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# 2017 TRIENNIAL SECURITY REVIEW OF THE BAY AREA RAPID TRANSIT DISTRICT (BART)

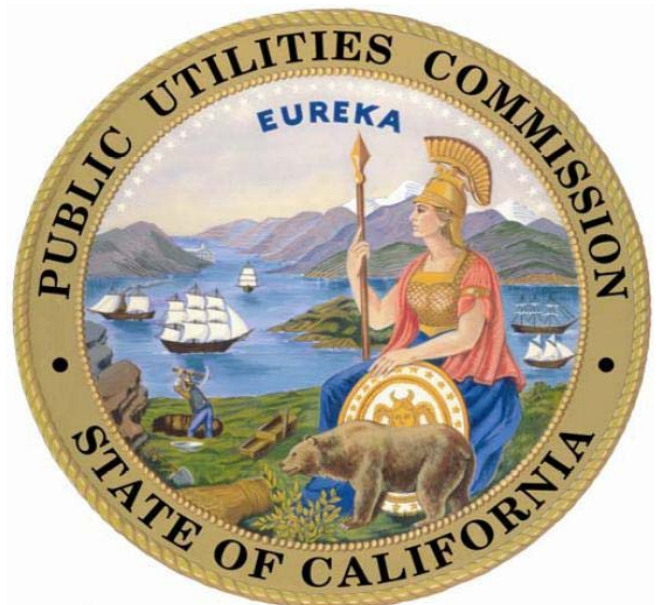
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**[REDACTED VERSION]**

RAIL TRANSIT SAFETY BRANCH  
SAFETY AND ENFORCEMENT DIVISION  
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505 VAN NESS AVENUE  
SAN FRANCISCO, CA 94102

November 12, 2017

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Rail Transit Safety Branch  
SAFETY AND ENFORCEMENT DIVISION



# **2017 TRIENNIAL SECURITY REVIEW OF BAY AREA RAPID TRANSIT DISTRICT**

## **ACKNOWLEDGEMENT**

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

Daren Gilbert – Rail Transit Safety Branch Program Manager  
Stephen Artus – Program and Project Supervisor  
Steve Espinal - Senior Utilities Engineer Supervisor  
Colleen Sullivan – CPUC Designated Representative to BART  
Howard Huie - Utilities Engineer  
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Joey Bigornia - Utilities Engineer

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## 1. EXECUTIVE SUMMARY

The California Public Utilities Commission's (Commission) Safety and Enforcement Division (SED), Rail Transit Safety Branch Staff (Staff) conducted an on-site system security review of the Bay Area Rapid Transit District (BART) on September 22, 2017. The review was focused on verifying the effective implementation of the System Security Plan (SSP), addressing Threat & Vulnerability Assessments (TVA) and emergency response.

The on-site review was preceded by an opening conference meeting between BART personnel and Staff, on Monday, September 11, 2017. The security review took place on September 22, 2017 and focused on verifying the effective implementation of BART's SSP.

Following the on-site security review, Staff held a post-review conference with the BART Manager of Security Systems on November 3, 2017. Staff provided a preliminary summary report detailing the on-site review findings.

The security review results indicate BART has a comprehensive system security plan and complies with its SSP. The five (5) checklists used for the 2017 Triennial Security Review did not find any inconsistencies; therefore Staff makes no recommendations.

The report Introduction is presented in Section 2. The Background, in Section 3, contains a description of the BART 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 BART 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 BART on-site triennial safety review report will be contained in a separate Report and brought before the Commission for approval in a separate Resolution.

## 2. INTRODUCTION

The Commission's General Order (GO) 164-E<sup>1</sup>, 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 program(s) at a minimum of once every three years. The purpose of the triennial review is to evaluate the effectiveness of each rail transit agency's System Security Plan (SSP) and to assess the level of compliance with GO 164-E as well as other Commission safety and security requirements. Staff conducted the previous BART on-site security review in February 2014.

Staff first notified BART's General Manager by letter, dated August 11, 2017, of the scheduling of the Commission's Security Review to begin on September 22, 2017. The notification provided BART with the opportunity to review the Triennial Safety and Security checklists as well as to provide comments.

The Triennial Safety and Security Review began with an opening conference meeting on September 11, 2017, attended by CPUC Staff and BART's Police Chief and BART's Manager of Security Programs.

Staff performed the triennial security review on September 22, 2017, at the BART offices. 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 BART's SSP. At the conclusion of each review activity, Staff provided BART personnel a verbal summary of the preliminary findings and discussed preliminary recommendations for corrective actions.

On September 22, 2017, Staff conducted a post-review exit meeting with BART's Manager of Security Programs. Staff provided a finding synopsis from the 5 checklists but did not issue any recommendations.

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<sup>1</sup> GO 164-D was in effect at the time of the September 22, 2017, Triennial Security Review visit at BART. 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.

### 3. 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.

These are the basis for the five security checklists that guided Staff's review of the BART security program. The BART security plans and procedures were evaluated to determine whether they have the processes and procedures in place to implement the requirements of 49 CFR 659.23. The triennial security review evaluates whether BART 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 49 CFR 659.23. Staff inquiries during the review examine whether the processes and procedures BART adopted are in

accordance with 49 CFR 659.23, and implemented in accordance with the BART SSP. Staff does not evaluate BART'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 BART Police Department.

Each Staff member involved in the security review has 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 whenever they are out in the field conducting oversight activities inspecting transit agency facilities and operations, not just during the triennial security review period. Security issues are evaluated each time our Staff members are in the field, and as any concerns are identified, they are discussed with the transit agency to initiate the process for addressing the concern.

### **BART System**

The Bay Area Rapid Transit District (BART) began operation on September 11, 1972 with 28 miles of track in Alameda County, servicing Oakland to Fremont. The second segment opened on January 29, 1973, with 12 miles of track extending the service from Fremont to Richmond. The third segment opened on May 21, 1973, with 17 additional miles of track marking the opening of the Concord Line. On November 5, 1973, service began between the Montgomery Street Station in downtown San Francisco and the Daly City Station, adding another 7.5 miles of track to the system. Transbay service began on September 16, 1974, bringing the full 71.5 miles of track into service. On May 27, 1976, the Embarcadero Station officially opened for revenue service, bringing the total station count to 34. The Embarcadero Station added no additional track miles.

### ***Additional Extensions***

The extension to North Concord/Martinez Station opened on December 16, 1995, adding 2.25 miles of track north of the Station. On February 24, 1996, Colma Station opened for revenue service, adding 1.6 miles of track south of the Daly

City Station. The Pittsburg/Bay Point Station was the next to be opened for revenue service on December 7, 1996, completing a 7.8-mile segment of the Pittsburg/Antioch Extension from the Concord Station. The Dublin/Pleasanton extension opening followed on May 10, 1997, adding 14 miles of track and two stations to the system. The San Francisco Airport extension opened on June 22, 2003 adding four stations and 8.7 miles of track. Currently, the system operates six lines on 107.2 miles of track with 44 stations.

The BART system operates six lines. These are:

- Warm Springs/South Fremont – Daly City Line
- Dublin/Pleasanton – Daly City Line
- Pittsburg/Bay Point – SFO Line/Millbrae Line
- Richmond – Millbrae Line
- Richmond – Fremont Line
- Oakland Airport Connector

### **Oakland Airport Connector (OAC)**

BART's Oakland Airport Connector (OAC), also known as BART to OAK, began revenue operation on November 22, 2014. The system was designed and constructed by Flatiron Construction and Parsons Transportation along with Doppelmayr Cable Car (DCC) who designed, manufactured, and supplied the Automated People Mover (APM) system and guideway. DCC now operates and maintains the system as part of a 20 year BART Operations and Maintenance Contract.

The OAC is a fully automated driverless transportation system operating along a 3.2 mile partially elevated, partially at-grade, partially below-grade, dual guideway, providing a comfortable and reliable link between the Airport Station and Coliseum Station. The APM system operates with up to four cable propelled 3-car trains. Each station consists of a single-sided passenger boarding platform with a barrier wall and automatic platform door system separating the passenger platform from the guideway tracks. Near the mid-point of the end stations is the maintenance and storage facility (or Wheelhouse). The Wheelhouse houses administrative offices, the Central Control Room, the ropeway drive machinery, and provisions for trains to be stored off of the mainline for maintenance. Two Tow/Maintenance Vehicles allow personnel to perform guideway inspections



and maintenance activities, including towing revenue vehicles in and out of service.

The initial system consists of four 3-car trains operating in a pinched loop configuration on two separate lanes. The system is expandable, when built to ultimate capacity (4-car trains), to provide a peak period line capacity of 1900 passengers per hour per direction (pphpd).

### **East Contra Costa BART Extension (eBART) Project**

The East Contra Costa BART Extension (eBART) Project will provide passenger service along 10 miles of the California State Route 4 corridor connecting east of the Pittsburg/Bay Point Station. The extension will use unique Diesel Multiple Unit (DMU) vehicles instead of standard BART's heavy rail trains and includes two new stations and a transfer platform to provide timed transfers between eBART and traditional BART trains. Staff has been monitoring the engineering design and construction phases of this project through the Safety Certification process, and the Commission approved BART's Safety Certification Plan with Resolution ST-112. eBART went into service on May 26, 2018.

### ***Planned Extensions***

BART has several system extensions currently in the construction phase.

### **Santa Clara Valley Transportation Authority/Silicon Valley Rapid Transit (VTA/SVRT) Project**

The Santa Clara Valley Transportation Authority/Silicon Valley Rapid Transit (VTA/SVRT) Project is a 16.3 mile extension from the planned Warm Springs Station to Milpitas alongside Union Pacific Railroad tracks, continuing to 28<sup>th</sup> Street and Santa Clara Street in San Jose, then proceeding underground through downtown San Jose to the Diridon Caltrain Station and finally terminating at the Santa Clara Station. This project has been divided into 2 phases:

- Silicon Valley Berryessa Extension (SVBX) – 10 miles in length which is currently under Construction & Testing
- Santa Clara Valley Extension - 6.3 miles in length which is currently under Federal EIS Review

Staff has been monitoring the engineering design and construction phases of this project through the Safety Certification process, and the Commission approved BART's Safety Certification Plan with Resolution ST-83.

### **New Vehicle Procurement Project**

BART has a new vehicle procurement project underway to add up to 1000 new rail cars to its existing fleet. The new cars will be rolled out between 2018 and 2021. Staff has been monitoring the procurement project through the Safety Certification process, and the Commission approved BART's Safety Certification Plan with Resolution ST-150.

#### 4. REVIEW PROCEDURE

Staff conducted the 2017 Triennial Security Review in accordance G.O. 164-E, Section 4, *Requirements for System Security Plans* . Staff developed five (5) checklists to evaluate the adequacy of BART's system security plan and the efficacy of its implementation.

The security evaluation includes the BART security department and BART programs and processes which have system security functions and responsibilities. The review is based on Commission and FTA requirements (49 C.F.R §§ 674.27, et seq., BART's System Security Plan (SSP), 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 the BART transit system. The five (5) checklists are listed in Appendix D.

Staff's checklist identifies the core security-related elements and characteristics reviewed. Each checklist references Commission, BART, and other documents that establish the security program requirements. The methods used to perform the review include:

- Discussions and interviews with Manager of Security Programs
- Reviews of rules, procedures, policies, and records

Immediately following the security review, Staff summarized the findings and the preliminary recommendations (if appropriate) with BART's Manager of Security Programs. The post-review summary is beneficial for clarifying findings or best-practices and provided BART an opportunity to promptly address any necessary security improvements.

## 5. FINDINGS AND RECOMMENDATIONS

The triennial on-site security review shows that the BART rail system has a comprehensive SSP and is in compliance with that plan. Review findings identify areas where changes should be made to further improve the SSP. The review results are derived from documents reviewed, issues discussed with the Manager of Security Programs. Overall, the review confirms BART is in compliance with its SSP. The review identified no recommendations. Following are the results for each checklist:

### 1. Identify Policies, Goals and Procedures

No findings of non-compliance; no recommendations.

### 2. Process for Management of Threats and Vulnerability (TVA)

No findings of non-compliance; no recommendations.

### 3. ID Concepts for Passenger and Employee 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  
ACRONYMS LIST**

<b>Abbreviation / Acronym</b>	<b>Description</b>
APM	Automated People Mover
BART	Bay Area Rapid Transit District
CAP	Corrective Action Plan
CFR	Code of Federal Regulations
Commission	California Public Utilities Commission
CPTED	Crime Prevention Through Environmental Design
CPUC	California Public Utilities Commission
DCC	Doppelmayr Cable Car
DMU	Diesel Multiple Unit
eBART	East Contra Costa BART Extension
FTA	Federal Transit Administration
GO	General Order
ICS	Incident Command System
ISA	Internal Security Audit
OAC	Oakland Airport Connector
OCC	Operations Control Center
RTSB	Rail Transit Safety Branch
SARA	Scanning Analysis Response Assessment
SSP	System Security Plan
Staff	Safety and Enforcement Division personnel
TSA	Transportation Security Administration
TVA	Threat and Vulnerability Assessment
VTA/SCVTA	Santa Clara Valley Transportation Authority

**APPENDIX B**  
**BART 2017 TRIENNIAL SYSTEM SECURITY REVIEW CHECKLISTS INDEX**

- 1 Identify Policies, Goals and Procedures
- 2 Process for Management of Threat and Vulnerability (TVA)
- 3 ID Concepts for Passenger and Employee Security
- 4 Process for Internal Security Reviews
- 5 Process for Generating its Security Plan

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APPENDIX C  
BART 2017 TRIENNIAL SYSTEM SECURITY REVIEW  
RECOMMENDATION LIST

No.	Recommendations	Checklist No.
	None	

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**APPENDIX D**

**BART 2017 TRIENNIAL SYSTEM SECURITY REVIEW CHECKLISTS**

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**2017 CPUC SYSTEM SECURITY REVIEW CHECKLIST FOR  
SAN FRANCISCO BAY AREA RAPID TRANSIT DISTRICT**

<b>Checklist No.</b>	<b>1</b>	<b>Element</b>	<b>Identify Policies, Goals, and Objectives</b>
<b>Date of Audit</b>	September 22, 2017  [REDACTED] BART Headquarters 300 Lakeside Drive 18 <sup>th</sup> Floor Oakland, CA 94612	<b>Department(s)</b>	BART Police Department
<b>Auditors/ Inspectors</b>	[REDACTED]	<b>Persons Contacted</b>	[REDACTED], Manager of Security Programs

**REFERENCE CRITERIA**

1. General Order 164-D
2. BART System Security Plan (SSP), February 2016.

**ELEMENT/CHARACTERISTICS AND METHOD OF VERIFICATION**

**Identify Policies, Goals, and Objectives**

Interview the person(s) in charge of Security Policies, Goals and Objectives at BART. Review and evaluate the various documents as indicated below for the past three years to determine if:

1. BART Employees are reporting potential threats, vulnerabilities, and/or hazards identified within the BART system to their direct supervisors and/or the BART Police Department;
2. BART has established and implemented a risk base, intelligence-driven model for security that can be afforded to all passengers, employees, contractors, equipment and [REDACTED]

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[REDACTED]

## FINDINGS AND RECOMMENDATIONS

### Activities:

Staff interviewed BART's Manager of Security Programs responsible for the SSP Policies, Goals, and Objectives and determined the following:

1. All BART's new employees and contractors go through an initial Security briefing/training, which is approximately a one-hour presentation. The "See Something, Say Something" program is discussed and employees and contractors are encouraged to report suspicious behavior. There is a [REDACTED] for retraining front line employees (train operators, station agents, etc.), back office employees are trained when hired only (secretaries, accounting, etc.) Topics covered include: Suspicious Behavior [REDACTED] [REDACTED]). Not all odd behavior is suspicious and not all normal behavior is non- suspicious.), [REDACTED] [REDACTED]). e.g. Surveillance, [REDACTED], Test Security, Acquiring Supplies, Impersonation of other for access, [REDACTED]

"Display your ID"

Unattended

Items (BART trains employees

All employees receive a

and

as part of the

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lesson plan. Supervisors have additional training in security, which pertains to the responsibilities that a supervisor has and how to hold their employees accountable. (BART Police Department – The

[REDACTED] - BART Police Department – [REDACTED])

2. BART Police uses various risk based intelligence models for security. [REDACTED] is one of the more widely used models. [REDACTED] BART Police are deployed to areas based on crime statistics. Staff was presented with the following:

- [REDACTED] BART Police Performance Measurements (daily, weekly, and monthly BART crime statistic reports);
- [REDACTED] (comprised from daily, weekly, and monthly BART Police Performance Measurements).

Other risk based intelligence security models include [REDACTED]

[REDACTED]

[REDACTED]. Staff was presented with [REDACTED], dated [REDACTED], to reduce crime in the Coliseum Station area. Items in the [REDACTED] include Fare Evasion, Theft of Person electronic devices and Assaults, Auto Burglaries and Theft. Plans show Demographics and Analysis to reduce incidents. [REDACTED] – goal is to reduce:

- Fear of crime and or injury
- Unsafe passage within the transit system
- Unsafe environment for citizens in neighborhoods surrounding the stations
- Increase calls for police service
- Slow response times due to the high volume.

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BART captured the Coliseum incident on CCTV and [REDACTED] assisted with the apprehension of the perpetrators. BART does not discuss recently publicized incidents in any detail as they are under active investigation and/or the corrective action(s). Details may be released when BART Police have completed their investigation.

To deter crime on the BART system, BART Police is sending out a "message to those who are thinking of committing crimes or commit crime on the BART System" that they will investigate the crime no matter how minor and will prosecute to the fullest extent. ("Don't do it here, we will not let you off with just a warning.") Occurrence of serial types of crimes such as phone snatching is down as Public Awareness (PA) announcements warn the patrons to be aware of surroundings. BART Police is continuously training and situational awareness with employees, managers, and contractors regarding various crimes to reduce incidents. BART currently has a police force of [REDACTED] and is actively hiring officers to increase their security staff.

Comments:

None

Findings:

None

Recommendations:

None

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**2017 CPUC SYSTEM SECURITY REVIEW CHECKLIST FOR  
SAN FRANCISCO BAY AREA RAPID TRANSIT DISTRICT**

<b>Checklist No.</b>	<b>2</b>	<b>Element</b>	<b>Process for Management of Threats and Vulnerabilities</b>
<b>Date of Audit</b>	September 22, 2017  [REDACTED] BART Headquarters 300 Lakeside Drive 18 <sup>th</sup> Floor Oakland, CA 94612	<b>Department(s)</b>	BART Police Department
<b>Auditors/ Inspectors</b>	[REDACTED]	<b>Persons Contacted</b>	[REDACTED], Manager of Security Programs

**REFERENCE CRITERIA**

1. General Order 164-D
2. BART System Security Program Plan (SSP), dated February 2016.

**ELEMENT/CHARACTERISTICS AND METHOD OF VERIFICATION**

**Process for Management of Threats and Vulnerabilities**

Interview the BART representatives responsible for the protection against threats and vulnerabilities. Review the SSP, [REDACTED] and related documents for the past three years to determine if:

1. BART performs [REDACTED] that identifies facilities and systems containing critical assets [REDACTED]
2. [REDACTED]

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3.

[REDACTED]

4. BART Police and Safety departments have conducted periodic tests and drills

5.

[REDACTED]

6.

[REDACTED]

7.

[REDACTED]

**FINDINGS AND RECOMMENDATIONS**

Activities:

Staff interviewed BART Police [REDACTED] responsible for Management of Threats and Vulnerabilities and determined the following:

Findings:

1. Staff was provided with a copy of the [REDACTED]  
[REDACTED]  
[REDACTED]  
[REDACTED]  
[REDACTED]  
[REDACTED]  
[REDACTED]  
[REDACTED]  
[REDACTED]  
[REDACTED]  
[REDACTED]. The report identified options for BART to consider for implementation.

2. Staff was provided with a copy of the [REDACTED]  
[REDACTED]

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- [REDACTED]
- [REDACTED]
3. BART Police stated [REDACTED]
  4. See the 2017 BART Triennial Safety Review [REDACTED] for details of Safety and Security drill performed. Staff reviewed records to verify BART conducted periodic tests and drills to evaluate and identify threats and vulnerabilities emergency drills.
  5. BART's [REDACTED] have received a high score and have a law-enforcement presence including the downtown Oakland Stations, Transbay tube, both transition structures, and the downtown San Francisco Stations.
  6. BART Police Department New Hire Security Orientation program discusses cyber security [REDACTED]. Staff was provided with a copy of the [REDACTED]. New employees sign-off receipt of initial training as required.
  7. The BART Security Meeting includes an Agenda Item [REDACTED]. The Security Meeting is attended by the Police Chief, BART [REDACTED], and BART Executive Managers. [REDACTED].

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Comments:

None

Findings:

None

Recommendations:

None

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**2017 CPUC SYSTEM SECURITY REVIEW CHECKLIST FOR  
SAN FRANCISCO BAY AREA RAPID TRANSIT DISTRICT**

<b>Checklist No.</b>	<b>3</b>	<b>Element</b>	<b>ID Concepts for Passenger and Employee Security</b>
<b>Date of Audit</b>	September 22, 2017 [REDACTED] BART Headquarters 300 Lakeside Drive 18 <sup>th</sup> Floor Oakland, CA 94612	<b>Department(s)</b>	BART Police Department
<b>Auditors/Inspectors</b>	[REDACTED]	<b>Persons Contacted</b>	[REDACTED], Manager of Security Programs

**REFERENCE CRITERIA**

1. General Order 164-D
2. BART System Security Plan (SSP), February 2016.

**ELEMENT/CHARACTERISTICS AND METHOD OF VERIFICATION**

**ID Concepts for Passenger and Employee Security**

Interview the BART representatives responsible for the Security & Communication involvement. Review the security incident reporting program for the past three years to determine if:

1. BART Police has been implementing the elements of "Community Oriented Policing Philosophy" [REDACTED];
2. BART Police has been implementing "Quarterly Operational Inspection Reviews" to find areas of need and areas of improvement;
3. BART Police has been implementing the elements of [REDACTED] to track high crime areas and allocate resources to most effectively reduce crime and improve police performance;
4. [REDACTED]

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5. [REDACTED];  
[REDACTED].

## FINDINGS AND RECOMMENDATIONS

### Activities:

Staff interviewed the BART Manager of Security responsible for [REDACTED] and determined the following:

1. BART Police has several community outreach programs performed with the community on a regular basis. Community Oriented Policing promotes the community, police partnerships and proactive problem solving to reduce crime and social disorder. [REDACTED]

[REDACTED] Staff was presented with 2015, 2016, and 2017 calendars identifying various scheduled events as follows: [REDACTED]

2. BART Police provided Staff with [REDACTED] BART's Security Records Department keeps all incidents on file. [REDACTED]

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Staff selected [REDACTED] as follows:

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

BART's Chief of Police or a designee appointed by the Chief of Police reviews and approves all reports. Staff is not provided the final evaluation because BART treats the information as confidential.

3. BART Police uses various methods to reduce and prevent crime on the BART system. [REDACTED]

[REDACTED]. BART Police Performance Measurements monthly, weekly and daily reports are created accordingly. From the monthly, weekly and daily reports, BART creates a BART Police Department Compstat report by using the SARA (Scanning Analysis Response Assessment) plan/method. The BART Police Department Compstat report that's presented to the Chief of Police on a weekly basis. The Chief of Police gets one presentation per week for a given zone. As a result the Police Chief will see zone 1 this week, then zone 2 next week, zone three the following week, etc. BART Police uses these reports and daily bulletins to put officers in areas where they're most needed and [REDACTED]

[REDACTED]

[REDACTED] Staff was presented with 10 meeting agendas dated 2014-2016, which are not confidential but the meeting minutes and substance of the discussions are treated by BART as confidential. Consequently, Staff does not review these during the

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audit process. Agenda items are as follows:

- Introductions
- Approve previous meeting minutes
- Goals and Objectives
- New and old project status
- Roundtable
- Future Topics
- Dates of agendas [REDACTED]

[REDACTED] Staff was presented with a 2016 calendar identifying various items to be fixed from May to October. The [REDACTED]

[REDACTED] that supports BART's Police security infrastructure.

Comments:

None

Findings:

None

Recommendations:

None

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**2017 CPUC SYSTEM SECURITY REVIEW CHECKLIST FOR  
SAN FRANCISCO BAY AREA RAPID TRANSIT DISTRICT**

<b>Checklist No.</b>	4	<b>Element</b>	<b>Process for Internal Security Reviews</b>
<b>Date of Audit</b>	September 22, 2017  ██████ BART Headquarters 300 Lakeside Drive 18 <sup>th</sup> Floor Oakland, CA 94612	<b>Department(s)</b>	BART Police Department
<b>Auditors/Inspectors</b>	██████████	<b>Persons Contacted</b>	██████████, Manager of Security Programs

**REFERENCE CRITERIA**

1. General Order 164-D
2. BART System Security Plan (SSP) dated February 2015, Section 1.8.

**ELEMENT/CHARACTERISTICS AND METHOD OF VERIFICATION**

**Process for Internal Security Reviews**

Interview the BART representatives responsible for the ██████████  
██████████ the appropriate procedure and audit reports for the past three years to determine if:

1. BART Safety Department annually performed ██████████.
2. BART addressed all of the required security program elements within the past three year audit cycle.
3. BART provided CPUC Staff with the ██████████  
██████████.
4. BART's ██████████ annual report includes the findings and corrective actions.
5. BART submits its ██████████

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[REDACTED] for approval and certification. The [REDACTED] copy is submitted to CPUC Staff to show compliance with its SSP and to show the status of BART's subsequent Corrective Actions.

6. BART prepares, implements, and tracks the corrective action plans and schedules to completion.

## FINDINGS AND RECOMMENDATIONS

### Activities:

Staff interviewed BART representatives responsible for [REDACTED] [REDACTED] for the last three years and determined the following:

1. BART System Safety Department (BSSD) [REDACTED] [REDACTED] BART Police Department (BPD) is responsible for the overall security of the BART System. [REDACTED]  
[REDACTED]  
[REDACTED]  
[REDACTED]  
[REDACTED]  
[REDACTED]  
[REDACTED]
2. The 5-elements required under BART security program were scheduled as required and audited within the last three years.
3. [REDACTED]  
[REDACTED] CPUC representative was notified via email on [REDACTED]. BART's [REDACTED] was conducted on [REDACTED], CPUC representative was notified via email on [REDACTED]. BART's [REDACTED]  
[REDACTED], CPUC representative was notified via email on [REDACTED].

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4. BART's [REDACTED] annual reports include findings and corrective action plan.
5. BART's System Safety Department submitted the [REDACTED]  
[REDACTED]  
[REDACTED] The [REDACTED]  
[REDACTED] reports were submitted to CPUC Staff to show compliance with its SSP. The BART annual reports dates and CPUC approval dates are shown below:

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

6. BART System Safety Department is responsible for [REDACTED]  
[REDACTED], corrective action plans, and schedules to completion. All security recommendation have been completed and no exceptions were noted. Staff reviewed the following [REDACTED].

Comments:

None

Findings:

None

Recommendations:

None

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<b>2017 CPUC SYSTEM SECURITY REVIEW CHECKLIST FOR SAN FRANCISCO BAY AREA RAPID TRANSIT DISTRICT</b>			
<b>Checklist No.</b>	<b>5</b>	<b>Element</b>	<b>Process for Generating its Security Plan</b>
<b>Date of Audit</b>	September 22, 2017  [REDACTED]: BART Headquarters 300 Lakeside Drive 18 <sup>th</sup> Floor Oakland, CA 94612	<b>Department(s)</b>	BART Police Department
<b>Auditors/ Inspectors</b>	[REDACTED]	<b>Persons Contacted</b>	[REDACTED], Manager of Security Programs
REFERENCE CRITERIA			
<ol style="list-style-type: none"> <li>1. General Order 164-D</li> <li>2. BART System Security Plan (SSP)</li> </ol>			
ELEMENT/CHARACTERISTICS AND METHOD OF VERIFICATION			
<p><b>Process for Generating its Security Plan</b></p> <p>Interview the BART representative(s) responsible for SSP administration. Review the SSP implementation, and update process of the SSP for the past three years to determine if:</p> <ol style="list-style-type: none"> <li>1. BART annually reviews the SSP, completes updates as necessary and major revision versions are tracked within the SSP;</li> <li>2. BART's SSP is available to all BART employees and BART contractors;</li> <li>3. BART's SSP is coordinated with other BART plans as specified in [REDACTED];</li> </ol>			

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4. BART has an existing process to track all Corrective Action Plan(s) incorporated, or to be incorporated, in the SSP Conclusion.

## FINDINGS AND RECOMMENDATIONS

### Activities:

Staff interviewed BART representatives responsible for reviewing and updating its SSP for the last three years and found the following:

1. The BART SSP has an [REDACTED] that keeps track of the annual revisions. The last revision was completed in [REDACTED] and BART Security Department monitors and updates the plan as needed with minor editorial comments. BART's new Police Chief was hired in May 2017 and the plan update is scheduled after issuance of the CPUC's 2017 BART Triennial Report. BART's memorandum to the CPUC representative dated 9/9/2014 identified a revised SSP dated September 4, 2014. BART memorandum to the CPUC representative dated 6/4/2015 identified a revised SSP dated June 1, 2015.
2. BART has an employee training program that addresses the SSP element as well. Both employees and contractors can have access to the SSP if needed via BART's [REDACTED]. A hard or electronic copy is provided to employees and contractors for official use only. The SSP is a confidential document and cannot be distributed outside the agency by any employee or contractor.
3. BART Security Department has an ongoing process to update the incorporated documents such as [REDACTED].  
Some of the documents are continually being updated and/or as needed. BART's Manager of Security Programs presented Staff with an example of updating [REDACTED] for review.
4. BART SSP track changes are documented with the BART Police [REDACTED] Microsoft word version copy. This copy is presented at

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Security meetings to all BART department managers requesting input or comments. No corrective action plans to the SSP were necessary for the last three years. The SSP is currently being revised.

Comments:

None

Findings:

None

Recommendations:

None

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