

Appendix F: DRPT SSO SEPP Checklist  
Last Revised: March 2022



Conformance Checklist for Review and Approval of Security and Emergency Preparedness Plan (SEPP)					
REVIEWER: _____					DATE: _____
#	CHECKLIST ITEM	PLAN REQUIREMENTS Does the SEPP contain or provide for the following:	INCLUDED Yes — No	PAGE REF.	COMMENTS
1.	Policy Statement	<ul style="list-style-type: none"> <li>Is a policy statement developed for the System Security and Emergency Preparedness Plan (SEPP)?</li> <li>Does the policy statement describe the authority that establishes the SEPP, including statutory requirements and the RTA's relationship with DRPT (SSO)?</li> <li>Is the policy statement signed and endorsed by the RTA's chief executive?</li> </ul>			
1.1	Purpose	<ul style="list-style-type: none"> <li>Does the SEPP identify the purpose of the security program?</li> <li>Does the SEPP introduce the concept of "system security?"</li> </ul>			
1.2	Goals and Objectives	<ul style="list-style-type: none"> <li>Are SEPP goals identified?</li> <li>Are SEPP objectives identified?</li> </ul>			
1.3	Scope	<ul style="list-style-type: none"> <li>Is the SEPP scope described in the plan?</li> </ul>			
1.4	Security and Law Enforcement	<ul style="list-style-type: none"> <li>Are the security and law enforcement functions that manage and support implementation of the SEPP described?</li> </ul>			
1.5	Management Authority and Legal Aspects	<ul style="list-style-type: none"> <li>Is the authority that oversees the operation and management of the RTA, including its security/police function described?</li> </ul>			
1.6	Government Involvement	<ul style="list-style-type: none"> <li>Are the SEPP interfaces with local, state, and federal authorities to ensure security and emergency preparedness for the system described?</li> </ul>			
1.7	Security Acronyms and Definitions	<ul style="list-style-type: none"> <li>Is a list of acronyms and definitions used in the SEPP provided?</li> </ul>			
2.1	Background and	<ul style="list-style-type: none"> <li>Is a description of the RTA, including general overview, a</li> </ul>			

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	History	brief history, and scope of rail transit services provided?			
2.2	Organizational Structure	<ul style="list-style-type: none"> <li>Do organizational charts show the lines of authority and responsibility as they relate to security and emergency preparedness?</li> </ul>			
2.3	Human Resources	<ul style="list-style-type: none"> <li>Is a categorization and breakdown of all employees and contractors who work for/on the rail transit agency provided?</li> </ul>			
2.4	Passengers	<ul style="list-style-type: none"> <li>Is a description of the RTA's ridership provided?</li> </ul>			
2.5	Services and Operations	<ul style="list-style-type: none"> <li>Is a description of the RTA's operations and services provided?</li> </ul>			
2.6	Operating Environment	<ul style="list-style-type: none"> <li>Is a description of the RTA's operating environment provided?</li> </ul>			
2.7	Integration with other Plans	<ul style="list-style-type: none"> <li>Does the SEPP describe how it integrates with other plans and programs maintained by the RTA?</li> </ul>			
2.8	Current Security Conditions	<ul style="list-style-type: none"> <li>Is a description of the current security conditions at the RTA provided?</li> <li>Are descriptions of the types of security incidents experienced by the RTA and their frequency of occurrence provided?</li> </ul>			
2.9	Capabilities and Practices	<ul style="list-style-type: none"> <li>Is a summary description of methods and procedures, devices, and systems utilized to prevent or minimize security breaches, including passenger education campaigns; delay, detection, and assessment devices; and others that may be applicable provided?</li> </ul>			
3.1	Responsibility for	<ul style="list-style-type: none"> <li>Are the person(s) responsible for establishing a transit</li> </ul>			

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

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

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