
2017

TRIENNIAL SECURITY REVIEW OF SACRAMENTO REGIONAL TRANSIT DISTRICT

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Final Report

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2017 TRIENNIAL ON-SITE SYSTEM SECURITY REVIEW OF SACRAMENTO REGIONAL TRANSIT DISTRICT

ACKNOWLEDGEMENT

The California Public Utilities Commission's Rail Transit Safety Branch (RTSB) conducted this system security program review. Staff members directly responsible for conducting security review and inspection activities include:

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EXECUTIVE SUMMARY

The California Public Utilities Commission's (Commission or CPUC) Safety and Enforcement Division (SED), Rail Transit Safety Branch Staff (Staff), conducted an on-site system security program review of Sacramento Regional Transit District (SRTD) on October 23, 2017. The review focused on verifying the effective implementation of the System Security Plan (SSP), addressing Threat & Vulnerability Assessments (TVA) and emergency response.

An opening conference on October 9, 2017 with SRTD preceded the on-site review. The 2017 SRTD on-site security review commenced on October 23, 2017, focusing on verifying the effective implementation of the Security and Emergency Preparedness Program Plan (SEPP). Staff held a post-review conference with SRTD on October 23, 2017, providing SRTD personnel a summary of the preliminary review findings.

Staff identified no findings during the review. Staff made no recommendations for corrective action following the Triennial Security Review.

The report Introduction is presented in Section 2. The Background, in Section 3, contains a discussion on the scope of the triennial security audit and a description of the SRTD rail system. Section 4 provides a description of the 2017 security review procedures. The review's findings and recommendations are listed in Section 5. A listing of the Acronyms is in Appendix A. The SRTD 2017 Triennial Security Review Checklist Index and the Recommendations List are included in Appendices B and C, respectively. The Triennial Security Review Checklists are presented in Appendix D.

This report reflects Staff's triennial security review. The SRTD on-site triennial safety review report will be contained in a separate Report and brought before the Commission for approval in a separate Resolution.

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INTRODUCTION

The Commission's General Order (GO) 164-E¹, Section 4, *Requirements for System Security Plans* and the Federal Transit Administration's (FTA's) Rule, Title 49 Code of Federal Regulations (CFR) Parts 659.21-659.29, *Rail Fixed Guideway Systems: State Safety Oversight*, require the designated State Safety Oversight Agencies to perform a review of each rail transit agency's system safety and security programs at a minimum of once every three years. The triennial review verifies compliance and evaluates the effectiveness of each rail transit agency's System Security Plan (SSP) and Security and Emergency Preparedness Program Plan (SEPP), to assess the level of compliance with GO 164-E as well as other Commission safety and security requirements. The previous on-site security review of SRTD occurred on June 2, 2014.

Staff advised the SRTD General Manager/Chief Executive Officer (CEO) by a letter dated September 5, 2017, of the scheduling of the Commission's security review to begin on October 23, 2017. The letter included five checklists that served as the basis for the security review. These checklists included reviews of: SEPP Plan Administration, Internal Security Audit Program, Threat and Vulnerability Assessments, Security and Emergency Response Drills and Training, and Security Interaction with the Public.

Staff held an opening conference on October 9, 2017, with the SRTD General Manager/CEO and the SRTD Executive Management Team.

Staff conducted the on-site security inspections and corresponding records review on October 23, 2017. Staff developed five (5) checklists for the inspection of the System Security Plan. Staff derived the checklist review questions from CPUC's GO 164-D, FTA's 49 CFR659, Transportation Security Administration's (TSA) Baseline Security Review, and SRTD's SSP. At the conclusion of each review activity, Staff provided SRTD personnel a verbal summary of the preliminary findings and discussed preliminary recommendations for corrective actions, if any.

On January 31, 2018, Staff conducted a post-review exit meeting with SRTD's GM/CEO and department managers. Staff notified the attendees there were no recommendations for non-compliant findings based on the five triennial security checklists.

¹ GO 164-D was in effect at the time of the October 23, 2017, Triennial Security Review visit at SRTD. It has since been updated by GO 164-E. There is no significant difference between GO 164-D and GO 164-E with respect to the requirements regarding Triennial System Security Reviews for Rail Transit Agencies.

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BACKGROUND

Scope of Security Review

The security review was conducted in accordance both with guidance and training from the Federal Transit Administration (FTA) and with Title 49 Code of Federal Regulations, Part 659. 49 CFR 659.23 defines the requirements for a System Security Plan (SSP) for rail transit agencies.

§ 659.23 System security plan: contents.

The system security plan must, at a minimum address the following:

- (a) Identify the policies, goals, and objectives for the security program endorsed by the agency's chief executive.
- (b) Document the rail transit agency's process for managing threats and vulnerabilities during operations, and for major projects, extensions, new vehicles and equipment, including integration with the safety certification process;
- (c) Identify controls in place that address the personal security of passengers and employees;
- (d) Document the rail transit agency's process for conducting internal security reviews to evaluate compliance and measure the effectiveness of the system security plan; and
- (e) Document the rail transit agency's process for making its system security plan and accompanying procedures available to the oversight agency for review and approval.

49 CFR 659.23 provides the basis for the five security checklists that guided Staff's review of the SRTD security program. Staff evaluated SRTD security plans and procedures to determine whether SRTD defined necessary security activities, established responsibilities and accountability, set priorities, provided employee training, developed information distribution and controls, and developed monitoring and feedback loops to determine effectiveness of the security plans and procedures.

For the purpose of the security reviews, "security" means the general areas identified in the FTA requirements of 49 CFR 659.23. Staff inquiries during the review examine

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whether the processes and procedures SRTD adopted are in accordance with 49 CFR 659.23, and implemented in accordance with the SRTD SSP. Staff does not evaluate SRTD's response to specific crimes or events, except during evaluations to assure processes and procedures in place are implemented as intended. Specific crimes and criminal behavior that may occur on trains and stations is outside of scope of the review and handled by the local Police Department within that jurisdiction.

Each Staff member involved in the security review received training from FTA and have taken and successfully passed the Transit System Security training course, which lays out the requirements for security plans and instructs participants in the typical methods of compliance and industry best practices.

Moreover, all Staff in the Rail Transit Safety Branch take the Rail System Security course as part of their overall training. This allows for Staff members to identify security concerns in the field, conduct oversight activities, and inspect transit agency facilities and operations at all times—not just during the triennial security review period. When security issues arise in the field, Staff identify and discuss concerns with the transit agency to initiate remedial action.

SRTD Rail System

An 11-member Board of Directors govern the Sacramento Regional Transit District (SRTD), comprised of members of the Sacramento, Rancho Cordova, Citrus Heights, Elk Grove, and Folsom City Councils, as well as the Sacramento County Board of Supervisors.

SRTD currently operates approximately 43 miles of track, covering a 422 square-mile service area with 54 stations. Light rail trains currently operate from 3:53 AM to 12:59 AM daily with service every 15 minutes during the day and every 30 minutes in the evening, on weekends and holidays. Weekday ridership averages 44,000 passengers.

SRTD began operations in 1973 with the acquisition of the Sacramento Transit Authority. Over the next decade, SRTD continued to expand its bus service while city, county and state government officials worked together to develop a light rail system. In 1987, the 18.3 mile light rail system opened linking the northeast (Interstate 80) and Folsom (Highway 50) corridors with downtown Sacramento. In 1998, SRTD began expanding the light rail system in order to meet the transportation needs of the

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Sacramento area. Since then, SRTD completed a number of light rail expansion projects, including:

- 1998 - 2.3 mile Mather Field extension and Brighton Bridge double track project
- 2003 - Bee Bridge double track project
- 2003 - 6.3 mile South Line Phase I extension
- 2004 - 2.8 mile extension from Mather to Sunrise
- 2005 - 2.4 mile extension from Sunrise to Folsom
- 2006 - 0.55 mile extension to Amtrak
- 2009 - Watt Avenue Grade Separation
- 2012 – Green Line Extension from H to T9 Station/Richards Boulevard
- 2016 – 4.3 mile extension of the South Line Project ending at Cosumnes River College

In late 2005, SRTD changed its light rail system's names from the North Line, Folsom Line and South Line to the Gold Line and the Blue Line. The Gold Line runs from the Historic Folsom Station in downtown Folsom to the Sacramento Valley Station at the Amtrak Station in downtown Sacramento. The Blue Line runs from the Watt/I-80 Station in the northeast corridor to the Meadowview Station in the south.

In 2012, SRTD completed the Green Line, a one-mile extension from downtown Sacramento to Richards Boulevard. This line includes two stations, running 30-minute service from the Township 9 Station to the existing 13th Street Station. The Green Line to the Airport project is a future extension extending the system from the Richards Boulevard/Township 9 Station to the Sacramento International Airport.

The South Sacramento Corridor Phase II is an extension from the Meadowview Station to Cosumnes River College, a 4.3-mile extension that opened and was placed in service on August 24, 2015.

In 2003, SRTD purchased 21 light rail vehicles from the Santa Clara Valley Transportation Authority. SRTD initiated a project to renovate these cars so they may operate on the SRTD light rail system.

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SRTD 2014 Triennial Review Recommendations Status

Staff performed the previous triennial on-site security review in 2014. During that review, Staff identified no Findings or Recommendations. CPUC Resolution ST-168, adopted December 1, 2016, granted Commission approval of Staff’s final 2014 SRTD Triennial Security Review report.

SECURITY REVIEW PROCEDURE

Staff conducted the 2017 security review in accordance with Rail Transit Safety Section Procedure RTSB-4, *Procedure for Performing On-Site Triennial Safety and Security Reviews of Rail Transit Systems*, and G.O. 164-E, Section 4, Requirements for System Security Plans. Staff developed five checklists covering various aspects of system security responsibilities, based on: Commission and Federal Transit Administration (FTA) requirements (49 C.F.R §§ 674.27, *et seq.*), SRTD SEPP, security-related SRTD documents, Department of Homeland Security, Transportation Security Administration (TSA) baseline review list, TSA “sensitive security information (49 C.F.R. §§ 1520 *et seq.*), and the Staff’s knowledge of SRTD operations. A list of the five checklists is provided in Appendix B. The completed checklists are shown in Appendix D.

Each checklist identified security-related elements and characteristics that Staff either inspected or reviewed. Each checklist references Commission, SRTD, and other documents that establish the security program requirements. The methods used to perform the review included:

- Discussions and interviews with SRTD Police Services
- Review of rules, procedures, policies, and records

Immediately following the security review, Staff summarized the findings and the preliminary recommendations (if appropriate) with involved SRTD personnel. The post-review summary is beneficial for clarifying findings or best-practices and provided SRTD an opportunity to promptly address any necessary security improvements.

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FINDINGS AND RECOMMENDATIONS

The triennial on-site security review shows that the SRTD rail system has a comprehensive SEPP and is in compliance with that plan. Staff derived the review results from documents reviewed and issues discussed with Police Services. Overall, the review results confirm that SRTD is in compliance with its SEPP. The review did not identify any recommendations. Following are the results for each checklist:

1. Identify Policies, Goals, and Objectives

No findings of non-compliance; no recommendations.

2. Process for Management of Threats and Vulnerabilities

No findings of non-compliance; no recommendations.

3. ID Concepts for Passenger and Emergency Security

No findings of non-compliance; no recommendations.

4. Process for Internal Security Reviews

No findings of non-compliance; no recommendations.

5. Process for Generating its Security Plan

No findings of non-compliance; no recommendations.

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APPENDIX A

ABBREVIATION and ACRONYM LIST

Abbreviation / Acronym	Description
CAP	Corrective Action Plan
CA MUTCD	California Manual on Uniform Traffic Control Devices
CFR	Code of Federal Regulations
Commission	California Public Utilities Commission
CPUC	California Public Utilities Commission
FTA	Federal Transit Administration
GO	General Order
HOS	Hours of Service
IIPP	Injury and Illness Prevention Program
ISSA	Internal Safety and Security Audit
OCC	Operations Control Center
PHA	Preliminary Hazard Analysis
PM	Preventive Maintenance
RTSS/RTSB	Rail Transit Safety Section/Rail Transit Safety Branch
SCP	Safety Certification Plan
SCVR	Safety Certification Verification Report
SEPP	Security and Emergency Preparedness Program Plan
SSP	System Security Plan
SSPP	System Safety Program Plan
Staff	Safety and Enforcement Division personnel (CPUC)
SRTD	Sacramento Regional Transit District

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APPENDIX B

2017 SRTD TRIENNIAL SECURITY REVIEW CHECKLIST INDEX

Checklist No.	Department	Element/Characteristics
1	Police Services	Identify Policies, Goals, and Objectives
2	Police Services	Process for Management of Threats and Vulnerabilities
3	Police Services	ID Concepts for Passenger and Emergency Security
4	Police Services	Process for Internal Security Reviews
5	Police Services	Process for Generating its Security Plan

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APPENDIX C

2018 SRTD SECURITY REVIEW RECOMMENDATIONS LIST

No.	Recommendation	Checklist No.
	None	

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APPENDIX D

2017 SRTD TRIENNIAL SAFETY REVIEW CHECKLISTS

2017 CPUC SYSTEM SECURITY REVIEW CHECKLIST FOR SACRAMENTO REGIONAL TRANSIT DISTRICT			
Checklist No.	1	Subject	Identify Policies, Goals, and Objectives
Date of Review	October 23, 2017	Department(s)	Police Services
Reviewers/Inspectors	[REDACTED]	Person(s) Contacted	[REDACTED] Security Administrator [REDACTED] Security Program Specialist
REFERENCE CRITERIA			
<ol style="list-style-type: none"> 1. General Order 164-D 2. Security and Emergency Preparedness Program Plan (SEPPP), dated September 15, 2017 			
ELEMENT/CHARACTERISTICS AND METHOD OF VERIFICATION			
<p>Identify Policies, Goals, and Objectives</p> <p>Interview the person(s) in charge of Security Policies, Goals and Objectives at SRTD. Review and evaluate the various documents as indicated below for the past three years to determine if:</p> <ol style="list-style-type: none"> 1. The SRTD SEPPP is certified by SRTD General Manager/Chief Executive Officer and SRTD Chief of Police Services; 2. SRTD ensures that security and emergency preparedness are addressed [REDACTED] 3. SRTD creates a culture that supports employee safety and security and safe system operation (during normal and emergency conditions) through motivated compliance with district rules and procedures and the appropriate use and operation of equipment; 4. SRTD increases and strengthens community involvement and participation in the safety and security of the system. 			

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RESULTS/COMMENTS

Activities:

Staff interviewed SRTD personnel responsible for identifying policies, goals, and objectives and determined the following:

1. SRTD followed the approved SEPPP, dated February 11, 2009, signed by General Manager/CEO Michael R. Wiley. SRTD recently updated its SEPPP, dated October 18, 2017, signed by General Manager/CEO Henry Li prior to the Triennial Security Review.

2. [REDACTED]

All new SRTD Rail Operators undergo [REDACTED]

[REDACTED]

3. Police Services performs drills [REDACTED]
[REDACTED] Police Services holds [REDACTED] For any issues that require immediate attention, [REDACTED]
[REDACTED]

4. SRTD employs an ambassador who uses an iPad loaded with a survey to collect SRTD's rail system survey data. Approximately 1,174 SRTD rail transit riders participated from 2014 to 2015. SRTD conducts surveys approximately every other year. Questions from the surveys included the following but were not limited to:
 - Do you feel safe riding light rail?
 - What is the preliminary issue related to safety and security that you observe on

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light rail system?

- Are you aware of Regional Transit Police Services crime tip line?
- Have you noticed any improvements to security over the last year?
- Regional Transit contracts with G4S for security guards. How would you rate the security guards performance making you feel safer?
- Regional Transit contracts for law enforcement services with the Sacramento Police and Sacramento Sheriff’s Department. How would you rate their performance in making you feel safer?
- How could Regional Transit Police Services make your riding experience more enjoyable and safe?

[REDACTED]

This survey helps Police Services

SRTD’s Police Services also does a television and YouTube news segments that addresses

[REDACTED]

Comments:

None.

Findings:

None.

Recommendations:

None.

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**2017 CPUC SYSTEM SAFETY REVIEW CHECKLIST FOR
SACRAMENTO REGIONAL TRANSIT DISTRICT**

Checklist No.	2	Subject	Process for Management of Threats and Vulnerabilities
Date of Review	October 23, 2017	Department(s)	Police Services
Reviewers/Inspectors	[REDACTED]	Person(s) Contacted	[REDACTED] Security Administrator [REDACTED] Security Program Specialist

REFERENCE CRITERIA

1. General Order 164-D
2. SRTD Security and Emergency Preparedness Program Plan (SEPPP), dated September 15, 2017.
3. RT Threat Assessment, Date November 2004, Update March 2014

ELEMENT/CHARACTERISTICS AND METHOD OF VERIFICATION

Process for Management of Threats and Vulnerabilities

Interview the SRTD representatives responsible for the Security Enforcement of Threat and Vulnerabilities. Review the SEPPP and TVA related documents for the past three years to determine if:

1. SRTD promotes [REDACTED]
2. SRTD has a [REDACTED]
3. SRTD develops and implements [REDACTED]

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4. SRTD Security Committee which has the authority to propose or recommend additions or changes to policies and procedures, and to recommend courses of action to prevent or minimize [REDACTED]

5. SRTD implemented [REDACTED]

RESULTS/COMMENTS

Activities:

Staff interviewed SRTD Staff responsible for Management of Threats and Vulnerabilities and determined the following:

1. SRTD's [REDACTED]

2. [REDACTED]

3. [REDACTED]

4. SRTD's Security and Safety Committee Meetings occurs on [REDACTED]

5. [REDACTED]

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Comments:

None.

Findings:

None.

Recommendations:

None.

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Checklist No.	3	Subject	ID Concepts for Passenger and Employee Security
Date of Review	October 23, 2017	Department(s)	Police Services
Reviewers/Inspectors	[REDACTED]	Person(s) Contacted	[REDACTED] Security Administrator [REDACTED] Security Program Specialist
REFERENCE CRITERIA			
<ol style="list-style-type: none"> 1. General Order 164-D 2. Security and Emergency Preparedness Program Plan (SEPPP), dated September 15, 2017 			
ELEMENT/CHARACTERISTICS AND METHOD OF VERIFICATION			
<p>ID Concepts for Passenger and Employee Security</p> <p>Interview the SRTD representatives responsible for the Security & Communication involvement. Review the security incident reporting program for the past three years to determine if:</p> <ol style="list-style-type: none"> 1. SRTD’s mobile police and private security [REDACTED] [REDACTED] 2. SRTD’s train [REDACTED] [REDACTED] 3. SRTD’s Police Services [REDACTED] 4. SRTD conducts [REDACTED] 5. SRTD Employees [REDACTED] 6. SRTD documents, tracks, and resolves [REDACTED] [REDACTED] 			

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RESULTS/COMMENTS

Activities:

Staff interviewed SRTD Staff responsible for ID Concepts for Passenger and Employee Security and determined the following:

1. SRTD Police Services [REDACTED]
2. SRTD new train operators (T/O) undergo [REDACTED] SRTD provided a [REDACTED] to Staff for review. All SRTD security-related incidents [REDACTED]
3. SRTD uses [REDACTED] Police Services provided Staff with reports for review. [REDACTED]
4. As of 2015 SRTD has five public awareness videos on SRTD’s public website. SRTD’s Police Services also participates in [REDACTED]
 - The following SRTD’s employees are required to take the following training programs:

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- Transit Agents are required to pass SRTD’s 2 weeks of training from Police Services, (Introduction, SOP, Rules and Laws, Power Point Presentation, other)
 - Security Guards are required to pass SRTD’s Mobile Guard Training. (New Mobile Guards, Possible Duties, Prohibited Duties, Trainers, Training Items and To Dos)
 - ICS training for SRTD supervisors- ongoing training
5. SRTD Police Services and various employees [REDACTED]

- [REDACTED]
- [REDACTED]
- [REDACTED]
- [REDACTED]
- [REDACTED]
- [REDACTED]

6. [REDACTED]

Comments:

None.

Findings:

None.

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Recommendations:

None.

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**2017 CPUC SYSTEM SAFETY REVIEW CHECKLIST FOR
SACRAMENTO REGIONAL TRANSIT DISTRICT**

Checklist No.	4	Subject	Process for Internal Security Reviews
Date of Review	October 23, 2017	Department(s)	Security
Reviewers/ Inspectors	[REDACTED]	Person(s) Contacted	[REDACTED] Security Administrator [REDACTED] Security Program Specialist

REFERENCE CRITERIA

1. General Order 164-D
2. SRTD Security Emergency Preparedness Program Plan (SEPPP), dated September 15, 2017, Section 6.3, p.6.4.

ELEMENT/CHARACTERISTICS AND METHOD OF VERIFICATION

Process for Internal Security Reviews

Interview the SRTD representatives responsible for the Internal Security Audit Process. Review the appropriate procedure and audit reports for the past three years to determine if:

1. SRTD annually performed [REDACTED]
2. SRTD addressed [REDACTED]
3. SRTD provided [REDACTED] to CPUC Staff [REDACTED]
4. SRTD does not use [REDACTED]
5. SRTD's [REDACTED]
6. SRTD submits [REDACTED]
7. SRTD prepares, implements, and [REDACTED]

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RESULTS/COMMENTS

Activities:

Staff interviewed SRTD Security Staff responsible for [REDACTED]
[REDACTED]

1. SRTD presented [REDACTED]
[REDACTED]
2. SRTD addressed [REDACTED]
3. SRTD notified CPUC staff [REDACTED]
[REDACTED] CPUC staff did attend [REDACTED]
4. [REDACTED]
5. [REDACTED]
6. SRTD’s Manager/CEO submitted to CPUC staff the [REDACTED]
[REDACTED]
[REDACTED]
7. SRTD Safety Department is responsible for [REDACTED]
[REDACTED]

Comments:

None.

Findings:

None.

Recommendations:

None.

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2017 CPUC SYSTEM SECURITY REVIEW CHECKLIST FOR SACRAMENTO REGIONAL TRANSIT DISTRICT			
Checklist No.	5	Subject	Process for Generating its Security Plan
Date of Review	October 23, 2017	Department(s)	Security
Reviewers/ Inspectors	[REDACTED]	Person(s) Contacted	[REDACTED] Security Administrator [REDACTED] Security Program Specialist
REFERENCE CRITERIA			
<ol style="list-style-type: none"> 1. General Order 164-D 2. SRTD Security Emergency Preparedness Program Plan (SEPPP), dated September 15, 2017 			
ELEMENT/CHARACTERISTICS AND METHOD OF VERIFICATION			
<p>Process for Generating its Security Plan</p> <p>Interview the SRTD representative(s) responsible for the [REDACTED] [REDACTED] for the past three years to determine if:</p> <ol style="list-style-type: none"> 1. SRTD’s Chief of Police performs [REDACTED] [REDACTED] 2. SRTD reviews the [REDACTED] 3. SRTD sent a letter to Commission Staff detailing [REDACTED] [REDACTED] 4. SRTD implements [REDACTED] 			
RESULTS/COMMENTS			
<p><u>Activities:</u></p> <p>Staff interviewed SRTD Security Staff responsible [REDACTED] [REDACTED]</p> <ol style="list-style-type: none"> 1. SRTD’s Chief of Police attends all [REDACTED] 			

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[REDACTED] The SRTD Board Meetings are attended by SRTD’s Chief of Police and meeting minutes/actions are available for public review. Staff reviewed [REDACTED]

2. SRTD’s [REDACTED]

3. SRTD’s Annual Compliance letters to the CPUC [REDACTED]

4. See #2 above.

Comments:

None.

Findings:

None.

Recommendations:

None.

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