6. TRANSPORTATION SECURITY

The terrorist attacks against the U.S.S. Cole and U.S. embassies in Kenya and Tanzania highlight the global nature of terrorism and the need for everyone to work together to oppose it worldwide. To oppose this global threat and advance the Nation's vital interest, DOT must do all it can to ensure that the transportation system is secure. The U.S. transportation system includes 3.9 million miles of public roads, 2.2 million miles of oil and natural gas pipelines, 123,000 miles of major railroads, over 24,000 miles of commercially navigable waterways, over 5,000 public-use airports, 508 transit operators in 316 urbanized areas, and 145 major ports on the coasts and inland waterways.

We see the key issues in this area as:

- Maximizing the effectiveness and usage of explosives detection equipment,

- Completing pending rulemakings on certification of screening companies, airport access requirements, and accounting for active airport identification media (airport ID) used to access secure airport areas,

- Implementing the Airport Security Improvement Act of 2000, which will strengthen background investigation requirements for airport personnel, and

- Finalizing the draft DOT surface transportation security research strategy, based on recommendations from the National Research Council.

Progress in the Last Year:

- Established new policies for the checked baggage security program, and proposed new security screening requirements for air carriers.

- Conducted nation-wide testing of airport and air carrier compliance with access control requirements to ensure that actions were taken to improve airport security.

- Conducted a broad-scoped audit of compliance with requirements for issuing and accounting for airport ID, and worked to improve compliance with requirements.

- Amended airport and air carrier security programs to require audits of background investigations, and started developing additional written guidance on background investigation requirements.
- Established a performance measure for Critical Infrastructure Protection under the National Security Goal of DOT's FY 2001 Performance Plan.

- Drafted surface transportation research and development security strategy that incorporates recommendations made by the National Research Council for DOT to clearly define its surface transportation problems and security objectives.

Most Significant Open Recommendations and Issues:

- ***Aviation Security.***

  Maximize Effectiveness and Usage of Explosives Detection Equipment. FAA has made significant progress in deploying existing advanced security technologies. FAA must now shift its emphasis from simply deploying equipment to maximizing the effectiveness and usage of explosives detection equipment. For example, FAA has no quantitative basis for determining where expensive bulk explosives detection machines would be most effectively used. This in turn has contributed to the underutilization of these machines, with as much as 50 percent of the deployed units still screening fewer bags in a day than the machines are certified to screen in an hour.

  On November 22, 2000, the President signed the Airport Security Improvement Act of 2000, which requires FAA to maximize the use of explosives detection equipment. A sharper focus is now necessary on policy, planning, and integration. This includes defining deployment and usage goals, refining certification and operator testing processes, and collecting and analyzing data on actual equipment and operator performance.

  Improve Employee Compliance with Access Control Requirements. FAA has demonstrated that widespread, comprehensive testing can result in improved compliance with access control requirements. However, testing alone will not be enough to motivate employees to accept and consistently meet their responsibilities for airport security. FAA needs to: (1) complete a pending rulemaking that would make individuals directly accountable for noncompliance with access control requirements; (2) issue regulations requiring airport operators to have a security compliance program that fosters and rewards compliance; and (3) ensure that airports and air carriers provide comprehensive and recurrent training that teaches employees their role in airport security. The Airport Security Improvement Act of 2000 requires FAA to improve airport security by implementing these and other recommendations resulting from our 1999 audit of airport access control.

  Improve Screener Performance. In September 1996, the White House Commission on Aviation Safety and Security recommended that FAA certify screening companies and improve screener performance. In May 2001, FAA expects to issue a final rule establishing training requirements for screeners and requiring screening companies to be certified. To achieve this, FAA needs to have

a means to measure screener performance, and methods of providing initial and recurrent screener training as well as ensuring that the screeners maintain their proficiency through actual experience with the machines in the airport environment. Therefore, FAA must complete deployment of equipment that will help in the testing and training of screeners. The Airport Security Improvement Act of 2000 directs FAA to strengthen training requirements for screeners.

Strengthen Employee Background Investigation Requirements. Two recent OIG investigations, conducted in cooperation with FAA, resulted in fining two companies doing business at major U.S. airports for falsely certifying that background investigations were performed when, in fact, they were not. One of the companies supplied security staff for an airport and was ordered by a U.S. District Judge to pay more than $1.5 million for allowing untrained employees to operate security checkpoints. Some of these employees had criminal backgrounds, including drug dealing, kidnapping, aggravated assault and theft.

The Airport Security Improvement Act of 2000 directs FAA to strengthen background investigation requirements to include criminal checks for all individuals with unescorted access to secure airport areas, including screeners, and expand the list of crimes that disqualify an individual from having unescorted access to those areas. FAA also needs to incorporate in background investigation requirements the use of credit checks and drug tests to reduce the risk of undesirable individuals working in secure airport areas.

Properly Account for Airport IDs. FAA needs to issue standard procedures for airport operators to periodically account for the number of active airport IDs, and conduct complete assessments of compliance with requirements for accounting for airport IDs. Assessments should include sufficient testing and use standard methodologies to ensure that data collected in the field can be used to identify and correct systemic problems. FAA plans to issue final rules in 2001 requiring airport operators and air carriers to periodically audit active airport IDs, and issue standards and procedures to ensure the audits are effective.

- ***Surface Transportation.***

Finalize Surface Transportation Security Strategy. DOT currently provides briefings to the National Security Council and counterterrorism working groups about transportation security issues to develop awareness, and ultimately funding, for research, development, testing, and evaluation for DOT-related projects. The Department should: finalize its draft surface transportation research and development security strategy, which incorporates recommendations made by the National Research Council; develop ways to assess surface transportation security issues; and prioritize areas for Department action. Chemical and biological detection capabilities for airports and transit systems, as well as methods to ensure

the safe return of passengers to these areas after an actual or threatened attack, should be tested and evaluated.

Key OIG Contacts: David A. Dobbs, Deputy Assistant Inspector General for Aviation Programs, 202-366-0500; Thomas J. Howard, Deputy Assistant Inspector General for Maritime and Highway Safety Programs, 202-366-5630; Mark R. Dayton, Deputy Assistant Inspector General for Competition, Economic, Rail, and Special Programs, 202-366-9970.

6. Transportation Security

Dark Grey = Top Priority Task for 2001 **Light Grey** = Include in 2001 Top Management Challenges Efforts **White** = Sufficiently Resolved to be Dropped from Management Challenges Efforts	**First Year Issue Raised in OIG Management Challenges Report**	**Was Significant Progress made in last year?**
• Establish an integrated strategic aviation security plan that includes a balanced approach covering advanced security technologies (including explosives detection equipment) acquisition, deployment and use.	1998	N
· Implement the Aviation Security Improvement Act of 2000, which requires: → increasing the usage of explosives detection equipment; → strengthening airport access control security systems and programs to safeguard passengers, aircraft, and airport property; → improving screener training; and → strengthening background investigation requirements (including Federal Bureau of Investigation criminal checks) for employees granted unescorted access to secure airport areas.	New Issue	New Issue
• Complete pending rulemaking requiring certification of screening companies.	2001	New Issue
• Complete pending rulemaking and develop standard procedures for airport operators to account for airport identification media required to access secure airport areas.	New Issue	Some
• Develop methods for assessing vulnerabilities in surface transportation and prioritize areas for Departmental action.	New Issue	Yes