

## **Appendix J: Sample Three-Year Safety and Security Review Checklist**

## Sample Three-Year Safety and Security Review Checklist

SOA:	RAIL TRANSIT AGENCY:	DATE OF REVIEW:					
1.0 Policy Statement & Authority for System Safety Program Plan 2.0 Description of Purpose, Goals and Objectives for System Safety Program Plan	Page 1 of 20 <b>SOA Reviewers:</b>					SOA Three-Year Safety and Security Review Checklist	
ITEM	ITEM DESCRIPTION	1	2	3	Reference Criteria	Method of Verification	Notes
1.1	Safety policy clearly stated and disseminated. <ul style="list-style-type: none"> <li>• SSPP established as an operating document</li> <li>• Policy statement clearly defined and approved by top management</li> <li>• Signed by CEO / GM / Board</li> </ul>				Policy Statement	Document Review, Interview	
1.2	Authority to develop transit system identified. <ul style="list-style-type: none"> <li>• Legislation cited</li> <li>• Federal, state &amp; local statutes noted</li> <li>• Meets accepted industry standards</li> </ul>				Policy Statement	Document Review, Interview	
1.3	Authority to establish and implement SSPP clearly defined. <ul style="list-style-type: none"> <li>• Purpose of SSPP</li> <li>• Designated staff / department</li> </ul>				Policy Statement	Document Review, Interview	
2.1	Purpose of SSPP defined.				SSPP, Section 2.1	Document Review, Interview	
2.2	Safety philosophy of organization defined. <ul style="list-style-type: none"> <li>• System-wide safety program established</li> <li>• Framework for implementation of safety policies and related goals / objectives</li> </ul>				SSPP, Section 2.1	Document Review, Interview	
2.3	Goals are identified to ensure that the SSPP fulfills its purpose. <ul style="list-style-type: none"> <li>• Stated management responsibilities are identified for the safety program to ensure that the goals and objectives are achieved.</li> </ul>				SSPP, Section 2.2	Document Review, Interview	
2.4	Safety Program goals clearly stated. <ul style="list-style-type: none"> <li>• Goals long-term, meaningful, realizable</li> <li>• Endorsed by management</li> </ul>				SSPP, Section 2.2	Document Review, Interview	
2.5	System safety function coordinates with other RTA departments/functions to develop goals.				SSPP, Section 2.2	Document Review, Interview	
2.4	Objectives are identified to monitor and assess the achievement of goals.				SSPP, Section 2.3	Document Review, Interview	
2.5	Stated management responsibilities are identified for the safety program to ensure that the goals and objectives are achieved.				SSPP, Section 2.3	Document Review, Interview	

**COLUMN DEFINITIONS:**

- 1 – Meets Criteria
- 2 – Does Not Meet Criteria (See Supplemental Form)
- 3 – Partially Meets Criteria, Improvement Needed (See Supplemental Form)

**Sample Three-Year Safety and Security Review Supplemental Form**

<b>SOA:</b>	<b>RAIL TRANSIT AGENCY:</b>	<b>DATE OF REVIEW:</b>	
<b>Item No.</b>	<b>SSPP/System Security Plan Section:</b>	<b>SOA Reviewers:</b>	<b>Supplemental Form</b>
		<b>RTA Participants:</b>	
<b>Acceptance Criteria:</b>			
<b>Requirement:</b>			
<b>Finding:</b>			
<b>Recommendation:</b>			
<b>Prepared by:</b> _____ <b>Date:</b> _____			