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**2018**  
**TRIENNIAL ON-SITE SECURITY REVIEW OF**  
**San Francisco Municipal Transportation Agency**  
**(SFMTA)**

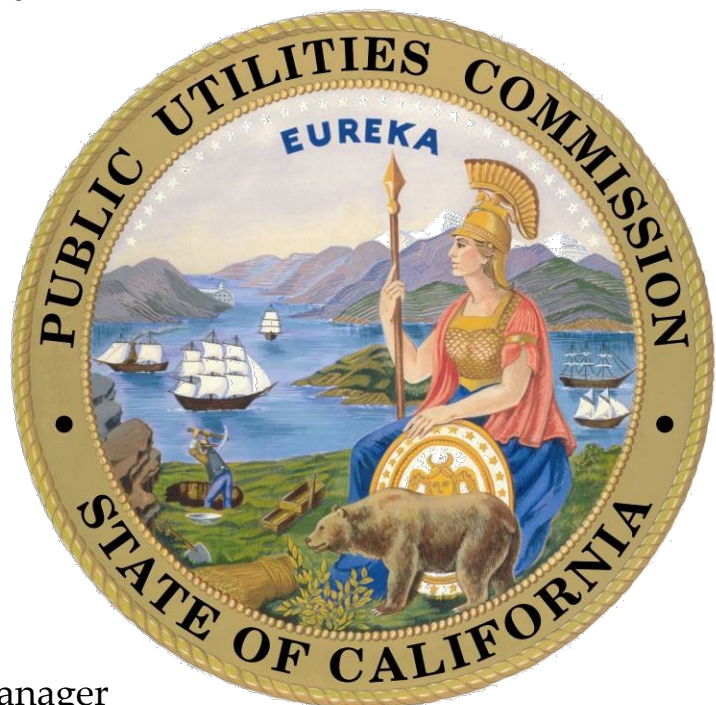
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RAIL TRANSIT SAFETY BRANCH  
RAIL SAFETY DIVISION  
CALIFORNIA PUBLIC UTILITIES COMMISSION  
505 VAN NESS AVENUE  
SAN FRANCISCO, CA 94102

[REDACTED VERSION]

Final Report  
March 27, 2020

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Rail Transit Safety Branch  
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2018 TRIENNIAL SECURITY REVIEW  
SAN FRANCISCO MUNICIPAL TRANSPORTATION AGENCY

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:

**Rupa Shitole – Utilities Engineer**  
**Joey Bigornia – Utilities Engineer**  
**Mike Warren – Utilities Engineer**

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## 1. EXECUTIVE SUMMARY

The California Public Utilities Commission's Safety and Enforcement Division (Effective July 1, 2019, now the Rail Safety Division - RSD), Rail Transit Safety Branch (RTSB) staff (Staff), conducted an on-site system security program review of San Francisco Municipal Transportation Agency (SFMTA) on October 17-19, 2018, December 13, 2018, and December 20, 2018. The review focused on verifying SFMTA's effective implementation of the System Security Plan (SSP), addressing Threat & Vulnerability Assessment (TVA) and emergency response. This report details staff's investigatory actions, findings, and recommendations.

On Monday, September 17, 2018, SFMTA personnel and Staff met for an opening conference, which preceded the on-site review activities. On October 17-19, 2018, December 13, 2018, and December 20, 2018, Staff conducted the 2018 SFMTA triennial on-site security review. A post-review conference meeting occurred on September 19, 2019, with Staff providing SFMTA personnel with a summary of its review. [REDACTED]

Section 2 (Introduction) of this report provides a summary of the authority under which the California Public Utilities Commission (CPUC or Commission) performs the triennial reviews and presents a brief chronology of the review. Section 3 (Background) includes a description of the SFMTA MUNI rail system. Section 4 (Security Review Procedure) explains the procedures used by Staff during the System Security Review. Staff's findings of non-compliance and recommendations are presented in Section 5 (Findings and Recommendations), organized by source checklist numbers. Finally, the Appendices include a list of abbreviations and acronyms used in the report and checklists, tabulated findings and recommendations, and the complete set of the six security review checklists with summaries of all review activities and the original comments, findings, and recommendations.

This report reflects Staff's triennial security review of SFMTA. The SFMTA on-site triennial safety review report is contained in a separate Report and is brought before the Commission for approval in a separate Resolution.<sup>1</sup>

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<sup>1</sup> Staff's safety review and report, "2018 Triennial On-site System Safety Review of San Francisco Municipal Transportation Agency (SFMTA)" is being brought before the Commission concurrently in Resolution ST-229.

## 2. INTRODUCTION

The Commission's General Order (GO) 164-E *Rules and Regulations Governing State Safety Oversight of Rail Fixed Guideway Systems*, Section 4, *Requirements for System Security Plans* and the Federal Transit Administration's (FTA) Rule, Title 49 Code of Federal Regulations (CFR) Part 659, *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 security program at a minimum of once every three years. The triennial security review verifies compliance and evaluates the effectiveness of each rail transit agency's System Security Plan (SSP)—in this case the SFMTA SSP—to assess the level of compliance with GO 164-E and other Commission safety and security requirements. Staff conducted the previous SFMTA on-site security review in October and November 2015.

On August 3, 2018, staff sent a letter to the SFMTA Director of Transportation, advising the SFMTA Safety and Security Triennial Review would be scheduled September 10 through October 17, 2018. The letter included six checklists that served as the basis for the security review. Staff subsequently confirmed specific dates and times with the SFMTA System Safety and Security Divisions.

On September 17, 2018, SFMTA and staff held an entrance meeting to discuss the events of the Triennial Review. SFMTA Director of Transportation, Director of Transit Operations, Director of Security, Chief Safety Officer, various department managers, CPUC Program Manager, and Rail Transit Safety Branch (RTSB) staff attended the meeting. On October 17-19, 2018, December 13, 2018, and December 20, 2018, Staff conducted the triennial on-site security inspection and records review. Staff developed six (6) checklists for the inspection of the System Security Plan that Staff derived from the CPUC's GO 164, FTA's 49 CFR 659, Transportation Security Administration's (TSA) Baseline Security Review, and SFMTA's SSP. At the conclusion of each review activity, Staff provided a verbal summary of the preliminary findings to SFMTA personnel and discussed initial recommendations for corrective actions, if any.

On September 19, 2019, Staff conducted a post-review exit meeting with SFMTA's Director of Transportation and department managers. Staff provided attendees a summary of the review and findings from the six checklists. Staff concluded SFMTA demonstrates compliance with its SSP in general [REDACTED]

### 3. BACKGROUND

The San Francisco Municipal Transportation Agency (SFMTA) is the public transportation system of the City and County of San Francisco. The San Francisco Municipal Railway (MUNI), along with the San Francisco Department of Parking and Traffic, became a part of the San Francisco Municipal Transportation Agency on March 1, 2000. A seven-member board, appointed by the mayor, governs SFMTA and the Director of Transportation serves as the agency's senior management officer.

SFMTA MUNI was the first publicly owned streetcar system in a major city of the United States and began operation in 1912. It has a relatively small service area of just 46.7 square miles. However, the combined rail transit modes average more than 179,000 weekday riders. SFMTA MUNI's fleet of rail transit vehicles consists of the subway and surface operating light rail vehicles (LRV), surface operating Historic Streetcars (HSC), and cable cars.

#### **Scope of Security Review**

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

According to 49 CFR § 659.23, 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.

The requirements of section 659.23 serve as the basis for the six security checklists guiding Staff's review of the SFMTA security program. Staff evaluated SFMTA security plans and procedures to determine whether they meet the requirements of section 659.23. The triennial security review evaluates whether SFMTA has 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 section 659.23. Staff inquiries during the review examine whether the processes and procedures SFMTA adopted are implemented in accordance with statute and the SFMTA SSP. Staff does not evaluate SFMTA'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 considered outside of scope of the review and are handled by the local Police Department within that jurisdiction.

Each Staff member involved in the security review received training from the FTA. All Staff have taken and successfully passed the Transit System Security training course, which provided in-depth instruction on security plan requirements, typical methods of compliance, and industry best practices.

Moreover, all Staff in the Rail Transit Safety Branch take the FTA's Rail System Security course as part of their overall training. This allows Staff members out in the field to identify security concerns at all times when conducting general oversight activities or inspecting transit agency facilities and operations, not just during the triennial security review period. Staff evaluates and identifies security issues in the field, which are immediately discussed with the appropriate transit agency personnel to initiate the process for addressing the concern.

### **SFMTA MUNI Rail System**

SFMTA MUNI rail transit operations are performed by the Green Metro and the Cable Car Divisions. The Green Metro Division is responsible for the operation of the light rail vehicles (LRVs) and the historic streetcars (HSCs). It operates LRVs on six different lines. The HSCs are operated on the surface and principally on one double track line. Trains in SFMTA MUNI Metro Subway and Twin Peaks Tunnel operate under the control of a fully automated communications-based train control system; the majority of rail operations are on the surface in semi-exclusive and mixed traffic rights-of-way, with up to a 7 percent grade in some locations.

The Cable Car Division is responsible for operation of the cable cars. It provides passenger cable car service on three surface lines and over grades of up to 21 percent. The cable cars

operate exclusively in mixed traffic. Most cable car operations take place on narrow, congested streets. A moving cable, below the surface of the street, provides propulsion for the cable cars via a mechanical grip, extending from the cable car and down through a continuous slot between the running rails. All onboard propulsion and braking controls for the cable cars are mechanical and hand or foot-operated. The cable car operation and equipment changed little since the late 19th Century. Both operations and maintenance rely heavily on human performance and craft. Cable cars average more than 21,900 riders on weekdays.

### **SFMTA MUNI Green Metro Division Lines**

The SFMTA MUNI Green Metro Division currently operates six light rail lines and one line devoted to the operation of HSCs. Those lines include:

- F – Market and Wharves Line, dedicated to HSC operation;
- J – Church Line
- K – Ingleside Line
- L – Taraval Line
- M – Ocean View Line
- N – Judah Line
- T – Third Street Line

### **SFMTA MUNI Cable Car Division Lines**

The SFMTA MUNI Cable Car Division operates three lines. They include:

- Powell-Hyde Line
- Powell-Mason Line
- California Street Line

### **System Expansions and Capital Projects**

#### ***SFMTA Muni Metro Third Street Light Rail Extension Phase II, also known as the Central Subway Project***

Phase II of SFMTA's Third Street Light Rail extension project, commonly known as the Central Subway Project, will extend SFMTA's T Third Street Line north of the intersection of Fourth

Street and King Street to Chinatown on Stockton Street near Washington Street. The project will construct new surface tracks along Fourth Street to a portal structure between Bryant Street and Harrison Street, where two newly excavated precast concrete-lined subway tunnels will carry light rail traffic underneath Fourth Street to Market Street, then continue under Stockton Street. A new surface station is planned at Fourth Street and Brannan Street, and three new subway stations will be constructed at Yerba Buena/Moscone (Fourth Street and Folsom Street), Union Square/Market Street (Stockton Street and Geary Street, with mezzanine-level access to the existing Powell Street BART and Muni Station), and Chinatown (Stockton Street and Washington Street).

SFMTA's Capital Programs and Construction Division has primary responsibility for the planning, design, construction, and testing of this line extension.

### ***SFMTA LRV4 Procurement to Expand and Replace the Rail Fleet***

SFMTA has initiated a new light rail vehicle procurement to acquire up to 264 vehicles over a period of 15 years (LRV4 project). The scope of the LRV4 project will include the design, manufacture, delivery, and test of up to 260 light rail vehicles together with associated services, spare parts, special tools, training, and documentation. The base quantity will be 175 vehicles including an initial delivery of 24 cars, scheduled for delivery in 2018 to supplement the fleet when the Third Street Phase 2 (Central Subway) extension opens. A further 151 LRV4s are projected for the replacement of the existing 151 light rail vehicles supplied by Siemens, with deliveries starting 2021, and projected completion in 2028. SFMTA has issued Contract Modifications for an additional 44 vehicles, bringing the total fleet size to 219. An option for an additional 45 vehicles may be issued in the future.

The LRV4s are expected to have a 30-year life, which includes a mid-life overhaul. The new vehicles will operate on all lines of the system within the current system constraints. The Procurement will be funded through a number of different sources including federal funds. The Procurement will follow FTA regulations.

Summer 2014	SFMTA awarded a contract to Siemens
January 2017	First vehicle delivered to SFMTA property
Fall 2017	First vehicle in revenue service
Fall 2018	Operator familiarization complete, systemwide deployment of LRVs
Summer 2030	Complete expansion phase (Phase I)
Fall 2021	Initiate replacement phase (Phase II)
Late 2028	Complete procurement of replacement phase (Phase II)

## **Status of the 2015 SFMTA Triennial Security Review**

Staff performed the previous triennial on-site security review in 2015. Staff utilized six separate checklists to guide that review and [REDACTED].

CPUC Resolution ST-196, adopted on December 15, 2016, granted Commission approval of Staff's final 2015 SFMTA On-Site Triennial Security Review report and its recommendation, ordering SFMTA to develop an appropriate corrective action plan and an implementation schedule. Resolution ST-196 also ordered SFMTA to submit monthly status reports tracking the implementation of the corrective action through full completion.

SFMTA developed and submitted a corrective action plan and an implementation schedule to fulfill the recommendation. The Corrective Action Plan (CAP) related to the 2015 Triennial Security Review has been corrected and closed out.

#### 4. SECURITY REVIEW PROCEDURE

Staff conducted the 2018 security review in accordance with Rail Transit Safety Branch 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 six (6) checklists to evaluate the adequacy of SFMTA's system security plan and the efficacy of its implementation.

The security evaluation includes the SFMTA's security department, programs and processes which have system security functions and responsibilities. The Review is based on Commission and FTA requirements, SFMTA's SSP & SSPP, American Public Transportation Association (APTA) system safety program guidelines, TSA baseline review list, TSA security related documents, and the staff's knowledge of the transit system. The six (6) checklists are listed in Appendix B. The completed checklists are shown in Appendix C.

Each checklist identifies the core security-related elements and characteristics that staff reviewed. All checklists also reference Commission, SFMTA, and other documents that establish the security program requirements. The methods used to perform the review include:

- Discussions and interviews with SFMTA's Terrorism Liaison Officer/Coordinator and Senior Manager Emergency Management, System Security, and Special Events
- Reviews of rules, procedures, policies, and records
- Interview with Cypress Security Operations Manager

Immediately following the security review, staff summarized the findings and the preliminary recommendations (if appropriate) with the respective SFMTA security personnel. The post-review summary held subsequently, was beneficial for clarifying findings or best practices and provided SFMTA an opportunity to promptly address any necessary security improvements.

## 5. FINDINGS AND RECOMMENDATIONS

The reviewers concluded the SFMTA SSP is comprehensive and has generally effectively carried out that plan. [REDACTED] during the review which are described in the Activities, Findings, and Recommendations sections of the relevant checklists.

The security review recommendations identify areas where changes are needed to further improve SFMTA's security program. The review results are derived from documents reviewed and issues discussed with management. The triennial review utilized six (6) checklists to [REDACTED]. The following are the findings and recommendations associated with each checklist:

[REDACTED]

[REDACTED]

[REDACTED]

[REDACTED]

[REDACTED]

[REDACTED]

[REDACTED]

[REDACTED]

[REDACTED]

[REDACTED]

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[REDACTED]

[REDACTED]

[REDACTED]

[REDACTED]

[REDACTED]

[REDACTED]

[REDACTED]

[REDACTED]

[REDACTED]

[REDACTED]

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## APPENDIX A

### ABBREVIATION and ACRONYM LIST

Abbreviation / Acronym	Description
APTA	American Public Transportation Association
BART	Bay Area Rapid Transit
CAP	Corrective Action Plan
CCTV	Closed Circuit Television
CEO	Chief Executive Officer
CFR	Code of Federal Regulations
Commission	California Public Utilities Commission
CPUC	California Public Utilities Commission
DHS	Department of Homeland Security
DOC	Departmental Operations Center
ED	Executive Director
EOC	Emergency Operations Center
EOP	Emergency Operations Plan
FTA	Federal Transit Administration
GO	General Order
HSC	Historic Streetcar
ICS	Incident Command System
ISA	Internal Safety & Security Audit
LRV	Light Rail Vehicle
MME	Muni Metro East Maintenance Facility
NIMS	National Incident Management System
OCC	Operations Control Center
PA	Public Announcement
RSD	Rail Safety Division
RTSB	Rail Transit Safety Branch

SED	Safety and Enforcement Division
SFFD	San Francisco Fire Department
SFMTA	San Francisco Municipal Transportation Agency
SFPD	San Francisco Police Department
SOP	Standard Operating Procedure
SSI	Sensitive Security Information
SSP	System Security Program Plan
SSPP	System Safety Program Plan
Staff	Rail Transit Safety Branch personnel
TSA	Transportation Security Administration
TVA	Threat and Vulnerability Assessment

**APPENDIX B**  
**SFMTA 2018 TRIENNIAL SECURITY REVIEW CHECKLISTS**  
**INDEX**

Checklist No.	Department	Element/Characteristics
1	SFMTA Security	Identify Policies, Goals, and Objectives
2	SFMTA Security	Process Management of Threat and Vulnerability Assessments
3	SFMTA Security	Identification Concepts for Passenger and Employee Security
4	SFMTA Security	Process for Internal Security Reviews
5	SFMTA Security	Process for Generating Its Security Plan
6	SFMTA Security Safety Division Rail Operator Training Transit Services Operations Control Center	Emergency Management Program

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**APPENDIX C**

**SFMTA 2018 TRIENNIAL SECURITY REVIEW CHECKLISTS**

**2018 CPUC SYSTEM SECURITY REVIEW CHECKLIST FOR  
SAN FRANCISCO MUNICIPAL TRANSPORTATION AGENCY (SFMTA)**

Checklist	<b>1</b>	<b>Identify Policies, Goals, and Objectives</b>	
Date of Review	<b>October 18, 2018</b>	Department	<b>Security</b>
Reviewers	<b>Mike Warren Joey Bigornia Rupa Shitole</b>	Persons Contacted	<b>Christopher Grabarkiewctz, SFMTA Chief Security Officer Scarlett Lam, Terrorist Liaison Officer and Senior Manager Manny Bonilla, SFPD, SFMTA Police Tim Qualle, SFMTA</b>

**REFERENCE CRITERIA**

1. System Security Plan (SSP) Revision 14 dated February 15, 2018, Revision 13 dated February 15, 2017, Revision 12 dated February 15, 2016, Section 1, & 2
2. CPUC General Order 164-D, General Order 164-E, Section 4.0
3. 49 CFR Part 659, Section 659.23

**ELEMENT, CHARACTERISTICS, AND METHOD OF VERIFICATION**

**Identify Policies, Goals, and Objectives**

Interview SFMTA’s Security representative(s) to determine for the past three years if:

1. SFMTA engages its employees at all appropriate levels of the organization to effectively mitigate, plan, prepare, respond to and recover from natural, unintentional or intentional disasters in accordance with the National Incident Management System (NIMS), Standardized Emergency Management Systems (SEMS), and best industry practices;
2. SFMTA employees and contractors understand and incorporate security practices into planning and performing their responsibilities;
3. SFMTA security breaches are reported, responded to, and corrected in a timely manner;
4. SFMTA provides protection of critical assets and high-risk, high-consequence special events via initiatives such as advance planning, visible deterrence, and/or responsive enforcement;
5. SFMTA coordinates/collaborates with other City and County of San Francisco (CCSF)

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[REDACTED]

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[REDACTED]

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**2018 CPUC SYSTEM SECURITY REVIEW CHECKLIST FOR  
SAN FRANCISCO MUNICIPAL TRANSPORTATION AGENCY (SFMTA)**

Checklist	<b>2</b>	<b>Process Management of Threat and Vulnerability Assessments</b>	
Date of Reviewers	<b>October 17 &amp; 18, 2018</b>	Department	<b>Security</b>
Reviewers	<b>Joey Bigornia Rupa Shitole Mike Warren</b>	Persons Contacted	<b>Christopher Grabarkiewctz, SFMTA Chief Security Officer Scarlett Lam, Terrorist Liaison Officer/Coordinator and Senior Manager Charles Boyd, Operations Manager, Cypress Private Security LLC Manny Bonilla, SFPD, SFMTA Police (10/17/)</b>

**REFERENCE CRITERIA**

1. System Security Plan (SSP) Revision 14 dated February 15, 2018, Section 4.0
2. CPUC General Order 164-D, General Order 164-E, Section 4.0
3. 49 CFR Part 659, Section 659.23
4. Transit Enforcement Emergency Preparedness Division, Division Instructions
5. SFMTA Physical Security Assessment (Jacobs) Final Report dated December 2014 (SAFETY SENSITIVE DOCUMENT).
6. SFMTA Facility & Employee Access Control System, Document SC.PR.007 dated October 25, 2005.

**ELEMENT, CHARACTERISTICS, AND METHOD OF VERIFICATION**

**Process Management of Threat and Vulnerability Assessments (TVA)**

Interview Security representatives and review the SSP and TVAs for the past three years to determine if:

1. SFMTA Threat and Vulnerability Assessments (TVA) were performed identifying facilities

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and systems containing critical assets;

2. SFMTA follows their implementation schedule for the TSA's TVA report(s) and implementation progress will be monitored annually at the Senior Management Security and Safety Committee;
3. SFMTA has protection of critical assets and high risk, high-consequence special events via initiatives such as advanced planning, visible deterrence, and/or responsive enforcement;
4. SFMTA followed-up on findings/recommendations identified in the TVA Reports.
5. SFMTA has performed TVAs for Subway Central Expressway and the new LRV-4 vehicles with safety certification process;
6. SFMTA provide Threat and Vulnerability identification Training as stated in the SSP Section 10.1;
7. SFMTA TVA is presented to the Director(s) / Management for review
8. The City and County of San Francisco (CCSF) Controller's Office conducts annual audits to identify risks and vulnerabilities, and then works with SFMTA to advance resolution;
9. SFMTA analyzes past crime reports and Transportation Security Office Center (TSOC) security trends to mitigate risks and/or prevent recurrence;
10. Cypress (SFMTA Security Contractor) analyzes past crime reports and Transportation Security Office Center (TSOC) security trends to mitigate risks and/or prevent recurrence;

ACTIVITIES, FINDINGS, AND RECOMMENDATIONS

[REDACTED]

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[REDACTED]

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[REDACTED]

[REDACTED]

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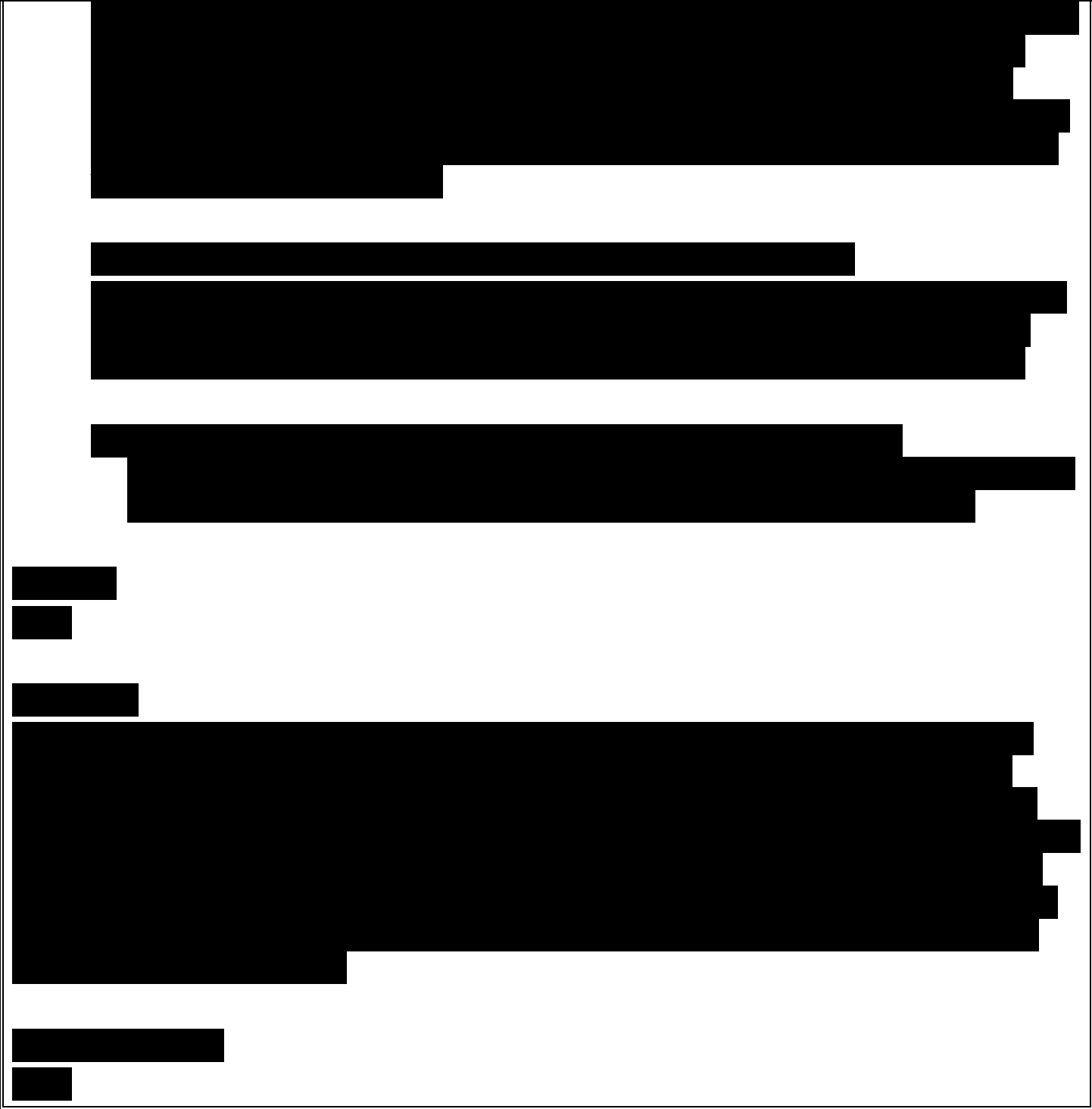
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**2018 CPUC SYSTEM SECURITY REVIEW CHECKLIST FOR  
SAN FRANCISCO MUNICIPAL TRANSPORTATION AGENCY (SFMTA)**

Checklist	3	<b>Identification Concepts for Passenger and Employee Security</b>	
Date of Review	<b>October 18 &amp; 19, 2018</b>	Department	<b>Security</b>
Reviewers	<b>Rupa Shitole Joey Bigornia Michael Warren</b>	Persons Contacted	<b>Christopher Grabarkiewctz, SFMTA Chief Security Officer Scarlett Lam, Terrorist Liaison Officer/Coordinator and Senior Manager Charles Boyd, Operations Manager, Cypress Private Security LLC Manny Bonilla, SFPD, SFMTA Police Tim Qualle, SFMTA Jeanette Sanchez, SFMTA Kristen Holland, SFMTA Michael Kirchanski, System Safety Manager Myaisha Bracken, Badging Administrator Shahin Shaikh, Program Manager, Video Surveillance Unit (CCTV DVR, etc.)</b>

**REFERENCE CRITERIA**

1. System Security Plan (SSP) Revision 14 dated February 15, 2018, Revision 13 dated February 15, 2017, Revision 12 dated February 15, 2016.
2. CPUC General Order 164-D, General Order 164-E, Section 4.0
3. 49 CFR Part 659, Section 659.23

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4. SFMTA Document number SC.PR.007 Facility and Employee Access Alarm Control
5. SFMTA Document number SC.PR.004 Employee Security Identification/Access Badges
6. SFMTA Document number PS.PR.001 effective date June 3, 2003- Passenger Service Reports
7. SFMTA Document number SC.FR.009.A effective date 5/17/2006 – Video Surveillance
8. Employee Emergency Response Guide (2014-2015)

**ELEMENT, CHARACTERISTICS, AND METHOD OF VERIFICATION**

**Identification Concepts for Passenger and Employee Security**

Interview the SFMTA representatives responsible for the Security & Homeland Security involvement, and review the security incident reporting program for the past three years to determine if:

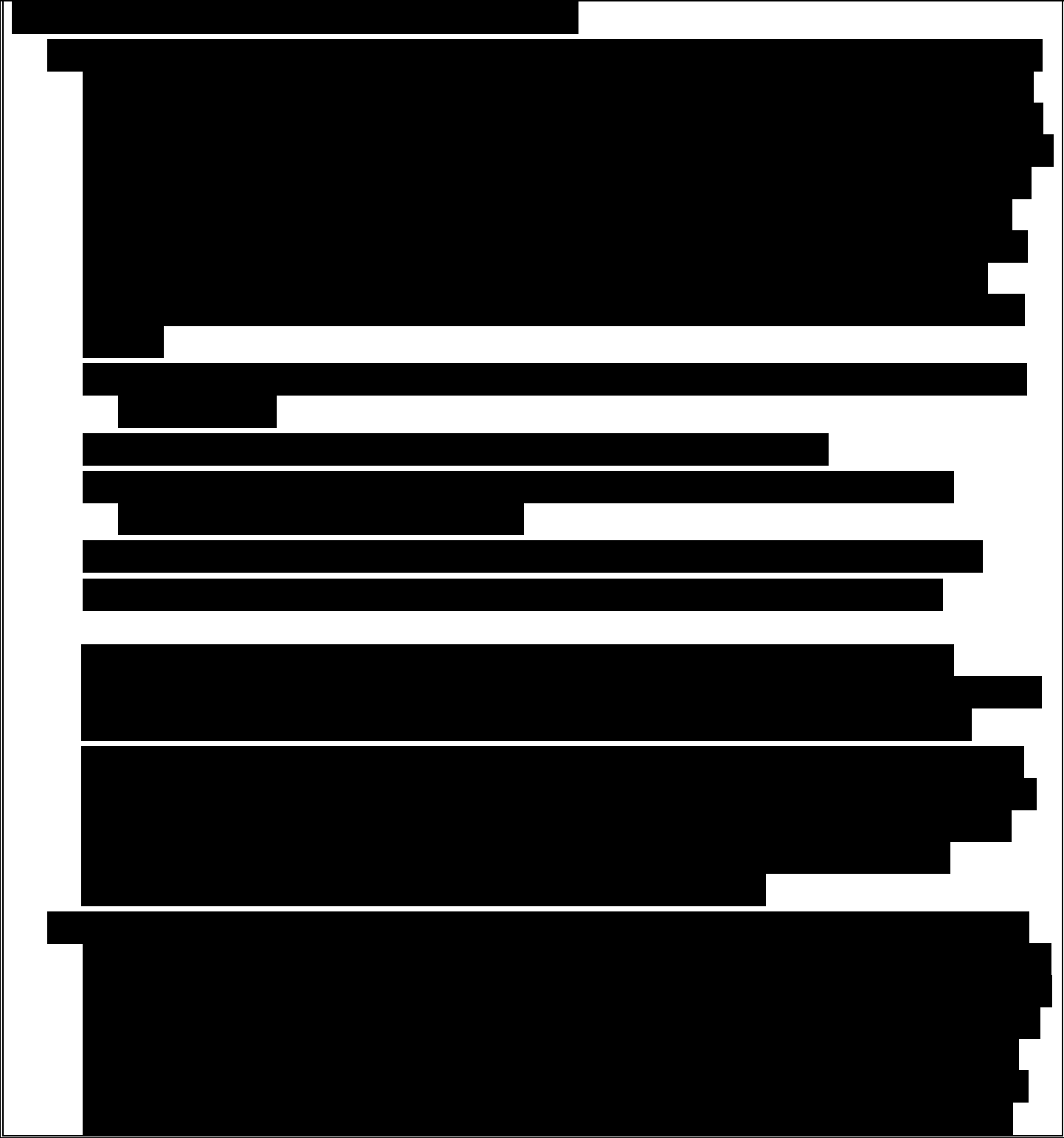
1. SFMTA employees follows SFMTA Document number SC.PR.004 protocol to report any security breaches and documents all beaches as required;
2. SFMTA Contract Security Services (Cypress Security) follows SFMTA’s standard protocol in resolving the breaches and documents all security breaches as required; SFMTA has copies of all recorded incidents, are entered into the database, and kept on file for two years by VSPC at VSP offices. Each file shall include a CD with exported video, hard copy of exported images, incident report, Central Control log report, police report (if available), phone log and signed receipts;
3. SFMTA Emergency Management Program in the Security, Investigations and Enforcement Section implement numerous initiatives for employee, customer and public security awareness and protection;
4. SFMTA participates in Transit Watch and similar public awareness programs;
5. SFMTA maintains outgoing communication via meetings, exercises and/or MOU with the following agencies: SF District Attorney’s Office, Bay Area Rapid Transit (BART) District Police, AC Transit Security, Amtrak Security, Golden Gate Transit Security, SamTrans/Caltrain Security, San Francisco International Airport, Santa Clara Valley Transit Authority Security, Transbay Joint Power Authority, Water Emergency Transit Security;
6. SFMTA investigates, resolves, and documents reported Passenger Service Reports (PSRs) to completion. Also, provide data reports stated in document PS.PR.001, Section 4.1.6

**ACTIVITIES, FINDINGS, AND RECOMMENDATIONS**

[REDACTED]

[REDACTED]

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[REDACTED]

		2016	2017	2018 to date*
501 Altercation: Miscellaneous	Received	69	101	64
	Closed	12	6	9
502 Larceny/Theft	Received	108	130	97
	Closed	2	10	8
503 Fare Evasion/Transfer Abuse	Received	5	5	2
	Closed	1	1	0
504 Disorderly Conduct/Disturbance	Received	127	153	120
	Closed	29	26	36

[REDACTED]

[REDACTED]

[REDACTED]

[REDACTED]

[REDACTED]

[REDACTED]

[REDACTED]

[REDACTED]

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**2018 CPUC SYSTEM SECURITY REVIEW CHECKLIST FOR  
SAN FRANCISCO MUNICIPAL TRANSPORTATION AGENCY (SFMTA)**

Checklist	4	<b>Process for Internal Security Reviews</b>	
Date of Review	<b>October 19, December 13, 20, 2018</b>	Department	<b>Security</b>
Reviewers	<b>Rupa Shitole Joey Bigornia Mike Warren</b>	Persons Contacted	<b>Scarlett Lam, Terrorist Liaison Officer/Coordinator and Senior Manager Chris Grabarkiewctz, SFMTA Chief Security Officer Charles Boyd, Operations Manager, Cypress Private</b>

**REFERENCE CRITERIA**

1. System Security Plan (SSP) Revision 14 dated February 15, 2018, Section 12.
2. CPUC General Order 164-D, General Order 164-E, Section 4.0
3. 49 CFR Part 659, Section 659.23

**ELEMENT, CHARACTERISTICS, AND METHOD OF VERIFICATION**

**Internal Security Review Program**

Interview the SFMTA representatives responsible for the Internal Security Review Program, review the internal security audit process, and review the audit reports for the past three years to determine if:

1. SFMTA annually performed an internal security review;
2. SFMTA addressed all of the required security program elements within the past three years;
3. SFMTA presented an internal security audit schedule to CPUC Staff 30-days before scheduling the audit;
4. SFMTA's internal security review annual report includes the findings, corrective actions and SFMTA submits the Director of Transportation annual certification to CPUC Staff;
5. SFMTA prepares, implements, and tracks the corrective action plans and schedules to

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1. [Redacted list item]

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**2018 CPUC SYSTEM SECURITY REVIEW CHECKLIST FOR  
SAN FRANCISCO MUNICIPAL TRANSPORTATION AGENCY (SFMTA)**

Checklist	5	<b>Process for Generating Its Security Plan</b>	
Date of Review	<b>October 19, 2018</b>	Department	<b>Security</b>
Reviewers	<b>Rupa Shitole Mike Warren Joey Bigornia</b>	Persons Contacted	<b>Christopher Grabarkiewctz, SFMTA Chief Security Officer Scarlett Lam, Terrorist Liaison Officer/Coordinator and Senior Manager</b>

**REFERENCE CRITERIA**

1. System Security Plan (SSP) Revision 14 dated February 15, 2018
2. CPUC General Order 164-D, General Order 164-E, Section 4.0
3. 49 CFR Part 659, Section 659.23

**ELEMENT, CHARACTERISTICS, AND METHOD OF VERIFICATION**

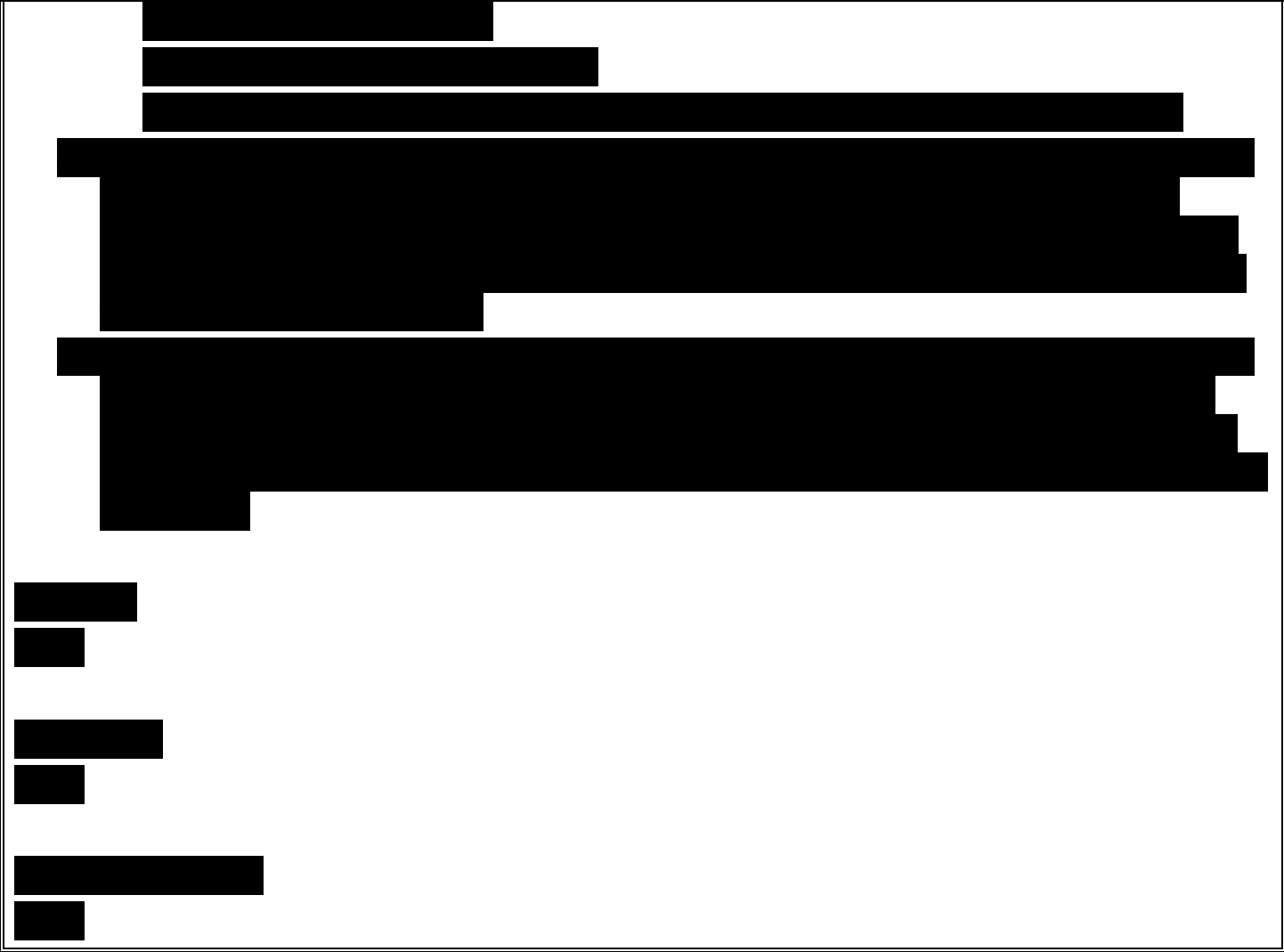
**Process for Generating its Security Plan**

Interview the SFMTA representatives responsible for the System Security Plan (SSP) Administration, review the SSP implementation, and review SSP update process for the past three years to determine if:

1. SFMTA annually reviewed and updated SSP as needed;
2. The SFMTA SSP is certified by the SFMTA Director of Transportation and a letter has been sent to Commission Staff detailing plan modifications, if any;
3. SFMTA has an existing process for revising the SSP (found in day-to-day operation, internal concerns, external concerns and drill concerns);
4. SFMTA has an existing process to track all Corrective Action Plan(s) incorporated, or to be incorporated, in the SSP from beginning to end;
5. SFMTA has an existing process to communicate and disseminate new and revised procedures of the SSP to SFMTA personnel and key contract personnel.

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**2018 CPUC SYSTEM SECURITY REVIEW CHECKLIST FOR  
SAN FRANCISCO MUNICIPAL TRANSPORTATION AGENCY (SFMTA)**

<b>Checklist No.</b>	<b>6</b>	<b>Element</b> Emergency Management Program
<b>Time</b>	9:30 am – 1:30 pm	<b>Location</b> 1455 Market 7 <sup>th</sup> Floor TMC Conference Room
<b>Date of Audit</b>	October 17, 2018	<b>Department(s)</b> Security, Enforcement, and Investigations Safety Division Rail Operator Training Transit Services Operations Control Center
<b>Auditors/ Inspectors</b>	Rupa Shitole Joey Bigornia Mike Warren	<b>Persons Contacted</b> Christopher Grabarkiewctz, SFMTA Chief Security Officer Scarlett Lam, Terrorist Liaison Officer/Coordinator and Senior Manager Michael Kirchanski – SFMTA System Safety Charles Haletly – SFMTA Training Julie Kirschbaum – SFMTA Transit Barry Chown – SFMTA Rail Training Manager Randy Wong – SFMTA System Safety Kaitlyn Carmady – SFMTA Transit Operations
<b>REFERENCE CRITERIA</b>		
<ol style="list-style-type: none"> <li>1. CPUC General Order 164 Series</li> <li>2. SFMTA System Safety Program Plan (SSPP), Revision 6, dated 2/11/2015</li> <li>3. SFMTA Rail System Safety Program Plan (RSSPP), Revision 7, dated 2/11/2016</li> <li>4. SFMTA Rail System Safety Program Plan (RSSPP), Revision 8, dated 2/15/2017</li> <li>5. SFMTA Rail System Safety Program Plan (RSSPP), Revision 9, dated 2/15/2018</li> <li>6. SFMTA System Security Plan SC.PL.008 (SSI)</li> <li>7. Emergency Operations and Recovery Plan</li> </ol>		
<b>ELEMENT/CHARACTERISTICS AND METHOD OF VERIFICATION</b>		
Emergency Management Program		

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Conduct the necessary interviews regarding SFMTA's emergency planning, training, and drill/exercise program and review appropriate records prepared during the last three years to:

1. Solicit an overview of the process for SFMTA's emergency planning, training, and drill/exercise program and specific examples of coordination with emergency response agencies on emergency planning and drill/exercises
2. Verify that a drill/exercise schedule has been created and followed. Determine if SFMTA has conducted at least one drill/exercise every year for the last three years as required by the SSP and when each drill/exercise was performed. Was an after-action report developed? Was the after-action report used to make changes to SFMTA's Emergency Operation and Recovery Plan (EORP) and/or procedures? If so, have these changes been implemented and disseminated to the pertinent SFMTA personnel?
3. Verify that all recommendations from the Emergency Drills for SFMTA are tracked unto completion.
4. Verify the process through which emergency responders and other outside agencies are involved in the SFMTA emergency planning.
5. Verify that drill outcomes and evaluations were incorporated into response plans and procedures as appropriate.
6. Determine whether SFMTA has held periodic Fire Life Safety meetings
7. SFMTA emergency response training:
  - a. Review training programs to verify that they contain training curriculums for emergency response procedures and activities appropriate for each job classification.
  - b. Review training programs to verify the frequency of employee emergency response training.
  - c. Randomly select five (5) employees from the following safety sensitive job classifications and review their emergency response training records to determine who has been trained and to verify that training has been properly documented:
    - a. Train Operators
    - b. Rail Supervisors
    - c. Rail Controllers

## FINDINGS AND RECOMMENDATIONS



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[REDACTED]

[REDACTED]

[REDACTED]

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