

PUBLIC UTILITIES COMMISSION OF THE STATE OF CALIFORNIA

Rail Safety and Carriers Division  
Rail Engineering Safety Branch  
Rail Transit Safety Section

RESOLUTION ST-33  
Date December 3, 1997

R E S O L U T I O N

RESOLUTION ST-33. GRANTING APPROVAL OF THE SANTA CLARA VALLEY TRANSPORTATION AUTHORITY'S SECURITY PORTION OF THE SYSTEM SAFETY PROGRAM PLAN

SUMMARY

This resolution grants the request of the Santa Clara Valley Transportation Authority (VTA) for approval of the security portion of its System Safety Program Plan (SSPP).

BACKGROUND

The Intermodal Surface Transportation Efficiency Act of 1991 directed the Federal Transit Administration (FTA) to issue a rule requiring the States to oversee the safety and security of rail fixed guideway systems not regulated by the Federal Railroad Administration. That rule (the FTA's rule), 49 CFR Part 659, became effective on January 26, 1996. The FTA's rule requires, in part, that each rail transit agency prepare a SSPP. The FTA's rule further requires the designated State oversight agency to approve, in writing, each rail transit agency's SSPP, except for the security portion, by January 1, 1997. The Commission fulfilled this requirement by approving each rail transit agency's SSPP in December, 1996. The FTA's rule allows each rail transit agency an additional year to prepare the security portion of its SSPP. The State oversight agency is required to approve each rail transit agency's security portion of its SSPP prior to January 1, 1998.

Governor Wilson designated the Commission as the State oversight agency by letter dated October 13, 1992. The Commission then responded to the FTA's rule by adopting General Order No. 164. General Order No. 164 (now General Order No. 164-A) was revised on September 3, 1997, to add the requirements that each rail transit agency must follow in order to obtain the Commission's approval for the security portion of its SSPP.

DISCUSSION

By letter dated November 13, 1997, VTA submitted the security portion of its SSPP for review by staff of the Rail Transit Safety Section (Staff) and approval by the Commission. The VTA submittal has been reviewed by Staff in accordance with a 6-point checklist. Staff's review found that VTA's submittal is in compliance with General Order No 164-A and the FTA's rule. The completed checklist showing the details of Staff's review is attached as Appendix A. Based upon the results of this review, Staff recommends that the Commission grant approval of VTA's security portion of its SSPP.

PROTESTS

No protests or objections have been received.

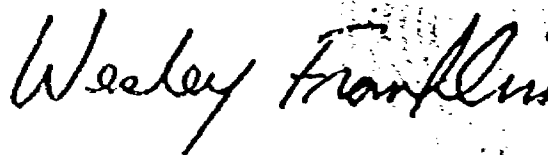
FINDINGS

1. By letter dated November 13, 1997, VTA has requested the Commission's approval for the security portion of its SSPP.
2. Staff has reviewed the security portion of VTA's SSPP and determined that it meets the requirements of General Order No. 164-A and the FTA's rule.
3. Staff recommends that the request of VTA for approval of the security portion of its SSPP be granted by the Commission.

THEREFORE, IT IS ORDERED that:

VTA's request for approval of the security portion of its System Safety Program Plan is granted.

I hereby certify that this Resolution was adopted by the Public Utilities Commission at its regular meeting on December 3, 1997. The following Commissioners approved it:



WESLEY M. FRANKLIN  
Executive Director

P. Gregory Conlon  
President  
Jessie J. Knight, Jr.  
Henry M. Duque  
Josiah L. Neeper  
Richard A. Bilas  
Commissioners

**SUMMARY CHECKLIST  
FOR REVIEWING THE SECURITY PORTION OF  
SYSTEM SAFETY PROGRAM PLANS**

TRANSIT AGENCY: <u>SANTA CLARA VALLEY TRANSPORTATION</u> AUTHORITY		A C C E P T A B L E	U N A C C E P T A B L E
PLAN TITLE: <u>LIGHT RAIL SAFETY PROGRAM PLAN - SECURITY PORTION</u>			
REV. NO. _____	DATE: <u>NOVEMBER 1997</u>		
ITEM			
1	Introduction to System Security	X	
2	Transit System Description	X	
3	Management and Modification of the System Security Portion of the Plan	X	
4	System Security Roles and Responsibilities	X	
5	Threat and Vulnerability Identification, Assessment and Resolution	X	
6	Implementation and Evaluation of the System Security Portion of the Plan	X	

The Security Portion of the System Safety Program Plan is:

Acceptable

Unacceptable, Revise and Resubmit

Reviewed by: LEN HARDY *Len Hardy* Date: Nov. 13, 1997

Approved by: ALEX E. LUTKUS *Alex E. Lutkus* Date: Nov. 13, 1997

## CHECKLIST FOR REVIEWING OF SYSTEM SECURITY PROGRAM PLANS

Transit Agency: SANTA CLARA VALLEY TRANSPORTATION AUTHORITY

Reviewer:

LEN HARDY

Date:

Nov. 13, 1997

No.	CHECKLIST ITEM	SYSTEM SECURITY REQUIREMENTS Does the plan contain or provide for:	INCLUDED		PAGE REF.	COMMENTS
			Y	N		
1	Introduction to System Security	a. A statement emphasizing the importance of security in all aspects of the transit agency's operations? b. An explanation of the purpose of the security program? c. A description of the goals and objectives of the security program? d. A scope description that defines the role of the security program, identifies who is in charge, how many people are involved, what their functions are, and their positions/reporting relationships within the transit system organization? e. A discussion of how the transit agency's person in charge of security interacts with the transit agency's own security forces (if any), local municipal police departments and other law enforcement agencies? f. Recognition of the CPUC staff's authority and responsibility for overseeing implementation of the security program by reviewing records, witnessing inspections and tests, inspecting facilities, participating in training sessions, observing work practices and auditing total program implementation?	X			Sec. 1.1
			X			Sec. 1.2
			X			Sec. 1.3
			X			Sec. 1.4
			X			Sec. 1.5
			X			Sec. 1.6

2	Transit System Description	<p>a. An organization chart showing the relationship between system security, system safety and the other transit agency departments?</p> <p>b. A description or tabulation of the major facilities that are included in the security program along with a description of the security devices and procedures that are used to protect those facilities?</p> <p>c. A description of current conditions in terms of crime rates and security breaches by location?</p> <p>d. A summary of what is currently being done to maximize the security of passengers and employees in terms of both proactive programs and emergency response measures?</p>	X			Sec. 2.3
3	Management and Modification of the System Security Portion of the Plan	<p>a. Requirements for conducting periodic reviews or audits to determine compliance with the security portion of the system safety program plan?</p> <p>b. Identification of who is responsible for preparation and maintenance of the security portion of the system safety program plan; including periodic reviews and updates?</p> <p>c. Configuration controls to ensure modifications are properly evaluated by management before adoption, made in writing, and distributed to all with a need to know through compliance with a formal configuration change control procedures?</p>	X			Sec. 3.2
4	System Security Roles and Responsibilities	<p>a. The identification by title and description of each of the implementing procedures that are included in the security portion of the system safety program plan; including the procedures for security program planning, proactive measures, emergency response measures, and training?</p> <p>b. The identification of specific departments and persons in charge of the preparation, modification and implementation of each of the procedures identified in (a.) above.</p> <p>c. A description of the required training and certification programs for employees whose job duties include, in whole or in part, a system security role?</p>	X			Sec. 4.1, 4.2, 4.3, 5.1
			X			Sec. 3.3, 4.2
			X			Sec. 4.3, 5.1A

5	Threat and Vulnerability Identification, Assessment, and Resolution	a. A description of the methods used to identify threats and vulnerabilities of the transit system?	X			Sec. 5.1		
		b. Requirements for conducting security assessments of system extensions and modifications to make sure that security is given full consideration during the design phase?	X			Sec. 5.2		
		c. A program of security equipment testing and facility inspections to assess the vulnerability of the transit system to security threats?	X			Sec. 5.2		
		d. A description of the security data that is collected and how it is collected and distributed to persons with a need to know?	X			Sec. 3.5, 5.1.2, 5.2.2		
		e. A description of how and by whom security information is analyzed to identify trends of recurring security incidents and to assess the probability and severity of threats and system vulnerability?	X			Sec. 3.5, 5.1.2, 5.2.3		
		f. A description of the security reports that are routinely prepared and how and to whom they are distributed?	X			Sec. 5.1.3		
		g. The resolution of identified threats and vulnerabilities by elimination, mitigation and acceptance?	X			Sec. 3.5, 5.1.2, 5.1.3, 5.3		
		6	Implementation and Evaluation of the System Security Portion of the Plan	a. Regular progress reviews on a periodic scheduled basis by top management to assure that the security program stays current with changing conditions?	X			Sec. 6.1, 6.2 and 6.3