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FTA

Top 20 Security Program Action Items for Transit Agencies

Top 20 Self-Assessment Checklist

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FTA Top 20 Security Program Action Items for Transit Agencies:

Self-Assessment Checklist

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Management and Accountability

1. Written security program and emergency management plans are established.

Baseline Practices:

- q Does a System Security Plan exist?
- q Does an Emergency Management Plan exist?
- q Do standard and emergency operations procedures (SOPs/EOPs) for each mode operated, including operations control centers, exist?

Exemplary Practices:

- q Do Continuity of Operations Plans exist?
- q Does a Business Recovery Plan (administration, computer systems, operations, etc.) exist?

2. The security and emergency management plans are updated to reflect anti-terrorist measures and any current threat conditions.

Baseline Practices:

- q What is the date of the latest update?
- q Are security plans reviewed at least annually?
- q Are reviews and changes to the plans documented?
- q Does the plan now include weapons of mass destruction protocols?

3. The security and emergency management plans are an integrated system security program, including regional coordination with other agencies, security design criteria in procurements and organizational charts for incident command and management systems.

Baseline Practices:

- Are emergency management plans integrated with the regional emergency management authority plans?
- Do management & staff participate in planning and conducting emergency security activities (e.g., drills, committees, etc.)?
- Does management coordinate with the FTA regional office?
- Are mutual aid agreements with other regional public agencies (e.g., local government, fire, police, other transit agencies, etc.) approved and signed?
- Does an inter-departmental program review committee exist and address security issues?

Exemplary Practice:

- Is security design criteria/CPTED included in system security program plan?*

4. The security and emergency management plans are signed, endorsed and approved by top management.

Baseline Practices:

- Is there a policy statement emphasizing the importance of the security plan?
- Is the security plan approved and signed by the top official?

5. The security and emergency management programs are assigned to a senior level manager.

Baseline Practices:

- What are the name and title of the security program manager?
- Is there a current organizational chart identifying the reporting structure for the security program manager?

6. Security responsibilities are defined and delegated from management through to the front line employees.

Baseline Practices:

- Are security plans distributed to appropriate departments in the organization?
- Do regular senior and middle management security coordinating meetings occur?
- Do informational briefings occur whenever security protocols are substantially updated?
- Are lines of delegated authority/succession of security responsibilities established and known?

7. All operations and maintenance supervisors, forepersons, and managers are held accountable for security issues under their control.

Baseline Practices:

- Are regular supervisor and foreperson security review & coordinating briefings held?
- Does a security breach reporting system exist and are reports addressed through the security program review committee?
- Is facility security (e.g., perimeter/access control) supervision compliance monitored on a regular basis?

Security Problem Identification

8. A threat and vulnerability assessment resolution process is established and used.

Baseline Practices:

- Does a threat and vulnerability process exist and is it documented?

- q Is a threat and vulnerability assessment conducted whenever a new asset/facility is added to the system?
- q Have management & staff responsible for managing the threat and vulnerability assessment process received adequate training?
- q Is the threat and vulnerability process used to prioritize security investments?

9. Security sensitive intelligence information sharing is improved by joining the FBI Joint Terrorism Task Force (JTTF) or other regional anti-terrorism task force; the Surface Transportation Intelligence Sharing & Analysis Center (ISAC); and security information is reported through the National Transit Database (NTD).

Baseline Practices:

- q Does the transit agency participate in its region's JTTF or coordinate with key police and intelligence agencies?
- q Has the transit agency joined the ST-ISAC?
- q Does the transit agency provide security information to the National Transit Database?

Employee Selection

10. Background investigations are conducted on all new front-line operations and maintenance employees (i.e., criminal history and motor vehicle records).

Baseline Practices:

- q Are background checks conducted consistent with state and local laws?
- q Is the background investigation process documented?

11. Criteria for background investigations are established.

Baseline Practice:

- q Are the criteria for background checks by employee type (operator, maintenance, safety/security sensitive, contractor, etc.) documented?

Training

12. Security orientation or awareness materials are provided to all front-line employees.

Baseline Practices:

- q Are security orientation and awareness training materials updated to include counter-terrorism/WMD information?
- q Is there a system in place to track who received what training when?

Exemplary Practice:

- q *Are security awareness pocket guides distributed to all front-line employees?*

13. Ongoing training programs on safety, security and emergency procedures by work area are provided.

Baseline Practices:

- q Are training programs, materials and informational briefings tailored to specific work groups' activities?
- q Are training program campaigns held whenever there are substantial updates to security and emergency management plans?

14. Public awareness materials are developed and distributed on a system wide basis.

Baseline Practice:

- q Are security awareness print materials prominently displayed throughout the system (e.g., channel cards, posters, fliers, etc.)?
- q Is the transit agency participating in the industry's Transit Watch program?

Audits and Drills

15. Periodic audits of security policies and procedures are conducted.

Baseline Practices:

- q Are audits conducted periodically?
- q Is there a disposition process for handling the findings and recommendations from the audits?

16. Tabletop and functional drills are conducted at least once every six months and full-scale exercises, coordinated with regional emergency response providers, are performed at least annually.

Baseline Practices:

- q Are tabletop exercises conducted at least every six months?
- q Does the agency participate in full-scale, regional field drills, held at least annually?
- q Are tabletop and drill de-briefings conducted?
- q Are after-action reports produced and reviewed for all tabletop exercises and field drills?
- q Are plans, protocols and processes updated to reflect after-action report recommendations/findings?

Document Control

17. Access to documents of security critical systems and facilities are controlled.

Baseline Practice:

- q Have security critical systems, such as tunnel HVAC systems and intrusion alarm detection systems, been identified and documented?

Exemplary Practices:

- q *Is access to security critical systems' documents controlled?*
- q *Is there an identified department/person responsible for administering the policy?*
- q *Do regular security committee meetings/briefings include reviewing document control compliance issues?*

18. Access to security sensitive documents is controlled.

Baseline Practice:

- q Have security sensitive information (SSI) documents, such as security plans and protocols, been identified?

Exemplary Practices:

- q *Is there a documented policy for designating and properly handling SSI documents?*
- q *Do regular security committee meetings/briefings include reviews of SSI related matters?*

Access Control

19. Background investigations are conducted of contractors or others who require access to security critical facilities, and ID badges are used for all visitors, employees and contractors to control access to key critical facilities.

Baseline Practices:

- q Have security critical facilities been identified?
- q Is the contractor background investigation process documented?
- q Is the quality control of the process monitored on a regular basis?
- q Are the criteria for contractor background checks documented?
- q Are ID badges used for employee access control? (both policy and actual practice)
- q Are ID badges used for visitors and contractors? (both policy and actual practice)
- q Have security critical facilities been identified?
- q Are there documented policies for restricting access to security critical facilities?

Homeland Security

20. Protocols have been established to respond to the Office of Homeland Security Threat Advisory Levels.

Baseline Practices:

- q HSAS threat advisory levels process integrated into security plans and standard/emergency operating procedures
- q Are specific protective measures defined and developed?

Notes:

(1) This checklist covers all modes directly operated by the transit agency (e.g., bus, light rail, heavy rail, etc.), and under contract operation (e.g., paratransit, fixed route bus, vanpools, etc.).

(2) Baseline Practices are considered the minimum requirements needed to meet the overall security action item; Exemplary practices are additional/supplemental activities associated with exceeding the minimum requirements and are candidates for industry best practices.

(3) Additional informational resources/references are available at "FTA Top 20 Security Program Action

Items for Transit Agencies" website:

<http://transit-safety.volpe.dot.gov/security/SecurityInitiatives/Top20>

(4) Questions? Please contact Rick Gerhart, FTA Office of Safety and Security at (202) 366-8970 or

Richard.Gerhart@fta.dot.gov Security Program Action Items for Transit Agencies

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