

PUBLIC UTILITIES COMMISSION OF THE STATE OF CALIFORNIA

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

Resolution ST-39
Date: September 17, 1998

RESOLUTION

**RESOLUTION ST-39. GRANTING APPROVAL OF THE LOS ANGELES
COUNTY METROPOLITAN TRANSPORTATION AUTHORITY'S
SECURITY PORTION OF THE SYSTEM SAFETY PROGRAM PLAN**

Summary

This resolution grants the request of the Los Angeles County Metropolitan Transportation Authority (LACMTA) 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, 49 CFR Part 659 (FTA's rule), 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.

By letter dated November 13, 1997 the Los Angeles County Metropolitan Transportation Authority (LACMTA) requested an extension of time until April 15, 1998 to submit the security portion of its System Safety Program Plan (SSPP). The reason for the requested time extension was that the LACMTA was restructuring their

entire security program which involved merging the LACMTA Transit Police Department into the Los Angeles Police Department (LAPD) and the Los Angeles County Sheriff's Department (Sheriff's Department). This time extension was granted by Resolution ST-31.

Discussion

LACMTA submitted the security portion of its SSPP on April 15, 1998. This submittal was reviewed by staff and found to be lacking in certain areas. LACMTA reworked the security portion of its SSPP and resubmitted it to the Commission by letter dated July 22, 1998. The reworked submittal has been reviewed by staff in accordance with a 6-point checklist and found to be 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 LACMTA's security portion of its SSPP.

Protests

No protests or objections have been received.

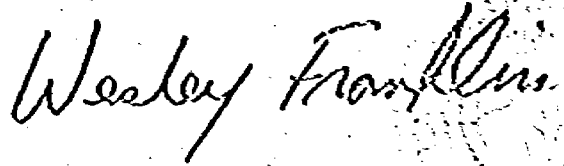
Findings

1. By letter dated July 22, 1998, LACMTA has requested the Commission's approval for the security portion of its SSPP.
2. Staff has reviewed the security portion of LACMTA'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 LACMTA for approval of the security portion of its SSPP be granted by the Commission.

THEREFORE, IT IS ORDERED that:

LACMTA'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 of the State at its regular meeting in California held on September 17, 1998. The following Commissioners voting favorably thereon:



Wesley Franklin

WESLEY M. FRANKLIN
Executive Director

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

APPENDIX A

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

TRANSIT AGENCY: LOS ANGELES COUNTY
METROPOLITAN TRANSPORTATION AUTHORITY

PLAN TITLE: SYSTEM SECURITY PROGRAM PLAN

REV NO: _____ DATE: July 1998

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ITEM

ITEM		A C C E P T A B L E	U N A C C E P T A B L E
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 & 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: Audrey Ong *Audrey Ong* Date: August 3, 1998

Approved by: Len Hardy *Len Hardy* Date: August 14, 1998

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

Transit Agency: LOS ANGELES COUNTY METROPOLITAN TRANSPORTATION AUTHORITY

Reviewer: Audrey Ong

Date: AUGUST 3, 1998

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?	X		5	Sect. II Foreword
		b. An explanation of the purpose of the security program?	X		6	Sect. III Executive Summary
		c. A description of the goals and objectives of the security program?	X		5, 15	Sect. VII C
		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?	X		15, 17-19	Sect. VII D-L
		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?	X		20, 67	Sect. VII E-1c & M Director of Security's Management Integration Program
		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		70	Sect. VII N California Public Utilities Commission Authority

Transit Agency: LOS ANGELES COUNTY METROPOLITAN TRANSPORTATION AUTHORITY

No.	CHECKLIST ITEM	SYSTEM SECURITY REQUIREMENTS Does the plan contain or provide for:	INCLUDED		PAGE REF	COMMENTS
			Y	N		
2	Transit System Description	a. An organization chart showing the relationship between system security, system safety and the other transit agency departments?	X		72	
		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?	X		74	Sect. VIII A & Appx
		c. A description of current conditions in terms of crime rates and security breaches by location?	X		74	Sect. VIII A & Appx
		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?	X		76	Sect. VIII C
3	Management and Modification of the System Security Portion of the Plan	a. Requirements for conducting periodic reviews or audits to determine compliance with the security portion of the system safety program plan?	X		76	Sect. VIII D
		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?	X		77	Sect. VIII E
		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 formal configuration change control procedures?	X		77	Sect. VIII F
4	System Security Roles and Responsibilities	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?	X		78-80	Sect. IX A-E

Transit Agency: LOS ANGELES COUNTY METROPOLITAN TRANSPORTATION AUTHORITY

No.	CHECKLIST ITEM	SYSTEM SECURITY REQUIREMENTS Does the plan contain or provide for:	INCLUDED		PAGE REF	COMMENTS
			Y	N		
		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?	X		78	Sect. IX F
		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?	X		80	Sect. IX G
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		83-84	Sect. X B
		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		85-86	Sect. X D
		c. A program of security equipment testing and facility inspections to assess the vulnerability of the transit system to security threats?	X		88	Sect. X E-1
		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		88	Sect. X E-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		88	Sect. X E-3
		f. A description of the security reports that are routinely prepared and how and to whom they are distributed?	X		88-89	Sect. X E-4
		g. The resolution of identified threats and vulnerabilities by elimination, mitigation or acceptance?	X		87, 89-90	Sect. X D-7, D-8 & E-5
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		90	Sect. XI A