



OFFICE *of* INSPECTOR GENERAL
NATIONAL RAILROAD PASSENGER CORPORATION

SAFETY AND SECURITY:

Physical Security Vulnerabilities at Washington Union Station
and Ivy City Yard

Certain information in this report has been redacted due to its sensitive nature.

OIG-A-2019-009 | July 22, 2019

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Memorandum

To: DJ Stadtler
Executive Vice President/Chief Administration Officer

Scot Naparstek
Executive Vice President/Chief Operations Officer

From: Eileen Larence *Eileen Larence*
Acting Assistant Inspector General, Audits

Date: July 22, 2019

Subject: *Safety and Security: Physical Security Vulnerabilities at Washington Union Station and Ivy City Yard (OIG-A-2019-009)*

Amtrak (the company) strives to provide efficient and reliable intercity passenger rail service while ensuring the safety and security of its passengers and employees. Washington Union Station (the station), the company's second-busiest station, served more than five million riders and generated about \$575 million in revenue in fiscal year (FY) 2018. Located near the U.S. Capitol, the station is open 24 hours a day, 7 days a week, serving commuter rail providers and local and regional bus lines.¹ Ivy City Yard (the yard) is about two miles from the station and includes a maintenance facility and coach yard to service Amtrak and commuter trains serviced by Amtrak employees. More than 1,000 employees and contractors work at these facilities.

Our objective was to assess the company's efforts to ensure the physical security of the station and yard.² The company does not own the station; therefore, we focused our review on security measures in the areas the company controls or subleases. We also focused our review on company actions to address security weaknesses identified in its risk assessments, which included video surveillance and communication equipment

¹ The station is the southernmost point of the company's Northeast Corridor, which generated more than \$1.3 billion of Amtrak's \$3.2 billion in FY 2018 operating revenues. The station also annually serves about 5 million commuters on Maryland Area Regional Commuter and Virginia Railway Express trains, 206 million riders of the Washington Metropolitan Area Transit Authority subway system, and 2 million riders of private and commercial bus lines.

² This review is a follow-on to our 2018 audit examining physical security practices at Philadelphia's 30th Street Station and Penn Coach Yard, which identified several security vulnerabilities. *Safety and Security: Longstanding Physical Security Vulnerabilities in Philadelphia Pose Risks* (OIG-A-2018-007), April 24, 2018.

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issues. We supplemented this analysis with our observations of company practices in the station and yard—including the practices of the company’s contracted security guards—during multiple visits to each location. We also compared the company’s security efforts to relevant company policies that contribute to physical security, as well as private- and public-sector management control and security standards. To provide additional context, in October 2018 we conducted focus groups of 89 frontline company employees who work in the station or yard. For more information on our scope and methodology, see Appendix A. For a summary of our focus group results, see Appendix B.

SUMMARY OF RESULTS

The company has taken important steps to address some security vulnerabilities at Washington Union Station and Ivy City Yard, but other longstanding security weaknesses remain unaddressed and are placing passengers and employees at risk. We identified weaknesses in the perimeter and interior security in the station and yard, including poor lighting, nonworking video surveillance cameras, and an inefficient incident reporting process made worse by the use of obsolete radio equipment. Most of the weaknesses we identified can be attributed to unclear roles and responsibilities for prioritizing, addressing, and funding security projects as accountability is diffused across company departments. Further, ineffective monitoring of the company’s contracted security guards exacerbates these challenges. We identified the following specific weaknesses in the station’s and yard’s physical security:

- **The [REDACTED] entrance to the station is vulnerable to trespassers.** Company officials told us that the barriers—a roll gate and hydraulic wedge—had been inoperable since at least 2015. Further, screening at the entrance has been inconsistent because security guards are not regularly fulfilling their contractual duties, and the company does not effectively monitor them. As a result, trespassers could use the entrance to access the station, platforms, and tracks—including the [REDACTED], which passes [REDACTED]. In March and April 2019, the company made some security enhancements to this entrance after a trespasser drove a vehicle through the entrance and station, and onto the tracks. These enhancements included repairing the hydraulic wedge, installing an arm gate, and posting new signage; however, controlling pedestrian access at this entrance may still be a challenge.

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- **Interior doors in the station are not secure** because [REDACTED] are not maintained, combination lock codes are not changed regularly, card reader devices are not effectively used, and doors are propped open.³ For example, station employees told us that combination codes in the baggage claim area have not been changed for years, and doors are regularly propped open. As a result, restricted areas of the station are vulnerable to trespassers and unauthorized employees.
- **The coach yard, which is used to park Amtrak and commuter trains, is not secure** because it does not have [REDACTED], and the main building does not have [REDACTED]. As a result, company assets such as copper cables have been stolen from the yard, and employees told us that trespassers sleep in the [REDACTED] and use the employee [REDACTED] and [REDACTED] in the main building.
- **Maintenance facility security vulnerabilities exist**, including gates left open and security guards who are not consistently checking identification and parking permits at the entrance. As a result, unauthorized vehicles and persons could access the maintenance facility, which poses security risks to employees and company property.
- **Yard lighting is inadequate.** For example, during our visit on October 18, 2018, we found that [REDACTED] of the [REDACTED] light poles that we inspected ([REDACTED] percent)⁴ had only [REDACTED] or [REDACTED] lights working. Yard employees told us they sometimes bring lights to their work area, and we observed that the company also added portable lights run by generators to address the poor lighting in the yard, at an additional expense to the company. Yard supervisors and employees said that the poor lighting makes them more vulnerable to security and safety incidents and hinders their ability to effectively do their jobs.
- **Some video surveillance cameras in the station and yard are not operational.** This is a continuing weakness we first identified in our August 2016 report on the company's video surveillance systems.⁵ When we visited in November 2018,

³ We also reported on similar challenges in securing Philadelphia's 30th Street Station, see *OIG-A-2018-007*).

⁴ For this report, we rounded calculated percentages to the nearest whole number.

⁵ *Information Technology: Progress Made Installing Video Surveillance Systems, But Coverage and Performance Could Be Improved* (*OIG-A-2016-010*), August 9, 2016.

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we found that [REDACTED] of the [REDACTED] cameras in the station and [REDACTED] of the [REDACTED] cameras in the yard were not working. When we visited again in February 2019, we found that [REDACTED] cameras in the station and [REDACTED] in the yard were still not working, including [REDACTED] positioned on the entrance to the critical [REDACTED], which the company identified as a high-risk asset because it runs [REDACTED] for all [REDACTED] trains. Nonworking equipment hinders the company's ability to deter, detect, and investigate criminal activity.

- **The company's incident reporting process and radio limitations hamper Amtrak police's response to security incidents.** This adversely affects the ability of Amtrak police officers to coordinate with each other, company staff, and the numerous law enforcement and security organizations operating in and around the station. This is a longstanding vulnerability. For example, the company identified challenges with its radios in its 2009 security vulnerability assessment. In addition, radio limitations were highlighted in internal company studies conducted in 2016 and 2018 and have remained unaddressed as of May 2019. The company's ability to obtain timely and accurate information to respond to reports of security incidents may be significantly limited until these longstanding communications challenges are addressed.

We recommend that the company document and initiate a plan describing how it intends to mitigate these security weaknesses, including establishing clear roles and lines of accountability for addressing each of the security vulnerabilities we identified, resources, and performance metrics to assess progress. The Chief Administration Officer agreed with our recommendation and identified specific actions and planned completion dates to address the risks we identified in our report. For management's complete response, see Appendix C.

BACKGROUND

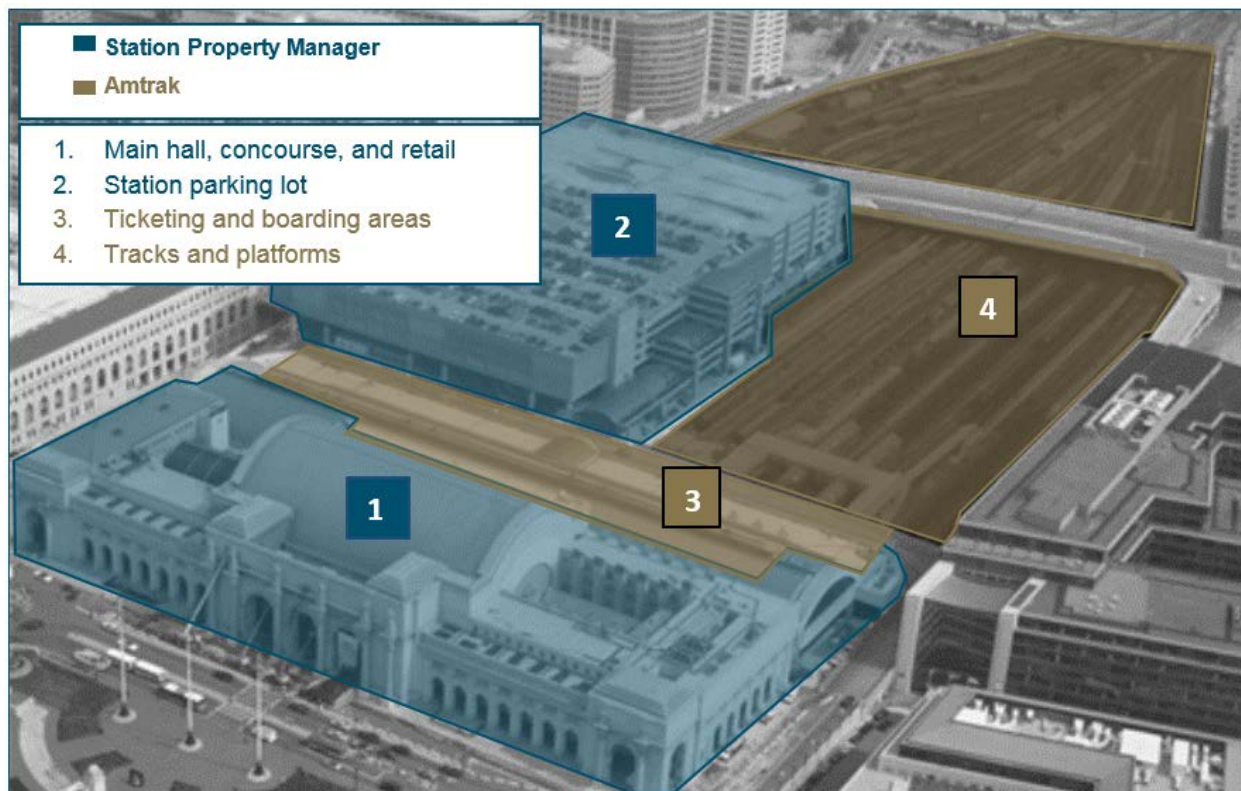
Amtrak does not own Washington Union Station, but it owns the platforms and adjacent tracks, and it subleases the ticketing, gate, and boarding areas.⁶ Security responsibilities in the station are divided between the Amtrak Police Department (APD)

⁶ The U.S. Department of Transportation owns the station and leases it to the Union Station Redevelopment Corporation, which subleases the ticketing, gate, and boarding areas to Amtrak.

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and the station's property manager⁷ that contracts for security services in the station's concourse, retail, and perimeter areas, including station entrances (see Figure 1).

Figure 1. Map of Station with Areas of Security Responsibility



Source: OIG analysis of Union Station Redevelopment Corporation information and Amtrak

APD, which is under the company's Administration department and reports to the Executive Vice President/Chief Administration Officer, provides patrols in the station, along rights-of-way, and in the yard. APD officials said they take the lead on issues in company-owned and leased areas, and they assist the property manager's security guards and the security forces of other local and federal law enforcement agencies that operate in other areas of the station and its perimeter. APD also manages the company's contract with Allied Security to provide security guards to monitor vehicles, drivers, and pedestrians entering the station's [REDACTED] entrance and the yard's maintenance facility.

⁷ Jones, Lang, Lasalle, a real estate services firm, serves as the station's property manager.

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APD's Corporate Security office is responsible for identifying company security threats and vulnerabilities. In response to recommendations from the Implementing Recommendations of the 9/11 Commission Act of 2007,⁸ the company conducted triennial risk assessments of its highest-risk stations and assets—including the station and yard—in 2009 and 2012.⁹ In addition to these companywide risk assessments, the company completed a site-specific vulnerability assessment for the station in 2015 and for the yard in 2018, which we reviewed for this audit.

Other company departments have roles and responsibilities in the station and yard:

- **The Stations, Facilities, Properties, and Accessibilities department** oversees the operation and maintenance of company-owned and leased facilities.
- **The Engineering department** is responsible for maintaining and repairing infrastructure in the station and yard, as well as along the platforms and tracks, including installing perimeter fencing or fixing doors.
- **The Mechanical department** is responsible for maintaining and repairing the company's locomotives, passenger cars, and related equipment in the station and yard.
- **The Transportation department** is responsible for overseeing the movement of trains and passengers, including ticketing, baggage, and customer service at the station.
- **The Safety, Health, and Environment department** has responsibility for and works with the Human Resources department to develop and implement security training for company employees.

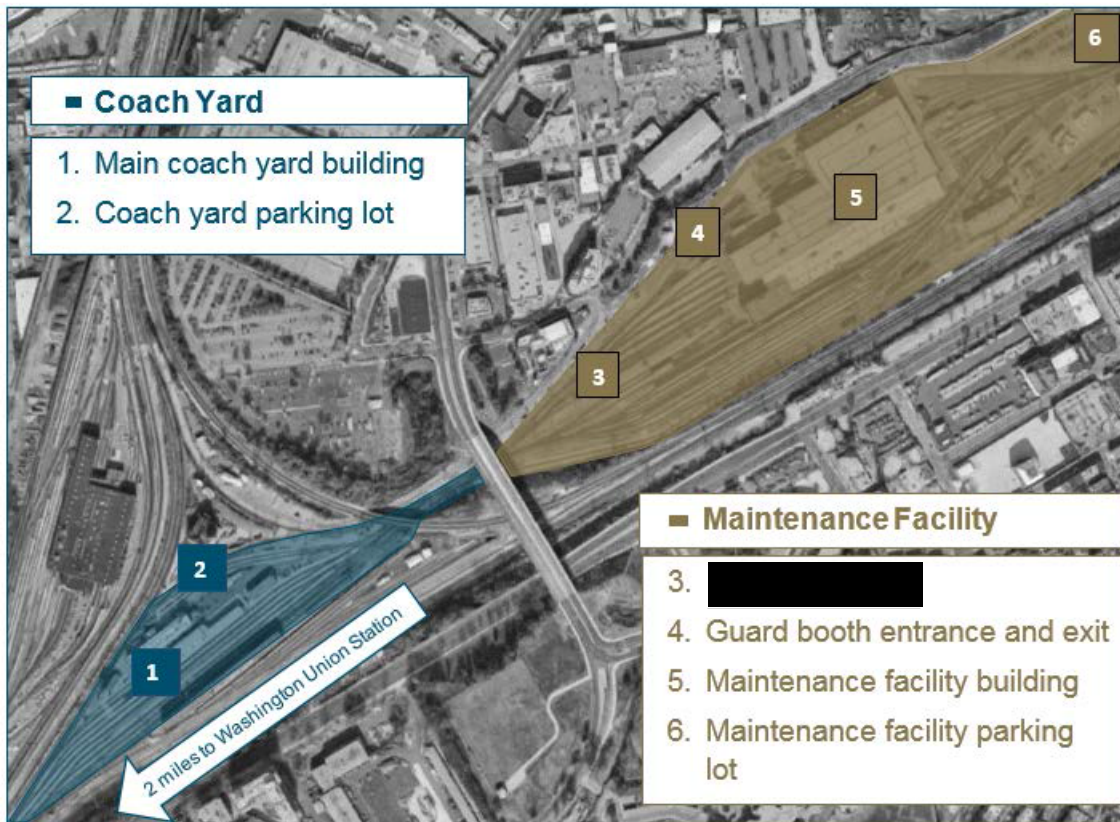
Amtrak owns Ivy City Yard, which includes the coach yard, maintenance facility, and other key buildings, infrastructure, and tracks that support these facilities (see Figure 2).

⁸ Implementing Recommendations of the 911 Commission Act of 2007, Public Law No. 110-53, 121 Stat. 266 (2007)..

⁹ The Corporate Security office plans to complete its third risk assessment in August 2019, according to a Corporate Security official.

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Figure 2. Map of Ivy City's Coach Yard and Maintenance Facility



Source: OIG analysis and Google Earth

SOME SECURITY VULNERABILITIES AT THE STATION AND YARD WERE ADDRESSED, BUT OTHERS REMAIN

The company has made progress addressing some of the physical security vulnerabilities at the station and yard; however, several security vulnerabilities remain unaddressed, including the inability to fully secure the critical [Redacted] and the station's interior doors. Further, the coach yard lacks [Redacted] and [Redacted], and security vulnerabilities exist at the maintenance facility because the installed gates are not consistently used. In addition, poor lighting, nonworking video

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surveillance cameras, inefficient incident reporting processes, and radio limitations are crosscutting problems that weaken security at the station and yard.

The Company Has Addressed Some Security Vulnerabilities

Since 2009, the company has used at least \$9 million in company and federal grant funds¹⁰ to address security weaknesses in the station and yard that it identified in companywide security vulnerability assessments. These included the following security projects and other operational improvements:

- installing bollards in front of the station
- using card readers¹¹ in the ticketing, crew base, and boarding gate areas of the station
- installing sections of perimeter fencing, a guard booth, and a gate at the maintenance facility
- using contracted security guards at the maintenance facility¹²
- installing video surveillance cameras throughout the station, trackside, and at the maintenance facility

Additional security improvement projects are underway because the company has begun placing a higher priority on funding security projects despite not having a dedicated funding source for them. For example, in FY 2018, the company allocated \$2.5 million in capital funds to replace 2,000 feet of perimeter fencing and to install card readers and additional video surveillance cameras in the yard. The company has completed the fencing project and plans to complete the other security projects by the end of 2020. In addition, the company is in the process of documenting a plan to address other security vulnerabilities; however, this plan was not complete at the time of our review, according to company officials.

We also identified the following actions the company has taken to improve security at the station:

¹⁰ Grant funds were provided by the Transportation Security Administration Intercity Passenger Rail program and the American Recovery and Reinvestment Act of 2009, Public Law 111-5, 123 Stat. 115 (2009).

¹¹ Card readers scan employee badges to identify whether the employee has access rights to open the door controlled by the card reader.

¹² Prior to 2009, the company used contracted security guards at the station's [REDACTED] entrance.

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- **Station doors are locked at night.** In January 2018, the station's property manager, which controls the station's exterior doors, agreed to APD's request to lock selected exterior doors from 11:30 p.m. to 5:00 a.m. and funnel all visitors during these hours through a security checkpoint staffed by one of its security guards. APD officials told us this effort has helped reduce trespassing and loitering and has allowed them to provide more focused policing and enforcement during these hours.
- **Limiting access to the ticketing office.** In February 2019, during our review, the Corporate Security office limited authorized access to the station's ticketing office to only those employees who work there, which is consistent with a recommendation we made in April 2018 to improve security at the company's 30th Street Station in Philadelphia.¹³ As a result, the number of employees with authorized access to the ticketing office decreased from 589 in November 2018 to 53 in February 2019.

The company has also made organizational changes and taken other companywide actions to improve security. For example, we previously reported on the management challenges that could hinder the company from meeting its security needs,¹⁴ including that its organizational structure and authority for security operations were divided between APD and the company's Emergency Management and Corporate Security office. In August 2018, the company combined these two offices and gave APD the lead corporate responsibility for implementing the company's security efforts. The company also instituted a new Corporate Security Committee composed of senior executives, which meets monthly to help ensure that the company remains focused on security threats.

With its expanded authority, APD issued companywide guidance in November 2018 for Amtrak employees to conduct daily inspections of their work areas using a facility security inspection checklist to increase employee awareness and accountability of security issues. In addition, the company began implementing a computer-based training module in May 2019 to further improve employee awareness of security issues.¹⁵

¹³ OIG-A-2018-007.

¹⁴ *Amtrak: Top Management and Performance Challenges—Fiscal Years 2019 and 2020* (OIG-SP-2018-011), September 28, 2018.

¹⁵ We previously recommended that the company develop such training, see OIG-A-2018-007.

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The [REDACTED] Entrance to the Station is Vulnerable

Despite the efforts discussed above to secure other station entry points, the [REDACTED] entrance to the station is vulnerable to trespassers because the physical barriers the company installed were not operable, and APD does not monitor its contracted security guards to ensure that they are fulfilling their duties. The company made some security improvements to the [REDACTED] entrance after a security incident on March 15, 2019, placed passengers and employees at risk. During our review, we observed the following security weaknesses that hindered efforts to secure the entrance.

The [REDACTED] entrance was open to vehicular and pedestrian traffic. During our observations from July 2018 through March 2019, we found that the roll gate and hydraulic wedge at the [REDACTED] entrance were not in use—a risk the company first identified in 2015. Company employees and Allied Security guards told us these barriers had been inoperable for years, which is inconsistent with private- and public-sector security standards requiring that physical barriers be used to restrict access to key facilities. As a result, trespassers could use the entrance to access the station, platforms, and tracks, including the [REDACTED] that passes [REDACTED]. APD officials told us these barriers were not repaired in the past because the officials were uncertain which company department was responsible for funding them.¹⁶

Screening by security guards was inconsistent. In addition, we observed that contracted security guards did not consistently check vehicles, drivers, and pedestrians that accessed the [REDACTED] entrance. This is inconsistent with the duties required by the company's contract with Allied Security, which include controlling vehicular and pedestrian movement and denying unauthorized access. As a result, the station, platforms, tracks and [REDACTED] are vulnerable to unauthorized entry. Of the 43 station employees we surveyed, 27 responded that guards are minimally effective or not effective (63 percent). The guards we interviewed said they routinely allow vehicles and employees they recognize to enter without physically observing their identifications and permits. As a result, during our unannounced inspection of the station's West parking lot on October 25, 2018, we found that 24 of the 51 parked vehicles (47 percent)

¹⁶ In March 2019, the company hired a facilities manager for the station, but the extent of this person's role regarding security is not yet defined, according to an official from the Stations, Facilities, Properties, and Accessibilities department.

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did not display valid parking permits, which is inconsistent with company parking rules.¹⁷ On March 11, 2019, we conducted a second inspection and found that none of the 11 vehicles parked in the lot displayed valid permits.¹⁸

The guards we interviewed also told us they try to monitor pedestrians, but it is often difficult to see them from the guard station, which is located [REDACTED] feet inside the entrance, and a [REDACTED] blocks a portion of their view (see Figure 3). These guards told us that, as a result, pedestrians trespassing through the [REDACTED] entrance are their biggest security challenge.¹⁹ The guards told us they were uncertain as to the extent of their role in preventing pedestrian trespassers and were unaware of the August 2018 operations manual that describes such duties.

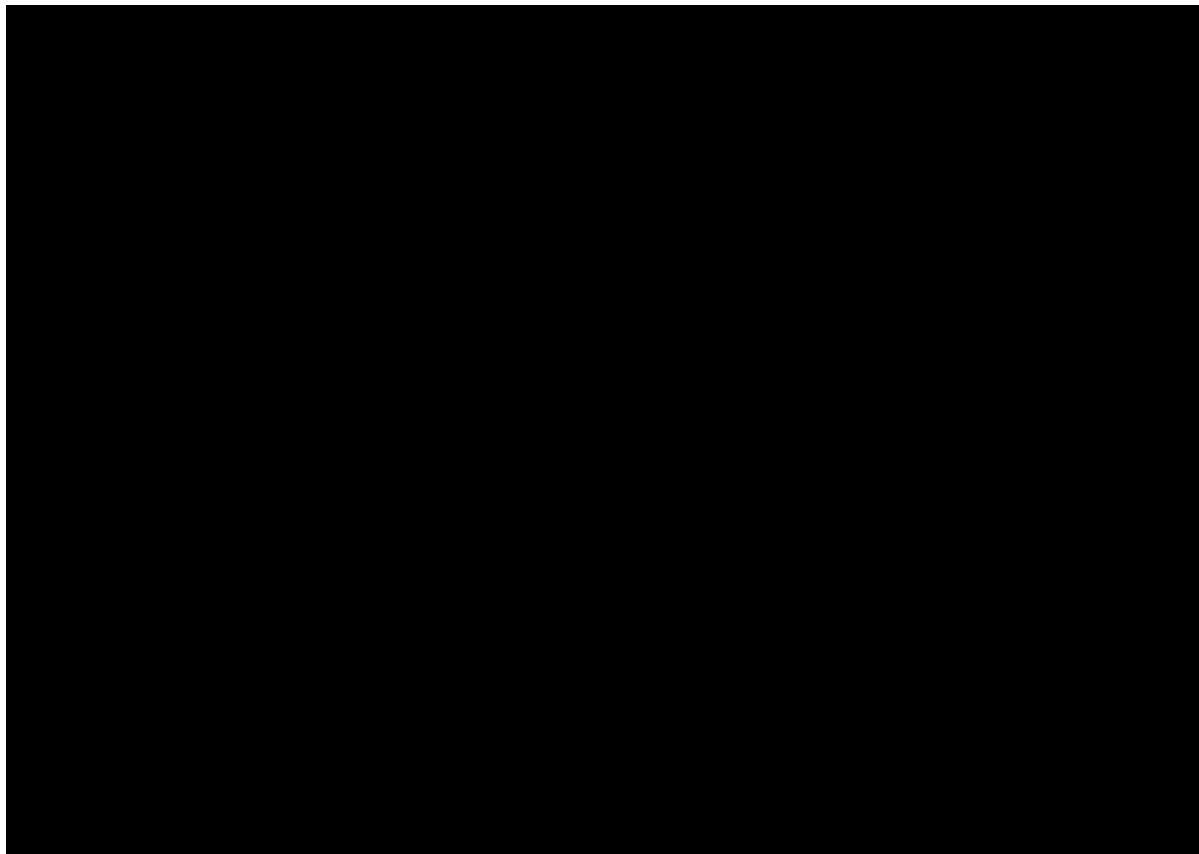
¹⁷ 2018 Parking Rules Amtrak Union Station.

¹⁸ The number of vehicles we inspected in March 2019 decreased from October 2018 because construction activity in the garage limited the number of parking spaces available during our second inspection.

¹⁹ They also said the problem is exacerbated by Amtrak employees and contractors who do not properly display their badges.

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Figure 3. Security at the Station's [REDACTED] Entrance, as of February 2019



Source: OIG photograph, February 19, 2019

Security guards were not regularly performing their contractual duties because APD was not effectively monitoring them to ensure that these activities were occurring. For example, APD does not conduct or document the results of periodic observations to assess security contractor performance. This is inconsistent with company policy²⁰ that requires the company to ensure that the services received are in accordance with the contract requirements. APD officials told us that supervisors should contact the security guards during each shift to update APD on activity at the entrance. However, this communication is not an effective tool for overseeing the contractors' performance—a companywide challenge we recently reported on²¹—because it does not provide information on whether the guards are trained and fulfilling their duties.

²⁰ Amtrak Procurement Manual, December 2015.

²¹ *Acquisition and Procurement: Weaknesses in Contract Oversight Pose Financial, Operational, and Legal Risks* (OIG-A-2019-004), March 4, 2019.

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Some actions were taken to secure the entrance after a security incident occurred. During our review, the security at this entrance was weak because of the lack of physical barriers and inconsistent security guard screening, which increased the risk of unauthorized entry.²² The company had ongoing plans during our review to address the lack of physical barriers; however, on March 15, 2019, a trespasser used the open entrance to access the station and drove an unauthorized vehicle onto the tracks (see Figure 4). In a review of video surveillance coverage of the incident, we observed that the physical barriers were not in place at the entrance, and the guard did not effectively screen the driver of the vehicle, permitting unauthorized access to the station. This placed passengers and employees at risk.

Figure 4. Driver Drove Through [REDACTED] Entrance and onto Tracks



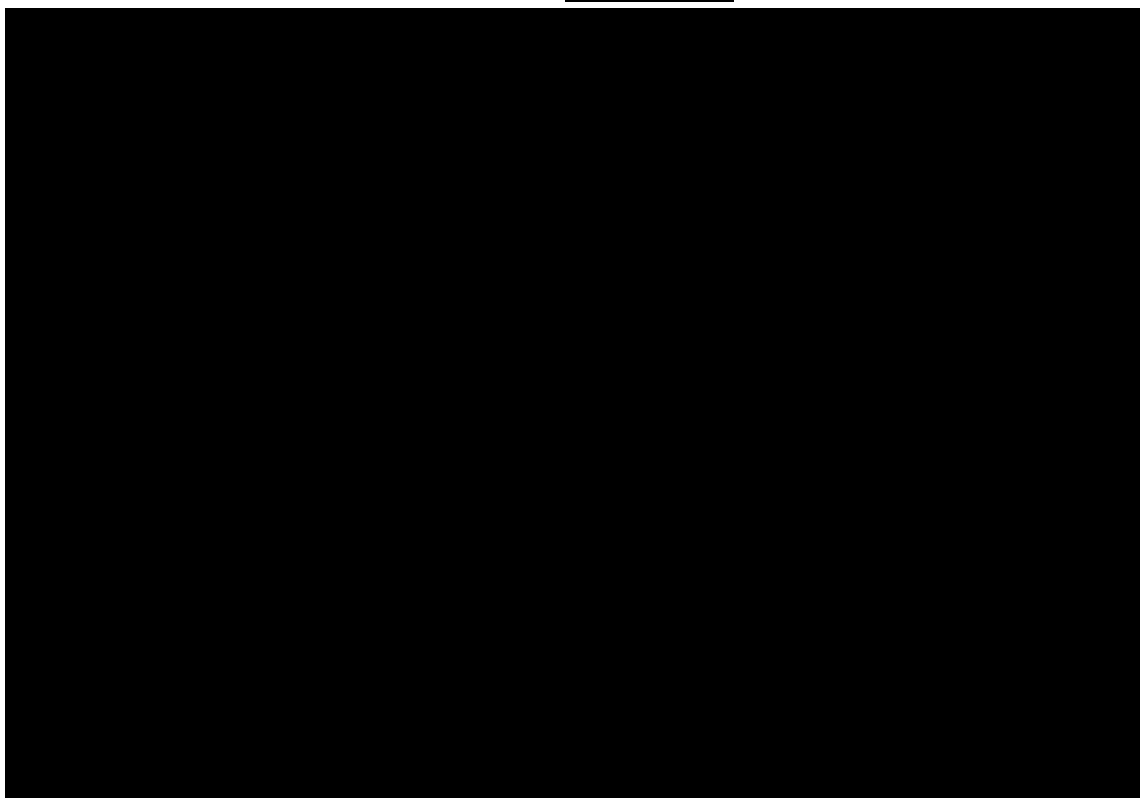
Source: OIG photograph, March 15, 2019

To improve security at the [REDACTED] entrance, company officials implemented some of the planned enhancements in March and April 2019 after the March 15, 2019 incident, including repairing the hydraulic wedge, installing an arm gate, and posting new signage (see Figure 5). However, the roll gate remained inoperable, and the [REDACTED] continued to block the guards' view of the entrance, making it difficult to control pedestrian trespassers at this entrance.

²² On March 13, 2019, we discussed these observations with APD officials.

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Figure 5. Security at the Station's [REDACTED] Entrance, as of April 2019



Source: OIG photograph, April 16, 2019

Interior Doors in the Station Are Not Secure

Doors that control access to company offices and restricted areas within the station are not secure because the company has not identified which department is responsible for developing and enforcing policies related to locks, keys, and doors. We found the following vulnerabilities.

No [REDACTED] exists, and access codes are not changed. Company officials do not maintain a [REDACTED] for interior station doors, which is inconsistent with company policy²³ and our prior recommendation.²⁴ In addition, the company does not regularly change the access codes for combination door locks and does not have a policy on how often they should be changed, which is inconsistent with management

²³ Amtrak Reservations, *Ticketing and Station Procedures Manual*, Station Security—[REDACTED] and Safe Combinations, May 2, 2016.

²⁴ OIG-A-2018-007.

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control standards. APD and Station Services supervisors told us they maintain [REDACTED] for their respective areas but were not aware of anyone responsible for maintaining a [REDACTED] for all interior station doors. They were not aware of a company policy to change codes on combination locks or which department would be responsible for doing so. They also told us that some codes in the baggage claim area have not been changed for years, increasing the risk of unauthorized access.

Ineffective use of card readers. The company installed [REDACTED] card readers to restrict access to areas of the station, including the ticketing, crew base, and boarding gate areas. We found, however, that the [REDACTED] card readers installed on boarding gate doors ([REDACTED] percent) are not being used as intended to control passenger access to the platforms and trains, which is inconsistent with company policy.²⁵ Station Services employees told us that the card readers and door locks are not compatible and do not lock, and that nonticketed persons often use the gates to access the platform and board trains. A Corporate Security official said a redesign is needed to ensure integration with the station's fire alarm system, but that no efforts are underway to address this issue because of forthcoming station redevelopment efforts that will affect the boarding gate areas. The platforms will remain open to unauthorized access until this is resolved.

Doors are propped open. During our visits to the station in July 2018 and October 2018, we observed doors that were propped open and door locks that were taped to stay open (see Figure 6). Both practices are inconsistent with the company security handbook²⁶ and leave restricted areas vulnerable to trespassers and unauthorized employees. As a result, company property is at risk of theft or misuse.²⁷

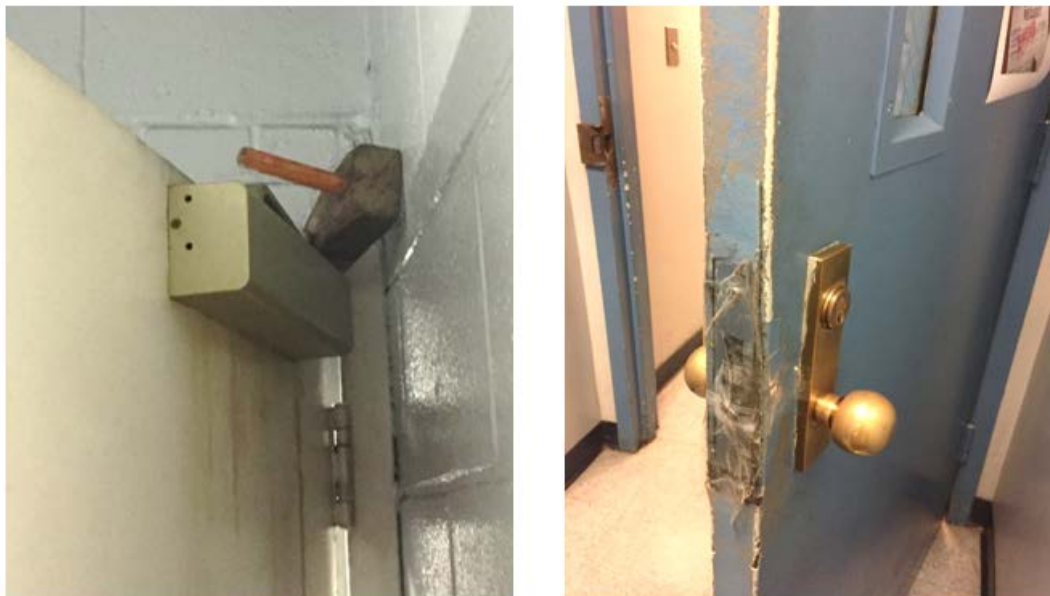
²⁵ Amtrak Policy 3.15.1 Employee and Contractor Identification Card Policy (Smart ID).

²⁶ Employee Security Handbook, 02-2580.

²⁷ Theft and trespassing accounted for 57 percent of incidents APD reported in the station in FY 2018.

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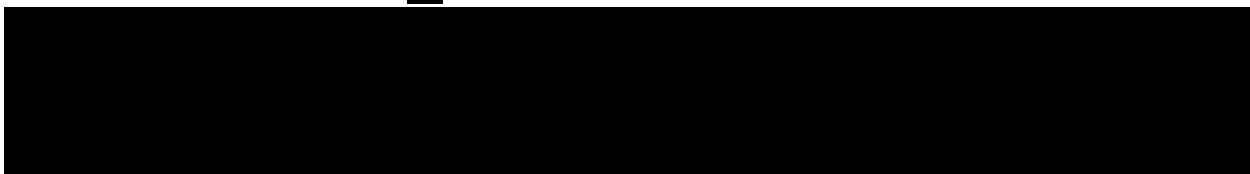
Figure 6. Stairwell Door Propped Open and Station Door Lock Taped Open



Source: OIG photographs, October 9, 2018

The Corporate Security office can identify the number of times that interior station doors with card readers were held open beyond a designated time, which indicates that they have been propped open. We reviewed reports for a week in November 2018 and a week in January 2019 and found that more than [REDACTED] of the [REDACTED] doors with card readers were propped open at least once (see Figure 7). Observations from station employees were consistent with this data: more than two-thirds of those we surveyed told us they regularly see propped doors in their work areas.

Figure 7. Percentage of [REDACTED] Card Reader Doors Propped Open in One Week



Source: OIG analysis of Corporate Security data

During our audit, a Corporate Security supervisor told us he contacted the offices that had the most frequently propped-open doors with card readers, and he asked them to keep the doors closed. However, the employee noted that this follow-up is not typical, and the Corporate Security office usually monitors the card readers only to ensure that they are operational. Company officials told us the company has not designated a

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department or official to enforce the policy to keep the doors closed and said that each employee is responsible for doing so.

For doors without card readers, the company is unable to systematically identify doors that are propped open and relies on individual employees to adhere to company policy. To help address this problem, in April 2019 during our review, APD implemented a staff awareness campaign called “Stop the Prop.” In addition, the facility security inspection checklist includes a step to ensure that locked doors are secure and not propped open. Although these are positive efforts to increase employee awareness, the company has not assigned responsibility to ensure that doors are not propped open, which is inconsistent with management control and security standards.

The Coach Yard is Not Secure

[REDACTED] at the coach yard where Amtrak, commuter train sets, and private rail cars are parked before they are used or serviced. Security projects to address weaknesses have not been prioritized or funded. We observed the following vulnerabilities.

[REDACTED] do not exist. The coach yard does not have [REDACTED] a [REDACTED], a [REDACTED], or [REDACTED] to deter or prevent [REDACTED] and [REDACTED] which is inconsistent with company security standards.²⁸ The company has focused its efforts on securing the maintenance facility assets and has not made it a priority to fund security projects in the coach yard.

As a result, the coach yard remains [REDACTED] and [REDACTED]. For example, during our October 18, 2018 unannounced inspection of parking in the coach yard, we found that 16 of the 20 vehicles parked (80 percent) did not display a valid parking permit. We conducted a second unannounced inspection on March 11, 2019, and found that 17 of 41 vehicles did not have valid permits (41 percent). Further, yard employees told us trespassers sleep on and vandalize company [REDACTED] and [REDACTED] stored in the yard. They also reported the theft of company and commuter railroad assets, including copper wire cables, which prevented the commuter trains from leaving the yard as scheduled. From 2016 to 2018, APD responded to at least seven

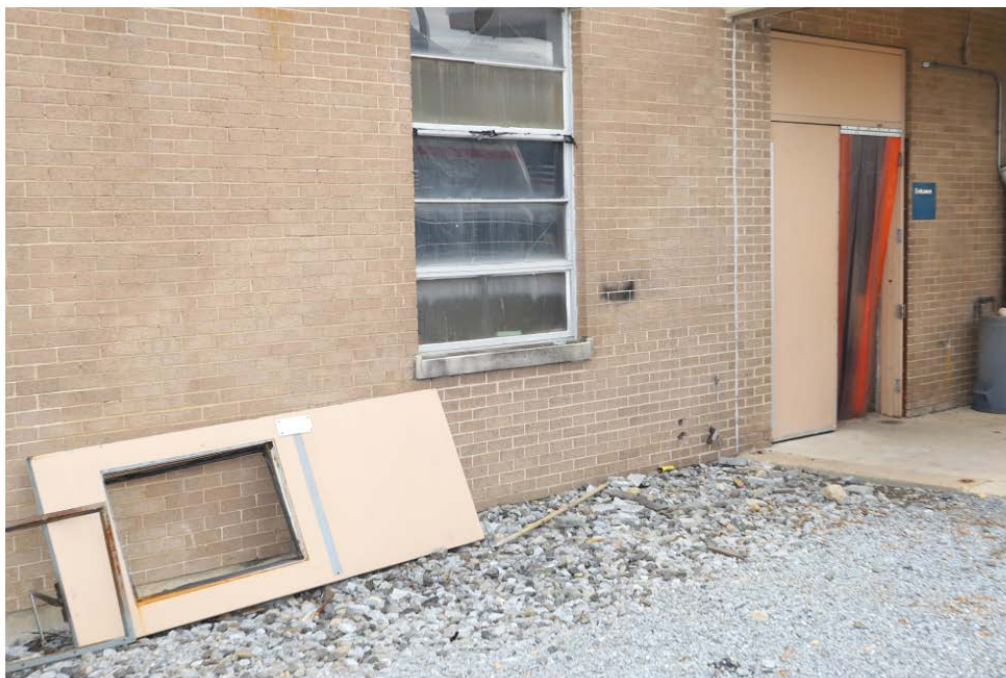
²⁸ Amtrak Physical Security Criteria for Amtrak Facilities, Version 1.0, July 2018.

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reported incidents of theft in the coach yard, including property theft from Amtrak trains.²⁹

Main building [REDACTED] of the [REDACTED] to the main Engineering building in the coach yard [REDACTED] and [REDACTED] (see Figure 8). In addition, we were told the building has only [REDACTED] and [REDACTED]. This lack of security to prevent unauthorized access into the building is inconsistent with company policy.³⁰

Figure 8. [REDACTED] *in Coach Yard Building*



Source: OIG photograph, November 27, 2018

Note: On March 6, 2019, we observed that the door was in the same location as depicted above.

Coach yard employees told us that the [REDACTED] is a key security concern and said they have observed trespassers using the employee [REDACTED] and [REDACTED] in the building. Engineering supervisors in the building told us that replacing the [REDACTED] and [REDACTED] has not been identified as a

²⁹ The APD data we received on reported incidents did not identify whether the suspects of the thefts were trespassers or company employees.

³⁰ Amtrak Policy 3.22.0, Facilities Standards, March 16, 2009.

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priority. In September 2018, the Corporate Security office recommended replacing the exterior doors and installing card readers, among other things; however, it was unclear which department would be responsible for prioritizing the projects, securing funding, and implementing the specific projects.³¹ In June 2019, a Corporate Security official said that APD requested FY 2020 capital funds for these projects and that the Corporate Security office will be responsible for implementing them.

Maintenance Facility Security Vulnerabilities

Although the company has installed security measures to address physical security at the maintenance facility, vulnerabilities exist because no one is ensuring that they are used effectively. We observed the following vulnerabilities.

Guard screening and use of entrance and exit gates is inconsistent. During our visits from July 2018 to March 2019, we observed that the contracted security guard did not consistently check identification and parking permits at the entrance gate, which is inconsistent with the guards' contractual requirements and company policy.³² Yard supervisors and employees said the guard routinely allows vehicles in without physically checking the validity of identification and parking permits.

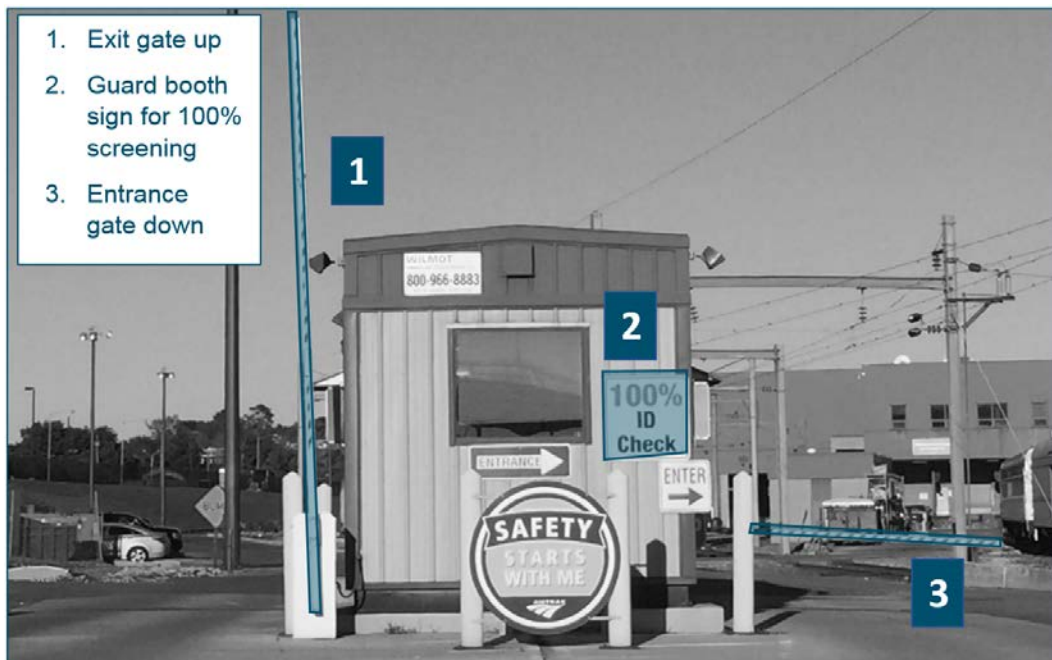
In addition, the guard does not consistently close the entrance and exit gates to secure the facility. The guard sometimes leaves the entrance gate open and unattended, and the exit gate is always open, according to yard supervisors and employees. During our unannounced visit on October 24, 2018, we observed that the entrance gate was open with no guard. Further, during each of our visits, we observed that the exit gate was always open, which could allow a vehicle to bypass the entrance gate and drive directly into the maintenance facility (see Figure 9). In addition, we observed that no signage exists indicating that this is a restricted Amtrak facility.

³¹ This is a similar challenge we previously identified that hindered the company from completing security projects at Philadelphia's 30th Street Station and Penn Coach Yard, see OIG-A-2018-007.

³² APDF-90 091105. 2018 Parking Application Ivy City/Coach.

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Figure 9. Exit Gate Left Open, Enabling Vehicles to Bypass the Entrance Gate



Source: OIG photograph, October 24, 2018

Note: On March 6, 2019, we observed that the exit was in the same position as depicted above.

As a result, unauthorized vehicles and persons are accessing the maintenance facility because APD does not effectively monitor the security guards to ensure that they are performing their duties. During our site visit on October 24, 2018, we inspected the maintenance facility parking lots and found that 58 of the 240 vehicles parked there (24 percent) did not properly display a valid parking permit. We inspected again on March 11, 2019, and found that 24 of the 214 vehicles did not have a valid permit (11 percent).³³

This lack of effective screening presents security risks to employees and company property. For example, a yard employee we interviewed told us that a former employee was able to access the maintenance facility and visit a prior work area where the former employee threatened the employee and damaged the employee's car tires in the maintenance facility parking lot. Company employees also told us about similar trespassing incidents that included threats of violence by a former employee and an employee's spouse. In addition, Mechanical department supervisors told us they now

³³ A maintenance facility supervisor attributed this improvement to the company's 2019 permit application process, emphasizing that employees have valid parking permits for the maintenance facility.

Certain information in this report has been redacted due to its sensitive nature.

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provide the security guards with pictures of unauthorized individuals who should not be allowed access to the yard.

The [REDACTED] is regularly left open. The [REDACTED] is designed to restrict vehicular access from the public road to the back of the [REDACTED]. It is a manual gate that does not have a security guard and is regularly left open, which is inconsistent with company security standards. During our visits to the yard, the [REDACTED] was always open. Maintenance facility supervisors also told us that it is rarely closed, which could allow unauthorized vehicles to drive unchecked into the back of the [REDACTED] thereby putting employees and company property at risk. Supervisors said no one is responsible for ensuring that the gate is opened and closed when appropriate.

Inadequate Yard Lighting

We observed that many of the light poles throughout the yard were in various states of disrepair and had lights that did not work, which is inconsistent with company security standards. During our October 18, 2018 visit, we found that [REDACTED] of the [REDACTED] light poles that we inspected ([REDACTED] percent) in the parking lots and roads leading into both the coach yard and maintenance facility had [REDACTED] or [REDACTED] lights working.³⁴ Engineering supervisors in the yard told us that lighting is limited because the repair of nonworking lights has not been identified as a priority and has been deferred for years. They also told us that repairing yard lighting is challenging because lowering the aging light poles is required to change the lights, which may result in damage to the poles.

Yard managers and employees told us that poor lighting makes them vulnerable to security and safety incidents, and hinders their ability to effectively do their jobs. For example, yard employees said they sometimes bring lights to their work area. When we visited the yard on November 27, 2018, we observed that three sets of portable lights run by generators had been added in the yard to address the poor lighting. Maintenance yard supervisors told us they had added the two company-owned portable generators in response to employee concerns about lighting. They noted that the Engineering staff also had rented one for the coach yard parking lot, which we estimated could cost about \$1,000 per month, based on local rental rates.

³⁴ The light poles we inspected could hold at least three lights, and some could hold as many as eight.

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Some Video Surveillance Cameras Are Not Operational

Some of the video surveillance cameras in the station and yard are not operational because the company has not identified which department is responsible for managing and funding the maintenance and repair of these cameras. We recommended in 2016 and again in 2018³⁵ that the company revise its video surveillance system policy to identify who will be responsible for the maintenance and repair of existing video systems; however, the company had not done this as of May 2019. Engineering supervisors told us they assign staff to conduct basic repairs on video surveillance cameras as their work schedules permit and rely on the Corporate Security office to address and contract for technical repairs, such as for monitoring stations or network issues.

As a result, the company does not regularly maintain and repair the cameras, which limits its ability to deter, detect, and investigate criminal activity. Specifically, █ of the █ cameras in the station (█ percent) and █ of the █ cameras in the yard (█ percent) were not working in November 2018. This included █ cameras focused on the critical entrance to the █, which the company identified as a high-risk asset in its 2009 security assessments because it runs █ and is the █ for all █ trains and those arriving from the █. When we followed up in February 2019, we found that █ of the station cameras and █ of the yard cameras were still not working,³⁶ including █ of the cameras positioned at the █ entrance. In addition, we observed that only █ of █ monitoring stations in the yard was operational, which further limits the company's ability to use the video data. A maintenance facility employee told us that the monitoring station in her office has not worked since 2016, despite several attempts to get it repaired.

Incident Reporting Process and Radio Limitations Hamper APD's Response

An inefficient reporting process and radio limitations identified in the company's 2009 security vulnerability assessment impede the ability of station and yard employees to get a timely and accurate APD response to security incidents. The company instructs

³⁵ OIG-A-2016-2010 and OIG-A-2018-007.

³⁶ A Corporate Security employee told us that █ of these are analog cameras on the rights-of-way tracks that will not be repaired but instead will be replaced as part of future enhancements to the station and yard.

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employees to text or call APD's phone number to report a security incident, but station and yard employees told us they cannot do this because company rules prohibit them from carrying personal cellular phones unless authorized to do so.³⁷ Accordingly, these employees typically must contact their supervisors who use their department's radio to report a security incident; however, this is not a direct channel to APD, and additional steps must occur before an officer is dispatched, which can delay response times. Employees described a six-step process to obtain assistance, including routing all requests through the National Communications Center in Wilmington, Delaware (DE), rather than contacting APD directly (see Figure 10).

Figure 10. Steps for Station and Yard Employees to Obtain APD Assistance



Source: OIG analysis based on interviews with station and yard employees

APD officials told us they could not change the current process that employees use to report incidents because these employees are prohibited from carrying unauthorized personal cellular phones. They also said the current process facilitates the National Communications Center's tracking of calls to dispatch APD officers. As of March 2019, alternative solutions to improve the process had not been explored, such as the feasibility of installing emergency call boxes within Amtrak stations and facilities to enable employees and passengers to more efficiently reach APD.

In addition, technical limitations with APD's radios exacerbate this inefficient process. These limitations further impede the company's ability to respond to security incidents, and adversely affect the ability of Amtrak police officers to coordinate with company staff, each other, and with the numerous law enforcement and security organizations

³⁷ Railroad Passenger Corporation Northeast Corridor Employee Timetable No. 7 General Order: No. 702, November 5, 2018. This rule applies to the company's railroad operating employees.

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operating in and around the station. This is a longstanding vulnerability. For example, studies the company conducted in 2016 and 2018 found that APD's radios are obsolete, have poor reception, have limited range, are prone to failures, and are not interoperable with other external law enforcement agencies—placing employees and passengers at risk. APD employees we interviewed told us these issues hinder their ability to respond effectively to security incidents. For example, they told us they sometimes cannot hear the dispatch or each other because of the analog radios' poor reception. APD officials told us that they submitted a business case to the company's executive leadership to provide \$19.5 million in funding to replace its current radios; however, as of May 2019, funding had not been provided to address this issue.

APD's ability to respond timely and accurately to security incidents will be limited until these challenges are fully addressed. For example, one employee told us that 20 minutes elapsed before APD responded to his report to his supervisor that a strangely behaving trespasser had accessed a restricted area. Based on the police report, the local APD officer did not receive a dispatch for this incident until three minutes after the trespasser had already fallen from a rooftop onto a platform and suffered critical injuries. In another example, an employee told us that having to communicate a reported incident to multiple people detracts from the quality of the reported information; in one case, this resulted in APD officers arriving at the opposite end of the [REDACTED] from where they were needed. Delays and miscommunication could continue to occur until communications processes and equipment are improved.

CONCLUSIONS

The company has taken important steps to address some physical security vulnerabilities at the Washington Union Station and Ivy City Yard, but other longstanding security weaknesses remain, which continue to place passengers and employees at risk. Most weaknesses we identified can be attributed to unclear roles and responsibilities for prioritizing, addressing, and funding security projects as accountability is diffused across multiple departments. Further, ineffective monitoring of the company's contracted security guards exacerbates these weaknesses and is an example of the company's ongoing challenge in providing strong contractor oversight. Finally, the company does not have a documented plan and a dedicated source of funding to address its security vulnerabilities.

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RECOMMENDATION

To improve physical security at Washington Union Station and Ivy City Yard, including its coach yard and maintenance facility, we recommend that the Chief Administration Officer and Chief Operations Officer document and initiate a plan to address the security vulnerabilities we identified. Such a plan would include establishing clear roles and lines of accountability, resources, timeframes, and performance metrics to assess progress. At a minimum, the plan should address the following vulnerabilities, in accordance with established security standards:

- Secure the exterior entrance on [REDACTED], which includes effective monitoring of contracted security guards.
- Secure the interior station doors, which includes developing and enforcing measures to effectively maintain [REDACTED] regularly repair locks, install and use card readers, and periodically change lock combinations.
- Secure the coach yard, which includes the following:
 - enhancing [REDACTED] security
 - repairing the [REDACTED] to the coach yard's main building
 - fixing and maintaining the lighting
- Secure the maintenance facility, which includes the following:
 - monitoring and ensuring that contracted security guards fulfill their assigned duties
 - closing the [REDACTED]
 - fixing and maintaining the lighting
- Maintain an effective video surveillance system.
- Develop a solution for station and yard security communications, which includes addressing the following:
 - APD radio limitations such as range and interoperability
 - employee security incident reporting

MANAGEMENT COMMENTS AND OIG ANALYSIS

In commenting on a draft of this report, the Executive Vice President/Chief Administration Officer agreed with our recommendation and identified actions that the company is taking or plans to take to address it. For example, APD intends to complete

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a plan documenting how the company will address the vulnerabilities we identified at the station and yard by September 2019. In addition, they said that projects are underway to improve the security of the [REDACTED] entrance, interior station doors, coach yard and maintenance facility, yard lighting, video surveillance system, and radio communications. These projects will be ongoing into FY 2020.

For management's complete response, see Appendix C.

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APPENDIX A

Objective, Scope, and Methodology

This report provides the results of our audit of physical security at Washington Union Station and Ivy City Yard in Washington, D.C. Our audit objective was to assess the company's efforts to ensure the physical security at the station and yard. Our work focused on company efforts to address security weaknesses from January 2009 through April 2019, including access controls, physical barriers, lighting, video surveillance systems, and security processes in the station and yard. We focused our review on security measures in the areas the company controls or subleases. We performed our audit work from June 2018 through July 2019 in Washington, D.C. Certain information in this report has been redacted due to its sensitive nature.

To assess the company's efforts to ensure the physical security at the station and yard, we reviewed the company's security risk assessments for these facilities and the actions taken to address the risks identified. We also interviewed senior officials and employees in the Administration and Operations departments to obtain their perspectives on physical security and related projects. We interviewed a senior official in the Safety, Health, and Environment department to discuss security training. We also interviewed senior officials from the Union Station Redevelopment Corporation, Jones Lang Lasalle, Professional Security Consultants, and employees from Allied Security to obtain their insights on physical security in the station and Amtrak's role.

To identify control weaknesses that could affect the security of these facilities, we reviewed company policies and procedures designed to promote physical security, as well as relevant security and management control standards from the public and private sectors. We then compared the standards, policies, and procedures with the company's security activities. This included conducting site visits and unannounced inspections of the station and yard to assess vulnerabilities and the extent to which the company adheres to relevant standards, policies, and procedures, including contractual requirements. From July 2018 through April 2019, we visited the station on 11 occasions and the yard on 7 occasions to assess security practices, including observing the practices of the company's contracted security guards and inspecting vehicles parked in the station and yard parking lots in October 2018 and March 2019.

In October 2018, to obtain insights on physical security from company employees who work at the station and yard, we conducted focus groups of 89 employees who are

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APD officers or who work directly with passengers, work on trains or with equipment in the yard, or who service infrastructure in both locations.³⁸ We applied a risk-based approach to identify participants for the focus groups by ensuring that we interviewed employees from each shift and from each department operating in the station and yard. We limited our reporting of focus group results to the insights provided by the 89 participants.

For each focus group, we administered a questionnaire focusing on the company's overall security efforts, the effectiveness of specific security measures, and the frequency with which employees observe specific security weaknesses in their work areas. To solicit additional insights, the questionnaire also included open-ended questions about security vulnerabilities. After the employees completed the questionnaire, we held an open forum to discuss security-related topics. For a summary of the results of our focus group work, see Appendix B.

We conducted this performance audit in accordance with generally accepted government auditing standards. Those standards require that we plan and perform the audit to obtain sufficient, appropriate evidence to provide a reasonable basis for our findings and conclusions based on our audit objectives. We believe that the evidence obtained provided a reasonable basis for our findings and conclusions based on our audit objective.

Internal Controls

We reviewed the company's internal controls to mitigate security risks, such as access controls, guard screening, parking permits, employee training, and video surveillance systems. To identify breakdowns in those controls, we conducted physical observations and document reviews to test them and determine whether they were operating effectively. Because our objective did not include a review of all related internal controls for physical security, we limited our conclusions and recommendations to controls in those areas. We did not review the company's or any department's overall system of controls.

³⁸ For this report, we considered these employees to be "frontline" employees.

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Computer-Processed Data

We obtained data on employee badges and card readers from the [REDACTED] security monitoring system, the company's access control system. We previously used data from this system and determined they were reliable. To further assess the reliability of this data, we observed station doors with card readers that were propped open and determined that these card readers appeared on [REDACTED] reports of doors propped or forced open. In addition, the system administrator was not aware of any known data-reliability issues. Based on these efforts, we determined that the data were reliable for the purposes of our audit.

We also obtained data on the operability of video surveillance cameras in the station and yard from the company's [REDACTED] system. To assess the reliability of this data, we physically observed select cameras at a video camera monitoring station and verified the data's accuracy as to whether the cameras were working or not working. In addition to these steps, the system administrator told us he was not aware of any data-reliability issues with these systems. Based on these efforts, we determined that the data were reliable for the purposes of our audit.

Prior Audit Reports

In conducting our analysis, we reviewed and used information from the following Amtrak OIG reports:

- *Acquisition and Procurement: Weaknesses in Contract Oversight Pose Financial, Operational, and Legal Risks* (OIG-A-2019-004), March 4, 2019
- *AMTRAK: Top Management and Performance Challenges – Fiscal Years 2019 and 2020* (OIG-SP-2018-011), September 28, 2018
- *Asset Management: Better Schedules, Cost Estimates, and Project Management Could Help Mitigate Risks to Washington Union Station Projects* (OIG-A-2018-008), July 24, 2018
- *Safety and Security: Longstanding Physical Security Vulnerabilities in Philadelphia Pose Risks* (OIG-A-2018-007), April 24, 2018
- *AMTRAK: Top Management and Performance Challenges Fiscal Years 2017 and 2018* (OIG-SP-2017-009), March 29, 2017

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- *Information Technology: Progress Made Installing Video Surveillance Systems, But Coverage and Performance Could Be Improved (OIG-A-2016-010), August 9, 2016*

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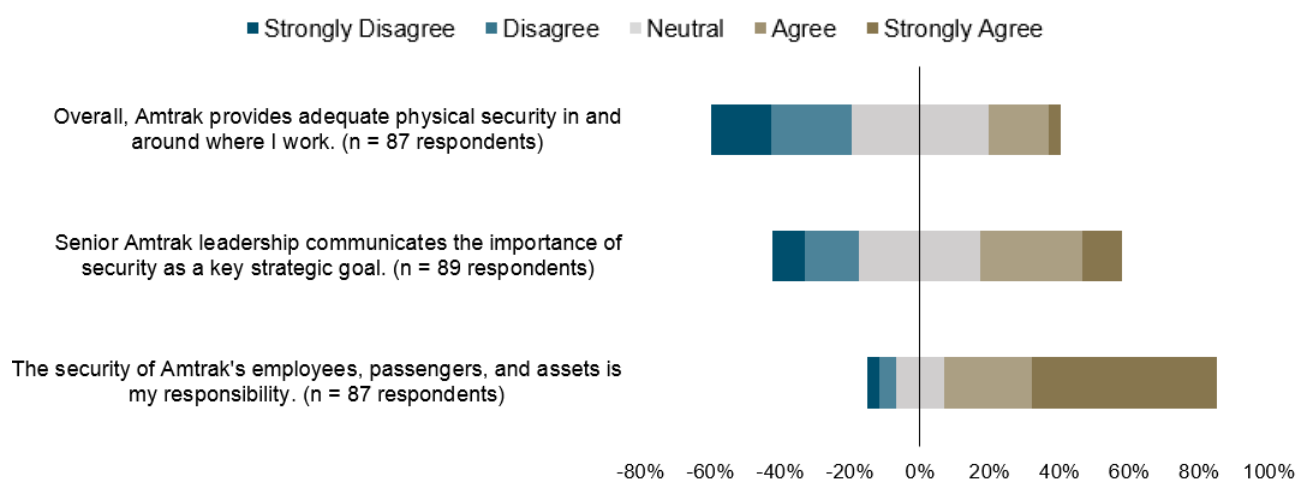
APPENDIX B

Results of the Physical Security Focus Groups

This appendix summarizes the results of our focus groups of 89 company employees who work at Washington Union Station and in Ivy City Yard in Washington, D.C. Figure 11 shows the participants' responses to our question regarding the company's overall security efforts.

Figure 11. Participant Responses on Overall Security Efforts – Station and Yard

*To what extent do you agree with these statements
about Amtrak's overall security efforts?*



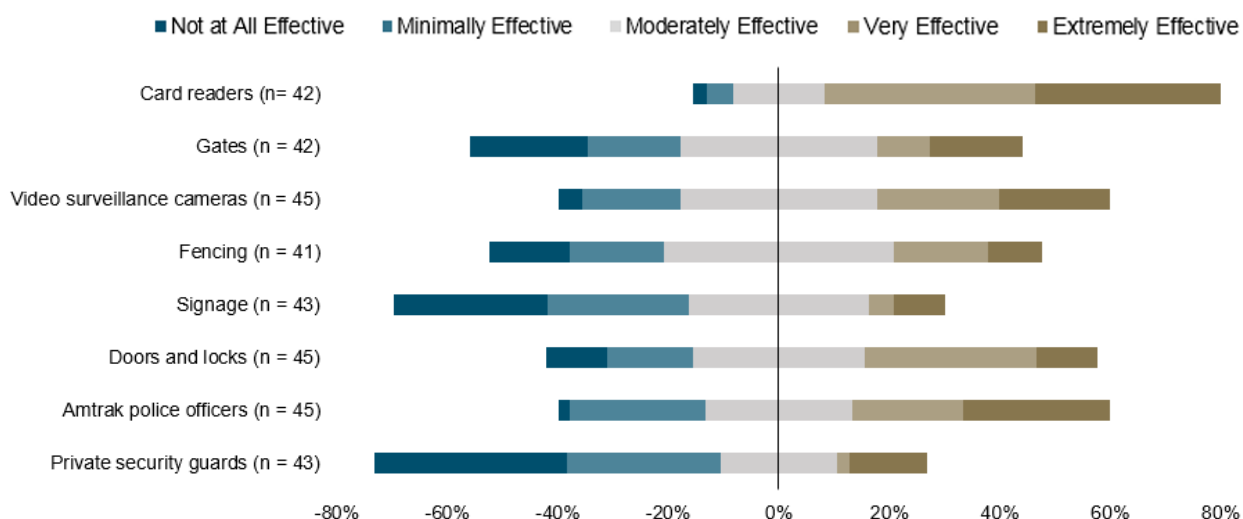
Source: OIG analysis of focus group responses to questionnaire, October 2018

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Figures 12 and 13 summarize participants’ responses when we asked them about the effectiveness of security measures in restricting unauthorized access in their work areas.

Figure 12. Participant Responses on the Effectiveness of Measures – Station

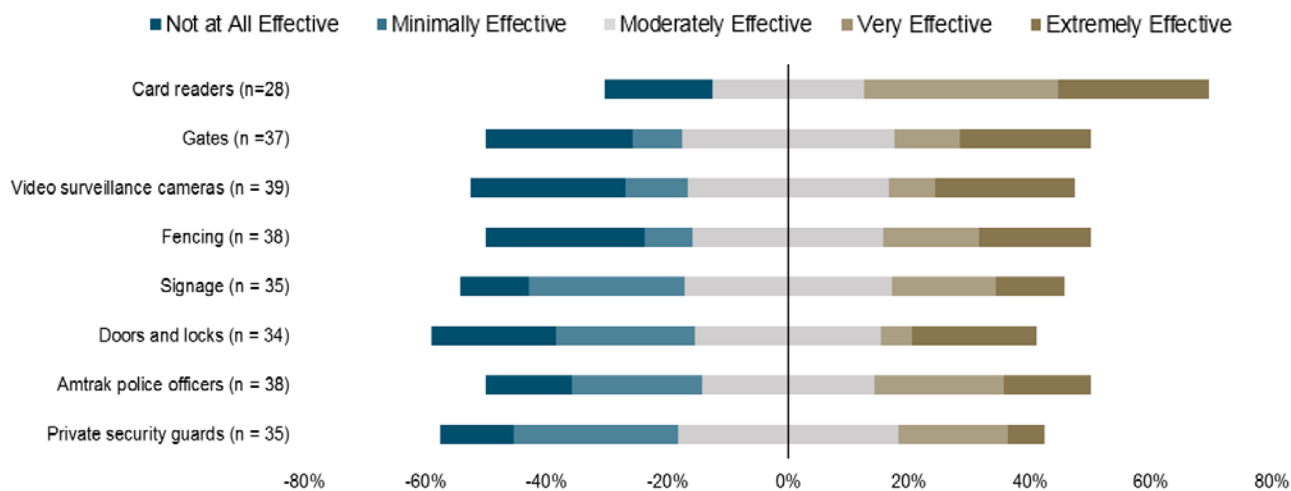
How effective is each of the following measures in restricting unauthorized access to your work area, in your opinion?



Source: OIG analysis of questionnaire responses from station employees, October 2018

Figure 13. Participant Responses on the Effectiveness of Measures – Yard

How effective is each of the following measures in restricting unauthorized access to your work area, in your opinion?



Source: OIG analysis of questionnaire responses from yard employees, October 2018

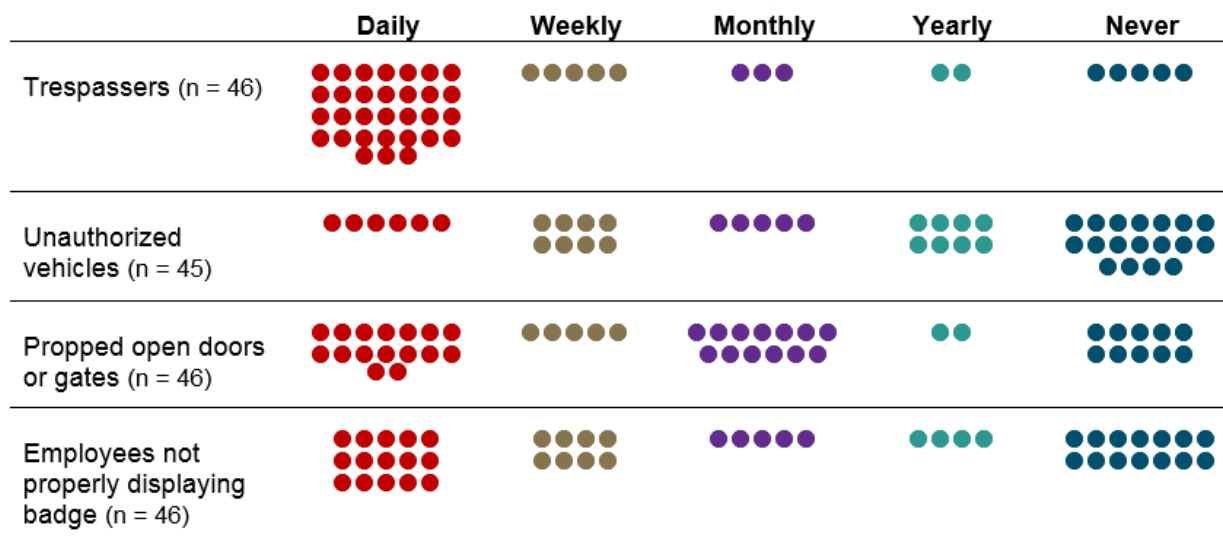
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Figures 14 and 15 summarize participants' responses when we asked them how often they observe security-related activities in their work areas.

Figure 14. Participant Responses on the Frequency of Observations – Station

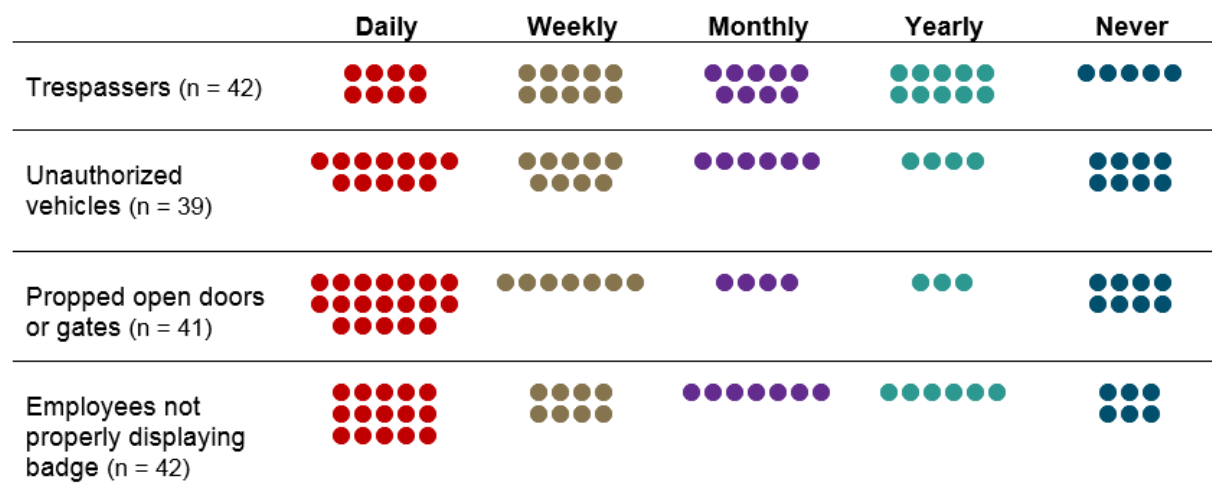
How frequently do you observe each of the following activities in your work areas?



Source: OIG analysis of questionnaire responses from station employees, October 2018

Figure 15. Participant Responses on the Frequency of Observations – Yard

How frequently do you observe each of the following activities in your work areas?



Source: OIG analysis of questionnaire responses from yard employees, October 2018

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Figures 16 and 17 summarize participants' responses when we asked them about their security concerns for the station and yard. The larger the font, the more frequently the topic was discussed across all focus groups.

Figure 16. Participant Responses on Security Vulnerabilities – Station

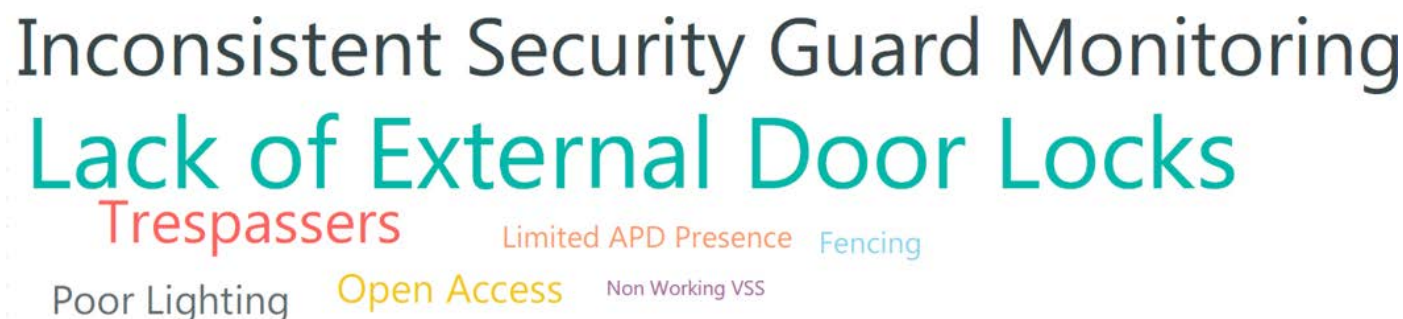
What is the most significant security vulnerability in your work area?



Source: OIG analysis of focus group participant responses in open forum discussions, October 2018

Figure 17. Focus Group Responses on Security Vulnerabilities – Yard

What is the most significant security vulnerability in your work area?



Source: OIG analysis of focus group participant responses in open forum discussions, October 2018

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APPENDIX C

Management Comments

NATIONAL RAILROAD PASSENGER CORPORATION

Memo



Date	July 9, 2019	From	DW Stadler, EVP CAO
To	Eileen Larence, Acting Assistant Inspector General, Audits	Department	Administration
Cc	Eleanor Acheson, EVP General Counsel Stephen Gardner, Sr. EVP Carol Hanna, VP Controller Roger Harris, EVP Kenneth Hylander, EVP Scot Naparstek, EVP Dennis Newman, EVP Mark Richards, Sr Director Amtrak Risk & Controls Swati Sharma, VP Treasurer Tracie Winbigler, EVP CFO Christian Zacariassen, EVP		

Subject Management Response to “*Safety and Security: Physical Security Vulnerabilities at Washington Union Station and Ivy City Yard*” (Draft Audit Report for Project No. 012-2018)

This memorandum provides Amtrak’s response to the draft audit report entitled, “*Safety and Security: Physical Security Vulnerabilities at Washington Union Station and Ivy City Yard*”. Management appreciates the opportunity to respond to the OIG recommendations. As indicated in our responses, we agree with the OIG recommendations and will initiate actions to address it in a timely manner.

Recommendation 1:

To improve physical security at Washington Union Station and Ivy City Yard, including its coach yard and maintenance facility, we recommend that the Executive Vice President/Chief Administration Officer document and initiate a plan to address the security vulnerabilities we identified by establishing clear roles and lines of accountability, resources, timeframes, and performance metrics to assess progress. At a minimum, the plan should address the following vulnerabilities, in accordance with established security standards:

1. Securing the exterior entrance on [REDACTED], which includes effective monitoring of contracted security guards
2. Securing interior station doors, which includes developing and enforcing measures to effectively maintain [REDACTED], regularly repair locks, install and use card readers, and periodically change lock combinations

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3. Securing the coach yard, which includes
 - a. enhancing [REDACTED]
 - b. repairing the [REDACTED] to the coach yard's main building
 - c. fixing and maintaining the lighting

4. Securing the maintenance facility, which includes
 - a. monitoring and ensuring contracted security guards fulfill their assigned duties
 - b. closing the [REDACTED]
 - c. fixing and maintaining the lighting

5. Maintaining an effective video surveillance system

6. Developing a solution for station and yard security communications, which includes addressing
 - a. APD radio limitations such as range and interoperability
 - b. employee security incident reporting

Management Response/Action Plan:

Management agrees with the OIG recommendation. Amtrak Police Department's Corporate Security group (APDCS) will deliver to the OIG project plan documentation addressing each of the OIG identified vulnerabilities in the recommendation, a matrix outlining roles and responsibilities including ownership and maintenance roles and responsibilities by September 30th, 2019

APDCS has already begun working on a number of the recommendations. APDCS has initiated 3 programs, [REDACTED] Security Enhancements project (WBS C.EM.10057.0006), VSS/ACS Gap Analysis program (FY2018 Intercity Passenger Rail Grant, WBS requested), and Ivy City Security Enhancement Design Program (WBS C.EM.10055.0037) that will address the security vulnerabilities listed in the report. In addition, APDCS is working with Amtrak IT to develop a Video Surveillance System (VSS) maintenance program and solution for station and yard security communications, including APD radio limitations and employee security incident reporting. The specifics of each program/project are listed below:

1. Securing the exterior entrance on [REDACTED].

In April 2019, APDCS initiated the [REDACTED] Security Enhancements project (WBS C.EM.10057.0006). The purpose of this project is to create a security design that will limit and control vehicular and pedestrian traffic through the [REDACTED] entrance. Specifically, the design will include replacement of the existing wedge barrier, integrated video surveillance system (VSS), integrated access control system (ACS), improved lighting, signage, repair and/or replacement of rollup doors, installation

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of pedestrian action blocks, and facilitation and monitoring of the completion of new guard post orders. APD commits to auditing execution of post orders on a quarterly basis beginning in October 2019.

In April 2019, APDCS worked with Washington Union Station management Jones, Lang & LaSalle to repair the existing wedge barrier and gate arm and began revisions to the [REDACTED] post orders for security personnel posted at the [REDACTED].

APDCS projects that the security design to be completed in August 2019 and will begin execution of this project in 1Q2020 using FY2017 IPR grant funds (\$425,000).

Responsible Amtrak Official(s): Amtrak Police Department Chief, Neil Trugman

Target Completion Date: September 30th, 2019.

2. Securing interior station doors.

APDCS will initiate the VSS/ACS Gap Analysis program. This program is part of the FY2018 Intercity Passenger Rail Grant Infrastructure Protection program (Amtrak DHS CFDA Number 97.075FY18) which began in May of 2019. This program will accomplish:

1. VSS/ ACS Gap Analysis of VSS and ACS capabilities at the top 50 risk ranked assets and develop requirements to address deficiencies
2. Install, based on results from the gap analysis and risk assessment data, access control (card readers) at all outstanding required access points, pending availability of funding

APDCS will begin the gap analysis of Washington Union Station in September 2019. Wherever feasible, the design recommendation will be utilization of electronic access control linked to the current [REDACTED] system. Implementation of access control design at Washington Union Station is projected to be completed September 2020.

In 1Q FY2019 Corporate Security revised the Amtrak Access Control and [REDACTED] Control policies. These policies are currently under review within APD. Once approved, these policies will instruct and guide control over [REDACTED], codes and combinations for keyed and cipher locks. APDCS expects policy approval in 1Q FY2020.

Responsible Amtrak Official(s): Amtrak Police Department Chief, Neil Trugman

Target Completion Date: September 30th, 2019.

3. Securing the coach yard and maintenance facility.

In January 2018, APDCS initiated the Ivy City Security Enhancement Design Program (WBS C.EM.10055.0037). The objective of this program is to create a security design that would mitigate the same security issues identified by the Security Vulnerability Assessment (SVA) performed by APDCS in September 2018. The SVA covered both the maintenance and the coach yards and identified various vulnerabilities including [REDACTED] identical those documented in the

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OIG report. The scope of the Ivy City Security Enhancement Design Project addresses implementation of access control systems (ACS), video surveillance systems (VSS), lighting assessment, site hardening, asset-related communications and signage to mitigate the identified vulnerabilities. Site hardening for this project includes improvements to [REDACTED] ([REDACTED] [REDACTED] automation of [REDACTED] [REDACTED]), repairing or replacing [REDACTED] gates and vehicle access control to the coach yard. Amtrak will develop and implement a yard lighting improvement plan based on the completed lighting assessment. Improvements to video surveillance for this project include installation of new cameras and integration of existing cameras (at gates, trackside and major buildings), and integration of entire combined system into the Amtrak [REDACTED] VSS federated platform. APDCS will facilitate the review and modification of post orders at the maintenance facility completed by September 2019. APD commits to auditing execution of post orders on a quarterly basis beginning in October 2019.

APDCS will complete the Ivy City Security Enhancement Design Project by 1Q FY2020 and has requested \$2.5M of FY2020 capital funds to begin implementing the security design in FY2020.

Responsible Amtrak Official(s): Amtrak Police Department Chief, Neil Trugman

Target Completion Date: September 30th, 2019.

4. Maintaining an effective video surveillance system

Amtrak IT and APDCS are working jointly to develop a nationwide VSS maintenance program that will include all systems at Ivy City. Amtrak IT has requested Capital funding for the following project C.IT.100179 Video Surveillance System (VSS) Program, to begin the analysis and planning for this recommendation. Amtrak commits to providing a project plan by September 30, 2019 for following deliverables:

- Complete future state Video Management Platform Architecture and Operating Model for deployment and maintenance of video camera devices, storage, software, and network.
- Conduct fit-gap analysis of Video Surveillance System for Washington Union Station and Ivy City Yard.
- Replace outdated cameras and hardware equipment, to include switches and servers.
Design/deploy new cameras and equipment, as identified and needed in Washington Union Station and Ivy City Yard.

Responsible Amtrak Official(s): Amtrak Police Department Chief, Neil Trugman; Robert Hutchison, AVP Information Technology.

Target Completion Date: September 30th, 2019.

5. Developing a solution for station and yard security communications

On behalf of APDCS, Amtrak's IT department has requested Capital funding for the following projects C.PO.100027 APD Radio Repeater to begin the planning, design and remediation plan this recommendation. This effort would be conducted jointly with Amtrak's Engineering Communication &

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Signals (C&S). Amtrak commits to providing a project plan by September 30, 2019 for following deliverables:

- Conduct a Washington-based engineering study on APD radio repeaters and antennae and develop an engineering design and equipment remediation plan.

After the remediation plan is accepted and funding is approved, Amtrak IT and C&S will undertake the following activities:

- Replace malfunctioning APD radio repeaters and antennae for Mid-Atlantic South region.

On behalf of APDCS, Amtrak's IT department has requested Capital funding for the following projects C.PO.100028 APD Handheld Radio Purchase to begin the planning and RFP for equipment replacement for this recommendation. Amtrak commits to providing a project plan by September 30, 2019 for following deliverables:

1. Prepare and issue RFP for managed services contract for vendor to configure, distribute and maintain APD radios for Mid-Atlantic South region.
2. Replace malfunctioning APD radios for Mid-Atlantic South region.
3. APD /CS needs the ability in critical incidents to communicate with employees about life safety issues. Amtrak's IT department has requested Capital funding for the following project C.IT.100355 APD Platform Strategy and Optimization to begin the analysis and planning for a standardized incident- related communication platform for employees and customers.
4. Develop a plan to conduct gap analysis of current platforms, RFP, selection, and implementation.

Responsible Amtrak Official(s): Amtrak Police Department Chief, Neil Trugman; Robert Hutchison, AVP Information Technology.

Target Completion Date: September 30th, 2019.

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APPENDIX D

Acronyms and Abbreviations

APD	Amtrak Police Department
DE	Delaware
FY	Fiscal Year
OIG	Amtrak Office of Inspector General
the company	Amtrak
the station	Washington Union Station
the yard	Ivy City Yard

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APPENDIX E

OIG Team Members

Jason Venner, Deputy Assistant Inspector General

Anne Keenaghan, Senior Director, Lead

Jodi Prosser, Senior Audit Manager

Thelca Constantin, Senior Auditor

Mark Scheffler, Senior Auditor

Rachel Powell, Auditor

Alison O'Neill, Communications Analyst

OIG MISSION AND CONTACT INFORMATION

Mission

The Amtrak OIG's mission is to provide independent, objective oversight of Amtrak's programs and operations through audits and investigations focused on recommending improvements to Amtrak's economy, efficiency, and effectiveness; preventing and detecting fraud, waste, and abuse; and providing Congress, Amtrak management, and Amtrak's Board of Directors with timely information about problems and deficiencies relating to Amtrak's programs and operations.

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800-468-5469

Contact Information

Eileen Larence

Acting Assistant Inspector General Audits

Mail: Amtrak OIG
10 G Street NE, 3W-300
Washington, D.C. 20002

Phone: 202-906-4600

Email: Eileen.Larence@amtrakoig.gov