

MANAGERS

hazmat motor carrier security self-assessment



Transportation
Security
Administration



MESSAGE TO HAZMAT MOTOR CARRIER SECURITY MANAGERS

Every day millions of tons of hazardous materials are safely transported by motor carriers. In the wrong hands, however, hazardous materials can pose a significant security threat, particularly those that can be used as weapons of mass destruction. You can do a lot to improve hazmat transportation security.

As a motor carrier who transports placarded amounts of hazardous materials, you are required to develop a plan to address security risks related to the transportation of hazardous materials in accordance with 49 Code of Federal Regulations (CFR), Part 172, Subpart I. The first step in developing a security plan is conducting a security assessment of possible security risks to your hazmat shipments. The security plan will then detail appropriate security actions to address those risks.

This training program meets the U.S. Department of Transportation (DOT) security awareness training and security assessment requirements as defined in 49 CFR 172.704 (a)(4) and 49 CFR 172.802 respectively.

Answering the 15 questions in this booklet will help you identify appropriate security actions to include in your plan. After you answer each question, review all the security reminders and security actions which can be used to enhance your new or current plan and standard operating procedures.

DISCLAIMER: Most of the security actions provided in this booklet are voluntary and are not mandated by law. Use this information as guidelines for enhancing security of hazardous materials cargoes during transport.

PERSONNEL SECURITY



1. Do you have a company security plan that meets Federal regulations?

YES **Security Reminders**

- Good! Continue to enhance hazardous materials transportation security by implementing your company's security plan.
- Review your company's security plan periodically to ensure that it reflects your current operating conditions.
- Regularly communicate your security efforts to drivers and encourage feedback concerning your plan.
- Develop security actions to implement during raised threat levels, for example:
 - Posting the threat level in an area where drivers can see it.
 - Notifying drivers en route of an increased threat.
 - Consider the need for security escorts.
 - Consider not pre-loading hazardous materials during heightened threat levels.

NO Security Actions

- 49 CFR, Part 172, Subpart I prescribes security plan requirements related to the transport of hazardous materials, so develop a written security plan for each company-owned facility.
- Your company's security plan must include an assessment of possible transportation security risks for shipments of hazardous materials and appropriate actions to address those risks.

THIS SELF-ASSESSMENT DOCUMENT WILL ASSIST YOU IN FULFILLING THE RISK ASSESSMENT REQUIREMENT DESCRIBED ABOVE.

- At a minimum, the security plan must include personnel security, unauthorized access, and en route security components.
- Take reasonable steps to safeguard your company's security plan from unauthorized disclosure as specified in 49 CFR, Part 15.
- Communicate and distribute copies of your company's security plan to covered persons, such as your hazmat drivers, as described in 49 CFR, Part 15.
- Mark sensitive security information (SSI) as specified in 49 CFR, Part 15.
- Revise your company's security plan as necessary to reflect changing circumstances including regulatory changes.
- Collect and dispose of outdated copies of the company security plan in accordance with 49 CFR, Part 15 to ensure that it does not remain in use and can not be reconstructed.

PERSONNEL SECURITY

2. Do you provide security awareness training to all hazmat drivers in your company?

YES **Security Reminders**

- Good! Remember to provide security awareness training within 90 days of employment, at least every 3 years, or within 90 days of a change in job function.
- Remember to keep accurate and up-to-date training records for each hazmat driver for as long as they are employed inclusive of the preceding 3 years and for 90 days thereafter.
- Be sure that drivers are trained at least every 3 years, or within 90 days of a change in job function.

NO **Security Actions**

- The security awareness training is intended to raise the driver's general awareness of risks associated with the transportation of hazardous materials.
- Security awareness training should address how to recognize, respond to, and report suspicious individuals, vehicles, packages, and/or objects.
- Drivers must receive security awareness training within 90 days of employment, at least every 3 years, or within 90 days of a change in job function.
- Create and retain a training record for each hazmat driver for as long as the driver is employed inclusive of the preceding 3 years and for 90 days thereafter. (Training records must include specific data as specified in 49 CFR, Part 172, Subpart H.)



3. Do you provide in-depth security training to all hazmat drivers in your company?

YES **Security Reminders**

- Good! Remember to provide in-depth security training within 90 days of employment, at least every 3 years, or within 90 days of a change in job function.
- Remember to keep accurate and up-to-date training records for each hazmat driver for as long as they are employed inclusive of the preceding 3 years and for 90 days thereafter.

NO **Security Actions**

- Each hazmat driver must be trained concerning your company's security plan and its implementation.
- In-depth security training must include:
 - Company security objectives
 - Specific security procedures
 - Driver responsibilities
 - Actions to take in the event of a security breach
 - Company organizational security structure
- Drivers must receive in-depth security training within 90 days of employment, at least every 3 years, or within 90 days of a change in job function.
- Create and retain a training record for each hazmat driver for as long as the driver is employed inclusive of the preceding 3 years and for 90 days thereafter. (Training records must include specific data as specified in 49 CFR, Part 172, Subpart H.)

PERSONNEL SECURITY



4. Do you verify that your drivers meet all State and Federal commercial drivers licensing requirements; including verifying that they are authorized to handle and transport hazardous materials?

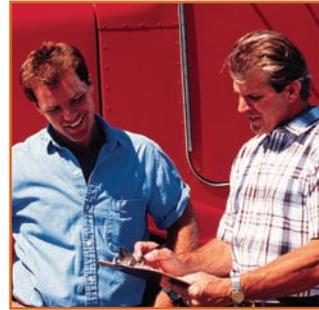
YES **Security Reminders**

- Good! Remember, personnel security is the first line of defense in securing your operation.
- Update employment records of all drivers particularly for those who are casual, occasional, or intermittently used.
- Immediately report all suspicious information to your local FBI office, local law enforcement officials, Transportation Security Operations Center (TSOC), or Highway Watch®.

□ NO Security Actions

- Establish a process to verify that your drivers meet all State and Federal requirements necessary to transport hazardous materials in accordance with 49 CFR, Part 391, Subpart C; Part 383, Subparts A-J; Part 384 Subparts A–D; Parts 1570 and 1572. (Verification systems should be consistent with applicable Federal and State laws and requirements concerning employment practices and individual privacy.)
- Confirm the identity and credentials for all job applicants including drivers.
- Conduct interviews with potential drivers and use the interview to appraise motivation, honesty, integrity, and reliability.
- Check all names used by the applicant.
- Confirm present and prior residence information.
- Verify U.S. citizenship.
- For non-U.S. citizens, verify that all immigration papers are on file and properly documented.
- Check for gaps in employment.
- Search for frequent job changes.
- Confirm type of military discharge.
- Contact personal references.
- Check applicants' motor-vehicle records for traffic violations.
- Verify that applicants have a Hazardous Materials Endorsement (HME) on their Commercial Driver's License (CDL).
- Include fingerprints, photos, verification of a criminal history background check and a copy of the CDL in drivers' personnel files.
- Be aware that each motor carrier must, at least once every 12 months, review the driving record of every hazmat driver it employs. The review, which must at least cover the preceding 12 months, and report it to the appropriate agency of every State in which the driver held a commercial motor vehicle operator's license or permit during the time period.
- Retain a copy of the driver record inquiry response in the employee's personnel file.
- Document the name of the person who performed the review of the driving record and the review date in the employee's personnel file.

UNAUTHORIZED ACCESS



5. Do you require your hazmat drivers to carry company identification?

YES **Security Reminders**

- Good! Conduct routine spot checks to ensure that all hazmat drivers have proper and up-to-date identification.
- Occasionally test your employees' responses to unbadged individuals.
- Remember to collect company identification cards and any security materials when a driver leaves the company.
- Consider requiring drivers to carry two forms of photo identification.

NO **Security Actions**

- Establish a policy that requires all drivers to have and display proper photo identification.
- Establish a control and custody process for badges.
- Enforce display of badges for drivers and visitors.
- Encourage employees' to follow company procedure when confronting any unbadged individuals.
- Collect company identification cards and any security materials when a driver leaves the company.



6. Does your company consider prohibiting the acceptance of pre-loaded hazmat shipments?

YES **Security Reminders**

- Good! Continue to observe live loading of hazmat shipments before accepting them for transport.
- Continue to verify that shippers are legitimate.
- Consider establishing a “known shipper” program.

NO **Security Actions**

- Ensure that shippers are legitimate prior to accepting and moving pre-loaded shipments.
- Accepting pre-loaded shipments can be a security risk because you cannot confirm the contents, and the load can be compromised when it sits in a staging or parking area awaiting pick up.
- Request company and product information from shippers.
- Involve shippers, as appropriate, in your risk reduction program.
- If pre-loading must occur, terminal personnel should designate a secure area for pre-loaded trailers.
- Verify the use of anti-tampering devices such as tamper-resistant cable locks or seals on cargo.
- Instruct your drivers to immediately report all suspicious activities and security incidents to your dispatcher or supervisor.



EN ROUTE SECURITY

7. Do you train hazmat drivers to conduct pre-trip and en route security inspections?

YES **Security Reminders**

- Good! Communicate the necessity of performing security inspections before departures and after stops to make sure that all access panels and doors are locked and that seals remain intact and undamaged.
- Establish communication policies for reporting threats and incidents.
- Instruct your drivers to immediately report all suspicious activities and security incidents as required in your communication policy.

NO **Security Actions**

- Establish pre-trip inspection guidelines to secure company vehicles.
- Develop instructions regarding secure parking for all locations including those away from the terminal.
- Require each driver to perform a “walk around” inspection of the tractor and trailer, or truck before departures and after stops.
- Instruct drivers to search under carriages, engine compartments, wheel wells, hose-tubes, or other accessible compartments to inspect for signs of tampering, sabotage, attached explosives, and other suspicious items.
- Notify your drivers that unless specifically authorized in writing, drivers should not transport any person or permit any person to be transported in your truck or tractor in accordance with 49 CFR, Part 392 Subpart G.
- Communicate the security risks involved in helping disabled vehicles or motorists.
- Encourage your drivers to immediately report all suspicious activities and security incidents.



8. Do you have methods for communicating with your hazmat drivers at all times?

YES **Security Reminders**

- Good! Continue to maintain communication with your drivers at all times while hazardous materials cargoes are in transit.
- Perform regular function testing and inspection of your communication equipment.
- Instruct your drivers to immediately report all suspicious activities and security incidents.

NO **Security Actions**

- Establish a communication plan for your transport vehicles, drivers, dispatchers, and emergency responders.
- Purchase and provide drivers with effective communication devices, for example, cell phones, personal computers with email capabilities, CB radio, and satellite-based communications.
- Train drivers and dispatch personnel concerning the company's communication plan and in how to use their communication equipment.
- Test drivers' proficiency using their equipment.
- Consider providing your drivers with a back-up communication system, for example cell phones and CB radios.

EN ROUTE SECURITY

9. Do you provide hazmat drivers with preferred routing for company loads?

YES **Security Reminders**

- Good! Continue to analyze preferred and alternative routing procedures to identify possible risks to shipments.
- Review key transportation routes and where appropriate, define options to avoid highly populated areas, bridges, tunnels, or other critical infrastructure.
- Update written contingency plans for reporting unscheduled events (e.g., stops, delays, route deviations).

NO **Security Actions**

- Consider the routing of hazardous materials in your assessment of en route vulnerabilities.
- Your company security plan should include a component concerning preferred and alternative routing, including acceptable deviations, route selection, and times for pick up and delivery.
- Establish and communicate routing requirements to drivers.
- Establish a process to ensure that drivers are following your preferred and alternative routing procedures.
- Strive to minimize product exposures to communities or populated areas, including downtown areas. Avoid tunnels and bridges where possible. Expedite the transportation of hazmat shipments to the final destination (see 49 CFR, Part 397, Subparts C and D).
- Highway Route Controlled Quantities (HRCQ) of radioactive materials and Division 1.1, 1.2., and 1.3 explosives require written route plans per 49 CFR, Part 397 Subpart C and D. The route plan must be carried in the vehicle while the materials are in transit.





10. Do you have electronic monitoring and tracking equipment on **your fleet?**

YES **Security Reminders**

- Good! Continue to employ technology to enhance en route security. Track vehicle locations and routes to protect your cargo until it reaches its destination.

NO **Security Actions**

- Consider purchasing and using advanced technology which makes use of global positioning systems (GPS), radio frequency identification device (RFID) equipment, remote vehicle disabling-devices, or panic buttons to track or protect shipments en route to their destinations.

EN ROUTE SECURITY

11. Do you have written procedures for safeguarding hazardous materials cargoes during en route breakdowns or emergencies?

YES **Security Reminders**

- Good! Review your company procedures periodically to ensure that drivers are able to implement the appropriate security actions during en route breakdowns or emergencies.
- Instruct your drivers to immediately report all suspicious activities and security incidents to your dispatcher or your designated supervisor.

NO **Security Actions**

- Develop an emergency response plan that establishes vehicle and cargo safeguarding procedures, for example:
 - Seal tank trailers.
 - Install theft-protection devices to disable fuel, hydraulics, and/or electrical systems.
- Ensure that drivers are trained and participate in all security and emergency preparedness training including drills and exercises so that they are able to perform according to your company's security plan during a breakdown or an emergency.
- Establish an emergency contact list for 24/7 contact and provide updated copies to your drivers and dispatcher.
- Train drivers on safeguarding procedures to ensure their personal security and to avoid hijackings or stolen cargo.
- Consider the availability of a spare power unit to move a trailer immediately rather than waiting for tow service.
- Make sure all drivers have adequate communication devices in case of breakdowns or emergencies.
- Routinely communicate with drivers during breakdowns and emergencies.





12. Do you provide your drivers with a delivery point-of-contact?

- YES **Security Reminders**
 - Good! Continue providing a delivery point-of-contact for your drivers to ensure that the appropriate personnel are available for accepting shipments and unloading upon arrival at the consignee.
- NO **Security Actions**
 - Establish delivery point-of-contact procedures for drivers.
 - Provide drivers with a delivery point-of-contact so that they can be notified if shipments are delayed or will not arrive as scheduled.
 - Instruct drivers on procedures to follow in the event that the point-of-contact is unavailable.

EN ROUTE SECURITY



13. Do you have procedures to confirm the safe arrival of hazardous material shipments?

YES **Security Reminders**

- Good! Continue to exchange information with the consignee to verify that shipments arrive.
- Have your drivers call their dispatcher to verify when shipments have been delivered.

NO **Security Actions**

- Develop standard communication practices for information exchange with the consignees.
- Ensure that consignees' names and addresses are on bills of lading.
- Have your drivers call dispatch to verify when shipments are delivered.
- Have an emergency procedure in place so that your company is notified when shipments are delayed, or do not arrive as scheduled.
- Investigate any load that is late for delivery.
- After preliminary investigations, report any shipments that do not reach their destinations to your local FBI office, local law enforcement officials, TSOC, or Highway Watch®.



14. Do you have written procedures to account for and report shipment shortages?

YES **Security Reminders**

- Good! Continue to conduct regular inventory inspections of shipments.
- Report any confirmed missing inventory of shipments to your local FBI office, local law enforcement officials, TSOC, or Highway Watch®.

NO **Security Actions**

- Develop procedures for shipment inventory control and train your drivers to implement the procedures.
- Ensure that drivers check the quantity of hazardous materials in their loads during pre-trip and en route security inspections.
- Keep records of reported missing inventory incidents.

15. Do you periodically review and update your company's security plan and procedures?

YES **Security Reminders**

- Good! Continue updating your company's security plan and procedures when company changes occur; for example, new personnel are hired, telephone numbers change, new security actions are implemented, or when risks change.

NO **Security Actions**

- Security plans must be revised and updated as necessary to reflect changing circumstances. When you update your company's security plan, destroy all copies of the old version and distribute copies of the new version as specified in 49 CFR, Part 15.

HELPFUL CONTACT INFORMATION

United States Department of Homeland Security
Transportation Security Administration (TSA)

To report suspicious activities of highway incidents involving hazardous materials, call the Transportation Security Operations Center (TSOC) at **(703) 563-3240**.

601 South 12th Street
Arlington, VA 22202
Email: TSOC.ST@dhs.gov

Highway Watch®

Highway Watch® is administered by the American Trucking Association (ATA) and accepts calls from Highway Watch® members regarding suspicious activities at **1-866-821-3444**. The Highway Watch® call center will immediately contact local law enforcement and direct potential security threats to the Highway Information Sharing and Analysis Center (ISAC).

2200 Mill Road
Alexandria, VA 22314-9972
<http://www.highwaywatch.com/>

United States Department of Transportation
Pipeline and Hazardous Materials Safety Administration (PHMSA)

To obtain answers to questions on the Hazardous Materials Regulations (49 CFR Parts 100-185); to request copies of Federal Register publications or copies of DOT special permits or letters of interpretation; to request copies of DOT training materials, such as *Placarding Chart* or information packages; and to leave a voice mail message concerning a question on the HMR (messages will be returned within 24 hours), contact the PHMSA Hazardous Materials Info-Line **1-800-467-4922**.

1200 New Jersey Avenue, SE
East Building, 2nd Floor, PHH-10
Washington D.C. 20590-0001

IN AN EMERGENCY, DIAL **911** IMMEDIATELY.



United States Department of Transportation
Federal Motor Carrier Safety Administration (FMCSA)

To order copies of the "Guide to Developing an Effective Security Plan for the Highway Transportation of Hazardous Materials," contact FMCSA at **1-800-832-5660**.

1200 New Jersey Avenue, SE
East Building, 2nd Floor, PHH-10
Washington D.C. 20590-0001

Federal Bureau of Investigation (FBI)

To report suspicious activities or security threats, call the FBI at **(202) 324-3000** or **1-800-225-5324**.

935 Pennsylvania Avenue, NW
Washington, D.C. 20535-0001
<http://www.fbi.gov/>

Your Local FBI Office:

() -

U.S. Department of Justice

Bureau of Alcohol, Tobacco, Firearms and Explosives (ATF)

Contact the ATF regarding terrorism, violent crime, or any other crime involving firearms and explosives, acts of arson, and illegal trafficking of alcohol and tobacco products at **1-800-800-3855**.

1401 H. Street NW, Suite 900
Washington, DC 20226
<http://www.atf.gov/>



HELPFUL CONTACT INFORMATION

Department of Health and Human Services Centers for Disease Control and Prevention (CDC)

CDC provides a system of health surveillance to monitor and prevent disease outbreaks including bioterrorism, implements disease prevention strategies, and maintains national health statistics. To report a health emergency, contact CDC at the CDC public response hotline at **1-888-246-2675** (English), **1-888-246-2857** (Español), or **1-866-874-2646 (TTY)**.

1600 Clifton Road
Atlanta, GA 30333
<http://www.cdc.gov>

United States Nuclear Regulatory Commission (NRC)

To report any accident involving a nuclear reactor, nuclear fuel facility, or radioactive materials; lost or damaged radioactive materials; or any threat, theft, smuggling, vandalism, or terrorist activity involving a nuclear facility or radioactive materials, contact NRC's 24-hour operations center at **(301) 816-5100**.

U.S. Nuclear Regulatory Commission
Office of Public Affairs (OPA)
Washington, D.C. 20555
<http://www.nrc.gov/>

Environmental Protection Agency (EPA) National Response Center

The National Response Center is the federal government's national communications center, which is staffed 24 hours a day by U.S. Coast Guard officers and marine science technicians. The NRC receives all reports of releases involving hazardous substances and oil that trigger the federal notification requirements under several laws. Contact the NRC at **1-800-424-8802** or contact the EPA directly at **(202) 272-0167** or **(202) 272-0165 (TTY)**.

Ariel Rios Building
1200 Pennsylvania Avenue, N.W.
Washington, DC 20460
<http://www.epa.gov>

ADDITIONAL CONTACTS

CONTACT NAME: _____

TELEPHONE NUMBER: _____

ADDITIONAL CONTACTS

CONTACT NAME: _____

TELEPHONE NUMBER: _____

INCIDENT INFORMATION

VEHICLE ID (MAKE, MODEL, COLOR, PLATE, NUMBER)

PERSON ID

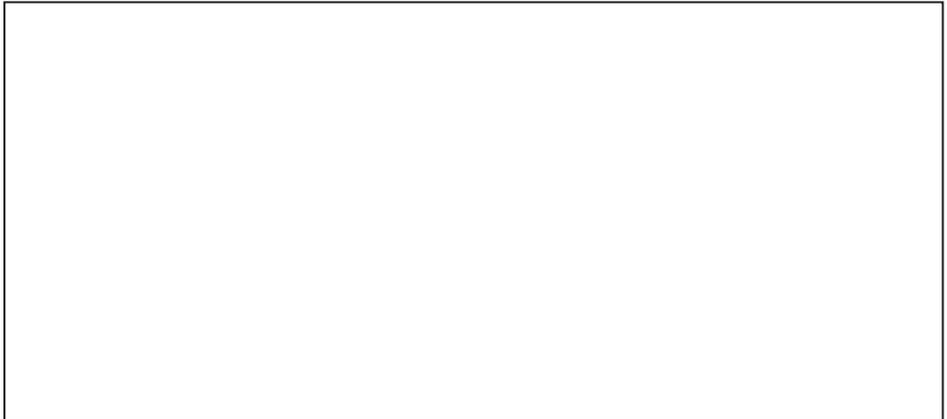
ACTIVITY OBSERVED

LOCATION

TIME OF DAY

TIME I REPORTED INCIDENT

DRAW INCIDENT DIAGRAM HERE:



INCIDENT INFORMATION

VEHICLE ID (MAKE, MODEL, COLOR, PLATE, NUMBER)

PERSON ID

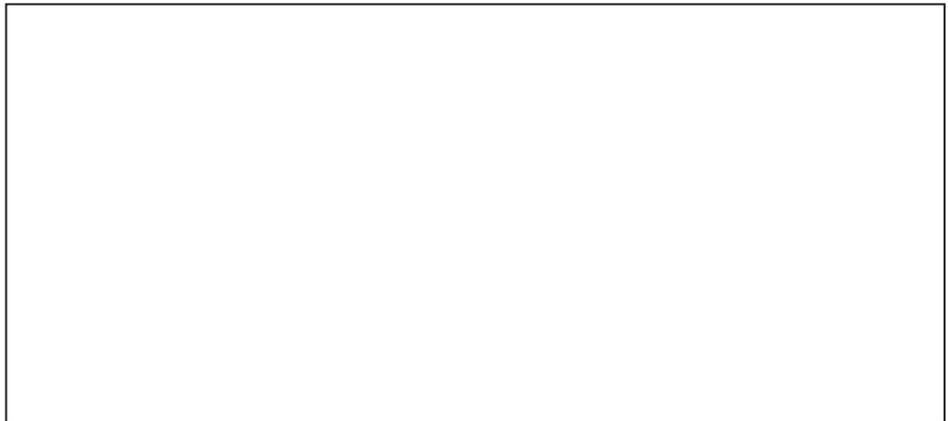
ACTIVITY OBSERVED

LOCATION

TIME OF DAY

TIME I REPORTED INCIDENT

DRAW INCIDENT DIAGRAM HERE:





SECURITY ASSESSMENT COMPLETION

You have now completed a written security assessment of possible transportation security risks for shipments of hazardous materials. Keep a copy of this security self-assessment for your records and use the results to develop a security plan as specified in 49 CFR 172.800.

COMPANY NAME

EMPLOYEE NAME

TITLE

DATE COMPLETED

SIGNATURE

Access the program and download the training materials on the TSA web site at http://www.tsa.gov/what_we_do/tsnm/highways.shtm.

Order the training CD by e-mail at highwaysecurity@dhs.gov. Please specify that you would like to receive the “Hazmat Motor Carrier Security Self-Assessment Training” on CD-ROM. There is no charge for moderate quantities.



SECURITY ASSESSMENT COMPLETION

You have now completed a written security assessment of possible transportation security risks for shipments of hazardous materials. Keep a copy of this security self-assessment for your records and use the results to develop a security plan as specified in 49 CFR 172.800.

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CONTACT INFORMATION

Use the Contact Information Card found below as a quick reference.

Simply,

- Print
- Add local contact information; and
- Laminate for company personnel.



CONTACT INFORMATION CARD

United States Department of Homeland Security
Transportation Security Administration
TSA: (703) 563-3240

Highway Watch®
(866) 821-3444

United States Department of Transportation
Pipeline and Hazardous Materials Safety
Administration
PHMSA: (800) 467-4922

United States Department of Transportation
Federal Motor Carrier Safety Administration
FMCSA: (800) 832-5660

Federal Bureau of Investigation
FBI: (800) 225-5324

U.S. Department of Justice Bureau of Alcohol,
Tobacco, Firearms and Explosives
ATF: (800) 800-3855

Department of Health and Human Services
Centers for Disease Control and Prevention
CDC: (888) 246-2675 (English)
CDC: (888) 246-2857 (Español)

United States Nuclear Regulatory Commission
NRC: (301) 816-5100

Environmental Protection Agency
National Response Center
EPA: (800) 424-8802

IN CASE OF EMERGENCY DIAL 911

Additional Contacts



Transportation Security Administration

U.S. Department of Homeland Security
Transportation Security Administration

601 South 12th Street, TSA-28
Arlington, Virginia 22202-4220
Website: www.tsa.gov