new vehicles and equipment procurement and other capital projects, and including integration with the transit agency’s safety certification	Document Review

	process?	
1.113	Does the SSP include or reference other documents adopting Crime Prevention Through Environmental Design (CPTED) principles as part of the agency's engineering practices?	Document Review
1.114	Does the SSP require an annual review?	Document Review
1.115	Does the transit agency produce periodic reports reviewing its progress in meeting its SSP goals and objectives?	Document Review
1.116	Has an annual review of the SSP been performed and documented in the preceding 12 months?	Document Review
1.117	Does the SSP outline a process for securing SSO agency review and approval of updates to the SSP?	Document Review
1.118	Has the transit agency submitted and received documentation from the SSO confirming its review and approval of the SSP currently in effect?	Document Review
1.201	Does the transit agency have an Emergency Response Plan (ERP) which addresses specific policies and procedures related to emergency response.	Document Review

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, such as the agency's chief executive?	Document Review
1.203	Does the ERP require an annual review to determine if it needs to be updated?	Document Review
1.204	Has an annual review of the ERP been performed and documented in the preceding 12 months?	Document Review
1.205	Does the ERP include a process or review provision to ensure coordination with the transit agency's SSPP and SSP?	Document Review
1.206	Has the transit agency received documentation from the SSO confirming its review and approval of the ERP currently in effect?	Document Review
1.207	Does the ERP contain or reference other documents establishing plans, procedures, or protocols for responding to emergency events with external agencies? (i.e. law enforcement,	Document Review
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 (or dispatch center)?	Document Review

1.209	Does the ERP contain or reference other documents to provide for Continuity of Operations (COOP) while responding to emergency events?	Document Review
1.210	Does the agency have a written Business Recovery Plan to guide restoration of facilities and services following an emergency event?	Document Review
1.211	Does the agency have a written Business Continuity Plan and COOP to guide restoration of facilities and services following an emergency event?	Document Review
1.212	Does the agency have a back-up operations control center capability?	Document Review
2.101	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?	Document Review

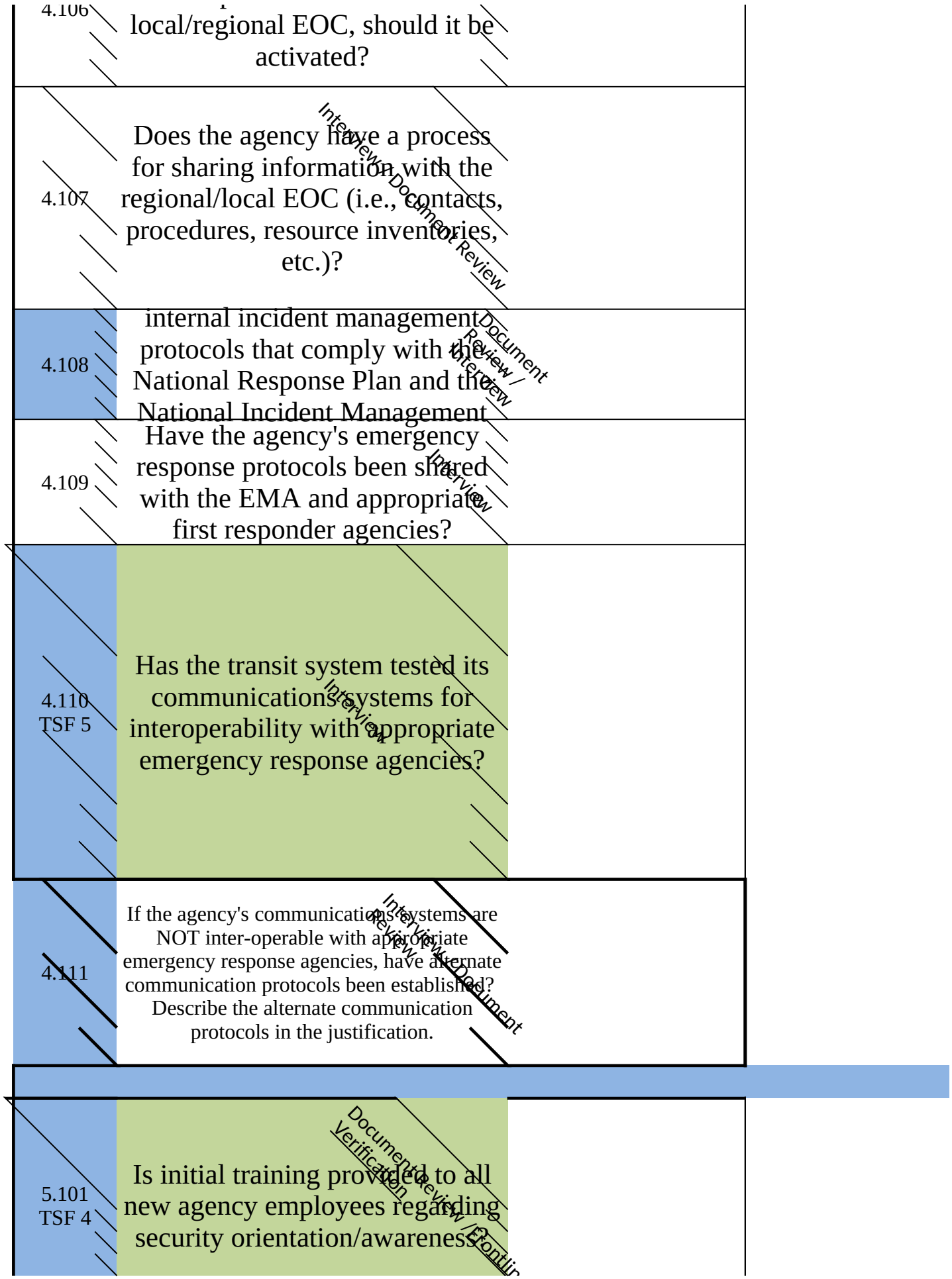
2.102	Has the agency established documented lines of delegated authority and lines of succession of security responsibilities?	
2.103	Does the SSP or other documents establish roles and responsibilities for security and/or law enforcement personnel based on title and/or position?	Document Review
2.104	Does the SSP or other documents establish security-related roles and responsibilities for non-security personnel based on title and/or position? (i.e., operators, conductors, maintenance workers and station attendants)	Document Review
2.105 TSF 2	Do senior staff and middle management conduct security meetings to review recommendations for changes to plans and processes?	Interview / Document Review
2.106	Does a Security Review Committee (or other designated group) regularly review security incident reports, trends, and program audit findings?	Interview

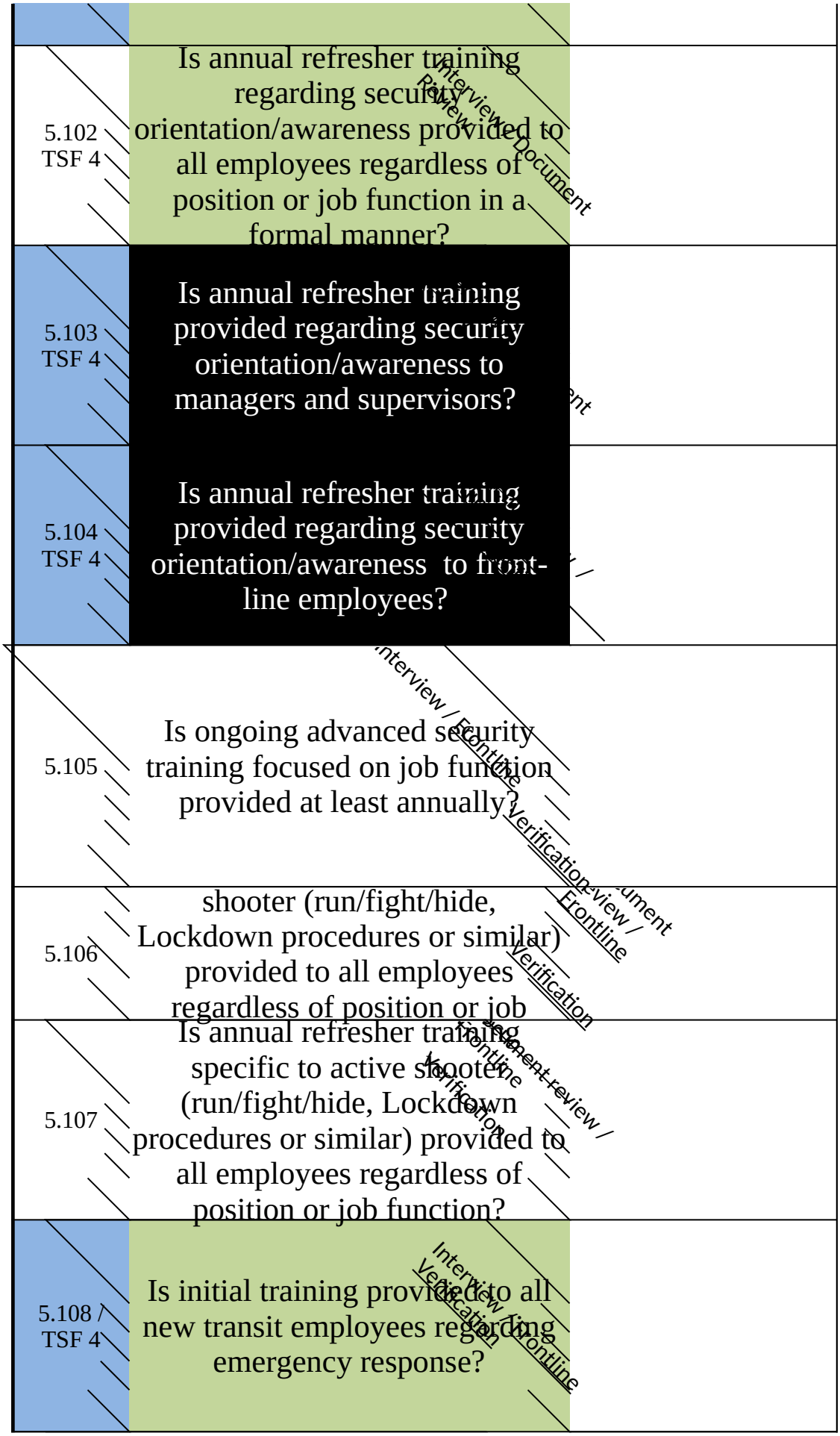
2.107	Are informational briefings with appropriate personnel held whenever security protocols, threat levels, or protective measures are updated or as security conditions warrant?	Interview
2.108	Have reference guides or other written instructions or procedures, appropriate to job function, been distributed to transit employees to implement the requirements of the SSP?	Document Review
2.109	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	Document Review / Interview
2.110	Does the agency maintain a record of security related incidents that are reported within the agency?	Document Review
	Does the ERP establish and assign responsibility for implementation of the emergency	Doc...

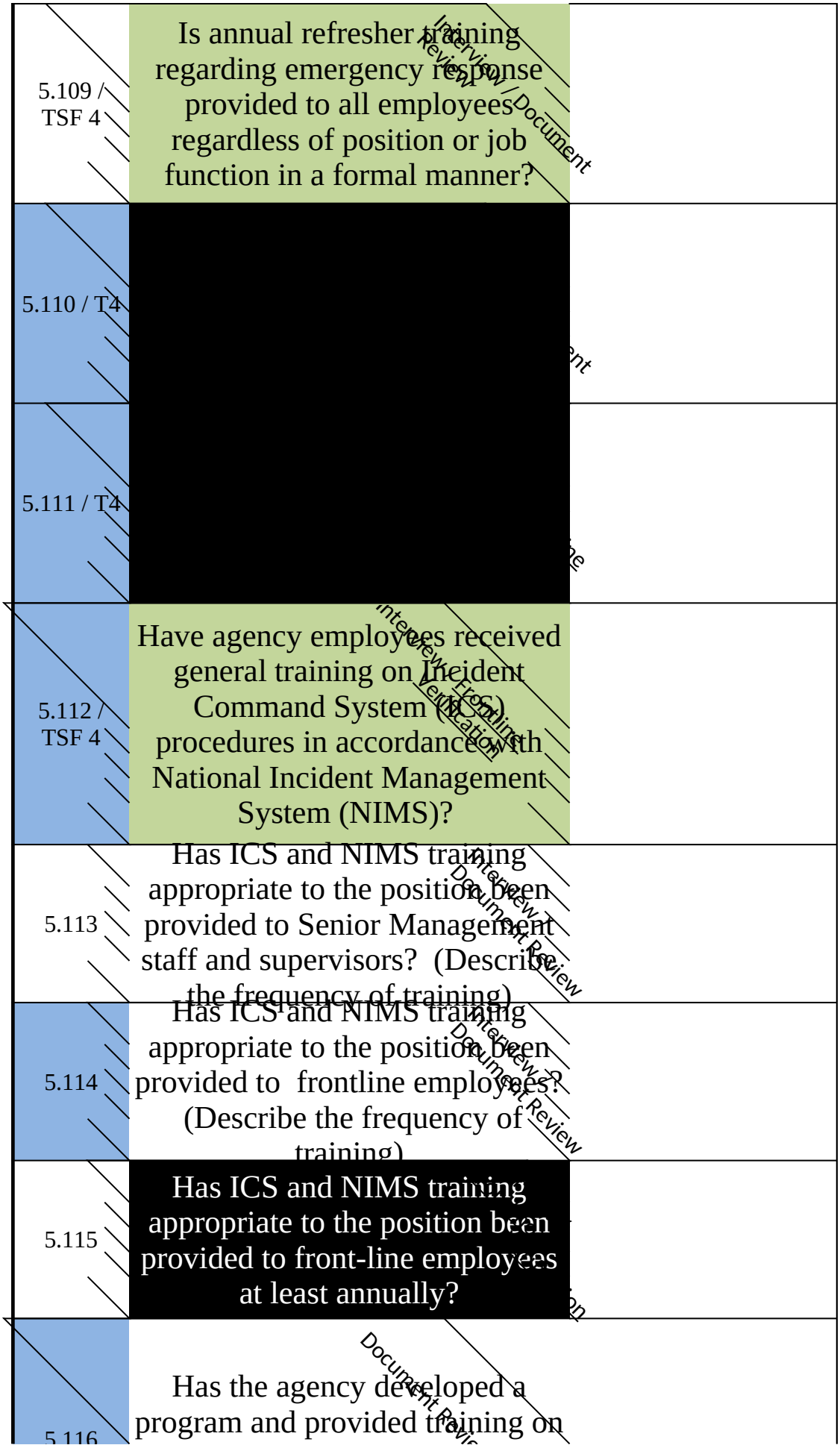
2.201	response program to a Senior Manager who is a "direct report" to the agency's Chief Executive Officer?	
2.202	Are detailed, comprehensive emergency response roles and responsibilities for all departments identified in the ERP or other supporting documents? Document Review	
2.203 TSF 5	Does the ERP establish emergency response roles and responsibilities for all front-line personnel based on title and/or position? (i.e. system law enforcement, system security officials, train or vehicle operators, conductors, station attendants, maintenance workers) Document Review	
2.204	Has the ERP been distributed to appropriate departments in the organization? Interview	
2.205	Have appropriate reference guides or other written instructions or procedures been distributed to transit employees to implement the requirements of the ERP? Document Review	
2.206	Are senior staff and middle management ERP coordination meetings held on a regular basis? Interview	

2.207	Are informational briefings with appropriate personnel held whenever emergency response protocols are substantially changed or updated?	Interview
3.101	How frequently do managers and supervisors provide information to front-line personnel where security and emergency response issues are the primary focus?	Interview, Document review, Frontline verification
3.102	How frequently are supervisor, manager, and/or foreperson security review and coordination briefings held?	Interview
3.103	Does the agency have a program that actively utilizes a formal process for confirming personnel have a measurable working knowledge of security protocols? (i.e. internal audits, challenge procedures, qualification testing)	Interview / Document review

3.104	Does the agency have a written policy requiring managers and/or supervisors to debrief front-line employees regarding their involvement in or management of any security or emergency incidents?	Interview / Document Review
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?	Interview / Document Review
4.102	regional Emergency Management Working Group or similar regional coordinating body for emergency preparedness and	Interview
4.103	Have regional incident management protocols been shared with the agency and incorporated into the agency's ERP/SSP/SEPP?	Document Review / Interview
4.104	Have agency resources been appropriately identified and provided to the regional EMA?	Interview
4.105	Does the agency have a designated point-of-contact or liaison from the local/regional Emergency Operations Center (EOC)?	Interview / Document Review
	Does the agency send a representative to the	Interview / Review


4.106
local/regional EOC, should it be activated?
4.107
Does the agency have a process for sharing information with the regional/local EOC (i.e., contacts, procedures, resource inventories, etc.)?
Interview / Document Review
4.108
internal incident management protocols that comply with the National Response Plan and the National Incident Management
Document Review / Interview
4.109
Have the agency's emergency response protocols been shared with the EMA and appropriate first responder agencies?
Interview
4.110
TSF 5
Has the transit system tested its communications systems for interoperability with appropriate emergency response agencies?
Interview
4.111
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.
Interview / Review / Document
5.101
TSF 4
Is initial training provided to all new agency employees regarding security orientation/awareness?
Document Verification / Review / Frontli


5.102
TSF 4
Is annual refresher training regarding security orientation/awareness provided to all employees regardless of position or job function in a formal manner?
Interview / Review / Document
5.103
TSF 4
Is annual refresher training provided regarding security orientation/awareness to managers and supervisors?
5.104
TSF 4
Is annual refresher training provided regarding security orientation/awareness to front-line employees?
5.105
Is ongoing advanced security training focused on job function provided at least annually?
Interview / Frontline / Verification / Document review / Frontline
5.106
shooter (run/fight/hide, Lockdown procedures or similar) provided to all employees regardless of position or job
Verification
5.107
Is annual refresher training specific to active shooter (run/fight/hide, Lockdown procedures or similar) provided to all employees regardless of position or job function?
Frontline / Verification / Document review / Frontline
5.108 /
TSF 4
Is initial training provided to all new transit employees regarding emergency response?
Interview / Verification / Frontline


5.109 / TSF 4
Is annual refresher training regarding emergency response provided to all employees regardless of position or job function in a formal manner?
Interview / Review / Document
5.110 / T4
5.111 / T4
5.112 / TSF 4
Have agency employees received general training on Incident Command System (ICS) procedures in accordance with National Incident Management System (NIMS)?
Interview / Verification / Training
5.113
Has ICS and NIMS training appropriate to the position been provided to Senior Management staff and supervisors? (Describe the frequency of training)
Interview / Document Review
5.114
Has ICS and NIMS training appropriate to the position been provided to frontline employees? (Describe the frequency of training)
Interview / Document Review
5.115
Has ICS and NIMS training appropriate to the position been provided to front-line employees at least annually?
5.116
Has the agency developed a program and provided training on
Document Review

	its own incident response protocols?	
5.117 / TSF 4	Is annual refresher training on the agency's incident response protocols appropriate to the position been provided to all employees regardless of position	Interview / Document Review
5.118 / T4	Has training on the agency's incident response protocols appropriate to the position been provided to managers and supervisors?	
5.119 / T4	Has training on the agency's incident response protocols appropriate to the position been provided to front-line employees at least annually?	
5.120 / TSF 4	program for personnel regarding response to terrorism, including (i) Improvised Explosive Devices and ii) Weapons of Mass Destruction (chemical, biological, radiological, nuclear)? If so,	Document Review / Interview
5.121	Has training focused on IEDs and WMDs appropriate to the position been provided to all employees regardless of position or job function at least annually?	Document Review / Interview
5.122	Has training focused on IEDs and WMDs appropriate to the position been provided to manager and supervisors?	
5.123	Has training focused on IEDs and WMDs appropriate to the position been provided to front-line employees at least annually?	
5.124	Do law enforcement/security department personnel, security managers at the agency receive specialized training in counter-terrorism annually? Summarize	Document Review / Inte

	terrorism annually? Summarize program in the justification.	
5.125	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.	Document Review / Interview
5.126	Does the agency have an established program to monitor and schedule employee training?	Document Review
5.127	Does the agency have a system that records and tracks personnel training for all security-related courses (including initial, annual, periodic and other)?	Document Review
5.128	Does the transit agency have a system that records and tracks personnel training for emergency response courses (including initial, periodic and other)?	Document Review
5.129	Does the agency have a program to regularly review and update security awareness and emergency response training materials?	Interview / Review / Document
5.130 / TSF 4	Are all appropriate personnel notified via briefings, email, voicemail, or signage of changes in threat condition, protective measures or the employee watch programs?	Interview

5.131 / TSF 1	awareness and emergency response training programs cover response and recovery operations in critical facilities and infrastructure? If so, summarize relevant provisions of program in	Document Review	
5.132 / TSF 1	Has the agency provided training to regional first responders to enable them to operate in critical facilities and infrastructure?	Interview	
5.133	Has the agency provided local law enforcement/first responders opportunities to familiarize themselves with agency's system for response to Active Shooter events?		
5.134 / TSF 3	Does training of transit system law enforcement and/or security personnel integrate the concept and employment of visible, random security measures?	Interview / Review / Document	first responder verification
5.135 / TSF 4	Has the agency implemented a program to train or orient first responders and other potential supporting assets (e.g., TSA regional personnel for VIPR exercises) on their system vehicle familiarization?	Interview / Review / Document	
6.101	Does the SSP contain or reference other documents identifying incremental actions (imminent or elevated) to be implemented for a NTAS threat?	Document Review	
6.102 TSF 2	Does the agency have actionable operational response protocols for the specific threat scenarios from NTAS?	Document Review	

6.103	Has the agency provided annual training and/or instruction focused on job function regarding the incremental activities to be performed by employees?	Interview / Document Review
7.101	Has the transit agency developed and implemented a public security and emergency awareness program?	Interview
7.102 TSF 6	public outreach for security awareness and emergency preparedness (e.g., Transit Watch, "If You See Something, Say Something", message boards, brochures, channel cards, posters,	Document Review / Observation / Onsite
7.103 TSF 6	Is the above consistent with agency's overall announcement program?	Document Review / Onsite Observation
7.104 TSF 6	Are general security awareness and emergency preparedness messages included in public announcement messages at stations and on board vehicles?	Onsite Observation
7.105 TSF 6	unattended property, suspicious behavior, and security concerns to uniformed crew members, law enforcement or security personnel, and/or a contact telephone number? If so,	Document Review / Observation / Onsite

	summarize the type of materials	
7.106 TSF 6	Does the agency have an appropriate mechanism in place for passengers to communicate a security concern? (e.g., 1-800 number, smart phone applications, social media, etc.)	Document Review / Observation / Onsite
7.107	service announcements or press releases to social media regarding security and emergency protocols? (e.g. Twitter/ Facebook/etc.)	Interview / Document Review
7.108 TSF 6	releases to local media regarding security or emergency protocols? (e.g. newspaper, radio and/or	Interview / Document Review
7.109	Does the transit agency conduct a volunteer training program for non-employees to aid with system evacuations and emergency response? If so, describe training program and activities.	Interview / Review / Document
7.110	Does the transit agency conduct an outreach program to enlist members of the public as security awareness volunteers, similar to Neighborhood Watch programs?	Interview / Review / Document
7.111 TSF 1	Do public awareness materials and/or messages inform passengers on the means to evacuate safely from transit vehicles and facilities?	Interview / Review / Document
7.112	Does the agency track and monitor customer complaints reported by passengers?	Interview
8.101 TSF 2	assessment process, approved by its management, for managing threats and vulnerabilities? If so,	Document Review / Interview

	summarize the process in the	
8.102	Has the agency identified facilities and systems it considers to be its critical assets?	Interview / Review / Document
8.103 TSF 2	external 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 external Risk Assessment.	Document Review
8.104 TSF 1	analyzing threat, vulnerability, & consequence, 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	Interview / Document Review
8.105 TSF 2	Has the system implemented procedures to limit and monitor access to underground and underwater tunnels? If so, summarize procedures in the justification.	Interview Review Document
8.106	Are security investments prioritized using information developed in the risk assessment process?	Interview
8.107 TSF 1	Upon request, has TSA been provided access to the agency's vulnerability assessments, Security Plan and related documents?	Document Review
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?	Documented Review
	intelligence information directly	Docu

9.102 TSF 2	to FBI Joint Terrorism Task Force (JTTF) or other regional	
9.103	Does the agency have policies requiring employees to report (internal or external) suspicious activity to their supervisor or management?	Document Review / Interview
9.104 / TSF 2	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)?	Document Review, Interview
9.105	~~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? If so,	Interview
9.106	Does the agency report their NTD security data to FTA as required by 49 CFR 659?	Interview
10.101	documented process to develop an approved, coordinated schedule for all emergency management program activities, including local/regional emergency planning and participation in exercises and	Document Review
10.102	Does the agency's or SSP describe or reference how the agency performs its emergency planning responsibilities and requirements regarding emergency drills and exercises?	Document Review
10.103 TSF 5	emergency preparedness by using annual field exercises, tabletop exercises, and/or drills? If so, please summarize the exercise	Interview

10.104	Does the agency's SPP or a related document include a requirement for annual field exercises, tabletops and drills?	Document Review
10.105	Does the agency documents the results of its emergency preparedness evaluations? (i.e., briefings, after action reports and debriefings)	Document Review
10.106	Does the agency SPP or related document reference its program for providing employee training on emergency response protocols	Document Review
10.107	Does the agency participate as an active player in full-scale, regional exercises, held at least annually?	Interview
10.108	In the last year, has the agency conducted drills or exercises specifically focus on active shooter scenarios with its employees?	Interview
10.109 / TSF 5	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	Interview
10.110 / TSF 5	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	Interview Review Document
10.111 / TSF 5	and processes to incorporate after-action report recommendations/findings of corrective actions? If so,	Interview / Document Review
10.112	Has the agency established a system for objectively measure and assess its performance during emergency exercises and to measure improvements?	Interview Review Interview / Document
10.113 /	emergency response plans to test capabilities of i.) employees and ii.) first responders to operate	Int

10.113 / TSF 1	effectively throughout the agencies system? (i.e., facilities, stations, office buildings,	
10.114 / TSF 5	Does the transit system integrate local and regional first responders in drills, tabletop exercises, and/or field exercises? If so, summarize each joint event and state when it took place.	Interview
11.101	Has the agency conducted a risk assessment to identify operational control and communication/business enterprise IT assets and potential vulnerabilities?	Document Review / Interview
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?	Document Review / Interview
11.103	Has a written strategy been developed and integrated into the overall security program to mitigate the cyber risk identified?	Document Review
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.)?	Interview
11.105	Does the agency ensure that recurring cyber security training reinforces security roles, responsibilities, and duties of employees at all levels to protect	Interview

	against and recognize cyber	
11.106	Has the agency established a cyber-incident response and reporting protocol?	Document Review / Interview
11.107	available resources (e.g., standards, PT-ISAC, US CERT, National Cyber Security Communication and Integration	Interview
12.101	Have assets and facilities requiring restricted access been identified?	Interview / Document Review
12.102	Are ID badges or other measures employed to restrict access to facilities not open to the public?	Frontline / Interview / Observation
12.103 TSF 2	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.)?	Interview
12.104	Does the agency have documented procedures for issuing ID badges to visitors and contractors?	Interview / Frontline Observation
12.105	Does the agency has a documented policy that requires visitors to be escorted when accessing non-public areas.	Interview
12.106	Is CCTV equipment installed in transit agency facilities?	Interview / Observation / Frontline
	Is CCTV equipment protecting	

12.107	Is CCTV equipment protecting critical assets interfaced with an access control system?	
12.108	Is CCTV equipment installed on transit vehicles?	Interview
12.109	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	Interview
12.110	Does the agency use fencing, barriers, and/or intrusion detection to protect against unauthorized entry into stations, facilities, and other identified high risk/high consequence assets and critical systems? (i.e., CCTV, intrusion detection systems, smart camera technology, fencing, enhanced lighting, access control, LE	Interview
12.111 TSF 2		Interview
12.112	Does the transit agency monitor a network of security, fire, duress, intrusion, utility and internal 911 alarm systems?	Interview
12.113	Does the agency provide a method for passengers and visitors to report security and safety concerns from within the agency's system?	Interview; Physical Observation
12.114	Does the transit agency administer an automated employee access control system and perform corrective analysis of security breaches?	Interview

12.115	Does the agency have policies and procedures for screening of mail and/or outside deliveries?	Interview
12.116	Have locks, bullet resistant materials and anti-fragmentation materials been installed/used at critical locations?	Interview
12.117	safety in station design or modifications? (including fire detection systems, firewalls and flame-resistant materials, back-up powered emergency lighting,	Interview
12.118	Is directional signage with adequate lighting provided in a consistent manner throughout their system, both to provide orientation and to support emergency evacuation?	Physical Observation
12.119	Are gates and locks used on all facility doors to prevent unauthorized access during operating hours?	Interview / Observation / Physical
12.120	Are keys controlled through an established program that is documented?	Interview
12.121	Are gates and locks used to close down system facilities after operating hours?	Physical Observation / Interview
12.122	Do transit vehicles have radios, silent alarms, and/or passenger communication systems?	Interview
	Does the transit agency use	

12.123	graffiti-resistant/etch-resistant materials for walls, ceilings, and windows?	
12.124	Supply (UPS) or redundant power sources provided for safety and security of critical equipment, fire detection, alarm and suppression systems; public address; call-for-aid telephones; CCTV; emergency trip stations; vital train	Interview
12.125	Has the agency removed non-explosive resistant trash receptacles from platform areas of terminals and stations?	Interview
12.126	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	Interview
12.127 TSF 1	Does the agency have or utilize explosive detection canine teams, either maintained by the system or made available through mutual aid agreements with other law enforcement agencies?	Interview
13.101 TSF 1	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? Describe frequency of inspections and	Document Review / Interview
13.102	inspecting/sweeping vehicles and stations to identify and manage suspicious items, based on HOT	Document Review / Frontline Verification
13.103	a form or quick reference guide for operations and personnel to conduct pre-trip, post-trip, and within-trip inspections?	Document Review
13.104	a form or quick reference guide for station attendants and others regarding station and facility	Document Review

	regarding station and facility	
13.105 TSF 2	results of inspections and implement any changes to policies and procedures or implement corrective actions, based on the findings? Describe specific examples where improvements to policy or	Document Review
13.106 TSF 2	Does the agency conduct frequent inspections of its critical systems access points, ventilation systems, and the interior of underground/underwater assets for indications of suspicious activity?	Interview / Document Review
13.107	Does the system integrate randomness and unpredictability into its security activities to enhance deterrent effect? Describe how.	Interview / Document Review
13.108	Is there a process in place to ensure that in service vehicles are inspected at regular periodic intervals for suspicious or unattended items? Specify type and frequency of inspections.	Interview
13.109	necessary training provided to personnel, to ensure that all critical infrastructure are inspected at regular periodic intervals for suspicious or unattended items? Specify type	Interview
14.101 TSF 2	background investigations on all new front-line operations and maintenance employees, and employees with access to sensitive security information, facilities and systems? (i.e., criminal history and motor	Interview
14.102 TSF 2	policy or law, does the agency conduct background investigations on contractors, including vendors, with access to critical facilities, sensitive security systems, and sensitive	Interview
	Is there a process for conducting employee background	Inte

14.103	investigations to confirm that procedures are consistent with	
14.104	Does the agency have a documented process for conducting background investigations?	Document Review
14.105	Is the criteria for background investigations based on employee type and responsibility, and is access documented?	Document Review
15.101 TSF 2	documentation of its security critical systems, such as tunnels, bridges, HVAC systems and intrusion alarm detection systems (i.e. plans, schematics, etc.) protected from unauthorized	Interview
15.102	Has the agency designated a department/person responsible for administering the access control policy with respect to agency documents?	Interview
15.103	Does the security review committee or other designated group review document control practices, assess compliance applicable procedures, and identify discrepancies and necessary corrective action?	Interview
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 Parts 15 or 1520?	Document Review
16.102	documented policy for proper handling, control, and storage of documents labeled as or	Document

	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) familiar with the documented policy for the proper handling of such materials?	Employee Verification
16.104	Have employees provided access to SSI material per 49 CFR Part 15 or 1520 received training on proper labeling, handling, dissemination, and storage (such as through the TSA on-line SSI training program)?	Frontline Verification
17.101	Has the agency established a schedule for conducting its internal security audit process?	Document Review
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?	Document Review
17.103	Has the transit agency established checklists and procedures to govern the conduct of its internal security audit process?	Document Review
17.104	Is the transit agency complying with its internal security audit schedule?	Interview / Document Review
17.105	Does the internal security audit process, 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 other designated group addressed	Document Review

17.106	the findings and recommendations from the internal security audits, and	
17.107	Does the transit agency's internal security audit process ensure that auditors are independent from those responsible for the activity being audited?	Interview
17.108	Has the agency made its internal security audit schedule available to the SSO agency?	Interview
17.109	Has the agency made checklists and procedures used in its internal security audits available to the SSO agency?	Interview
17.110	Has the agency notified the SSO agency 30 days prior to the conduct of an internal security audit?	Interview
17.111	security audit process and the status of findings and corrective actions been made available to the SSO agency within the	Interview
17.112	Has the agency's chief executive certified to the SSO agency that the agency is in compliance with its SSP?	Interview
17.113	Was that certification included with the most recent annual report submitted to the SSO agency?	Interview
17.114	was not able to certify to the SSO agency that the agency is in compliance with its SSP, was a corrective action plan developed	Interview

M		
2” Security element is in place with all essential c		
Comments	Items of Interest	
		Establish W
Inspectors should refer to the MT BASE Guidance, Pg12.	Policies and procedures related to *security*--including personnel security, vehicle security, facility security, and threat/vulnerability management.	4 3 2 1 0
	Documented method of effectively assessing and monitoring security program's purpose and progress.	4 2 1 0
Justification should include at least two management and implementation statements	Policy statement including: endorsement statement/signature, applicability, and authority/background of the plan.	4 2 1 0
	"Yes" or "No."	4 0
In addition to underwater tunnels, underground stations/ tunnels, this question also applies to other critical systems.	Review SSP to determine if items are address effectively.	4 2 0
	Operation Control Center: managing incidents	4 3 2

		1
		0
In Justification, describe plans, procedures or protocols.	Documented plans for coordinating with external agencies.	4
		2
		0
	Active Shooter procedures or protocols were developed with local law enforcement and first responders	4
		2
		0
		4
		2
		0
	Protocols for IED ***and*** WMD	4
		2
		0
Agency should strive to implement and document their own unpredictable security measures using their own resources.	Random or unpredictable security measures that are documented in security plans.	4
		2
		1
		0
	Project/procurement planning, engineering, design, construction, and testing.	4
		3
		2

		1
		0
	Project design, engineering, and construction.	4
		3
		2
		1
		0
Reference date of last review in justification.	Annual review ***requirement. A review is focused on written policy and ensuring policies are sufficient.***	4
		2
		1
		0
	An example of periodic reports reviewing SSP progress	4
		3
		2
		1
		0
	Documented evidence of a annual review. A review is focused on written *policy* and ensuring policies are sufficient.	4
		2
		0
49 CFR PART 659 SSO Only Question	"Yes" or "No." Documented process for SSO approval. N/A for entities not regulated under 49 CFR § 659.	4
		0
49 CFR PART 659 SSO Only Question If yes, indicate the approval date in evidence.	Current SSP has been approved by SSO. N/A for entities not regulated under 49 CFR § 659.	4
		2
		0
Inspectors should refer to the MT BASE Guidance, Pg13.	Emergency response procedures	4
		3
		2

		1
		0
	Policy statement including: endorsement statement/signature, applicability, and authority/background of the plan.	4
		3
		2
		1
		0
	Documented requirement for annual review.	4
		2
		1
		0
Reference date of last review in justification.	Documented evidence of a annual review.	4
		2
		0
	Emergency response procedures coordinated with security and safety procedures. (Emergency procedures do not hinder safety or security.)	4
		3
		2
		1
		0
49 CFR PART 659 SSO Only Question	SSO approval of current ERP. N/A for entities not regulated under 49 CFR § 659.	4
		2
		0
	Documented plans for coordinating with external agencies.	4
		2
		0
	Management of emergency events	4
		3
		2
		1
		0

Verify COOP addresses 5 main goals outlined in the MT BASE Guidance, Pg13.	Continuity of Operations plan.	4 2 0
	Procedures to recover from an event and resume normal operations.	4 3 2 1 0
	Procedures to continue essential operations during emergency.	4 3 2 1 0
indicate last time this was tested (if applicable) in Justification.	Secondary site of Operations Control.	4 2 0
		Define
Inspectors should refer to the MT BASE Guidance, Pg14.	Documented evidence assigning implementation of security program in the SSP.	4 3 2 1 0
		4

		Chain of Command ***and*** Lines of Succession for security responsibilities.	3
			2
			1
			0
		Security roles and responsibilities of Security Personnel.	4
			3
			2
			1
			0
		Security roles and responsibilities of non-security personnel.	4
			3
			2
			1
			0
	Security should be the primary focus of these meetings and briefings	Management meetings for security recommendations. Operational.	4
			2
			0
	Security should be the primary focus of these meetings and briefings	Security Review Committee	4
			3
			2

		1
		0
	Security Briefings (written or verbal), means of acknowledgement. Operational.	4
		3
		2
		1
		0
	Reference guides for transit personnel	4
		3
		2
		1
		0
This question applies to both Regulated and Non-Regulated entities.	Security Coordinator	4
		2
		0
	Incident recording (may be document retention or summary archives)	4
		3
		2
		1
		0
Inspectors should refer	Documented evidence assigning	4
		3

to the MT BASE Guidance, Pg14.	Documented evidence assigning implementation of security program in the ERP.	2
		1
		0
	Documented emergency response responsibilities.	4
		3
		2
		1
		0
	Frontline Personnel Responsibilities.	4
		3
		2
		1
		0
	ERP Distribution	4
		3
		2
		1
		0
	Reference guides for transit personnel	4
		3
		2
		1
		0
Emergency response should be the primary focus of these meetings and briefings	Management meetings for ERP coordination. Operational.	4
		3
		2
		1

		0
	Briefings related to emergency response. Operational.	4
		3
		2
		1
		0
Ensure that operations and maintenanc		
Inspectors should refer to the MT BASE Guidance, Pg16.	Frontline Personnel Briefings	4
		3
		2
		1
		0
	Supervisor Briefings	4
		3
		2
		1
		0
Possible follow-up questions needed. Summarize program in justification.	Internal verification of knowledge	4
		3
		2
		1

		0
	Debriefing Requirement	4
		3
		2
		1
		0
Coordinate Se		
Inspectors should refer to the MT BASE Guidance, Pg16.	MOUs involving law enforcement, other transit agencies, and first responders	4
		3
		2
		1
		0
	Regional Emergency Management Group. "Yes" or "No."	4
		0
	Regional Incident Management Protocols	4
		3
		2
		1
		0
	Agency Resources. "Yes" or "No."	4
		0
	POC identified from EOC. "Yes" or "No."	4
		0
	Agency Representative sent to EOC.	4
		2

	"Yes" or "No."	0
	Information Sharing Capabilities	4 2 1 0
	Internal Incident Management Protocols. "Yes" or "No."	4 0
	Internal Emergency Response Protocols. "Yes" or "No."	4 2 0
	Interoperability	4 3 2 1 0
	Interoperability Substitute	4 2 0
Es		
Inspectors should refer to the MT BASE Guidance, Pg18.	Training records, training material	4 2

		0
	Training records, training material	4 2 0
	Training records, training material	4 2 0
	Training records, training material	4 2 0
	Training records, training material	4 2 0
	Training records, training material	4 2 0
	Training records, training material	4 2 0
General emergency response / awareness training	Training records, training material	4 2 0

	Training records, training material	4 2 0
	Training records, training material	4 2 0
	Training records, training material	4 2 0
	Training records, training material	4 2 0
	Training records, training material	4 2 0
	Training records, training material	4 2 0
	Training records, training material	4 2 0
	Training records, training material	4

	Training records, training material	4 2 0
	Training records, training material	4 2 0
	Training records, training material	4 2 0
	Training records, training material	4 2 0
	Training records, training material	4 2 0
	Training records, training material	4 2 0
	Training records, training material	4 2 0
	Training records, training material	4 2 0
in justification, provide description of specialized training or provider.	Training records, training material	4 2

		0
in justification, provide description of specialized training or provider.	Training records, training material	4 2 0
General training review. This does not have to revolve around Security Training but establishes if they have an active system.	Training Scheduling (General)	4 2 0
This question asks specifically about security-related courses.	Training Recording (Security) (ex. 30-day file)	4 2 0
This question asks specifically about emergency response related courses.	Training Recording (Emergency Response) (ex. 30-day file)	4 2 0
	Security Review and Updating	4 2 0
	Operational Changes	4 3 2 1 0

	Response and recovery operations in critical facilities and infrastructure.	4 2 0
During interview, dates or frequency of training should be documented to receive full score. Also, describe scope of training.	Training program for external agencies.	4 2 0
ent rforcem		4 2 0
	Training program featuring concepts of random and highly visible countermeasures.	4 2 0
During interview, dates or frequency of training should be documented to receive full score. Also, describe scope of training.	Training program for external agencies.	4 2 0
	Establish plans a	
Inspectors should refer to the MT BASE Guidance, Pg19.	Incremental actions based on NTAS threat	4 2 0
	Response protocols for specific threat scenarios based on NTAS	4 2 0

	Job-specific NTAS training	4 2 1 0
		Implement
Inspectors should refer to the MT BASE Guidance, P20. In justification, provide description of agency's emergency awareness program.	Outreach program	4 3 2 1 0
	Active outreach, utilizes program materials	4 2 0
	Appropriate outreach material. "Yes" or "no."	4 0
	Public announcements (Pre-recorded voice announcements)	4 3 2 1 0
	Materials specifically mention reporting unattended property, suspicious behavior and security concerns.	4 2

		0
	Effective reporting mechanism	4 2 0
In justification, provide description of social media utilized.	**Social Media** Announcements for Security and Emergency. "Yes" or "No."	4 0
In Justification, describe the most recent public announcement or press release to local media.	**Local Media** Announcements for Emergency Response. "Yes" or "No."	4 0
	Training for non-employee volunteers for emergency response	4 2 0
	Active volunteer program (not the same as "See Something, Say Something")	4 2 0
If agency has no underwater/underground facilities question applies to transit vehicles.	Passenger evacuation guidance material	4 2 0
	Customer complaint tracking system	4 2 0
	Establish and use a Risk M	
Inspectors should refer to the MT BASE Guidance, Pg20.	Process of Risk Assessment	4 2

		0
In Justification, describe the critical assets identified by the agency. Scoring Justification should list at a minimum: date of assessment, identify critical assets, who conducted the assessment, etc.	Identification of Critical Assets	4 2 0
	Date of last vulnerability assessment (General). "Yes" or "no."	4 2 0
Scoring Justification should list at a minimum: date of assessment, identify critical assets, who conducted the assessment, etc.	Recent Risk Assessment (specifically ***threat***, ***vulnerability***, and ***consequence*** analyzed), appropriate personnel trained.	4 2 0
	Access to underground and underwater tunnels. N/A if the system does not have underground/underwater tunnels.	4 2 0
In justification, examples of improvements based off of risk assessment results should be provided.	Security Investments, examples of security investment prioritization	4 2 0
	Inspector was able to review ***all*** requested documents, including assessments and Security Plans. "Yes" or "no."	4 0
		Establish and
Inspectors should refer to the MT BASE Guidance, Pg22.	Formalized process of intelligence sharing with Federal, State, and local law enforcement agencies.	4 2 0
	Reporting ***directly*** to JTTF or regional	4

	Reporting ***directly*** to JTTF or regional anti-terrorism body. "Yes" or "no."	0
		4
		2
		0
This question applies to both Regulated and Non-Regulated entities.	Reporting threats and significant security concerns to TSOC ***and*** local law enforcement.	4
		2
		1
		0
	Documented evidence of intel receiving (Daily Report, etc.).	4
		3
		2
		1
		0
49 CFR PART 659 SSO Only Question	NTA Security Data (***regulation***)	4
		0
Inspectors should refer to the MT BASE Guidance, P22. In Justification, describe agencies approved coordinated schedule for all emergency management program activities	Process for developing/ coordinating/ scheduling emergency management activities.	4
		2
		0
	Emergency planning responsibilities and drills/exercises general requirements	4
		2
		0
Agency driven	Agency conducting functional drills and exercises. "Yes" or "no."	4
		0

	Annual Requirement. "Yes" or "no."	4 0
	Results of drills/ exercises/ evaluations, documentation of results. "Yes" or "no."	4 0
	Documented training. "Yes" or "no."	4 0
Region driven	Active-player participation. "Yes" or "no."	4 0
		4 2 0
In Justification, describe the drill/exercise and include date.	Drills: Specific Focus. Participants: other transit agencies, first responders.	4 2 0
	Evaluation of results	4 2 0
In Justification, summarize the actions taken in the justification.	Evaluation of results, plan modifications. "Yes" or "no."	4 0
	Method of analysis	4 2 0
In addition to underwater/undergro und infrastructure, this	Drills in underwater/underground	4

question applies to other critical systems as identified by the entity.	infrastructure and other critical systems.	2 0
In justification, summarize each joint event and state when it took place.	Drills with external agencies	4 2 0
Inspectors should refer to the MT BASE Guidance, Pg24.	Risk assessment focused on ***IT SECURITY***	4 2 0
	Security measures for critical IT facilities/equipment	4 2 0
	Written IT security measures	4 2 0
	IT Security Coordinator	4 3 2 1 0
	Recurrent cybersecurity training	4 2

		0
	Cyber-incident response and reporting protocols	4
		2
		0
In Justification, describe resources used by agency.	Available resources. "Yes" or "no."	4
		0
Inspectors should refer to the MT BASE Guidance, Pg26.	Restricted Areas	4
		2
		0
	ID Badges	4
		2
		0
	Access Control Monitoring/Updating	4
		2
		0
	ID Badges for contractors and visitors	4
		2
		0
	Escorts Policy	4
		2
		0
	CCTV: Facilities	4
		2
		0
		4

	CCTV: Access Control	2 0
	CCTV: Vehicles	4 2 0
	CPTED; Design/Engineering Representative interview	4 2 0
	Physical barriers	4 2 0
	Additional measures for high-risk assets	4 2 0
	Alarm monitoring	4 3 2 1 0
	Call boxes	4 2 0
	Automated Access Control (employee-controlled badge/keycard entry)	4 3 2 1

		0
	Mail screening	4
		2
		1
		0
	Breach preparedness at critical location	4
		2
		0
	Access Control does not interfere with Safety or Emergency Operations. "Yes" or "no."	4
		0
	Lighting	4
		2
		0
	Methods of restricting access	4
		2
		0
	Key control program	4
		2
		0
	Methods of securing facilities	4
		2
		0
	Means of communication	4
		2
		0
		4

	"Broken Windows Theory"	2 1 0
	Back-up power for critical safety and security equipment	4 3 2 1 0
	Trash receptacles	4 0
	Protective Measures for Critical Infrastructure	4 2 0
	Explosive detection canine unit, Mutual Aid Agreements	4 2 0
Inspectors should refer to the MT BASE Guidance, Pg29.	Critical asset inspections (General)	4 2 0
In justification, provide results of interview with Front Line employees.	Inspection procedures reflect "HOT" characteristics. "Yes" or "no."	4 0
	Vehicle inspection checklist. "Yes" or "no."	4 0
	Facility inspection checklist. "Yes" or "no."	4 0

	Inspection results	4 2 0
	Inspections of non-normal areas. N/A if the system has no underground/underwater tunnels.	4 2 0
Agency should strive to implement and document their own unpredictable security measures using their own resources.	Randomness and unpredictability as it relates to inspections. "Yes" or "no."	4 0
In justification, specify type and frequency of inspections.	Security Inspections: Vehicles	4 2 0
In justification, specify type and frequency of inspections.	Security Inspections: Critical Infrastructure	4 2 0
Inspectors should refer to the MT BASE Guidance, Pg30.	Background checks, HR Representative interview	4 2 0
	Background checks, HR Representative interview	4 2 0
	Background checks, HR	4

	Background checks, HR Representative interview	0
	Background check process, HR Representative interview	4 2 0
	Background check process, HR Representative interview	4 2 0
Con		
Inspectors should refer to the MT BASE Guidance, Pg31.	Security-critical documentation, Engineering Representative interview	4 2 0
	Document control authority. "Yes" or "no"	4 0
	Document control policy monitoring	4 2 0
Proc		
Inspectors should refer to the MT BASE Guidance, Pg32.	Documented SSI Policy	4 2 0
	Documented SSI Policy	4

		2
		0
	Employee familiarization (requires frontline interviews)	4
		2
		0
	SSI Training development ***and*** implementation (requires frontline interviews)	4
		2
		0
Inspectors should refer to the MT BASE Guidance, Pg32.	Established Schedule Internal Security Audit (self-assessment). An audit is focused on *practices* identified in the SSP and ensuring these policies are implemented and followed effectively.	4
		2
		0
In justification, provide description of process.	Process Description: Internal Security Audit (self-assessment). An audit is focused on practices identified in the SSP and ensuring these policies are implemented and followed effectively.	4
		2
		0
	Checklists: Internal Security Audit (self-assessment). An audit is focused on practices identified in the SSP and ensuring these policies are implemented and followed effectively.	4
		2
		0
	Implementation: Internal Security Audit (self-assessment). An audit is focused on practices identified in the SSP and ensuring these policies are implemented and followed effectively. "Yes" or "no."	4
		0
	Documentation: Internal Security Audit (self-assessment). An audit is focused on practices identified in the SSP and ensuring these policies are implemented and followed effectively.	4
		2
		0
	Peer Review: Internal Security Audit (self-assessment). An audit is focused	4

	(self-assessment). An audit is focused on practices identified in the SSP and ensuring these policies are implemented and followed effectively.	2 0
	Independent Auditors: Internal Security Audit (self-assessment). An audit is focused on practices identified in the SSP and ensuring these policies are implemented and followed effectively. "Yes" or "no."	4 0
49 CFR PART 659 SSO Only Question	SSO: Internal Security Audit (self-assessment). An audit is focused on practices identified in the SSP and ensuring these policies are implemented and followed effectively. "Yes" or "no."	4 0
49 CFR PART 659 SSO Only Question	SSO: Internal Security Audit (self-assessment). An audit is focused on practices identified in the SSP and ensuring these policies are implemented and followed effectively. "Yes" or "no."	4 0
49 CFR PART 659 SSO Only Question	SSO: Internal Security Audit (self-assessment). "Yes" or "no."	4 0
49 CFR PART 659 SSO Only Question	SSO: Internal Security Audit (self-assessment). "Yes" or "no."	4 0
49 CFR PART 659 SSO Only Question	SSO: Internal Security Audit (self-assessment). "Yes" or "no."	4 0
49 CFR PART 659 SSO Only Question	SSO: Internal Security Audit (self-assessment). "Yes" or "no."	4 0
49 CFR PART 659 SSO Only Question	SSO: Internal Security Audit (self-assessment). "Yes" or "no."	4 0

ass Transit BASE Scoring Guidance - Appendix IX

omponents but not fully implemented or practiced. (Equates to partial adhere

Scor
ritten System Security Plans (SSPs) and Emergency Response Plans (ERPs)
System Security Plan (SSP)
SSP is a well developed plan, complete with detailed policies and procedures related SSP is missing no key elements and has been completely implemented by the agenc
SSP is a complete document with polices and procedures that have been appropriat detailed with minimal exceptions.
Generic policies and procedures are documented and implemented adequately. Key commonly available "template."
SSP is a generalized document that is lacking any detailed, agency-specific security e
There is no SSP in place.
Goals and objectives are identified, documented and actively monitored to ensure t
Goals and objectives are identified and documented, but not monitored. Items may
Goals and objectives are minimal, lacking any specifics or depth. These items do not
The SSP does not address goals or objectives of the security program.
Policy statement is a well developed written statement (memo, mission statement, plan, and approval signature from the agencies chief executive.
Policy statement a brief endorsement statement by chief executive and a signature.
Policy statement only includes a brief endorsement statement. No endorsement sig
There is no policy statement of any sort in place.
SSP is a stand-alone document, separate from the System Safety Plan.
System Security Plan is part of another document. (Note: In the past, railroads/agen element 17: Security)
Security plans address specific policies and procedures related to security and emerg critical systems.
Security plans address policies and procedures with varying degrees of implementat
Security plans do not address items.
Procedures for the management of security incidents by the OCC (or dispatch cente documented elsewhere, such as in a stand-alone Emergency Response Plan, the SSP
Plans and procedures are in place and function appropriately. However, minor aspe
Well organized procedures are in place and contained as part of another document

Procedures are lacking any depth or clarity, plans are scattered between multiple do
Procedures are not in place or documented.
Well-developed, ***specific*** procedures are in place and documented in the SSP ***or*** as p
Procedures are in place with varying degrees of implementation or documentation.
Procedures are not in place or documented.
Active Shooter procedures and protocols were developed with local law enforcemen responders response to an Active Shooter threat.
Active shooter procedures were developed without local law enforcement and first
Law enforcement/ first responders have not been engaged in the development of ag
Well-developed, ***specific*** procedures or protocols are in place that address Active Sh such as a stand-alone Emergency Response Plan, and referenced in the SSP.
Procedures or protocols exist and are documented however the procedures are gen
Procedures or protocols have not been developed.
Well-developed, ***specific*** protocols are in place that address IED ***and*** WMD. These pr Emergency Response Plan, and referenced in the SSP.
Protocols are developed with varying degrees of implementation or documentation.
Protocols have not been developed.
Random, unpredictable measures are well-documented with specific measures assig
Random, unpredictable measures are documented. Measures are simply general gu
The agency relies on outside entities to provide random, unpredictable measures. A in the SSP.
Random, visible measures are not documented in the SSP.
Security plays a role in all new projects and procurements and is part of the safety c process in place for planning and implementing a project with security playing a role implementation.
Security plays a role in all new projects and procurements and is part of the safety c with security playing a role in various phases, including: planning, engineering, const agency's Safety plan--not the SSP.
Specific security concerns are considered for all new projects, but implementation is documented.

Security is addressed on an informal basis with only general security guidance consi
There is no documented evidence in place that suggest security is addressed with ne
CPTED principles are addressed in all facilities and fully implemented. These principl
CPTED principles are addressed and implemented in a majority of facilities. This is do been identified.
CPTED principles are addressed with minimal implementation. Principles are docum
CPTED adoption is merely a general acknowledgement contained in the SSP or other
CPTED is not adopted by the agency.
Annual review is a written requirement with verification measures in place (signed a
Annual review is a "commonly known" requirement (not documented) or a written r
SSP is reviewed on an "as-needed" basis, but at least every two years.
There are no review requirements in place, and the SSP is not regularly reviewed.
Reports are produced once per year at a minimum and are detailed and developed r
Periodic reports are detailed and developed once in a two-year cycle ***OR*** periodic re
Informal reports are developed on an "as-needed" basis.
Reports are not documented, per se, but the agency does have an informal, verbal s
The agency does not monitor its progress in any way.
Annual review is verifiable by document review.
Annual review is only verifiable by interview.
SSP has not been reviewed.
Documented process for securing SSO review and approval of SSP is included in writ
Documented process does not exist.
Approval (including date of approved) is verifiable through document review.
SSP has been submitted to the SSO agency, but approval is pending.
SSP has not been approved.
Emergency Response Plan (ERP)
ERP is a well developed plan, complete with detailed policies and procedures relate by the agency.
ERP is a complete document with polices and procedures that have been appropriat detailed with minimal exceptions.
Generic policies and procedures are documented and implemented adequately. Key commonly available "template."

ERP is a generalized document that is lacking any detailed, agency-specific security e
There is no ERP in place.
Policy statement is well developed and includes all elements: endorsement stateme executive.
Includes a brief endorsement statement by chief executive and a signature.
Policy statement only includes an endorsement signature.
Policy statement only includes a brief endorsement statement. No endorsement sig
There is no policy statement of any sort in place.
Annual review is a written requirement with verification measures in place (signed a
Annual review is a "commonly known" requirement (not documented) or a written r
ERP is reviewed on an "as-needed" basis, but at least every two years.
There are no review requirements in place, and the ERP is not regularly reviewed.
Annual review is verifiable by document review.
Annual review is only verifiable by interview.
ERP has not been reviewed.
ERP includes documented provisions that ensure its coordination with the agency's s
ERP includes documented provisions that ensure its coordination with either the age
Provisions are in place and clearly implemented, but no documentation established.
Coordination is very informal with no specific provisions in place. Documentation inc emergency situations").
There is no coordination between the ERP and SSP/SSPP.
Approval (including date of approval) is verifiable.
ERP has been approved, but approval is not verifiable.
ERP has not been approved.
Well-developed, ***specific*** procedures are in place and documented in the ERP ***or*** as p
Procedures are in place with varying degrees of implementation or documentation.
Procedures are not in place or documented.
The responsibility for the management of security incidents has been assigned to th documented in the ERP. If documented elsewhere, the ERP references that docume
Plans and procedures are in place and function appropriately. However, minor aspec
Well organized procedures are in place and contained as part of another document
Procedures are lacking any depth or clarity, plans are scattered between multiple do
Procedures are not in place or documented.

Continuity of Operations plans exist and are included as part of the ERP (or in anoth
Continuity of Operations plans exist but are not included as part of the ERP or refere
No Continuity of Operations plans exist.
Business Recovery Plan is a comprehensive plan. Essential business functions (HR, IT (records, data, etc.). The plan outlines steps to be taken to return the agency to a "n the plan and how the agency transitions from emergency operations to business rec
Business Recovery Plan is a well-developed document, missing only a few elements
Business Recovery Plan is a generic plan that appears to be a commonly available "t
Business Recovery Plan is lacking details and appears incomplete.
There is no plan in place to achieve a timely and orderly recovery and resumption of
Business Continuity Plan is a comprehensive plan. Essential operations functions (bu procedures are detailed and effective in mitigating any disruption to operations. Cor resulting SOP changes are documented.
Business Continuity Plan is a well-developed document, missing only a few elements
Business Continuity Plan is a generic plan that appears to be a commonly available "
Business Continuity Plan is lacking details and appears incomplete.
There is no plan in place to ensure the continuity of operations.
The agency has identified a back-up location for operations control. This secondary l the primary Operation Control Center.
There is a back up operations control center, but it cannot fully replicate the primary
There is no back-up capabilities for the Operations Control Center.
Roles and Responsibilities for Security and Emergency Management
System Security Plan (SSP)
The implementation of the security program has been assigned to a Senior Manager
The implementation of the security program has been assigned to a Senior Manager commonly known assignment that is documented elsewhere.
The implementation of the security program has been assigned to a manager or lead SSP.
The implementation of the security program has been ineffectively assigned to a pos
The implementation of the security program is not assigned, or there is no documen
The agency has established comprehensive policies and procedures related to "chai documented, and lines of succession include multiple individuals based on the impo This policy is shared with agency managers.

The agency has established basic--yet fully developed--procedures related to "chain or needing further development. Lines of succession may not be in-depth, only iden manager.
The agency has established and documented a "chain of command." Informal (or "g
The agency has an informal (not documented) "chain of command" only.
The agency has no established "chain of command"
Roles and responsibilities of security personnel are assigned by position and docume from security managers to supervisors to front-line security personnel.
Roles and responsibilities of security personnel are assigned by position and docume additions.
General roles and responsibilities are assigned by position and documented in the S Position types identified may also be vague or missing key positions.
General security roles and responsibilities are documented in the SSP or other docu
Roles and responsibilities are not documented.
Specific security-related responsibilities have been established for non-security pers responsibilities are comprehensive and clearly identify the role non-security personn documents.
Security-related responsibilities have been established for non-security personnel. S function ("blanket statement"). Responsibilities are documented in the SSP or other
Specific security responsibilities for non-security personnel encompasses less than h Responsibilities are documented.
Only general security-related responsibilities are documented.
No security-related roles have been established or documented for non-security per
Senior staff and management conduct security meetings on a quarterly basis, at min interview and document review.
Senior staff and management conduct security meetings infrequently, but at least a interview.
Senior staff and management meet on an infrequent basis, if ever, or meetings relat
A formal security committee or working group has been established. This group mee incident reports, trends, and program audit findings. All applicable security items ar
A formal security committee or working group has been established. This group mee All applicable security items are addressed.
A formal security committee or working group has been established, but it only mee frequency but doesn't effectively address all applicable security items.

Security items are discussed and addressed by a Safety committee.
Security review committee does not exist or meets on an infrequent basis.
Policies and procedures are in place to ensure that frontline personnel are made aw message delivery systems for security messages based on message importance: face agency has also developed a means of tracking/monitoring who has (or has not) rec etc.).
Entity has procedures in place to ensure that frontline personnel are made aware of effective, with very little (but possible) chance of employees not receiving critical inf informational briefings.
Briefings are only delivered through written-memos or other ineffective means of pe but the message itself is not guaranteed (employees may not understand a message gauge who has received the message).
Entity only utilizes bulletin board-style briefings.
No briefings.
Individual written guides or reference material based on job function have been pro (Example: Driver's manual, SOP, etc.)
Individual written guides or reference material with generalized guidance have beer
Written guides or other written materials have been provided to every department a
Written guides or other written materials exist but are not conveniently available to
Written materials are not readily available to employees.
The agency has appointed a Primary and Alternate Security Coordinator that meet a
The agency has a Primary and or Alternate Security Coordinator, but their roles are n (not available 24/7, etc.).
The agency has not identified any Security Coordinators.
Agency maintains a record of security related incidents that are reported within the
Agency has the ability to review incidents that have occurred up to one year earlier.
Agency has the ability to review incidents that have occurred up to six months earlie
Agency has the ability to review incidents that have occurred up to three months ea
Agency does not maintain a record of security related incidents.
Emergency Response Plan (ERP)
The implementation of the security program has been assigned to a Senior Manager
The implementation of the security program has been assigned to a Senior Manager commonly known assignment that is documented elsewhere.

The implementation of the security program has been assigned to a manager or lead ERP.
The implementation of the security program has been ineffectively assigned to a pos
The implementation of the security program is not assigned, or there is no documen
The agency takes an all-inclusive, system-wide approach to emergency preparednes departments. Roles are comprehensive, detailed, and documented.
Emergency response roles and responsibilities have been developed and assigned to responsibilities are well-developed and assigned effectively, but there is room for im
Documented roles and responsibilities have been only assigned to critical departme
Documented roles and responsibilities have been assigned as a blanket-statement. F
Roles and responsibilities are not documented.
Roles and responsibilities of frontline personnel are assigned by position and docum
Roles and responsibilities of frontline personnel are assigned and documented in the
Roles and responsibilities of frontline personnel are developed and documented in t
General security roles and responsibilities are documented in the SSP or other docu
Roles and responsibilities are not documented.
The agency takes a total approach to emergency response, including all department
The agency is proactive with emergency response. The ERP has been provided to de a secondary support role during emergency response.
The agency has only provided the ERP to departments that are critical to emergency
ERP distribution is very limited. Departments do not have easy access to the docume
The ERP is not distributed.
Individual written guides or reference material based on job function have been pro
Individual written guides or reference material with generalized guidance have been procedures.
Written guides or other written materials have been provided to every department a
Written guides or other written materials exist but are not conveniently available to
Written materials are not readily available to employees.
Senior staff and management conduct ERP coordination meetings on a ***monthly*** bas
Senior staff and management conduct ERP coordination meetings on a ***quarterly*** ba
Senior staff and management conduct ERP coordination meetings ***twice per year***.
Senior staff and management conduct ERP coordination meetings ***annually*** or on an

Senior staff and management meet on an infrequent basis, if ever, or meetings relat
Policies and procedures are in place to ensure that frontline personnel are made aw delivery systems for security messages based on message importance: face-to-face also developed a means of tracking/monitoring who has (or has not) received high-i
Entity has procedures in place to ensure that frontline personnel are made aware of with very little (but possible) chance of employees not receiving critical information. briefings.
Briefings are only delivered through written-memos or other ineffective means of pe but the message itself is not guaranteed (employees may not understand a message gauge who has received the message).
Entity only utilizes bulletin board-style briefings.
No briefings.
e supervisors, forepersons and managers are held accountable for security issue
Frontline employees receive a ***weekly*** briefing from their immediate supervisor rega primary focus of briefings (or equal to that of safety). Verified by Interview, Docume
Frontline employees receive a ***monthly*** briefing from their immediate supervisor reg primary focus of briefings (or equal to that of safety).
Frontline employees receive a ***quarterly*** briefing from their immediate supervisor re primary focus of briefings (or equal to that of safety).
Frontline employees are provided information regarding security and emergency res
Frontline employees are not provided information regarding security and emergenc
Supervisor/management ***security*** review and coordination meetings are held on a ***m***
Supervisor/management ***security*** review and coordination meetings are held on a ***b***
Supervisor/management ***security*** review and coordination meetings are held on a ***q***
Supervisor/management ***security*** review and coordination meetings are held on an
Meetings are not held or do not focus on security.
The agency actively engages its workforce to ensure a high rate of security knowledg audits, challenge procedures, or qualification testing. The program--or procedures/r
The agency has an on-going, informal system of measuring its workforce's knowledg specific measures it takes to ensure its personnel retain a working knowledge of sec
Employees are tested after training, and Supervisors are tasked with ensuring proto
Direct supervision is the only method of ensuring that security knowledge is retaine

The agency does not have a program of confirming that personnel have a working k
There is a written policy that requires leadership to debrief frontline personnel rega both Interview and Document Review
There isn't a written requirement, but leadership is expected to debrief frontline pe This expectation is widely known. Verified by both Interview and Document Review
Leadership is expected to debrief frontline personnel only after ***major*** incidents reg
Debriefing are being held, but the policy is very insufficient and inconsistent.
There are no debriefing measures in place.
curity and Emergency Management Plan(s) with local and regional agencies
The agency has taken a comprehensive approach to emergency preparedness and h coordinate with during an emergency situation. This includes: law enforcement enti Interview and Document Review
The agency has taken a proactive approach to emergency preparedness and has est
The agency has taken a limited approach to emergency preparedness and has estab geographical scope of their system.
The agency has taken the first steps of establishing mutual aid agreements. Agreem
Mutual aid agreements are non-existent and not being pursued.
The agency participates in a regional security and emergency preparedness/manage
The agency does not participate in a security and emergency preparedness/manage
The agency has received--and is knowledgeable of--regional incident management p Verified by both Interview and Document Review.
The agency has received--and is knowledgeable of--regional incident management p the agency's ERP/SSP/SEPP. Verified by both Interview and Document Review.
The agency has received--and is knowledgeable of--regional incident management p
The agency is aware of regional protocols and understands how they may obtain the
The agency is completely unfamiliar with regional protocols.
The agency has provided the regional EMA with a detailed list of resources (vehicles
Agency resource inventory has not been provided to the regional EMA
Agency has established a point-of-contact at the Emergency Operations Center. Mus
Agency has no identified POC at the EOC.
Agency has officially designated a representative to be sent to the EOC, upon activat
The agency has designated a representative to be sent to the EOC, upon activation,

Agency has not designated a representative.
The agency has developed a ***formal*** method of effectively sharing information with t of sharing is known by both entities. Capabilities are documented. Must be verified
The agency has developed an ***informal*** method of effectively sharing with the EOC, i is known by both entities. It is clear that the agency has planned for information sha
Information sharing procedures and capabilities exist, but are vague and have receiv
The agency has no information sharing capabilities or procedures and is not actively
The agency's internal emergency response procedures follow the NRP and the NIMS
The agency's internal emergency response procedures do not follow the NRP and th
The agency has shared its internal emergency response protocols with the regional
The agency has shared its internal emergency response protocols with ***only*** the regi
The agency has not shared its emergency response protocols.
The agency is very proactive in regards to interoperable communication and ensures jurisdictional lines. The agency uses compatible radio systems (800mHz, UHF, VHF, e communication, and has tested its system for compatibility with appropriate externa
The agency has an effective interoperable communications system (800mHz, UHF, V documentation) is missing ***or*** the agency has not tested its system for compatibility.
The agency has an effective interoperable communications system (800mHz, UHF, V testing is in place.
The agency's systems are not interoperable, but is in the process of actively implem
The agency's systems are not interoperable, nor is such a system being currently imp
The agency has developed effective alternatives to interoperable communication (b documented and shared with appropriate first responder agencies. Must be verified
The agency has developed partially effective alternatives to interoperable communi informal and may not be documented and/or shared with first responder agencies.
The agency has identified no alternatives for interoperable communication.
tablish and Maintain a Security and Emergency Training Program
All new employees, regardless of job function, receive initial training, which is focuse an official curriculum and training is provided in a formal environment (classroom or
Initial training is provided with varying degrees of implementation.

Security is not addressed in initial training.
Annual refresher training is well-developed with an official curriculum, focused on th verified by Document Review.
Training is provided with varying degrees of implementation.
Refresher training is not provided annually or does not focus on the appropriate sub
Annual refresher training is well-developed with an official curriculum, focused on th verified by Document Review.
Training is provided with varying degrees of implementation.
Refresher training is not provided annually or does not focus on the appropriate sub
Annual refresher training is well-developed with an official curriculum, focused on th verified by Document Review and Frontline Employee's.
Training is provided with varying degrees of implementation.
Refresher training is not provided annually or does not focus on the appropriate sub
Advanced security training is provided in an ongoing manner, with classes/courses b training is specifically designed based on job function, and training is provided in a fo Frontline Employee's.
Ongoing advanced security training based on job function is provided with varying d
Ongoing security training based on job function is not provided. **All** employees, regardless of job function, receive initial training, which is focused on training is provided in a formal environment (classroom or computer-based). Must b Initial training is provided with varying degrees of implementation. Training specific to Active Shooter is not provided.
All employees, regardless of job function, receive annual Active Shooter training. Th formal environment (classroom or computer-based). Must be verified by Document
Training is provided with varying degrees of implementation.
Refresher training is not provided annually.
All new employees, regardless of job function, receive initial training, which is focuse and training is provided in a formal environment (classroom or computer-based). M
Initial training is provided with varying degrees of implementation.
Emergency response is not addressed in initial training.

Annual refresher training is well-developed with an official curriculum, focused on th be verified by Document Review.
Training is provided with varying degrees of implementation.
Refresher training is not provided annually or does not focus on the appropriate sub
Annual refresher training is well-developed with an official curriculum, focused on th verified by Document Review.
Training is provided with varying degrees of implementation.
Refresher training is not provided annually or does not focus on the appropriate sub
Annual refresher training is well-developed with an official curriculum, focused on th verified by Document Review and Frontline Employee's.
Training is provided with varying degrees of implementation.
Refresher training is not provided annually or does not focus on the appropriate sub
All employees who may have a role in emergency response--frontline personnel ***and*** developed program with an official curriculum and training is provided annually in a Frontline Employee's.
Training is provided with varying degrees of implementation.
ICS training is not provided.
Annual ICS and NIMS training based on job function is provided by the agency to all
Training appropriate to the position has been provided with varying degrees of impl
Senior leadership only receives basic ICS/NIMS training, or ICS/NIMS training is not p
Annual ICS and NIMS training based on job function is provided by the agency to all
Training appropriate to the position has been provided with varying degrees of impl
Supervisors and managers only receive basic ICS/NIMS training, or ICS/NIMS training
Annual ICS and NIMS training based on job function is provided by the agency to all
Training appropriate to the position has been provided with varying degrees of impl
ICS/NIMS training is not provided.
The agency has developed internal procedures for incident response and a compreh official training materials, and is provided in a formal environment (classroom or co

Training is provided with varying degrees of implementation.
The agency has not established training for its internal incident response procedures
Annual training based on job function is provided by the agency to all senior leaders
Training appropriate to the position has been provided with varying degrees of impl
Senior leadership only receives basic training, training appropriate for frontline pers
Annual training based on job function is provided by the agency to all supervisors an
Training appropriate to the position has been provided with varying degrees of impl
Supervisors and managers only receive basic training, training that is appropriate to
Annual training based on job function is provided by the agency to all frontline perso
Training appropriate to the position has been provided with varying degrees of impl
Training is not provided.
Annual training provided regarding response to IEDs and WMD. This is part of an off (classroom or computer-based). Must be verified by Document Review.
Training has been developed and provided with varying degrees of implementation
The agency has not developed a relevant training program.
Annual training based on job function is provided by the agency to all senior leaders
Training appropriate to the position has been provided with varying degrees of impl
Senior leadership only receives basic training, training is appropriate for frontline pe
Annual training based on job function is provided by the agency to all supervisors an
Training appropriate to the position has been provided with varying degrees of impl
Supervisors and managers only receive basic training, training is appropriate to fron
Annual training based on job function is provided by the agency to all frontline perso
Training appropriate to the position has been provided with varying degrees of impl
Training is not provided.
All personnel in security-related positions receive annual specialized training focuse instruction led by subject matter experts. Training is part of an established curriculu Document Review.
Specialized counter-terrorism training is provided with varying degrees of implemen

Specialized counter-terrorism training is provided with varying degrees of implemen
All personnel in security-related positions receive annual specialized training suppor instruction led by subject matter experts. Training is part of an established curriculu Document Review.
Specialized incident response training is provided with varying degrees of implemen
Specialized incident response training is provided with varying degrees of implemen
The agency has developed a formal system of monitoring employee training and sch of easily determining employee training status, and having the ability to effectively s
A program for monitoring and scheduling training exists with varying degrees of imp
Such a program does not exist.
The agency has a formal system to ***record and track*** personnel training for ***all securi*** following: employee name/identifier, training/course identifier, and date of course c
The agency employs a system with varying degrees of implementation.
Such a system does not exist, or ***security*** training is not specifically addressed.
The agency has a formal system to ***record and track*** personnel training for ***all emerg*** contain the following: employee name/identifier, training/course identifier, and dat
The agency employs a system with varying degrees of implementation.
Such a system does not exist, or ***emergency response*** training is not specifically addr
The agency has developed a formal program of reviewing and updating security and documented (generally or as a "role/responsibility"), and the program ensures mate
The agency has developed a program with varying degrees of implementation.
The agency has no established program of reviewing and updating security and eme
Appropriate personnel are notified of operational changes--including those related t identified, and measures are in place to effectively reach ***all*** appropriate employees
Appropriate personnel are notified of operational changes--including those related t identified, and measures are in place for the agency to confidently reach ***most*** of th
Appropriate personnel are notified of operational changes. Individuals with a "need consistency.
The agency notification measures are inconsistent with little to no planning involved
Operational changes are rarely--if ever--communicated to employees, or no policy e

The agency's security and emergency response training covers response and recove is part of an official curriculum, utilizes effective training materials, and is provided i
Security and emergency response training covers response and recovery operations
Training does not cover response and recovery operations.
The agency has provided training to regional first responders to enable them to ope actively offered it to outside entities.
The agency has provided training with varying degrees of implementation.
The agency has not provided training to external agencies to enable them to operat
The agency has developed and implemented a program to orient local law enforcem agency actively offers this familiarization separate from drills or exercises. Must be v
The agency has provided training with varying degrees of implementation.
Such a program does not exist.
The concept and employment of visible, unpredictable, and random security measu This is documented in training materials. Must be verified by Document Review.
Training covers the concept of visible and random security measures with varying de
Training does not cover the concept visible or random security measures.
The agency has developed and implemented a program to ***annually*** train or orient f familiarization. Training is well-developed, and the agency has actively offered it to
The program has been developed with varying degrees of implementation.
Such a program does not exist.
nd protocols to respond to the DHS National Terrorism Advisory System (NTAS).
The agency has identified incremental actions that correlate with NTAS threat level and documented.
Incremental actions are identified with varying degrees of implementation or docum
Incremental actions are not documented.
The agency has identified possible NTAS alert scenarios and established detailed pro documented.
Actionable operational response protocols for specific threat scenarios from NTAS h
Actionable operational response protocols have not been developed or specific thre

Job-specific NTAS training that focuses on incremental activities to be performed by official curriculum, focuses on appropriate individual roles in response to NTAS threa Document Review.
Job-specific NTAS training is provided with varying degrees of implementation.
General NTAS training is provided to appropriate personnel.
The agency does not provide NTAS training.
and reinforce a Public Security and Emergency Awareness program:
Agency has implemented a well-developed public awareness program that addresse
Agency has implemented a well-developed public awareness program that addresse
Agency has implemented a well-developed public awareness program that address s
Agency has a public awareness program, but the program is vague or otherwise inef
The agency has no public awareness program in place.
The agency's public awareness program covers security ***and*** emergency response ar distributed and highly visible. Must be verified by Document Review and Onsite Obs
Public awareness materials and outreach have been developed and deployed with v
Public awareness materials and outreach have not been developed and/or deployed
Public awareness material is consistent with the agency's overall announcement pro and Onsite Observation.
Public awareness material conflicts with the agency's overall announcement progra
The agency includes frequent mentions of general security ***and*** emergency prepared stations and onboard vehicles.
The agency includes frequent mentions of general security items (but no emergency including at stations and onboard vehicles.
The agency includes frequent mentions of general emergency preparedness items ***a*** all appropriate areas, including at stations and onboard vehicles;
The agency includes ***infrequent*** mentions of general security and emergency prepar stations and onboard vehicles.
Security and emergency preparedness items are not included in the agency's pre-re
Passengers are urged to report unattended property, suspicious behavior, and other enforcement, etc.) or identified contact number. This is documented in awareness m
Passengers are urged to report unattended property, suspicious behavior, and other

Passengers are not urged to report unattended property, suspicious behavior, and o
The agency utilizes an effective mechanism in place that can be used by passengers mechanism is actively monitored by the agency and widely distributed to passenger Observation.
A mechanism is in place with varying degrees of implementation.
There is no mechanism in place.
The agency utilizes social media to issue public service announcements related to se
The agency does not issue security-related PSAs or press releases to local media.
The agency issues security- and emergency response-related PSAs or press releases
The agency does not issue emergency response-related PSAs or press releases to loc
The agency conducts training of non-employee volunteers to aid with system evacua semi-frequent basis. Must be verified by Document Review.
Training is provided with varying degrees of implementation.
Training is not provided.
The agency has established a volunteer program to enlist an active security awarene Must be verified by Document Review.
The agency has established an active volunteer program with varying degrees of imp
The agency has not established an active volunteer program.
The agency has developed awareness material to assist passengers on the means to readily available or readily visible to passengers. Must be verified by Document Revi
The agency has developed awareness material with varying degrees of implementat
The agency has not developed awareness material to assist passengers on the mean
The agency has a system in place to actively and effectively monitor and follow up o
The agency has developed a system with varying degrees of effectiveness or implem
The agency has not developed a system for tracking and following up on customer r
Management Process to assess and manage threats, vulnerabilities and consequ
Risk assessment process is developed, documented, specifically addresses threats a
Risk assessment process is developed with varying degrees of implementation.

Risk assessment process has not been developed.
The agency has identified facilities and systems it considers critical assets. This is do Review.
The agency has identified critical assets with varying degrees of documentation or d
The agency has not identified critical assets.
A vulnerability assessment focused on the agency's ***critical assets*** has been conduct
A vulnerability assessment focused on the agency's ***critical assets*** has been conduct
A security assessment focused on the agency's critical assets has not been conducte
A risk assessment focused on the agency's ***critical assets*** has been conducted within documented. The personnel tasked with conducting the assessment have been prov Review.
A risk assessment has been conducted with varying degrees of implementation or tr Must be verified by Document Review.
A risk assessment has not been conducted, or documentation does not exist.
The system has well-developed, well-documented policies and procedures in place t Document Review.
Documented policies are in place with varying degrees of implementation. Verified
Policies and procedures have not been developed or documented.
Risk assessments play a large role in agency policy and procurement. Security invest based on the agency's recent security investments that corrected items identified in
Security investments are prioritized based on information obtained during risk asses development.
Security investments are not prioritized based on information obtained during risk a
The agency has provided TSA with ***all*** requested documents.
The agency has ***not*** provided TSA with ***all*** requested documents.
l use an information sharing process for threat and intelligence information
The entity is actively involved with intelligence sharing and has developed a formaliz local, State ***and*** Federal law enforcement.
The entity has a formalized method of sharing information with varying degrees of i
The entity does not have a formalized method of sharing information with law enfor
The agency reports threat/intel information ***directly*** to the JTTF or regional anti-terr

The agency does not report threat/intel information ***directly*** to the JTTF or regional
The agency has detailed policies and protocols in place to report suspicious activity
Agency has an informal, commonly know process for reporting suspicious activity.
Policy or procedures do not exist
The agency has detailed policies and protocols in place to report real-time threats/s documented and include a "time" element (immediately, within "X" hours, etc.). Mu
The agency has detailed policies and protocols in place to report real-time threats/s documented and include a "time" element (immediately, within "X" hours, etc.).
General/vague policies and procedures are in place with varying degrees of impleme
Policies and procedures are not in place.
The agency receives threat/intel information ***at least once per week.***
The agency receives threat/intel information on an ***every-other-week*** basis.
The agency receives threat/intel information on a ***monthly*** basis.
The agency receives threat/intel information on a ***quarterly*** basis ***or*** information is r
The agency does not receive threat/intel information.
The agency reports NTA security data to FTA.
The agency does not report NTA security data to FTA.
Conduct Tabletop and Functional Drills
The agency has developed a ***detailed*** process of developing an approved, coordinate emergency planning and participation in exercises and drills. This is documented in t
The agency has developed a process with varying degrees of implementation or doc
The agency has not developed such a process.
The agency has documented roles and responsibilities that detail how it performs its agency has established written requirements for emergency drills and exercises (tim and requirements are documented in the agency's SSPP or SSP--or another documer
Roles, responsibilities and requirements regarding emergency planning are develope
Roles, responsibilities and requirements regarding emergency planning are not deve
The agency conducts drills and exercises ***annually*** with the purpose of ***evaluating*** its
The agency does not conduct drills and exercises ***annually,*** or the agency does not u

The agency has a ***documented requirement*** for drills/exercises to be conducted ***onc***
The agency does not have a documented requirement for drills/exercises to be conc
The process of drill/exercise evaluation is described and documented in the SSPP, SS
The process of evaluation is not documented.
The program for providing employee training on emergency response protocols and
The training program is not ***documented.***
The agency participates as an ***active player*** in full-scale, regional exercises held at le
The agency does not participate as an ***active player*** in full-scale, regional exercises h
In the last year, the agency has conducted its own drills and/or exercises specific to A
Drills and/or exercises specific to Active Shooter are conducted by the agency howe
Drills or exercises were not conducted annually
In the last year, the agency has been involved in drills/exercises that specifically focu transit agencies that operate in the same environment.
Terrorism-specific drills have been conducted/participated in with varying degrees o
Terrorism-specific drills have not been conducted or participated in.
In the last year, the agency has reviewed and prepared after-action reports (or othe by Document Review.
The agency has evaluated drills with varying degrees of implementation or documer
The agency has not evaluated drills in the past year.
In the last year, the agency has updated plans, protocols, or processes to incorporat
The agency has not made any changes based on the results of drills/exercises.
The agency has developed a formal, objective system of evaluating drill performanc results appropriately. This system is documented. Must be verified by Document Re
The agency has established performance metrics with varying degrees of implement
The agency has not established metrics to assess performance during emergency ex
The agency conducts exercises of its security ***and*** emergency response plans to test infrastructure and other critical systems.

The agency conducts exercises with a varying degree of implementation.
The agency does not conduct exercises related to underwater/underground infrastr
The agency actively reaches out to external emergency agencies (local and regional) medical, ***and*** law enforcement.
Drills with external agencies have been conducted with varying degrees of inclusion
Drills with external agencies have not been conducted.
Developing a Comprehensive Cyber Security Strategy
The agency has conducted a risk assessment focused on IT systems as they relate to and addresses threats, vulnerabilities, and consequences. Must be verified by Docu
The agency has conducted an IT risk assessment with varying degrees of implementa
The agency has not conducted an IT risk assessment.
The agency has identified all critical IT facilities/infrastructure and established proce well-developed--specifically referencing IT-facilities/equipment and IT-security--and
Protocols have been established with varying degrees of implementation or docume
Such security protocols have not been established.
A written IT-security strategy--which includes countermeasures and personnel respo (included as part of the SSP or other appropriate document).
An IT-security strategy has been developed with varying degrees of implementation
An IT-security strategy has not been developed.
The agency has formally designated an individual responsible for securing the intern cybersecurity measures, and his/her responsibilities are documented.
The agency has formally designated an individual responsible for securing the intern cybersecurity measures, but his/her responsibilities are ***not*** documented (but widel
The agency has formally designated an individual responsible for securing the intern measures.
An individual has been informally designated, and his/her responsibilities are not wi
An individual has not been designated.
The agency provides ongoing, recurrent cyber training that **identifies cyber threats** part of an official curriculum, utilizes well-developed materials, and is provided in a f
IT-security training is provided with varying degrees of implementation.

IT-security training is not provided.
The agency has established cyber-incident response ***and*** reporting protocols. These of a cyber-incident ***and*** (b) to whom cyber-incidents shall be reported. Must be ver
Cyber-incident response and reporting protocols have been established with varying
Cyber-incident response and reporting protocols have not been established.
The agency is aware of and makes use of available resources.
The agency is not aware of available resources ***or*** the agency does not use available
Control Access to Security Critical Facilities
Restricted areas are identified and documented. Agency personnel are familiar with
Restricted areas have been identified with varying degrees of implementation.
Restricted areas have not been identified.
ID badges (or other effective measure) are issued to ***all*** employees with access to re verified by Frontline Observation.
ID badges (or other effective measure) are issued with varying degrees of implemen
ID badges or similar measures are not employed by the agency.
The agency has implemented an access control system that is capable of ***all*** of the fo
The agency utilizes an access control system with varying degrees of implementatio
The agency's access control procedures is not capable of monitoring, documenting,
The agency has documented procedures in place to issue ID badges for visitors and c
The agency has procedures in place to issue ID badges for visitors and contractors w Observation.
The agency does not have procedures for issuing ID badges to visitors and contracto
The agency has a documented policy that requires visitors to be escorted when acce
The agency has policy In place with varying degrees of implementation or document
The agency has no escort requirements for visitors.
Effective and capable CCTV systems are installed at all facilities. Must be verified by
Facilities are equipped with CCTV with varying degrees of installation or capability.
Facilities are equipped with CCTV with varying degrees of installation.
CCTV equipment protecting critical assets are completely integrated with other acce

CCTV is interfaced with access control systems with varying degrees of integration.
CCTV is a stand-alone system, not interfaced with access control.
Effective and capable CCTV systems are installed on a vast majority of vehicle fleet.
CCTV is installed with varying degrees of implementation or capability.
CCTV is not installed on vehicles ***or*** CCTV is non-functional.
CPTED is incorporated in the design of ***all*** projects. CPTED-related vulnerabilities are
CPTED criteria is used with varying degrees of implementation.
CPTED criteria is not used.
The agency has installed physical barriers or intrusion detection systems to prevent
The agency uses barriers and intrusion detection systems with varying degrees of ins
The agency does not use physical barriers or intrusion detection systems at appropr
The agency has identified high risk/high consequence assets ***and*** has implemented a
The agency has identified high risk/high consequence assets and developed additior
The agency has not identified high risk/high consequence assets ***and/or*** implemente
The agency has a means of effectively monitoring a network of alarms, including intr place for responding to such alarms.
The agency has a means of effectively monitoring a network of alarms.
The agency has a network of appropriate alarms that are not effectively monitored.
The agency utilizes an ineffective or insufficient network of alarms.
The agency has no alarm systems.
Call boxes are installed at ***all*** stations, terminals, and appropriate facilities. Call boxe
Call boxes are installed at varying degrees. Must be verified by Physical Observation
Call boxes are not used.
The agency uses an automated access control system ***and*** performs a corrective ana analysis is documented as part of an overarching policy or as part of an identified en
The agency uses an automated access control system ***and*** performs a formal correct analysis is being performed, but this responsibility is not documented.
The agency uses an automated access control system ***and*** performs a corrective ana
The agency uses an automated access control system, but has not developed proced

The agency does not use an automated access control system.
The agency has documented policies and specific, well-developed procedures that a
The agency has specific, well-developed procedures that are not documented. Proce
The agency has general procedures in place with varying degrees of implementation
The agency has policies or procedures for screening mail or outside deliveries.
The agency uses ***multiple*** methods of breach prevention (locks, anti-frag materials, l
The agency utilizes methods of breach prevention at critical location with varying de
The agency does not use locks, bullet-resistant materials, or anti-fragmentation mat
NFPA 130 or equivalent is used in station design or modification criteria. Access Con
Access control systems interfere with safety or emergency operations.
Directional signage and lighting is consistent at ***all*** stations and is installed in a mann
Directional signage and lighting is used with varying degrees of implementation or in
Directional signage and lighting does not support security, safety, and emergency op
The agency uses gates and locks to prevent unauthorized access at ***all*** facilities. Polic
Gates and locks are used with varying degrees of implementation. Must be verified l
Gates and locks are not used to restrict access to facilities.
The agency has a documented key control program that is managed by the security/
The agency has a key control program with varying degrees of documentation or imp
The agency has no key control program.
Gates and locks are used at ***all*** facilities that are closed down. Policies and procedur
Gates and locks are used with varying degrees of implementation. Must be verified l
Gates and locks are not used to secure facilities after operating hours.
All (or the vast majority of) transit vehicles are equipped with radios, silent alarms, a utilize these measures.
Radios, silent alarms, and/or passenger communication systems are used with varyi
Radios, silent alarms, and/or passenger communication systems are not used.
Graffiti-resistant/etch-resistant materials are used at ***all*** (or a vast majority of) facilit

Materials are actively deployed at "problematic" areas prone to vandalism.
Materials are rarely used.
Materials are not used.
Uninterruptible Power Supplies are provided for ***all*** safety- and security-critical equi
A combination of UPS and other back-up power is provided for ***all*** safety- and securi
A combination of UPS and other back-up power is provided for a ***majority*** of safety-
A combination of UPS and other back-up power is provided for main facilities.
The agency has no back-up power capabilities.
The agency has removed non-explosive resistant trash receptacles from platform ar
The agency has not removed non-explosive resistant trash receptacles from platforn
The agency has formally identified critical infrastructure and deployed specific, effec areas.
The agency has deployed protective measures with varying degrees of implementat
Measures are not deployed to protect critical infrastructure or critical infrastructure
The agency utilizes explosive detection canine teams (with appropriate mutual aid a regarding their use.
The agency utilizes explosive detection canine teams with varying degrees of progra
The agency does not use or have access to explosive detection canine teams.
Conduct Physical Security Inspections
The agency has procedures in place to conduct security inspections of facilities and v appropriately documented and implemented perfectly.
Security inspections are conducted with varying degrees of implementation or docu
Security inspections are not conducted.
Documented security procedures reflect HOT characteristics. Must be verified by Fr
Documented security procedures do not reflect HOT characteristics.
The agency utilizes a checklist or other widely distributed document that specifically inspections.
The agency does not use a checklist/form for vehicle security inspections ***or*** the age
The agency utilizes a checklist or other widely distributed document that specifically
The agency does not use a checklist/form for facility security inspections ***or*** the ager

Inspection results are documented ***and*** the agency implements corrective actions or agency or is a documented policy.
Results are documented and changes are made with varying degrees of implementa
Results are not documented ***or*** inspection results are not a factor in the decision-ma
The agency conducts security inspections of non-normal areas (access points, ventila multiple times per week. These procedures are documented appropriately and impl
Security inspections are conducted with varying degrees of implementation or docu
Security inspections are not conducted.
Security activities are conducted at random times and at random intervals and these
Security activities are conducted at set times.
The agency has documented policies and procedures in place to ensure that ***all*** in-se personnel receive training to properly conduct these inspections.
Rail cars are inspected with varying degrees of implementation or documentation.
Rail cars are not inspected for suspicious or unattended items.
The agency has documented policies and procedures in place to ensure that ***all*** criti ***and*** personnel receive training to properly conduct these inspections.
Critical infrastructure is inspected with varying degrees of implementation or docum
Critical infrastructure is not inspected for suspicious or unattended items.
Conduct Background Investigations of Employees and Contractors
The agency conducts an appropriate level of background check on all frontline empl information/facilities/systems.
The agency conducts an appropriate level of background check with varying degrees
Agency-personnel are not subject to background investigation.
The agency **(a)** conducts an appropriate level of background check on relevant contr ***and*** has established a method of verifying/auditing background checks.
The agency conducts (or requires) an appropriate level of background check with va
Relevant contract employees are not subject to background investigation.
The agency's process for conducting background investigations has been reviewed b

The agency's process for conducting background investigations has ***not*** been review
The process for conducting background checks is documented. This includes the foll who is responsible for conducting the investigation, and other factors of considerati complete).
The background investigation process is documented with varying degrees of imple
The background investigation process is ***not*** documented.
Background screening criteria (disqualifying conditions) are based on job-function, r background check. This is documented.
Background screening criteria (disqualifying conditions) is based on job-function, rec documentation.
Background screening criteria is not documented.
trol Access to documents of security critical systems and facilities
The agency has well-developed document control procedures that protect security- plans, schematics, etc.
The agency has developed document control procedures with varying degrees of im
The agency does not protect security-critical documentation.
A person or department has been formally tasked with administering the access cor
A person or department has ***not*** been formally tasked with administering the access
A security review committee actively reviews document control practices, assess co
A security review committee covers document control issues with varying degrees o
Document control issues are not addressed by the security review committee.
ess for handling and access to Sensitive Security Information (SSI)
The agency has a fully-developed policy for identifying and controlling the distributi what materials are considered SSI; (2) how SSI is marked; (3) who has access to SSI;
The agency's SSI policy covers identification and distribution with varying degrees of
The SSI policy is not documented ***or*** documentation contains no mention of SSI iden
The agency has a fully-developed policy for identifying and controlling the distributi proper handling of SSI (how distribution is tracked, how SSI should be treated once r how SSI is destroyed/disposed of.

The agency's SSI policy covers handling and storage with varying degrees of impleme
The SSI policy is not documented or documentation contains no mention of SSI hand
Based on a random sampling of frontline personnel interviews, ***all*** employees who m what constitutes SSI, (b) how it is controlled, (c) how it is handled, and (d) how it is s
Based on a random sampling of frontline interviews, employees who may be provide familiarity. Must be verified.
Based on a random sampling of frontline interviews, employees who may be provide
The agency has established official SSI training (with appropriate materials), ***and*** bas SSI have been provided the training. Must be verified.
Based on a sampling of frontline interviews, SSI training has been provided with vary
SSI training has not been provided or has not been developed.
Audit Program
The agency has a documented schedule for conducting internal ***security*** audits in an
The agency has developed a schedule for conducting internal ***security*** audits with va
The agency has no documented schedule for conducting internal ***security*** audits.
The agency has a detailed, well-documented process for conducting internal ***securit*** documents are audited; (2) how these items are audited (methods of verification); a
The SSP contains a description of the internal security audit process with varying deg
The SSP does not contain a description of the internal security audit process.
The agency has well-developed procedures for conducting internal security audits ***a***
The agency has developed procedures ***and*** checklists with varying degrees of develo
The agency does not use checklists, but has documented procedures in place.
The agency has no documented procedures for
The agency is conducting internal security audits in a manner that reflects its establi
The agency is not complying with it established schedule ***or*** such a schedule does no
All internal security audits are documented in a written report, which include ***all*** of (2) corrective/recommended actions.
Internal security audits are documented with varying degrees of implementation.
Audits are not documented.
In the last 12 months, the Security Review Committee has reviewed audit reports, a

In the last 12 months, the Security Review Committee has reviewed audit reports wi
The Security Review Committee does not review audit reports ***or*** the committee has
Auditors are independent from the individuals they are tasked with auditing to prev
Auditors are ***not*** independent from the individuals they are tasked with auditing.
The agency has made its internal security audit schedule available to the SSO agency
The agency has ***not*** made its internal security audit schedule available to the SSO ag
The agency has made checklists and procedures used in its internal security audits a
The agency has ***not*** made checklists and procedures used in its internal security aud
The agency has notified the SSO agency 30 days prior to the conduct of an internal s
The agency has ***not*** notified the SSO agency 30 days prior to the conduct of an interr
A report documenting internal security audit process and the status of findings and
A report documenting internal security audit process and the status of findings and months.
The agency's chief executive has certified to the SSO agency that the agency is in co
The agency's chief executive has ***not*** certified to the SSO agency that the agency is ir
The previously mentioned certification was included with the most recent annual re
The previously mentioned certification was ***not*** included with the most recent annua
A corrective action plan was developed and made available to the SSO.
A corrective action plan was ***not*** developed and made available to the SSO.

SENSITIVE SECURITY INFORMATION

DEPARTMENT OF HOMELAND SECURITY
Transportation Security Administration

Mass Transit Baseline Assessment for Security Enhancements (MT-BASE)

MTPR FY2021 V.2 (January 2021)

Transportation Security Administration

Date of Visit	TSA Field Office	Region #
1/4/2021		
FSD AOR Field Office (Optional):		
Assessment Started:		
Assessment Completed:		
Outbrief Conducted:		

TYPE OF VISIT		
Corporate Review		
Is This A Revisit?	**Virtual?**	**Date of Last Interview/Visit?**

Agency					
Street					
City		State		Zip Code	
Agency Website:					
Company Chosen By:					
HTUA Name:					

Not Governed By 49 CFR Part 659?						
Agency Size:						
Average DAILY Ridership (Number Only):						
Grant Funding - Section 5311 of Title 49:				Most Recent Grant Received in:		

Types of Service (Check all that apply)						EXIS Conducted
Light Rail		Inclined Plane		Tourist / Scenic		
Heavy Rail		Funicular		Commuter		
Rapid Rail		Trolley		Intercity		RMAST Conducted
Monorail		Automated Guideway		Transit Bus		

Security Personnel Interviewed

Name	Title	Telephone	Cell	E-mail
	Security Coordinator			
	Alternate Security Coordinator			

Other Agency Points of Contact

Name	Title	Telephone	Cell	E-mail

TSI Inspector Information

Name	Title	Airport Code	Telephone	E-mail
	Lead TSI			
	Secondary TSI			

Supervisory Approval

Name	Title	Airport Code	Telephone	E-mail
	STSI			
	AFSD-I			

Headquarters Approval

Name	Title	Airport Code	Telephone	E-mail
		HQ		
		HQ		

DEPARTMENT OF HOMELAND SECURITY
Transportation Security Administration

Mass Transit

Mass Transit Baseline Assessment for Security Enhancements (MT-BASE)

MTPR FY2021 V.2 (January 2021)

Company Name: 0

Lead Inspector: 0

Assessment Date: 1/4/2021

Section	Description	N/A	Findings Score	Justification Source	Justification Score Rationale
	MANAGEMENT AND ACCOUNTABILITY				
1.000	**Establish Written System Security Plans (SSPs) and Emergency Response Plans (ERPs)**				
1.100	**System Security Plan (SSP)**				
1.101	Does the transit agency have a System Security Plan (SSP) which addresses personnel security, facility security, vehicle security and Threat/Vulnerability Management?				
1.102	Does the SSP identify and actively monitor the goals and objectives for the security program ?				
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, such as the agency's chief executive?				
1.104	Is the SSP separate from the agency's System Safety Program Plan (SSPP)?				
1.105 / T1	Do the Security and Emergency Response Plans address protection and response for critical systems? (i.e., facilities, stations, terminals, offices building, underwater tunnels, underground stations/ tunnels and other critical systems)				
1.106	Does the SSP contain or reference other documents establishing procedures for the management of security incidents by the operations control center (or dispatch center) or other formal process?				
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.)?				
1.108	Has the agency partnered with local law enforcement/ first responders to develop active shooter procedures or protocols?				
1.109	Does the SSP contain or reference other documents that establish procedures or protocols for responding to active shooter events?				
1.110	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)?				
1.111 / T3	Are visible, random security measures, based on employee type, integrated into security plans to introduce unpredictability into security activities for deterrent effect?				
1.112	Does the SSP include provisions requiring that security be addressed in extensions, major projects, new vehicles and equipment procurement and other capital projects, and including integration with the transit agency's safety certification process?				
1.113	Does the SSP include or reference other documents adopting Crime Prevention Through Environmental Design (CPTED) principles as part of the agency's engineering practices?				
1.114	Does the SSP require an annual review?				
1.115	Does the transit agency produce periodic reports reviewing its progress in meeting its SSP goals and objectives?				
1.116	Has an annual review of the SSP been performed and documented in the preceding 12 months?				
1.117	Does the SSP outline a process for securing SSO agency review and approval of updates to the SSP?				
1.118	Has the transit agency submitted and received documentation from the SSO confirming its review and approval of the SSP currently in effect?				

1.200	**Emergency Response Plan (ERP)**				
1.201	Does the transit agency have an Emergency Response Plan (ERP) which addresses specific policies and procedures related to emergency response.				
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, such as the agency's chief executive?				
1.203	Does the ERP require an annual review to determine if it needs to be updated?				
1.204	Has an annual review of the ERP been performed and documented in the preceding 12 months?				
1.205	Does the ERP include a process or review provision to ensure coordination with the transit agency's SSPP and SSP?				
1.206	Has the transit agency received documentation from the SSO confirming its review and approval of the ERP currently in effect?				
1.207	Does the ERP contain or reference other documents establishing plans, procedures, or protocols for responding to emergency events with external agencies? (i.e. law enforcement, local EMA, fire departments, etc.)				
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 (or dispatch center)?				
1.209	Does the ERP contain or reference other documents to provide for Continuity of Operations (COOP) 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?				
2.000	**Define Roles and Responsibilities for Security and Emergency Management**				
2.100	**System Security Plan (SSP)**				
2.101	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?				
2.102	Has the agency established documented lines of delegated authority and lines of succession of security responsibilities?				
2.103	Does the SSP or other documents establish roles and responsibilities for security and/or law enforcement personnel based on title and/or position?				
2.104	Does the SSP or other documents establish security-related roles and responsibilities for non-security personnel based on title and/or position? (i.e., operators, conductors, maintenance workers and station attendants)				
2.105 / T2	Do senior staff and middle management conduct security meetings to review recommendations for changes to plans and processes?				
2.106	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 are updated or as security conditions warrant?				
2.108	Have reference guides or other written instructions or procedures, appropriate to job function, been distributed to transit employees to implement the requirements of the SSP?				
2.109	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?				
2.110	Does the agency maintain a record of security related incidents that are reported within the agency?				

2.200	**Emergency Response Plan (ERP):**				
2.201	Does the ERP establish and assign responsibility for implementation of the emergency response program to a Senior Manager who is a "direct report" to the agency's Chief Executive Officer?				
2.202	Are detailed, comprehensive emergency response roles and responsibilities for all departments identified in the ERP or other supporting documents?				
2.203 / T5	Does the ERP establish emergency response roles and responsibilities for all front-line personnel based on title and/or position? (i.e. system law enforcement, system security officials, train or vehicle operators, conductors, station attendants, maintenance workers)				
2.204	Has the ERP been distributed to appropriate departments in the organization?				
2.205	Have appropriate reference guides or other written instructions or procedures been distributed to transit employees to implement the requirements of the ERP?				
2.206	Are senior staff and middle management ERP coordination meetings held on a regular basis?				
2.207	Are informational briefings with appropriate personnel held whenever emergency response protocols are substantially changed or updated?				
3.000	**Ensure that operations and maintenance supervisors, forepersons and managers are held accountable for security issues under their control**				
3.101	How frequently do managers and supervisors provide information to front-line personnel where security and emergency response issues are the primary focus?				
3.102	How frequently are supervisor, manager, and/or foreperson security review and coordination briefings held?				
3.103	Does the agency have a program that actively utilizes a formal process for confirming personnel have a measurable working knowledge of security protocols? (i.e. internal audits, challenge procedures, qualification testing)				
3.104	Does the agency have a written policy requiring managers and/or supervisors 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?				
4.102	Does the agency participate in a regional Emergency Management Working Group or similar regional coordinating body for emergency preparedness and response?				
4.103	Have regional incident management protocols been shared with the agency and incorporated into the agency's ERP/SSP/SEPP?				
4.104	Have agency resources been appropriately identified and provided to the regional EMA?				
4.105	Does the agency have a designated point-of-contact or liaison from the local/regional Emergency Operations Center (EOC)?				
4.106	Does the agency send a representative to the local/regional EOC, should it be activated?				
4.107	Does the agency have a process for sharing information with the regional/local EOC (i.e., contacts, procedures, resource inventories, etc.)?				
4.108	Has the agency developed internal incident management protocols that comply with the National Response Plan and the National Incident Management System (NIMS)?				
4.109	Have the agency's emergency response protocols been shared with the EMA and appropriate first responder agencies?				
4.110 / T5	Has the transit system tested its communications systems for interoperability with appropriate emergency response agencies?				
4.111	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.	X			

	SECURITY AND EMERGENCY RESPONSE TRAINING				
5.000	**Establish and Maintain a Security and Emergency Training Program**				
5.101 / T4	Is initial training provided to all new agency employees regarding security orientation/awareness?				
5.102 / T4	Is annual refresher training regarding security orientation/awareness provided to all employees regardless of position or job function in a formal manner?				
5.103 / T4	Is annual refresher training provided regarding security orientation/awareness to managers and supervisors?	X			
5.104 / T4	Is annual refresher training provided regarding security orientation/awareness to front-line employees?	X			
5.105	Is ongoing advanced security training focused on job function provided at least annually?				
5.106	Is initial training specific to active shooter (run/fight/hide, Lockdown procedures or similar) provided to all employees regardless of position or job function, in a formal manner?				
5.107	Is annual refresher training specific to active shooter (run/fight/hide, Lockdown procedures or similar) provided to all employees regardless of position or job function?				
5.108 / T4	Is initial training provided to all new transit employees regarding emergency response?				
5.109 / T4	Is annual refresher training regarding emergency response provided to all employees regardless of position or job function in a formal manner?				
5.110 / T4		X			
5.111 / T4		X			
5.112 / T4	Have agency employees received general training on Incident Command System (ICS) procedures in accordance with National Incident Management System (NIMS)?				
5.113	Has ICS and NIMS training appropriate to the position been provided to Senior Management staff and supervisors? (Describe the frequency of training)				
5.114	Has ICS and NIMS training appropriate to the position been provided to frontline employees? (Describe the frequency of training)				
5.115	Has ICS and NIMS training appropriate to the position been provided to front-line employees at least annually?	X			
5.116	Has the agency developed a program and provided training on its own incident response protocols?				
5.117 / T4	Is annual refresher training on the agency's incident response protocols appropriate to the position been provided to all employees regardless of position or job function?				
5.118 / T4	Has training on the agency's incident response protocols appropriate to the position been provided to managers and supervisors?	X			
5.119 / T4	Has training on the agency's incident response protocols appropriate to the position been provided to front-line employees at least annually?	X			
5.120 / T4	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 the justification?				
5.121	Has training focused on IEDs and WMDs appropriate to the position been provided to all employees regardless of position or job function at least annually?				
5.122	Has training focused on IEDs and WMDs appropriate to the position been provided to manager and supervisors?	X			
5.123	Has training focused on IEDs and WMDs appropriate to the position been provided to front-line employees at least annually?	X			
5.124	Do law enforcement/security department personnel, security managers at the agency receive specialized training in counter-terrorism annually? Summarize program in the justification.				
5.125	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.				
5.126	Does the agency have an established program to monitor and schedule employee training/?				
5.127	Does the agency have a system that records and tracks personnel training for all security-related courses (including initial, annual, periodic and other)?				
5.128	Does the transit agency have a system that records and tracks personnel training for emergency response courses (including initial, periodic and other)?				
5.129	Does the agency have a program to regularly review and update security awareness and emergency response training materials?				

5.130 / T4	Are all appropriate personnel notified via briefings, email, voicemail, or signage of changes in threat condition, protective measures or the employee watch programs?				
5.131 / 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.				
5.132 / T1	Has the agency provided training to regional first responders to enable them to operate in critical facilities and infrastructure?				
5.133	Has the agency provided local law enforcement/first responders opportunities to familiarize themselves with agency's system for response to emergencies? (e.g. Active Shooter, etc.)				
5.134 / T3	Does training of transit system law enforcement and/or security personnel integrate the concept and employment of visible, random security measures?				
5.135 / T4	Has the agency implemented a program to train or orient first responders and other potential supporting assets (e.g., TSA regional personnel for VIPR exercises) on their system vehicle familiarization?				
	HOMELAND SECURITY ADVISORY SYSTEM (HSAS)				
6.000	**Establish plans and protocols to respond to the National Terrorism Advisory System (NTAS) alert system**				
6.101	Does the SSP contain or reference other documents identifying incremental actions (imminent or elevated) to be implemented for a NTAS threat?				
6.102 / T2	Does the agency have actionable operational response protocols for the specific threat scenarios from NTAS?				
6.103	Has the agency provided annual training and/or instruction focused on job function regarding the incremental activities to be performed by employees?				
	PUBLIC AWARENESS				
7.000	**Implement and reinforce a Public Security and Emergency Awareness program**				
7.101	Has the transit agency developed and implemented a public security and emergency awareness program?				
7.102 / T6	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)?				
7.103 / T6	Is the above consistent with agency's overall announcement program?				
7.104 / T6	Are general security awareness and emergency preparedness messages included in public announcement messages at stations and on board vehicles?				
7.105 / T6	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.				
7.106 / T6	Does the agency have an appropriate mechanism in place for passengers to communicate a security concern? (e.g., 1-800 number, smart phone applications, social media, etc.)				
7.107	Does the agency issue public service announcements or press releases to social media regarding security and emergency protocols? (e.g. Twitter/ Facebook/etc., QRC codes, and/or apps for smart phones)				
7.108 / T6	Does the agency issue public service announcements or press releases to local media regarding security or emergency protocols? (e.g. newspaper, radio and/or television)				
7.109	Does the transit agency conduct a volunteer training program for non-employees to aid with system evacuations and emergency response? If so, describe training program and activities.				
7.110	Does the transit agency conduct an outreach program to enlist members of the public as security awareness volunteers, similar to Neighborhood Watch programs?				
7.111 / T1	Do public awareness materials and/or messages inform passengers on the means to evacuate safely from transit vehicles and facilities?				
7.112	Does the agency track and monitor customer complaints reported by passengers?				

	RISK MANAGEMENT				
8.000	Establish and use a risk management process				
8.101 / T2	Does the agency have its own risk assessment process, approved by its management, for managing threats and vulnerabilities? If so, summarize the process in the justification.				
8.102	Has the agency identified facilities and systems it considers to be its critical assets?				
8.103 / T2	Has the agency had an internal or external 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)				
8.104 / T1	Has the agency had an internal or external Risk Assessment, analyzing threat, vulnerability, & consequence, 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?				
8.105 / T2	Has the system implemented procedures to limit and monitor access to underground and underwater tunnels? If so, summarize procedures in the justification.				
8.106	Are security investments prioritized using information developed in the risk assessment process?				
8.107 / T1	Upon request, has TSA been provided access to the agency's vulnerability assessments, Security Plan and related documents?				
	ESTABLISH A RISK ASSESSMENT AND INFORMATION SHARING PROCESS				
9.000	**Establish and use an information sharing process for threat and intelligence information.**				
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?				
9.102 / T2	Does the agency report threat and intelligence information directly to FBI Joint Terrorism Task Force (JTTF) or other regional anti-terrorism task force?				
9.103	Does the agency have policies requiring employees to report (internal or external) suspicious activity to their supervisor or management?				
9.104 / T2	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)?				
9.105	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? If so, describe frequency.				
9.106	Does the agency report their NTD security data to FTA as required by 49 CFR 659?				

	DRILLS AND EXERCISES				
10.000	**Conduct Tabletop and Functional Drills**				
10.101	Does the agency have a documented process to develop an approved, coordinated schedule for all emergency management program activities, including local/regional emergency planning and participation in exercises and drills?				
10.102	Does the agency's or SSP describe or reference how the agency performs its emergency planning responsibilities and requirements regarding emergency drills and exercises?				
10.103 / T5	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.				
10.104	Does the agency's SPP or a related document include a requirement for annual field exercises, tabletops and drills?				
10.105	Does the agency's SPP 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)				
10.106	Does the agency's SPP or a related document describe or reference its program for providing employee training on emergency response protocols and procedures?				
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 drills or exercises specifically focus on active shooter scenarios with its employees?				
10.109 / T5	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)?				
10.110 / T5	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				
10.111 / T5	In the last 12 months, has the agency updated plans, protocols and processes to incorporate after-action report recommendations/findings or corrective actions? If so, summarize the actions taken in the justification.				
10.112	Has the agency established a system for objectively measure and assess its performance during emergency exercises and to measure improvements?				
10.113 / T1	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 throughout the agencies system? (i.e., facilities, stations, office buildings, terminals, underwater/ underground infrastructure and other critical systems)				
10.114 / T5	Does the transit system integrate local and regional first responders in drills, tabletop exercises, and/or field exercises? If so, summarize each joint event and state when it took place.				
11.000	**Developing a Comprehensive Cyber Security Strategy**				
11.101	Has the agency conducted a risk assessment to identify operational control and communication/business enterprise IT assets and potential vulnerabilities?				
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?				
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 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.)?				
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?				
11.106	Has the agency established a cyber-incident response and reporting protocol?				
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.)?				

	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?				
12.102	Are ID badges or other measures employed to restrict access to facilities not open to the public?				
12.103 / T2	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.)?				
12.104	Does the agency have documented procedures for issuing ID badges to visitors and contractors?				
12.105	Does the agency has a documented policy that requires visitors to be escorted when accessing non-public areas.				
12.106	Is CCTV equipment installed in transit agency facilities?				
12.107	Is CCTV equipment protecting critical assets interfaced with an access control system?				
12.108	Is CCTV equipment installed on transit vehicles?				
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?				
12.110	Does the agency use fencing, barriers, and/or intrusion detection to protect against unauthorized entry into stations, facilities, and other identified critical assets?				
12.111 / T2	Has the system implemented protective measures to secure high risk/high consequence assets and critical systems? (i.e., CCTV, intrusion detection systems, smart camera technology, fencing, enhanced lighting, access control, LE patrols, K-9s, protection of ventilation systems)				
12.112	Does the transit agency monitor a network of security, fire, duress, intrusion, utility and internal 911 alarm systems?				
12.113	Does the agency provide a method for passengers and visitors to report security and safety concerns from within the agency's system?				
12.114	Does the transit agency administer an automated employee access control system and perform corrective analysis of security breaches?				
12.115	Does the agency have policies and procedures for screening of mail and/or outside deliveries?				
12.116	Have locks, bullet resistant materials and anti-fragmentation materials been installed/used at critical locations?				
12.117	Does the agency use National Fire Protection Association (NFPA) Standard 130 or equivalent to evaluate fire/life safety in station design or modifications? (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)				
12.118	Is directional signage with adequate lighting provided in a consistent manner throughout their system, both to provide orientation and to support emergency evacuation?				
12.119	Are gates and locks used on all facility doors to prevent unauthorized access during operating hours?				
12.120	Are keys controlled through an established program that is documented?				
12.121	Are gates and locks used to close down system facilities after operating hours?				
12.122	Do transit vehicles have radios, silent alarms, and/or passenger communication systems?				
12.123	Does the transit agency use graffiti-resistant/etch-resistant materials for walls, ceilings, and windows?				
12.124	Are Uninterruptible Power Supply (UPS) or redundant power sources provided for safety and security of critical equipment, fire detection, alarm and suppression systems; public address; call-for-aid telephones; CCTV; emergency trip stations; vital train control functions; etc.?				
12.125	Has the agency removed non-explosive resistant trash receptacles from platform areas of terminals and stations?				
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?				
12.127 / T1	Does the agency have or utilize explosive detection canine teams, either maintained by the system or made available through mutual aid agreements with other law enforcement agencies?				
13.000	**Conduct Physical Security Inspections**				
13.101 / 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? Describe frequency of inspection.				
13.102	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?				
13.103	Has the transit agency developed a form or quick reference guide for operations and personnel to conduct pre-trip, post-trip, and within-trip inspections?				
13.104	Has the transit agency developed a form or quick reference guide for station attendants and others regarding station and facility inspections?				
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? Describe specific examples where improvements to policy or procedures have occurred.				

13.106 / T2	Does the agency conduct frequent inspections of its critical systems access points, ventilation systems, and the interior of underground/underwater assets for indications of suspicious activity?				
13.107	Does the system integrate randomness and unpredictability into its security activities to enhance deterrent effect? Describe how.				
13.108	Is there a process in place to ensure that in service vehicles are inspected at regular periodic intervals for suspicious or unattended items? Specify type and frequency of inspections.				
13.109	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.				
	BACKGROUND INVESTIGATIONS				
14.000	**Conduct Background Investigations of Employees and Contractors**				
14.101 / T2	Does the agency conduct background investigations on all new front-line operations and maintenance employees, and employees with access to sensitive security information, facilities and systems? (i.e., criminal history and motor vehicle records)				
14.102 / 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, sensitive security systems, and sensitive security 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 regulations?				
14.104	Does the agency have a documented process for conducting background investigations?				
14.105	Is the criteria for background investigations based on employee type and responsibility, and is access documented?				

	DOCUMENT CONTROL				
15.000	**Control Access to documents of security critical systems and facilities**				
15.101 / T2	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, etc.) protected from unauthorized access?				
15.102	Has the agency designated a department/person responsible for administering the access control policy with respect to agency documents?				
15.103	Does the security review committee or other designated group review document control practices, assess compliance applicable procedures, and identify discrepancies and necessary corrective action?				
16.000	**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) familiar with the documented policy for the proper handling of such materials?				
16.104	Have employees provided access to SSI material per 49 CFR Part 15 or 1520 received training on proper labeling, handling, dissemination, and storage (such as through the TSA on-line SSI training program)?				
	SECURITY PROGRAM AUDITS				
17.000	**Audit Program**				
17.101	Has the agency established a schedule for conducting its internal security audit process?				
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?				
17.103	Has the transit agency established checklists and procedures to govern the conduct of its internal security audit process?				
17.104	Is the transit agency complying with its internal security audit schedule?				
17.105	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?				
17.106	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?				
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	Has the agency made its internal security audit schedule available to the SSO agency?				
17.109	Has the agency made checklists and procedures used in its internal security audits available to the SSO agency?				
17.110	Has the agency notified the SSO agency 30 days prior to the conduct of an internal security audit?				
17.111	Has a report documenting internal security audit process and the status of findings and corrective actions been made available to the SSO agency within the previous 12 months?				
17.112	Has the agency's chief executive certified to the SSO agency that the agency is in compliance with its SSP?				
17.113	Was that certification included with the most recent annual report submitted to the SSO agency?				
17.114	If the agency's chief executive was not able to certify to the SSO agency that the agency is in compliance with its SSP, was a corrective action plan developed and made available to the SSO?				

Number of items requiring Options for Consideration	**0**

SENSITIVE SECURITY INFORMATION

Date of Visit	TSA Field Office	Lead TSI Inspector
1/4/2021	0	0
Agency Name		
0		
Additional Information		
General Description of the Entity: INSPECTOR SHALL PROVIDE A GENERAL NARRATIVE OVERVIEW OF THE ENTITY'S SCOPE OF OPERATIONS, FACILITIES, ETC.:		
Other information obtained during BASE assessment:		
Smart Practice Information:		
Did you observe anything significant or "cutting edge" in the area of corporate/facility security?		
1. List the infrastructure and assets identified as critical by the agency:		
a.		
b.		
c.		
d.		
e.		
f.		
g.		
2. Where do you, as an industry, feel vulnerable?		
a.		
b.		
3. What concerns do you have?		
a.		
b.		
4. In what Federal programs or security initiatives does your company participate?		
a.		
b.		
c.		

	SAI 1	SAI 2	SAI 3	SAI 4
Enter Previous BASE Implementation >>>				
Select SAI's to be Targeted>>>				

For a BASE Assessment targetin
of the levels of implementation fro
Assessment in the yellow cells ab
in the box directly below the SAI t
current targeted BASE Assessme

If this is NOT a Targeted SAI BAS
BASE levels of implementation in
the number to the right. Leave it a

SAI 5	SAI 6	SAI 7	SAI 8	SAI 9	SAI 10	SAI 11	SAI 12

g specific SAI's, please enter in all
m the agency's previous BASE
ove. Then place the number (1-5)
o be targeted to identify the
nt.

SE Assessment, fill in the previous
the yellow cells above. Disregard
as "1".

In the box below,
targeted BASE A

1

SAI 13	SAI 14	SAI 15	SAI 16	SAI 17	Overall

enter the current
ssessment (1-5)

L

SENSITIVE SECURITY INFORMATION

DEPARTMENT OF HOMELAND SECURITY

Transportation Security Administration

Mass Transit Baseline Assessment for Security Enhancements (MT-BASE)

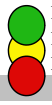
MTPR FY2021 V.2 (January 2021)

Agency Name:	**Lead Inspector:**	0
0	**Assessment Date:**	1/4/2021

SPT #	STRATEGIC PERFORMANCE TARGETS	Implementation
1	Comprehensive Drill and Exercise program for reinforcing implementation of security centered around agency specific security plans, policies, and procedures. (TSA recommends EXIS)	0%
2	Security Awareness Training program for employee implementation of agency specific security plans, policies, and procedures. (TSA recommends FOP/ RMAST)	0%
3	Comprehensive Audit and Inspection program for adherence with implementation of agency specific security plans, policies, and procedures. (TSA recommends SETA)	0%

SAI #	SECURITY ACTION ITEM (SAI) DESCRIPTION	Implementation	Baseline
1	Establish written Security Programs and Emergency Management Plans	0%	0%
2	Define roles and responsibilities for security and emergency management	0%	0%
3	Ensure that operations and maintenance supervisors, forepersons, and managers are held accountable for security issues under their control	0%	0%
4	Coordinate Security and Emergency Management Plan(s) with local and regional agencies	0%	0%
5	Establish and maintain a Security and Emergency Training Program	0%	0%
6	Establish plans and protocols to respond to the National Terrorism Advisory System (NTAS) alert system	0%	0%
7	Implement and reinforce a Public Security and Emergency Awareness program	0%	0%
8	Establish and use a risk management process	0%	0%
9	Establish and use an information sharing process for threat and intelligence information	0%	0%
10	Conduct Tabletop and Functional Drills	0%	0%
11	Developing a Comprehensive Cyber Security Strategy	0%	0%
12	Control access to security critical facilities with ID badges for all visitors, employees and contractors	0%	0%
13	Conduct physical security inspections	0%	0%
14	Conduct background investigations of employees and contractors	0%	0%
15	Control access to documents of security-critical systems and facilities	0%	0%
16	Ensure existence of a process for handling and access to Sensitive Security Information (SSI)	0%	0%
17	Conduct Security Program audits	0%	0%
	Overall Implementation:	**0.00%**	**0.00%**

Color Key:

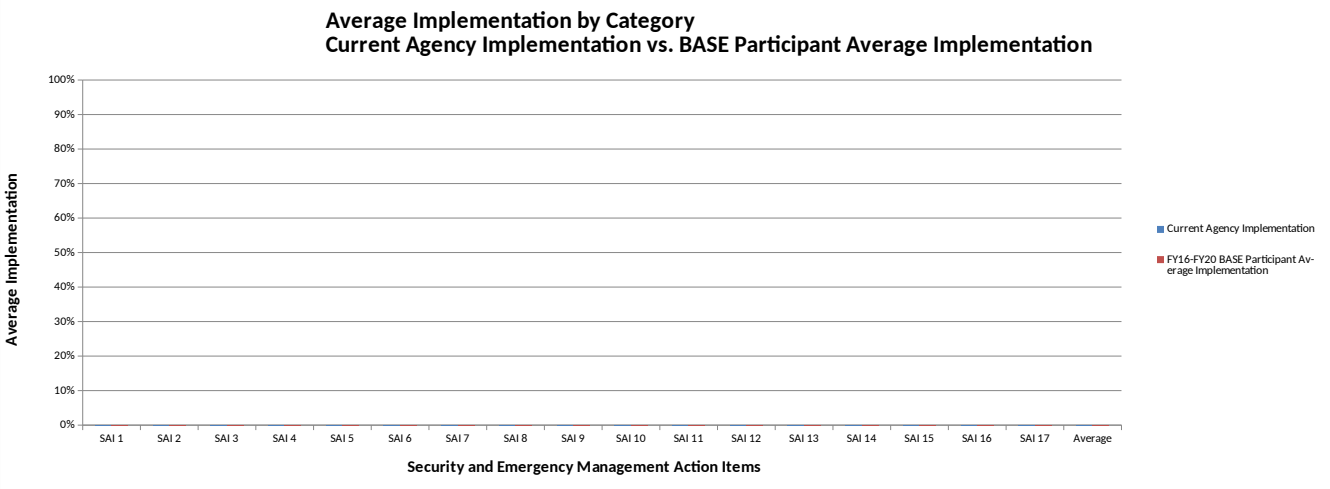


Requirements have been met.
Requirements are partially met and/or are in the process of being completed.
Does not meet requirements as described in reference materials.

This Agency Did Not Meet the Requirements of the Gold Standard Award.

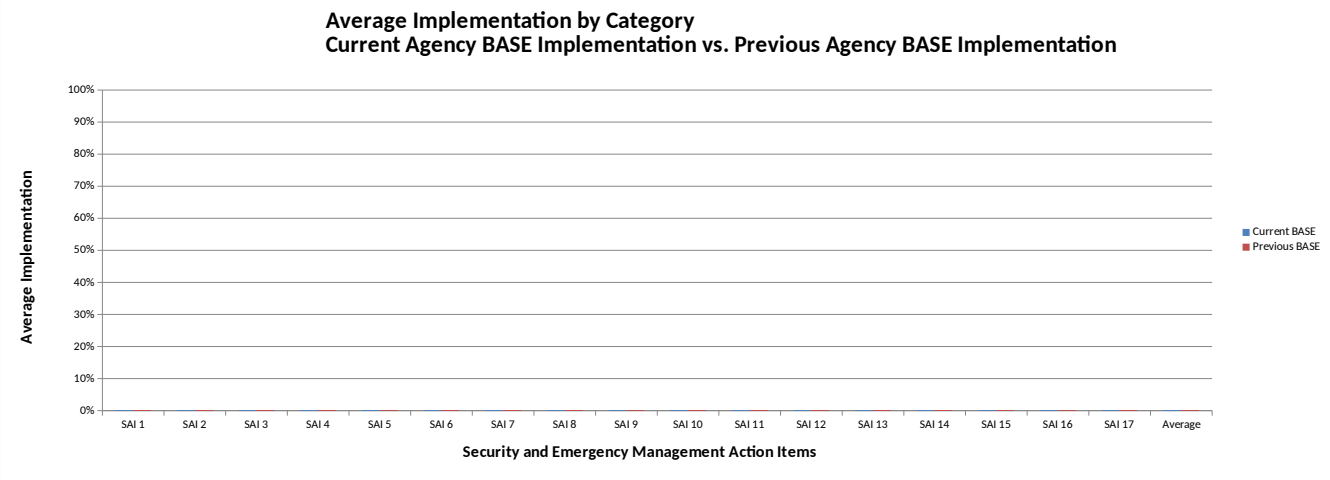
Current Stakeholder vs. BASE Participant Average

	SAI 1	SAI 2	SAI 3	SAI 4	SAI 5	SAI 6	SAI 7	SAI 8	SAI 9	SAI 10	SAI 11	SAI 12	SAI 13	SAI 14	SAI 15	SAI 16	SAI 17	Average
Current Agency Implementation	0%	0%	0%	0%	0%	0%	0%	0%	0%	0%	0%	0%	0%	0%	0%	0%	0%	0%
BASE Participant Average Implementation	0%	0%	0%	0%	0%	0%	0%	0%	0%	0%	0%	0%	0%	0%	0%	0%	0%	0%
Difference	0%	0%	0%	0%	0%	0%	0%	0%	0%	0%	0%	0%	0%	0%	0%	0%	0%	0%



Current BASE vs. Previous BASE Comparison

	SAI 1	SAI 2	SAI 3	SAI 4	SAI 5	SAI 6	SAI 7	SAI 8	SAI 9	SAI 10	SAI 11	SAI 12	SAI 13	SAI 14	SAI 15	SAI 16	SAI 17	Average
Current Agency Implementation	0%	0%	0%	0%	0%	0%	0%	0%	0%	0%	0%	0%	0%	0%	0%	0%	0%	0%
Previous Agency BASE Implementation	0%	0%	0%	0%	0%	0%	0%	0%	0%	0%	0%	0%	0%	0%	0%	0%	0%	0%
Difference	0%	0%	0%	0%	0%	0%	0%	0%	0%	0%	0%	0%	0%	0%	0%	0%	0%	0%



BASE Technical Scoring Sheet **This sheet is for data analysis only.**

Top 17 Scoring Detail

			Totals	**0.0000000**	**792.0000000**	**0.00%**				**Totals**	**0.0000000**	**356.0000000**	**0.00%**
Category			**Questions**	**Score**	**Weight**	**N/A**	**Points**	**Possible**	**Grade**	**Baseline Security Scoring Detail**			
										Line	**Element 1**		**Grade**
			MANAGEMENT AND ACCOUNTABILITY							**Grade:**		**0.00%**	
1.000			**Establish Written System Security Plans (SSPs) and Emergency Response Plans (ERPs)**				0.0000000	120.0000000	0.00%		**0.000000**	**48.000000**	0.00%
1.100			**System Security Plan (SSP)**				0.0000000	72.0000000	0%	**Totals:**	0.000000	20.000000	0%
1.101	B		Does the transit agency have a System Security Plan (SSP) which addresses personnel security, facility security, vehicle security and Threat/Vulnerability Management?	0	1.000000	1	0	4.000000	0%	1.101	0.000000	4.000000	0%
1.102			Does the SSP identify and actively monitor the goals and objectives for the security program ?	0	1.000000	1	0	4.000000	0%	1.102			
1.103	B		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, such as the agency's chief executive?	0	1.000000	1	0	4.000000	0%	1.103	0.000000	4.000000	0%
1.104	B		Is the SSP separate from the agency's System Safety Program Plan (SSPP)?	0	1.000000	1	0	4.000000	0%	1.104	0.000000	4.000000	0%
1.105	B	T1	Do the Security and Emergency Response Plans address protection and response for critical systems? (i.e., facilities, stations, terminals, offices building, underwater tunnels, underground stations/ tunnels and other critical systems)	0	1.000000	1	0	4.000000	0%	1.105	0.000000	4.000000	0%
1.106			Does the SSP contain or reference other documents establishing procedures for the management of security incidents by the operations control center (or dispatch center) or other formal process?	0	1.000000	1	0	4.000000	0%	1.106			
1.107	B		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.)?	0	1.000000	1	0	4.000000	0%	1.107	0.000000	4.000000	0%
1.108			Has the agency partnered with local law enforcement/ first responders to develop active shooter procedures or protocols?	0	1.000000	1	0	4.000000	0%	1.108			
1.109			Does the SSP contain or reference other documents that establish procedures or protocols for responding to active shooter events?	0	1.000000	1	0	4.000000	0%	1.109			
1.110			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)?	0	1.000000	1	0	4.000000	0%	1.110			
1.111		T3	Are visible, random security measures, based on employee type, integrated into security plans to introduce unpredictability into security activities for deterrent effect?	0	1.000000	1	0	4.000000	0%	1.111			
1.112			Does the SSP include provisions requiring that security be addressed in extensions, major projects, new vehicles and equipment procurement and other capital projects, and including integration with the transit agency's safety certification process?	0	1.000000	1	0	4.000000	0%	1.112			
1.113			Does the SSP include or reference other documents adopting Crime Prevention Through Environmental Design (CPTED) principles as part of the agency's engineering practices?	0	1.000000	1	0	4.000000	0%	1.113			
1.114			Does the SSP require an annual review?	0	1.000000	1	0	4.000000	0%	1.114			
1.115			Does the transit agency produce periodic reports reviewing its progress in meeting its SSP goals and objectives?	0	1.000000	1	0	4.000000	0%	1.115			
1.116			Has an annual review of the SSP been performed and documented in the preceding 12 months?	0	1.000000	1	0	4.000000	0%	1.116			
1.117			Does the SSP outline a process for securing SSO agency review and approval of updates to the SSP?	0	1.000000	1	0	4.000000	0%	1.117			
1.118			Has the transit agency submitted and received documentation from the SSO confirming its review and approval of the SSP currently in effect?	0	1.000000	1	0	4.000000	0%	1.118			
1.200			**Emergency Response Plan (ERP)**				0.00000	48.00000	0%	**1.200**	0.000000	28.000000	0%
1.201	B		Does the transit agency have an Emergency Response Plan (ERP) which addresses specific policies and procedures related to emergency response.	0	1.000000	1	0	4.000000	0%	1.201	0.000000	4.000000	0%
1.202	B		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, such as the agency's chief executive?	0	1.000000	1	0	4.000000	0%	1.202	0.000000	4.000000	0%
1.203	B		Does the ERP require an annual review to determine if it needs to be updated?	0	1.000000	1	0	4.000000	0%	1.203	0.000000	4.000000	0%
1.204			Has an annual review of the ERP been performed and documented in the preceding 12 months?	0	1.000000	1	0	4.000000	0%	1.204			
1.205	B		Does the ERP include a process or review provision to ensure coordination with the transit agency's SSPP and SSP?	0	1.000000	1	0	4.000000	0%	1.205	0.000000	4.000000	0%
1.206			Has the transit agency received documentation from the SSO confirming its review and approval of the ERP currently in effect?	0	1.000000	1	0	4.000000	0%	1.206			
1.207	B		Does the ERP contain or reference other documents establishing plans, procedures, or protocols for responding to emergency events with external agencies? (i.e. law enforcement, local EMA, fire departments, etc.)	0	1.000000	1	0	4.000000	0%	1.207	0.000000	4.000000	0%

Top 17 Scoring Detail

Category			Questions	Score	Weight	N/A	Points	Possible	Grade
			MANAGEMENT AND ACCOUNTABILITY						
1.208	B		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 (or dispatch center)?	0	1.000000	1	0	4.000000	0%
1.209			Does the ERP contain or reference other documents to provide for Continuity of Operations (COOP) while responding to emergency events?	0	1.000000	1	0	4.000000	0%
1.210			Does the agency have a written Business Recovery Plan to guide restoration of facilities and services following an emergency event?	0	1.000000	1	0	4.000000	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?	0	1.000000	1	0	4.000000	0%
1.212	B		Does the agency have a back-up operations control center capability?	0	1.000000	1	0	4.000000	0%
2.000			**Define Roles and Responsibilities for Security and Emergency Management**				0	68	0%
2.100			**System Security Plan (SSP)**				0	40.000000	0%
2.101			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?	0	1.000000	1	0	4.000000	0%
2.102			Has the agency established documented lines of delegated authority and lines of succession of security responsibilities?	0	1.000000	1	0	4.000000	0%
2.103	B		Does the SSP or other documents establish roles and responsibilities for security and/or law enforcement personnel based on title and/or position?	0	1.000000	1	0	4.000000	0%
2.104	B		Does the SSP or other documents establish security-related roles and responsibilities for non-security personnel based on title and/or position? (i.e., operators, conductors, maintenance workers and station attendants)	0	1.000000	1	0	4.000000	0%
2.105		T2	Do senior staff and middle management conduct security meetings to review recommendations for changes to plans and processes?	0	1.000000	1	0	4.000000	0%
2.106			Does a Security Review Committee (or other designated group) regularly review security incident reports, trends, and program audit findings?	0	1.000000	1	0	4.000000	0%
2.107	B		Are informational briefings with appropriate personnel held whenever security protocols, threat levels, or protective measures are updated or as security conditions warrant?	0	1.000000	1	0	4.000000	0%
2.108	B		Have reference guides or other written instructions or procedures, appropriate to job function, been distributed to transit employees to implement the requirements of the SSP?	0	1.000000	1	0	4.000000	0%
2.109	B		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?	0	1.000000	1	0	4.000000	0%
2.11			Does the agency maintain a record of security related incidents that are reported within the agency?	0	1.000000	1	0	4.000000	0%
2.200			**2.b. Emergency Response Plan (ERP):**				0.00000	28.00000	0%
2.201			Does the ERP establish and assign responsibility for implementation of the emergency response program to a Senior Manager who is a "direct report" to the agency's Chief Executive Officer?	0	1.000000	1	0	4.000000	0%
2.202	B		Are detailed, comprehensive emergency response roles and responsibilities for all departments identified in the ERP or other supporting documents?	0	1.000000	1	0	4.000000	0%
2.203	B	T5	Does the ERP establish emergency response roles and responsibilities for all front-line personnel based on title and/or position? (i.e. system law enforcement, system security officials, train or vehicle operators, conductors, station attendants, maintenance workers)	0	1.000000	1	0	4.000000	0%
2.204	B		Has the ERP been distributed to appropriate departments in the organization?	0	1.000000	1	0	4.000000	0%
2.205	B		Have appropriate reference guides or other written instructions or procedures been distributed to transit employees to implement the requirements of the ERP?	0	1.000000	1	0	4.000000	0%
2.206			Are senior staff and middle management ERP coordination meetings held on a regular basis?	0	1.000000	1	0	4.000000	0%
2.207	B		Are informational briefings with appropriate personnel held whenever emergency response protocols are substantially changed or updated?	0	1.000000	1	0	4.000000	0%
3.000			**Ensure that operations and maintenance supervisors, forepersons and managers are held accountable for security issues under their control**				0.0000	16.0000	0%
3.101	B		How frequently do managers and supervisors provide information to front-line personnel where security and emergency response issues are the primary focus?	0	1.000000	1	0	4.000000	0%
3.102			How frequently are supervisor, manager, and/or foreperson security review and coordination briefings held?	0	1.000000	1	0	4.000000	0%

Baseline Security Scoring Detail

Line	Element 1		Grade
Grade:		**0.00%**	
1.208	0.000000	4.000000	0%
1.209			
1.210			
	0.000000	4.000000	0%
2	0	40	0%
2.100	0.000000	20.000000	0%
2.101			
2.102			
2.103	0.000000	4.000000	0%
2.104	0.000000	4.000000	0%
2.105			
2.106			
2.107	0.000000	4.000000	0%
2.108	0.000000	4.000000	0%
2.109	0.000000	4.000000	0%
2.200	0.000000	20.000000	0%
2.201			
2.202	0.000000	4.000000	0%
2.203	0.000000	4.000000	0%
2.204	0.000000	4.000000	0%
2.205	0.000000	4.000000	0%
2.206			
2.207	0.000000	4.000000	0%
3.000	0.000000	12.000000	0%
3.101	0.000000	4.000000	0%
3.102			

Top 17 Scoring Detail

Category			Questions	Score	Weight	N/A	Points	Possible	Grade
			MANAGEMENT AND ACCOUNTABILITY						
3.103	B		Does the agency have a program that actively utilizes a formal process for confirming personnel have a measurable working knowledge of security protocols? (i.e. internal audits, challenge procedures, qualification testing)	0	1.000000	1	0	4.000000	0%
3.104	B		Does the agency have a written policy requiring managers and/or supervisors to debrief front-line employees regarding their involvement in or management of any security or emergency incidents?	0	1.000000	1	0	4.000000	0%
4.000			**Coordinate Security and Emergency Management Plan(s) with local and regional agencies**				0.0000	40.0000	0%
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?	0	1.000000	1	0	4.000000	0%
4.102	B		Does the agency participate in a regional Emergency Management Working Group or similar regional coordinating body for emergency preparedness and response?	0	1.000000	1	0	4.000000	0%
4.103	B		Have regional incident management protocols been shared with the agency and incorporated into the agency's ERP/SSP/SEPP?	0	1.000000	1	0	4.000000	0%
4.104			Have agency resources been appropriately identified and provided to the regional EMA?	0	1.000000	1	0	4.000000	0%
4.105	B		Does the agency have a designated point-of-contact or liaison from the local/regional Emergency Operations Center (EOC)?	0	1.000000	1	0	4.000000	0%
4.106			Does the agency send a representative to the local/regional EOC, should it be activated?	0	1.000000	1	0	4.000000	0%
4.107			Does the agency have a process for sharing information with the regional/local EOC (i.e., contacts, procedures, resource inventories, etc.)?	0	1.000000	1	0	4.000000	0%
4.108	B		Has the agency developed internal incident management protocols that comply with the National Response Plan and the National Incident Management System (NIMS)?	0	1.000000	1	0	4.000000	0%
4.109			Have the agency's emergency response protocols been shared with the EMA and appropriate first responder agencies?	0	1.000000	1	0	4.000000	0%
4.110	B	T5	Has the transit system tested its communications systems for interoperability with appropriate emergency response agencies?	0	1.000000	1	0	4.000000	0%
4.111	B		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.	0	1.000000	0	0	0.000000	#DIV/0!
			SECURITY AND EMERGENCY RESPONSE TRAINING						
5.000			**Establish and Maintain a Security and Emergency Training Program**				0.0000	104.0000	0%
5.101	B	T4	Is initial training provided to all new agency employees regarding security orientation/awareness?	0	1.000000	1	0	4.000000	0%
5.102		T4	Is annual refresher training regarding security orientation/awareness provided to all employees regardless of position or job function in a formal manner?	0	1.000000	1	0	4.000000	0%
5.103	B	T4	Is annual refresher training provided regarding security orientation/awareness to managers and supervisors?	0	1.000000	0	0	0.000000	#DIV/0!
5.104	B	T4	Is annual refresher training provided regarding security orientation/awareness to front-line employees?	0	1.000000	0	0	0.000000	#DIV/0!
5.105			Is ongoing advanced security training focused on job function provided at least annually?	0	1.000000	1	0	4.000000	0%
5.106			Is initial training specific to active shooter (run/fight/hide, Lockdown procedures or similar) provided to all employees regardless of position or job function, in a formal manner?	0	1.000000	1	0	4.000000	0%
5.107			Is annual refresher training specific to active shooter (run/fight/hide, Lockdown procedures or similar) provided to all employees regardless of position or job function?	0	1.000000	1	0	4.000000	0%
5.108	B	T4	Is initial training provided to all new transit employees regarding emergency response?	0	1.000000	1	0	4.000000	0%
5.109		T4	Is annual refresher training regarding emergency response provided to all employees regardless of position or job function in a formal manner?	0	1.000000	1	0	4.000000	0%
5.110	B	T4	Is annual refresher training provided regarding emergency response to Managers and Supervisors?	0	1.000000	0	0	0.000000	#DIV/0!
5.111	B	T4	Is annual refresher training provided regarding emergency response to front-line Employees?	0	1.000000	0	0	0.000000	#DIV/0!
5.112	B	T4	Have agency employees received general training on Incident Command System (ICS) procedures in accordance with National Incident Management System (NIMS)?	0	1.000000	1	0	4.000000	0%
5.113			Has ICS and NIMS training appropriate to the position been provided to Senior Management staff and supervisors? (Describe the frequency of training)	0	1.000000	1	0	4.000000	0%
5.114	B		Has ICS and NIMS training appropriate to the position been provided to frontline employees? (Describe the frequency of training)	0	1.000000	1	0	4.000000	0%

Baseline Security Scoring Detail

Line	Element 1		Grade
Grade:		**0.00%**	
3.103	0.000000	4.000000	0%
3.104	0.000000	4.000000	0%
4.000	0.000000	20.000000	0%
4.101			
4.102	0.000000	4.000000	0%
4.103	0.000000	4.000000	0%
4.104			
4.105	0.000000	4.000000	0%
4.106			
4.107			
4.108	0.000000	4.000000	0%
4.109			
4.110	0.000000	4.000000	0%
4.111	0.000000	0.000000	#DIV/0!
5.000	0.000000	40.000000	0%
5.101	0.000000	4.000000	0%
5.102			
5.103	0.000000	0.000000	#DIV/0!
5.104	0.000000	0.000000	#DIV/0!
5.105			
5.106			
5.107			
5.108	0.000000	4.000000	0%
5.109			
5.110	0.000000	0.000000	#DIV/0!
5.111	0.000000	0.000000	#DIV/0!
5.112	0.000000	4.000000	0%
5.113			
5.114	0.000000	4.000000	0%

Top 17 Scoring Detail

Category			Questions	Score	Weight	N/A	Points	Possible	Grade
			MANAGEMENT AND ACCOUNTABILITY						
5.115			Has ICS and NIMS training appropriate to the position been provided to front-line employees at least annually?	0	1.000000	0	0	0.000000	#DIV/0!
5.116	B		Has the agency developed a program and provided training on its own incident response protocols?	0	1.000000	1	0	4.000000	0%
5.117		T4	Is annual refresher training on the agency's incident response protocols appropriate to the position been provided to all employees regardless of position or job function?	0	1.000000	1	0	4.000000	0%
5.118	B	T4	Has training on the agency's incident response protocols appropriate to the position been provided to managers and supervisors?	0	1.000000	0	0	0.000000	#DIV/0!
5.119	B	T4	Has training on the agency's incident response protocols appropriate to the position been provided to front-line employees at least annually?	0	1.000000	0	0	0.000000	#DIV/0!
5.12		T4	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 the justification?	0	1.000000	1	0	4.000000	0%
5.121			Has training focused on IEDs and WMDs appropriate to the position been provided to all employees regardless of position or job function at least annually?	0	1.000000	1	0	4.000000	0%
5.122			Has training focused on IEDs and WMDs appropriate to the position been provided to manager and supervisors?	0	1.000000	0	0	0.000000	#DIV/0!
5.123			Has training focused on IEDs and WMDs appropriate to the position been provided to front-line employees at least annually?	0	1.000000	0	0	0.000000	#DIV/0!
5.124			Do law enforcement/security department personnel, security managers at the agency receive specialized training in counter-terrorism annually? Summarize program in the justification.	0	1.000000	1	0	4.000000	0%
5.125			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.	0	1.000000	1	0	4.000000	0%
5.126	B		Does the agency have an established program to monitor and schedule employee training/?	0	1.000000	1	0	4.000000	0%
5.127			Does the agency have a system that records and tracks personnel training for all security-related courses (including initial, annual, periodic and other)?	0	1.000000	1	0	4.000000	0%
5.128			Does the transit agency have a system that records and tracks personnel training for emergency response courses (including initial, periodic and other)?	0	1.000000	1	0	4.000000	0%
5.129			Does the agency have a program to regularly review and update security awareness and emergency response training materials?	0	1.000000	1	0	4.000000	0%
5.130	B	T4	Are all appropriate personnel notified via briefings, email, voicemail, or signage of changes in threat condition, protective measures or the employee watch programs?	0	1.000000	1	0	4.000000	0%
5.131	B	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.	0	1.000000	1	0	4.000000	0%
5.132	B	T1	Has the agency provided training to regional first responders to enable them to operate in critical facilities and infrastructure?	0	1.000000	1	0	4.000000	0%
5.133			Has the agency provided local law enforcement/first responders opportunities to familiarize themselves with agency's system for response to emergencies? (e.g. Active Shooter, etc.)	0	1.000000	1	0	4.000000	0%
5.134		T3	Does training of transit system law enforcement and/or security personnel integrate the concept and employment of visible, random security measures?	0	1.000000	1	0	4.000000	0%
5.135	B	T4	Has the agency implemented a program to train or orient first responders and other potential supporting assets (e.g., TSA regional personnel for VIPR exercises) on their system vehicle familiarization?	0	1.000000	1	0	4.000000	0%
			HOMELAND SECURITY ADVISORY SYSTEM (HSAS)						
6.000			**Establish plans and protocols to respond to the National Terrorism Advisory System (NTAS) alert system**				0.0000	12.0000	0%
6.101	B		Does the SSP contain or reference other documents identifying incremental actions (imminent or elevated) to be implemented for a NTAS threat?	0	1.000000	1	0	4.000000	0%
6.102	B	T2	Does the agency have actionable operational response protocols for the specific threat scenarios from NTAS?	0	1.000000	1	0	4.000000	0%
6.103			Has the agency provided annual training and/or instruction focused on job function regarding the incremental activities to be performed by employees?	0	1.000000	1	0	4.000000	0%
			PUBLIC AWARENESS						
7.000			**Implement and reinforce a Public Security and Emergency Awareness program**				0.0000	48.0000	0%

Baseline Security Scoring Detail

Line	Element 1		Grade
Grade:		**0.00%**	
5.115			
5.116	0.000000	4.000000	0%
5.117			
5.118	0.000000	0.000000	#DIV/0!
5.119	0.000000	0.000000	#DIV/0!
5.12			
5.121			
5.122			
5.123			
5.124			
5.125			
5.126	0.000000	4.000000	0%
5.127			
5.128			
5.129			
5.130	0.000000	4.000000	0%
5.131	0.000000	4.000000	0%
5.132	0.000000	4.000000	0%
5.133			
5.134			
5.135	0.000000	4.000000	0%
6.000	0.000000	8.00000	0%
6.101	0.000000	4.000000	0%
6.102	0.000000	4.000000	0%
6.103			
7.000	0.000000	24.000000	0%

Top 17 Scoring Detail

Category			Questions	Score	Weight	N/A	Points	Possible	Grade
			MANAGEMENT AND ACCOUNTABILITY						
7.101	B		Has the transit agency developed and implemented a public security and emergency awareness program?	0	1.000000	1	0	4.000000	0%
7.102	B	T6	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)?	0	1.000000	1	0	4.000000	0%
7.103		T6	Is the above consistent with agency's overall announcement program?	0	1.000000	1	0	4.000000	0%
7.104	B	T6	Are general security awareness and emergency preparedness messages included in public announcement messages at stations and on board vehicles?	0	1.000000	1	0	4.000000	0%
7.105	B	T6	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.	0	1.000000	1	0	4.000000	0%
7.106	B	T6	Does the agency have an appropriate mechanism in place for passengers to communicate a security concern? (e.g., 1-800 number, smart phone applications, social media, etc.)	0	1.000000	1	0	4.000000	0%
7.107			Does the agency issue public service announcements or press releases to social media regarding security and emergency protocols? (e.g. Twitter/ Facebook/etc., QRC codes, and/or apps for smart phones)	0	1.000000	1	0	4.000000	0%
7.108		T6	Does the agency issue public service announcements or press releases to local media regarding security or emergency protocols? (e.g. newspaper, radio and/or television)	0	1.000000	1	0	4.000000	0%
7.109			Does the transit agency conduct a volunteer training program for non-employees to aid with system evacuations and emergency response? If so, describe training program and activities.	0	1.000000	1	0	4.000000	0%
7.110			Does the transit agency conduct an outreach program to enlist members of the public as security awareness volunteers, similar to Neighborhood Watch programs?	0	1.000000	1	0	4.000000	0%
7.111	B	T1	Do public awareness materials and/or messages inform passengers on the means to evacuate safely from transit vehicles and facilities?	0	1.000000	1	0	4.000000	0%
7.112			Does the agency track and monitor customer complaints reported by passengers?	0	1.000000	1	0	4.000000	0%
			RISK MANAGEMENT						
8.000			Establish and use a risk management process				0.0000	28.0000	0%
8.101	B	T2	Does the agency have its own risk assessment process, approved by its management, for managing threats and vulnerabilities? If so, summarize the process in the justification.	0	1.000000	1	0	4.000000	0%
8.102	B		Has the agency identified facilities and systems it considers to be its critical assets?	0	1.000000	1	0	4.000000	0%
8.103	B	T2	Has the agency had an internal or external 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).	0	1.000000	1	0	4.000000	0%
8.104	B	T1	Has the agency had an internal or external Risk Assessment, analyzing threat, vulnerability, & consequence, 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?	0	1.000000	1	0	4.000000	0%
8.105	B	T2	Has the system implemented procedures to limit and monitor access to underground and underwater tunnels? If so, summarize procedures in the justification.	0	1.000000	1	0	4.000000	0%
8.106			Are security investments prioritized using information developed in the risk assessment process?	0	1.000000	1	0	4.000000	0%
8.107	B	T1	Upon request, has TSA been provided access to the agency's vulnerability assessments, Security Plan and related documents?	0	1.000000	1	0	4.000000	0%
			ESTABLISH A RISK ASSESSMENT AND INFORMATION SHARING PROCESS						
9.000			**Establish and use an information sharing process for threat and intelligence information.**				0.0000	24.0000	0%
9.101	B		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?	0	1.000000	1	0	4.000000	0%
9.102	B	T2	Does the agency report threat and intelligence information directly to FBI Joint Terrorism Task Force (JTTF) or other regional anti-terrorism task force?	0	1.000000	1	0	4.000000	0%
9.103			Does the agency have policies requiring employees to report (internal or external) suspicious activity to their supervisor or management?	0	1.000000	1	0	4.000000	0%
9.104	B	T2	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)?	0	1.000000	1	0	4.000000	0%

Baseline Security Scoring Detail

Line	Element 1		Grade
Grade:		**0.00%**	
7.101	0.000000	4.000000	0%
7.102	0.000000	4.000000	0%
7.103			
7.104	0.000000	4.000000	0%
7.105	0.000000	4.000000	0%
7.106	0.000000	4.000000	0%
7.107			
7.108			
7.109			
7.110			
7.111	0.000000	4.000000	0%
7.112			
8.000	0.000000	24.000000	0%
8.101	0.000000	4.000000	0%
8.102	0.000000	4.000000	0%
8.103	0.000000	4.000000	0%
8.104	0.000000	4.000000	0%
8.105	0.000000	4.000000	0%
8.106			
8.107	0.000000	4.000000	0%
9.000	0.000000	12.000000	0%
9.101	0.000000	4.000000	0%
9.102	0.000000	4.000000	0%
9.103			
9.104	0.000000	4.000000	0%

Top 17 Scoring Detail

Category			Questions	Score	Weight	N/A	Points	Possible	Grade
			MANAGEMENT AND ACCOUNTABILITY						
9.105			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? If so, describe frequency.	0	1.000000	1	0	4.000000	0%
9.106			Does the agency report their NTD security data to FTA as required by 49 CFR 659?	0	1.000000	1	0	4.000000	0%
			DRILLS AND EXERCISES						
10.000			**Conduct Tabletop and Functional Drills**				0.0000	56.0000	0%
10.101	B		Does the agency have a documented process to develop an approved, coordinated schedule for all emergency management program activities, including local/regional emergency planning and participation in exercises and drills?	0	1.000000	1	0	4.000000	0%
10.102	B		Does the agency's or SSP describe or reference how the agency performs its emergency planning responsibilities and requirements regarding emergency drills and exercises?	0	1.000000	1	0	4.000000	0%
10.103	B	T5	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.	0	1.000000	1	0	4.000000	0%
10.104	B		Does the agency's SPP or a related document include a requirement for annual field exercises, tabletops and drills?	0	1.000000	1	0	4.000000	0%
10.105	B		Does the agency's SPP 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)	0	1.000000	1	0	4.000000	0%
10.106			Does the agency's SPP or a related document describe or reference its program for providing employee training on emergency response protocols and procedures?	0	1.000000	1	0	4.000000	0%
10.107	B		Does the agency participate as an active player in full-scale, regional exercises, held at least annually?	0	1.000000	1	0	4.000000	0%
10.108			In the last year, has the agency conducted drills or exercises specifically focus on active shooter scenarios with its employees?	0	1.000000	1	0	4.000000	0%
10.109		T5	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)?	0	1.000000	1	0	4.000000	0%
10.110		T5	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	0	1.000000	1	0	4.000000	0%
10.111		T5	In the last 12 months, has the agency updated plans, protocols and processes to incorporate after-action report recommendations/findings or corrective actions? If so, summarize the actions taken in the justification.	0	1.000000	1	0	4.000000	0%
10.112			Has the agency established a system for objectively measure and assess its performance during emergency exercises and to measure improvements?	0	1.000000	1	0	4.000000	0%
10.113	B	T1	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 throughout the agencies system? (i.e., facilities, stations, office buildings, terminals, underwater/ underground infrastructure and other critical systems)	0	1.000000	1	0	4.000000	0%
10.114	B	T5	Does the transit system integrate local and regional first responders in drills, tabletop exercises, and/or field exercises? If so, summarize each joint event and state when it took place.	0	1.000000	1	0	4.000000	0%
11.000			**Developing a Comprehensive Cyber Security Strategy**				0.0000	28.0000	0%
11.101	B		Has the agency conducted a risk assessment to identify operational control and communication/business enterprise IT assets and potential vulnerabilities?	0	1.000000	1	0	4.000000	0%
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?	0	1.000000	1	0	4.000000	0%
11.103			Has a written strategy been developed and integrated into the overall security program to mitigate the cyber risk identified?	0	1.000000	1	0	4.000000	0%
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.)?	0	1.000000	1	0	4.000000	0%
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?	0	1.000000	1	0	4.000000	0%
11.106	B		Has the agency established a cyber-incident response and reporting protocol?	0	1.000000	1	0	4.000000	0%

Baseline Security Scoring Detail

Line	Element 1		Grade
Grade:		**0.00%**	
9.105			
9.106			
10.000	0.000000	32.000000	0%
10.101	0.000000	4.000000	0%
10.102	0.000000	4.000000	0%
10.103	0.000000	4.000000	0%
10.104	0.000000	4.000000	0%
10.105	0.000000	4.000000	0%
10.106			
10.107	0.000000	4.000000	0%
10.108			
10.109			
10.110			
10.111			
10.112			
10.113	0.000000	4.000000	0%
10.114	0.000000	4.000000	0%
11.000	0.000000	8.000000	0%
11.101	0.000000	4.000000	0%
11.102			
11.103			
11.104			
11.105			
11.106	0.000000	4.000000	0%

Top 17 Scoring Detail

Category			Questions	Score	Weight	N/A	Points	Possible	Grade
			MANAGEMENT AND ACCOUNTABILITY						
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.)?	0	1.000000	1	0	4.000000	0%
			FACILITY SECURITY AND ACCESS CONTROLS						
12.000			**Control Access to Security Critical Facilities with ID badges for all visitors, employees and contractors**				0.0000	108.0000	0%
12.101	B		Have assets and facilities requiring restricted access been identified?	0	1.000000	1	0	4.000000	0%
12.102	B		Are ID badges or other measures employed to restrict access to facilities not open to the public?	0	1.000000	1	0	4.000000	0%
12.103	B	T2	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.)?	0	1.000000	1	0	4.000000	0%
12.104	B		Does the agency have documented procedures for issuing ID badges to visitors and contractors?	0	1.000000	1	0	4.000000	0%
12.105			Does the agency has a documented policy that requires visitors to be escorted when accessing non-public areas.	0	1.000000	1	0	4.000000	0%
12.106			Is CCTV equipment installed in transit agency facilities?	0	1.000000	1	0	4.000000	0%
12.107			Is CCTV equipment protecting critical assets interfaced with an access control system?	0	1.000000	1	0	4.000000	0%
12.108			Is CCTV equipment installed on transit vehicles?	0	1.000000	1	0	4.000000	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?	0	1.000000	1	0	4.000000	0%
12.110			Does the agency use fencing, barriers, and/or intrusion detection to protect against unauthorized entry into stations, facilities, and other identified critical assets?	0	1.000000	1	0	4.000000	0%
12.111	B	T2	Has the system implemented protective measures to secure high risk/high consequence assets and critical systems? (i.e., CCTV, intrusion detection systems, smart camera technology, fencing, enhanced lighting, access control, LE patrols, K-9s, protection of ventilation systems)	0	1.000000	1	0	4.000000	0%
12.112			Does the transit agency monitor a network of security, fire, duress, intrusion, utility and internal 911 alarm systems?	0	1.000000	1	0	4.000000	0%
12.113			Does the agency provide a method for passengers and visitors to report security and safety concerns from within the agency's system?	0	1.000000	1	0	4.000000	0%
12.114			Does the transit agency administer an automated employee access control system and perform corrective analysis of security breaches?	0	1.000000	1	0	4.000000	0%
12.115			Does the agency have policies and procedures for screening of mail and/or outside deliveries?	0	1.000000	1	0	4.000000	0%
12.116			Have locks, bullet resistant materials and anti-fragmentation materials been installed/used at critical locations?	0	1.000000	1	0	4.000000	0%
12.117			Does the agency use National Fire Protection Association (NFPA) Standard 130 or equivalent to evaluate fire/life safety in station design or modifications? (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)	0	1.000000	1	0	4.000000	0%
12.118			Is directional signage with adequate lighting provided in a consistent manner throughout their system, both to provide orientation and to support emergency evacuation?	0	1.000000	1	0	4.000000	0%
12.119			Are gates and locks used on all facility doors to prevent unauthorized access during operating hours?	0	1.000000	1	0	4.000000	0%
12.120			Are keys controlled through an established program that is documented?	0	1.000000	1	0	4.000000	0%
12.121	B		Are gates and locks used to close down system facilities after operating hours?	0	1.000000	1	0	4.000000	0%
12.122			Do transit vehicles have radios, silent alarms, and/or passenger communication systems?	0	1.000000	1	0	4.000000	0%
12.123			Does the transit agency use graffiti-resistant/etch-resistant materials for walls, ceilings, and windows?	0	1.000000	1	0	4.000000	0%
12.124	B		Are Uninterruptible Power Supply (UPS) or redundant power sources provided for safety and security of critical equipment, fire detection, alarm and suppression systems; public address; call-for-aid telephones; CCTV; emergency trip stations; vital train control functions; etc.?	0	1.000000	1	0	4.000000	0%
12.125			Has the agency removed non-explosive resistant trash receptacles from platform areas of terminals and stations?	0	1.000000	1	0	4.000000	0%
12.126	B		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?	0	1.000000	1	0	4.000000	0%

Baseline Security Scoring Detail

Line	Element 1		Grade
Grade:		**0.00%**	
11.107			
12.000	0.000000	32.000000	0%
12.101	0.000000	4.000000	0%
12.102	0.000000	4.000000	0%
12.103	0.000000	4.000000	0%
12.104	0.000000	4.000000	0%
12.105			
12.106			
12.107			
12.108			
12.109			
12.110			
12.111	0.000000	4.000000	0%
12.112			
12.113			
12.114			
12.115			
12.116			
12.117			
12.118			
12.119			
12.120			
12.121	0.000000	4.000000	0%
12.122			
12.123			
12.124	0.000000	4.000000	0%
12.125			
12.126	0.000000	4.000000	0%

SENSITIVE SECURITY INFORMATION

Top 17 Scoring Detail

Category			Questions	Score	Weight	N/A	Points	Possible	Grade
			MANAGEMENT AND ACCOUNTABILITY						
12.127		T1	Does the agency have or utilize explosive detection canine teams, either maintained by the system or made available through mutual aid agreements with other law enforcement agencies?	0	1.000000	1	0	4.000000	0%
13.000			**Conduct Physical Security Inspections**				0.0000	36.0000	0%
13.101	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? Describe frequency of inspection.	0	1.000000	1	0	4.000000	0%
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?	0	1.000000	1	0	4.000000	0%
13.103			Has the transit agency developed a form or quick reference guide for operations and personnel to conduct pre-trip, post-trip, and within-trip inspections?	0	1.000000	1	0	4.000000	0%
13.104			Has the transit agency developed a form or quick reference guide for station attendants and others regarding station and facility inspections?	0	1.000000	1	0	4.000000	0%
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? Describe specific examples where improvements to policy or procedures have occurred.	0	1.000000	1	0	4.000000	0%
13.106	B	T2	Does the agency conduct frequent inspections of its critical systems access points, ventilation systems, and the interior of underground/underwater assets for indications of suspicious activity?	0	1.000000	1	0	4.000000	0%
13.107			Does the system integrate randomness and unpredictability into its security activities to enhance deterrent effect? Describe how.	0	1.000000	1	0	4.000000	0%
13.108			Is there a process in place to ensure that in service vehicles are inspected at regular periodic intervals for suspicious or unattended items? Specify type and frequency of inspections.	0	1.000000	1	0	4.000000	0%
13.109			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.	0	1.000000	1	0	4.000000	0%
			BACKGROUND INVESTIGATIONS						
14.000			**Conduct Background Investigations of Employees and Contractors**				0.0000	20.0000	0%
14.101	B	T2	Does the agency conduct background investigations on all new front-line operations and maintenance employees, and employees with access to sensitive security information, facilities and systems? (i.e., criminal history and motor vehicle records)	0	1.000000	1	0	4.000000	0%
14.102	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, sensitive security systems, and sensitive security information?	0	1.000000	1	0	4.000000	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?	0	1.000000	1	0	4.000000	0%
14.104	B		Does the agency have a documented process for conducting background investigations?	0	1.000000	1	0	4.000000	0%
14.105			Is the criteria for background investigations based on employee type and responsibility, and is access documented?	0	1.000000	1	0	4.000000	0%
			DOCUMENT CONTROL						
15.000			**Control Access to documents of security critical systems and facilities**				0.0000	12.0000	0%
15.101	B	T2	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, etc.) protected from unauthorized access?	0	1.000000	1	0	4.000000	0%
15.102	B		Has the agency designated a department/person responsible for administering the access control policy with respect to agency documents?	0	1.000000	1	0	4.000000	0%
15.103			Does the security review committee or other designated group review document control practices, assess compliance applicable procedures, and identify discrepancies and necessary corrective action?	0	1.000000	1	0	4.000000	0%
16.000			**Process for handling and access to Sensitive Security Information (SSI)**				0.0000	16.0000	0%
16.101	B		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?	0	1.000000	1	0	4.000000	0%

Baseline Security Scoring Detail

Line	Element 1		Grade
Grade:		**0.00%**	
12.127			
13.000	0	12	0%
13.101	0.000000	4.000000	0%
13.102	0.000000	4.000000	0%
13.103			
13.104			
13.105			
13.106	0.000000	4.000000	0%
13.107			
13.108			
13.109			
14.000	0.000000	12.000000	0%
14.101	0.000000	4.000000	0%
14.102	0.000000	4.000000	0%
14.103			
14.104	0.000000	4.000000	0%
14.105			
15.000	0.000000	8.000000	0%
15.101	0.000000	4.000000	0%
15.102	0.000000	4.000000	0%
15.103			
16.000	0.000000	8.000000	0%
16.101	0.000000	4.000000	0%

Top 17 Scoring Detail

Category			Questions	Score	Weight	N/A	Points	Possible	Grade
			MANAGEMENT AND ACCOUNTABILITY						
16.102	B		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?	0	1.000000	1	0	4.000000	0%
16.103			Are employees who may be provided SSI materials per 49 CFR Part 15 or 1520) familiar with the documented policy for the proper handling of such materials?	0	1.000000	1	0	4.000000	0%
16.104			Have employees provided access to SSI material per 49 CFR Part 15 or 1520 received training on proper labeling, handling, dissemination, and storage (such as through the TSA on-line SSI training program)?	0	1.000000	1	0	4.000000	0%
			SECURITY PROGRAM AUDITS						
17.000			**Audit Program**				0.0000	56.0000	0%
17.101			Has the agency established a schedule for conducting its internal security audit process?	0	1.000000	1	0	4.000000	0%
17.102	B		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?	0	1.000000	1	0	4.000000	0%
17.103	B		Has the transit agency established checklists and procedures to govern the conduct of its internal security audit process?	0	1.000000	1	0	4.000000	0%
17.104	B		Is the transit agency complying with its internal security audit schedule?	0	1.000000	1	0	4.000000	0%
17.105	B		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?	0	1.000000	1	0	4.000000	0%
17.106			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?	0	1.000000	1	0	4.000000	0%
17.107			Does the transit agency's internal security audit process ensure that auditors are independent from those responsible for the activity being audited?	0	1.000000	1	0	4.000000	0%
17.108			Has the agency made its internal security audit schedule available to the SSO agency?	0	1.000000	1	0	4.000000	0%
17.109			Has the agency made checklists and procedures used in its internal security audits available to the SSO agency?	0	1.000000	1	0	4.000000	0%
17.110			Has the agency notified the SSO agency 30 days prior to the conduct of an internal security audit?	0	1.000000	1	0	4.000000	0%
17.111			Has a report documenting internal security audit process and the status of findings and corrective actions been made available to the SSO agency within the previous 12 months?	0	1.000000	1	0	4.000000	0%
17.112			Has the agency's chief executive certified to the SSO agency that the agency is in compliance with its SSP?	0	1.000000	1	0	4.000000	0%
17.113			Was that certification included with the most recent annual report submitted to the SSO agency?	0	1.000000	1	0	4.000000	0%
17.114			If the agency's chief executive was not able to certify to the SSO agency that the agency is in compliance with its SSP, was a corrective action plan developed and made available to the SSO?	0	1.000000	1	0	4.000000	0%

Baseline Security Scoring Detail

Line	Element 1		Grade
Grade:		**0.00%**	
16.102	0.000000	4.000000	0%
16.103			
16.104			
17.000	0.000000	16.000000	0%
17.101			
17.102	0.000000	4.000000	0%
17.103	0.000000	4.000000	0%
17.104	0.000000	4.000000	0%
17.105	0.000000	4.000000	0%
17.106			
17.107			
17.108			
17.109			
17.110			
17.111			
17.112			
17.113			
17.114			

DO NOT MODIFY OR ENTER ANY DATA (

DEPARTMENT OF HOMELAND S

Transportation Security Adminis

Mass Transit Agency Comprehensive SAI Co

Agency Name:

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SAI #	SECURITY ACTION ITEM (SAI) DESCRIPTION
1	Establish written Security Programs and Emergency Management Plans
2	Define roles and responsibilities for security and emergency management
3	Ensure that operations and maintenance supervisors, forepersons, and managers are held accountable for security issues under their control
4	Coordinate Security and Emergency Management Plan(s) with local and regional agencies
5	Establish and maintain a Security and Emergency Training Program
6	Establish plans and protocols to respond to the National Terrorism Advisory System (NTAS) alert system
7	Implement and reinforce a Public Security and Emergency Awareness program
8	Establish and use a risk management process
9	Establish and use an information sharing process for threat and intelligence information
10	Conduct Tabletop and Functional Drills
11	Developing a Comprehensive Cyber Security Strategy
12	Control access to security critical facilities with ID badges for all visitors, employees and contractors
13	Conduct physical security inspections
14	Conduct background investigations of employees and contractors
15	Control access to documents of security-critical systems and facilities
16	Ensure existence of a process for handling and access to Sensitive Security Information (SSI)
17	Conduct Security Program audits

Overall Implementation:

ON THIS SHEET!

SECURITY

stration

omparison	MTPR FY2021 V.2 (January 2021)
Lead Inspector:	0
Assessment Date:	1/4/2021

Previous BASE	Implementation	Improvement
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%	0%	0%
0.00%	0.00%	0.00%

State Safety Oversight Agency	*Require Security Plan*	*Require Internal Security Reviews*	*Require Reporting and/or Investigations of Security Hazards or Incidents*
Total	*22*	*21*	*12*
Arizona Department of Transportation	X	X	X
Arkansas Highway and Transportation Department			
California Public Utilities Commission	X	X	
Colorado Public Utilities Commission			
District of Columbia Fire and Emergency Medical Services	X	X	X
Florida Department of Transportation*	X	X	

Georgia Department of Transportation	X	X	X
Hawaii Department of Transportation	X	X	X
Illinois Department of Transportation	X	X	X
Louisiana Department of Transportation and Development			
Maryland Department of Transportation	X	X	
Massachusetts Public Utilities Commission			
Metrorail Safety Commission*			
Michigan Department of Transportation	X	X	

Minnesota Department of Public Safety	X	X	X
Missouri Department of Transportation and Bi-State Safety Oversight Program (MoDOT and IDOT)	X X	X X	
New Jersey Department of Transportation	X	X	X
New York State Department of Transportation*	X	X	X

North Carolina Department of Transportation	X	X	X
Ohio Department of Transportation	X		X
Oklahoma Department of Transportation			
Oregon Department of Transportation	X	X	X
Pennsylvania Department of Transportation	X	X	X
Puerto Rico Emergency Management Agency			
Tennessee Department of Transportation	X	X	
Texas Department of Transportation			

Utah Department of Transportation	X	X	
Virginia Department of Transportation	X	X	X
Washington Department of Transportation			
West Virginia Department of Transportation	X	X	
Wisconsin Department of Transportation	X	X	

Require Safety and Security Certification	*SSOA Conducts Triennial Security Audits*	*Notes*
23	*22*	***Green Rows = 674 certified SSOAs*** ***MoDOT & Bi-State counted as one SSO***
X	X	*Arizona Department of Transportation System Safety Program Standard for Rail Safety and Security Oversight* - Sections 3, 4, 5.6.1, 7, 10, 13, Appendix L, M, U, X, and Y
		Arkansas SSO Program Standard - NA
X	X	*CPUC Program Standard - Procedures Manual State Safety and Security Oversight of Rail Fixed Guideway Systems* – Sections RTSB 1, 3, 4, 5, and 9
		CoPUC 4 Code of Colorado Regulations CCR 723-7: Rules Regulating Railroads, Rail Fixed Guideways, Transportation by Rail, and Rail Crossings - Sections 7344, 7345, 7349, and 7350. Additionally, legislation *(Decision C-18-0111)* removes Security references, including removal of security plan oversight.
X	X	*DC FEMS State Safety and Security Oversight Program Standard and Procedures* – Sections 3, 4, 6, 7, and 10
X	X	*FDOT Fixed Guideway Transportation Systems State Safety and Security Oversight Program Standard* – Sections 4, 5, 9, 12, Appendix D

X	X	*Georgia Department of Transportation Program Standard for Rail Safety and Security Oversight* – Sections 3, 4, 5, 5.6.1, 7, 10, and 13, Appendix L, M, U, X, and Y.
X	X	*Hawaii Department of Transportation Rail Transit Safety Oversight Program Standards & Procedures* – Sections 3, 4, 5.6, 10, Appendix E, F, M, P, Q, and R
X	X	*IDOT System Safety Program Standard and Procedures for Overseeing Rail Fixed Guideway Systems in Illinois* – Sections 4, 6, 7, 8, and 10.
		Louisiana SSO Program Standard – NA
X	X	*Maryland Department of Transportation Rail Safety Oversight Program Standard* – Section 9.1 and Appendix F
		220 CMR 151.00 Department of Public Utilities Rail Fixed Guideway System: System Safety Program Standard – NA
X		*Washington Metrorail Safety Commission State Safety Oversight Draft Program Standard* – Sections 1, 3, and 4. Note, the MSC Program Standard does not include structured practices for security, however there are some references to security throughout the document in addition to Safety and Security Certification.
X	X	*MDOT System Safety Program Standard for State Safety Oversight of Rail Fixed Guideway Systems* - page 6 and Appendix I.

X	X	*Minnesota Rail Safety Oversight Program Procedures & Standards* – Sections Introduction, 1, 2, 3.3, 4, 5, 6, 7, and Appendix C
X X	X X	*MoDOT State Safety Security Oversight Program Standards Manual for Overseeing the Kansas City Streetcar and the Loop Trolley System* – Sections 2, 3, 6.2, and page 2. *Bi-State Safety Oversight Program Standards Manual for Oversight of Metrolink* - Sections 2, 3, 5.2, 7.5, and page 4.
X	X	*New Jersey Department of Transportation Rail Transit State Safety Oversight (SSO) Program Standard (SSOPS)* – Sections 1.3, 4.2.7, 6.4, 7.1, Appendix I, L, and N. Page 58 specifically references 49 CFR 1580.203 Reporting Significant Security Concerns.
X	X	*New York State Department of Transportation (NYSDOT Public Transportation Safety Board (PTSB) Rail Transit State Safety Oversight (SSO) Program Standard (SSOPS)* – Sections 4, 6, Appendix H, J, and page 43. Page 71 specifically references 49 CFR 1580.203 Reporting Significant Security Concerns. Additionally, internal security reviews are required in the SEPP as listed in Appendix H.

X	X	*State of North Carolina Department of Transportation State Safety Oversight Program Standards and Procedures* – Sections 4.6, 4.7, 5, 5.2.5, 5.2.6, 6.1, Appendix E, and G
X	X	*ODOT Rail Transit State Safety Oversight (SSO) Program Standard (SSOPS)* – Sections 2, 4, 6, Appendix I, K, and page 41. Page 66 specifically references 49 CFR 1580.203 Reporting Significant Security Concerns.
		Oklahoma Department of Transportation Rail Fixed Guideway Public Transportation System (RFGPTS) State Safety Oversight (SSO) Program Standard - NA
X	X	*Oregon State Safety Oversight Program Standard* – Sections 1, 2, 3, 5.1.2, 5.5, 5.5.3, 6.3, 11, Appendix G, H,
X	X	*Pennsylvania Rail Transit Safety Review Program Procedures & Standards* - Sections 1, 4, 5, 6, 7.1, 11, and Appendix E
		Government of Puerto Rico Emergency Management Agency State Safety Oversight Program, Program Standard - NA
X	X	*State of Tennessee Rail Fixed Guideway System Safety Oversight Program System Safety Program Standard* – Sections 2, 4, 5, and page 26.
		Texas Department of Transportation State Safety Oversight Program Standard - NA

X	X	*UDOT Rail Transit State Safety Oversight Program Procedures & Standards* – Sections 1.1, 1.4, 2.6, 4, 5.3, 10.4, 11, and Appendix C
X	X	*Commonwealth of Virginia Department of Rail and Public Transportation Safety and Security Program Standard (SSPS) and Procedures* – Sections 2, 4, 4.3, 4.6, 11, 13, Appendix E, F, I, and P
		Washington State Rail Safety Oversight Program Standard – page 2, "WSDOT will maintain its current oversight role for system security plans and programs until it gains FTA certification under 49 CFR Part 674."
X	X	*WVDOT State Safety Oversight Program Standard* – Sections 2, 4, Appendix F (could not locate this Appendix), and page 30.
X	X	*WisDOT Transit Safety Oversight for Rail Fixed Guideway Transportation Systems Program Standard* – Sections 1.2.2, 1.2.3, 1.3.1, 1.6.2, 1.7, 1.7.1, 2.3, 4, 4.3.1, 4.4, 7.1 and Appendix H, I, L.

Paperwork Reduction Act Burden Statement: This is a voluntary collection of information. TSA estimates that the total average burden per response associated with this collection is approximately 12.5 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 1652-0062, which expires on 05/31/2024. Send comments regarding this burden estimate or collection to TSA-11, Attention: PRA 1652-0062 BASE, 6595 Springfield Center Drive, Springfield, VA 20598-6011.

SENSITIVE SECURITY INFORMATION

DEPARTMENT OF HOMELAND SECURITY

Transportation Security Administration

Mass Transit Agency Targeted SAI Overview

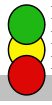
MTPR FY2021 V.2 (January 2021)

Agency Name:	**Lead Inspector:**	0
0	**Assessment Date:**	1/4/2021

SAI #	SECURITY ACTION ITEM (SAI) DESCRIPTION	Implementation
1	Establish written Security Programs and Emergency Management Plans	0%
2	Define roles and responsibilities for security and emergency management	0%
3	Ensure that operations and maintenance supervisors, forepersons, and managers are held accountable for security issues under their control	0%
4	Coordinate Security and Emergency Management Plan(s) with local and regional agencies	0%
5	Establish and maintain a Security and Emergency Training Program	0%
6	Establish plans and protocols to respond to the National Terrorism Advisory System (NTAS) alert system	0%
7	Implement and reinforce a Public Security and Emergency Awareness program	0%
8	Establish and use a risk management process	0%
9	Establish and use an information sharing process for threat and intelligence information	0%
10	Conduct Tabletop and Functional Drills	0%
11	Developing a Comprehensive Cyber Security Strategy	0%
12	Control access to security critical facilities with ID badges for all visitors, employees and contractors	0%
13	Conduct physical security inspections	0%
14	Conduct background investigations of employees and contractors	0%
15	Control access to documents of security-critical systems and facilities	0%
16	Ensure existence of a process for handling and access to Sensitive Security Information (SSI)	0%
17	Conduct Security Program audits	0%

Overall Implementation:	0.00%

Color Key:

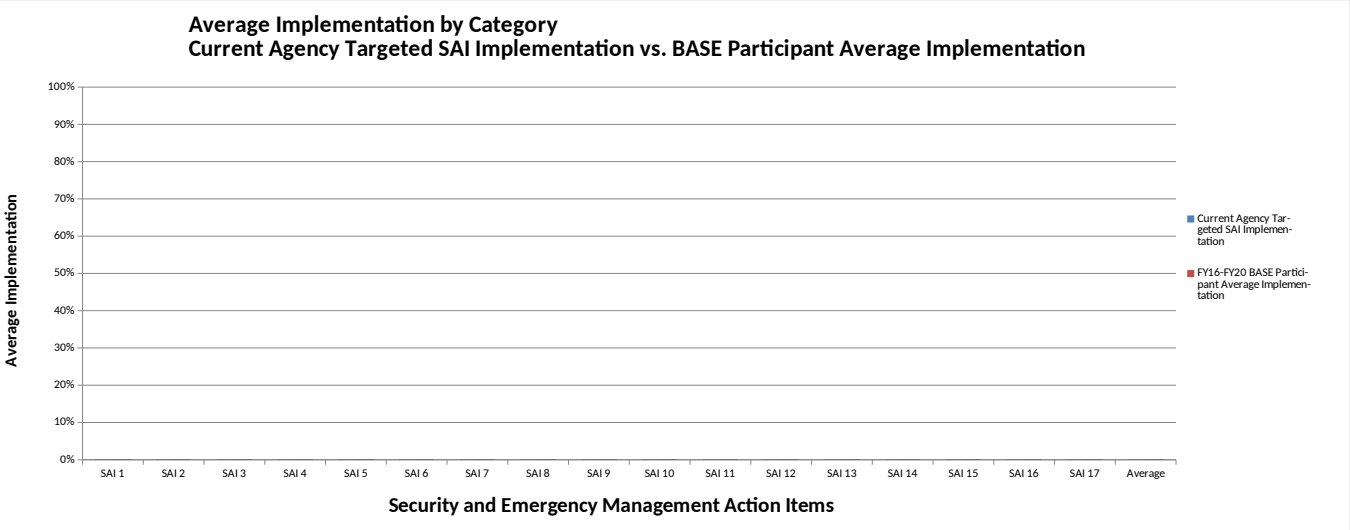


Requirements have been met.
Requirements are partially met and/or are in the process of being completed.
Does not meet requirements as described in reference materials.

This Agency Did Not Meet the Requirements of the Gold Standard Award.

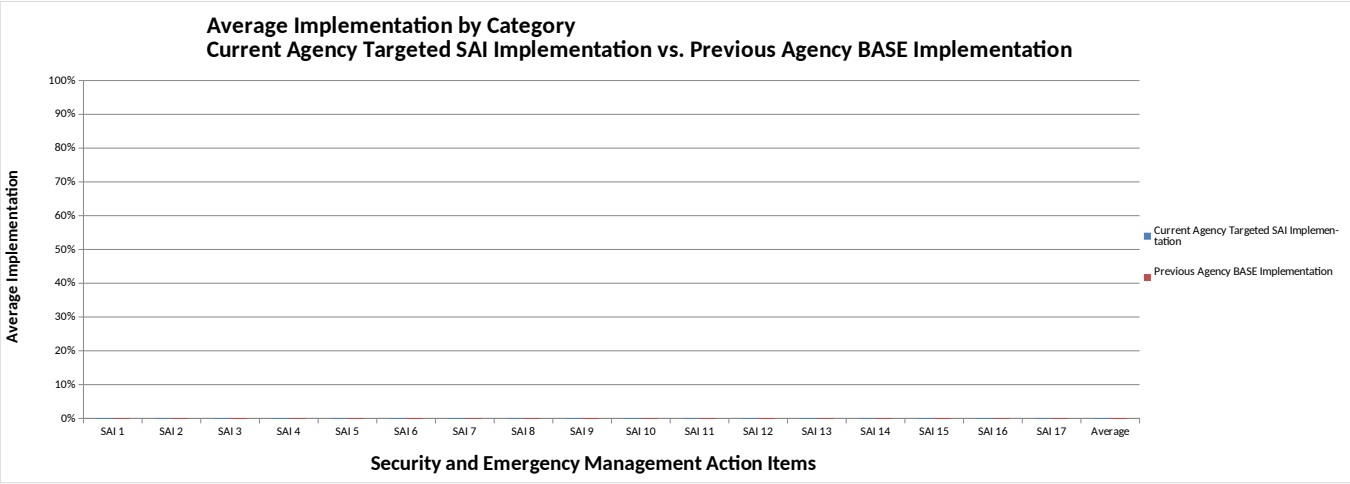
Current Agency (Targeted SAI) vs. BASE Participant Average

	SAI 1	SAI 2	SAI 3	SAI 4	SAI 5	SAI 6	SAI 7	SAI 8	SAI 9	SAI 10	SAI 11	SAI 12	SAI 13	SAI 14	SAI 15	SAI 16	SAI 17	Average
Current Agency Targeted SAI Implementation	0%	0%	0%	0%	0%	0%	0%	0%	0%	0%	0%	0%	0%	0%	0%	0%	0%	0%
BASE Participant Average Implementation	0%	0%	0%	0%	0%	0%	0%	0%	0%	0%	0%	0%	0%	0%	0%	0%	0%	0%
Difference	0%	0%	0%	0%	0%	0%	0%	0%	0%	0%	0%	0%	0%	0%	0%	0%	0%	0%



Current Agency BASE (Targeted SAI) vs. Previous BASE Comparison

	SAI 1	SAI 2	SAI 3	SAI 4	SAI 5	SAI 6	SAI 7	SAI 8	SAI 9	SAI 10	SAI 11	SAI 12	SAI 13	SAI 14	SAI 15	SAI 16	SAI 17	Average
Current Agency Targeted SAI Implementation	0%	0%	0%	0%	0%	0%	0%	0%	0%	0%	0%	0%	0%	0%	0%	0%	0%	0%
Previous Agency BASE Implementation	0%	0%	0%	0%	0%	0%	0%	0%	0%	0%	0%	0%	0%	0%	0%	0%	0%	0%
Difference	0%	0%	0%	0%	0%	0%	0%	0%	0%	0%	0%	0%	0%	0%	0%	0%	0%	0%



SENSITIVE SECURITY INFORMATION

DEPARTMENT OF HOMELAND SECURITY

Transportation Security Administration

Mass Transit Agency Targeted SAI Comparison

MTPR FY2021 V.2 (January 2021)

Agency Name:	**Lead Inspector:**	0
0	**Assessment Date:**	1/4/2021

SAI #	SECURITY ACTION ITEM (SAI) DESCRIPTION	Previous BASE	Targeted	Improvement
1	Establish written Security Programs and Emergency Management Plans	0%	0%	0%
2	Define roles and responsibilities for security and emergency management	0%	0%	0%
3	Ensure that operations and maintenance supervisors, forepersons, and managers are held accountable for security issues under their control	0%	0%	0%
4	Coordinate Security and Emergency Management Plan(s) with local and regional agencies	0%	0%	0%
5	Establish and maintain a Security and Emergency Training Program	0%	0%	0%
6	Establish plans and protocols to respond to the National Terrorism Advisory System (NTAS) alert system	0%	0%	0%
7	Implement and reinforce a Public Security and Emergency Awareness program	0%	0%	0%
8	Establish and use a risk management process	0%	0%	0%
9	Establish and use an information sharing process for threat and intelligence information	0%	0%	0%
10	Conduct Tabletop and Functional Drills	0%	0%	0%
11	Developing a Comprehensive Cyber Security Strategy	0%	0%	0%
12	Control access to security critical facilities with ID badges for all visitors, employees and contractors	0%	0%	0%
13	Conduct physical security inspections	0%	0%	0%
14	Conduct background investigations of employees and contractors	0%	0%	0%
15	Control access to documents of security-critical systems and facilities	0%	0%	0%
16	Ensure existence of a process for handling and access to Sensitive Security Information (SSI)	0%	0%	0%
17	Conduct Security Program audits	0%	0%	0%
	Overall Implementation:	0%	0%	0%