



2019 Annual Report on Transportation Security

Calendar Year 2018 Report to Congress
November 12, 2019



Homeland
Security

Transportation Security Administration

Message from the Acting Deputy Administrator

November 12, 2019

I am pleased to transmit the “2019 Annual Report on Transportation Security” prepared by the Transportation Security Administration (TSA). This report combines multiple annual reporting requirements to streamline and improve the U.S. Department of Homeland Security’s (DHS) processing and submission of the various annual reports on transportation security.¹ Unless otherwise noted, the report summarizes the activities taken in calendar year 2018 by transportation systems owners and operators and by federal, state, local, tribal, and territorial government partners to enhance systems protection and resilience.



To accomplish our security mission, TSA worked collaboratively with a wide range of partners, from federal agencies, aviation and surface transportation industry stakeholders, and international counterparts to intelligence and law enforcement community professionals. Throughout the year, we worked particularly close with our Co-Sector-Specific Agencies for the Transportation Systems Sector, the U.S. Department of Transportation, and the U.S. Coast Guard. Other DHS entities with transportation sector security responsibilities include U.S. Customs and Border Protection, the Cybersecurity and Infrastructure Security Agency, and the Countering Weapons of Mass Destruction Office. This report compiles accomplishments for the entire sector and describes collaborative work of all these entities.

This report satisfies the reporting requirements for the following:

- Annual Periodic Progress Report on the National Strategy for Transportation Security;²
- Annual Report on Transportation Security;³
- Annual Update on Enhanced Security Measures;⁴
- Annual Report on the National Strategy for Public Transportation Security;⁵ and
- Annual Report on the National Strategy for Railroad Transportation Security.⁶

¹ Detailed in a TSA letter to Congress, dated August 11, 2010.

² 49 U.S.C. § 114(s)(4)(C).

³ 49 U.S.C. § 44938(a).

⁴ Section 109(b) of the *Aviation and Transportation Security Act* (Pub. L. No. 107-71) (49 U.S.C. § 114 note, 115 Stat 613-614), as amended by Pub. L. No. 107-296.

⁵ 6 U.S.C. § 1141.

⁶ 6 U.S.C. § 1161.

Pursuant to congressional requirements, this report is being provided to the following Members of Congress:

The Honorable A. Mitch McConnell, Jr.
Senate Majority Leader

The Honorable Charles E. Schumer
Senate Minority Leader

The Honorable Steny Hoyer
House Majority Leader

The Honorable Kevin McCarthy
House Minority Leader

The Honorable Roger Wicker
Chairman, Committee on Commerce, Science, and Transportation

The Honorable Maria Cantwell
Ranking Member, Committee on Commerce, Science, and Transportation

The Honorable Ron Johnson
Chairman, Committee on Homeland Security and Governmental Affairs

The Honorable Gary Peters
Ranking Member, Committee on Homeland Security and Governmental Affairs

The Honorable Michael D. Crapo
Chairman, Committee on Banking, Housing, and Urban Affairs

The Honorable Sherrod Brown
Ranking Member, Committee on Banking, Housing, and Urban Affairs

The Honorable Bennie G. Thompson
Chairman, Committee on Homeland Security

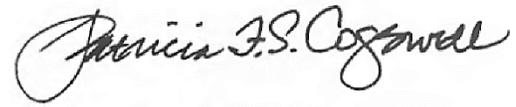
The Honorable Mike Rogers
Ranking Member, Committee on Homeland Security

The Honorable Peter DeFazio
Chairman, Committee on Transportation and Infrastructure

The Honorable Sam Graves
Ranking Member, Committee on Transportation and Infrastructure

Inquiries relating to this report may be directed to TSA's Legislative Affairs office at (571) 227-2717.

Sincerely,

A handwritten signature in black ink that reads "Patricia F.S. Cogswell". The signature is written in a cursive style with a large initial "P" and "C".

Patricia F.S. Cogswell
Acting Deputy Administrator

Executive Summary

The U.S. Department of Homeland Security (DHS) and the U.S. Department of Transportation are designated Co-Sector-Specific Agencies for the Transportation Systems Sector.⁷ For DHS, the Transportation Security Administration (TSA) is the delegated executive agent authority for the sector, and the United States Coast Guard (USCG) is the designated lead for the maritime mode. Though TSA is responsible for the majority of the federal security activities described in this report, other agencies within DHS, in addition to our Sector-Specific Agency partners, also have security responsibilities, including U.S. Customs and Border Protection, the Cybersecurity and Infrastructure Security Agency, and the Countering Weapons of Mass Destruction Office. The report compiles accomplishments for the entire sector, and describes collaborative work of all these entities.

The 2019 Annual Report on Transportation Security fulfills multiple annual reporting requirements and summarizes key accomplishments that took place in calendar year 2018 (unless otherwise noted) by transportation systems owners and operators and by federal, state, local, tribal, and territorial government partners to enhance system protection and resilience from terrorism. The report addresses modal-specific actions, as well as intermodal issues related to the management of risks in the Nation's transportation system, both domestically and internationally.

The table below identifies the Transportation Systems Sector's three security goals, as stated in the 2018 National Strategy for Transportation Security, to achieve a secure and resilient transportation system. The report assesses the sector's progress toward achieving these goals and discusses key accomplishments.

Table 1: Sector Goals

Goal 1: Manage risks to transportation systems from terrorist attacks and enhance system resilience.

Goal 2: Enhance effective domain awareness of transportation systems and threats.

Goal 3: Safeguard privacy, civil liberties, and civil rights; and the freedom of movement of people and commerce.

TSA had a milestone year in 2018 in many respects. The signing of the *Federal Aviation Administration Reauthorization Act of 2018*,⁸ which includes the *TSA Modernization Act*, marked the first ever reauthorization of TSA since the agency's founding in 2001. The reauthorization act empowers TSA to expand field operations and testing of advanced screening technologies and increase use of canine resources. Also, TSA released its first Cybersecurity

⁷ Designated in Presidential Policy Directive-21, *Critical Infrastructure Security and Resilience*.

⁸ Public Law 115-254, 132 Stat. 3186 (October 5, 2018).

Roadmap that improves protections against cyberattacks on our transportation system and a Biometrics Roadmap that will enable testing of new technology at airports.

The Transportation Systems Sector consists of a network of interdependent systems across three subsectors—aviation, maritime, and surface. Below are some highlights from each subsector that can be found in Section III of this report.

Aviation: TSA experienced a record number of travelers and implemented significant security enhancements in 2018. Approximately 813.8 million⁹ passengers and crew members passed through TSA screening, with a peak volume of 2.7 million passengers in one day. This is over 2 million travelers a day on average and a 5.5 percent increase compared to 2017. TSA officers also screened over 5.5 million carry-on items and 1.4 million checked items every day.¹⁰ These efforts are a testament to the coordination and collaboration between TSA and its industry partners.

One of TSA's significant accomplishments in 2018 – in partnership with airports, airlines, and international partners – was completing the rollout of enhanced screening procedures for carry-on baggage as part of a greater effort to raise the baseline for aviation security. These new security procedures require travelers to place all personal electronics larger than a cell phone in bins for X-ray screening in standard lanes. This serves to declutter bags to allow Transportation Security Officers to be able to see more clearly and discern if there is something that could be a threat within the bag. Along with this procedural enhancement, TSA also aggressively implemented a Computed Tomography program to bolster the capabilities of its carry-on baggage screening technology. This included the procurement of 47 Computed Tomography units for lab and field testing that will pave the way for significant procurement and deployment of units to airports starting in 2019.

The first certified third-party canine teams began screening air cargo in 2018 under the Certified Cargo Screening Program-Canine. This fulfilled a requirement in the *TSA Modernization Act* to develop standards for the use of third-party canines for air cargo screening.

Internationally, TSA worked to influence key foreign governments and industry partners to understand the threat, maintain awareness of vulnerabilities, and implement mitigation strategies. TSA continues to raise the baseline of global aviation security by assessing implementation of security measures at approximately 280 last point of departure airports and continuing to work with carriers and foreign partners to enhance security procedures and posture.

Maritime: The Maritime Transportation Subsector, led by the USCG, developed tools, portals, and capabilities to more effectively share critical information. The USCG continues to work with security partners and stakeholders to pursue a risk-based security posture. Using the Area Maritime Security Training and Exercise Program, Federal Maritime Security Coordinators and their Area Maritime Security Committees test the effectiveness of their respective port-level

⁹ [TSA Year in Review: A Record Setting 2018.](#)

¹⁰ Ibid.

Area Maritime Security Plans and support maritime security preparedness regimes through the engagement of federal, state, local, tribal, and territorial government and private sector stakeholders. The USCG also continued its collaborative work with the National Institute of Standards and Technology to finalize Cybersecurity Framework Profiles for Offshore and Passenger Vessel Operations.

Surface: The Surface Transportation Subsector's primary focus related to security is on cooperation, coordination, and oversight. Of note, approximately 250 surface transportation security inspectors conducted more than 8,000 surface regulatory inspections in support of risk-based security. In 2018, TSA conducted over 200 voluntary security assessments for pipeline, mass transit, and over-the-road bus entities and school bus districts and worked with the operators on mitigation approaches that helped raise the national security baseline. These federal review programs analyze security standards and security programs for each system and identify opportunities for entities and operators to further enhance security.

TSA facilitated approximately 14 exercises with its Intermodal Security Training and Exercise Program. Half of these exercises involved multiple modes of transportation. This was instrumental in helping operators test and evaluate their security plans, including prevention and preparedness capabilities, response abilities, and coordination with first responders. In collaboration with industry and law enforcement partners, TSA conducted the country's first-ever vehicle ramming seminar and live demonstration.



2019 Annual Report on Transportation Security

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I. Legislative Language

The 2019 Annual Report on Transportation Security fulfills four annual reporting requirements, including implementation of the National Strategy for Transportation Security (NSTS) and other statutory requirements, to achieve efficiency and deliver a coordinated message to the President and Congress. See Appendix B for a full description of the statutory reporting requirements.

II. Sector Description, Vision, and Mission

The Transportation Systems Sector consists of a network of interdependent systems across three subsectors—aviation, maritime, and surface. The Nation’s critical infrastructure depends on the transportation systems sector, and in turn, the transportation systems depend on other sectors, such as energy, communications, information technology, chemical, and manufacturing.

The interdependencies are an important dimension of the risk environment that must be considered to protect transportation critical infrastructure and achieve system resilience. A primary focus of the sector’s risk management processes during this reporting period was to identify, assess, prioritize, and manage risks in order to enhance the resilience of the transportation systems.

This report describes the transportation system’s progress in implementing the 2018 NSTS, including the transportation modal security plans. It describes progress in addressing terrorism risks, enhancing resilience, improving domain awareness, and protecting privacy, civil rights, and freedom of movement.

III. Sector Progress

The transportation security community continues to enhance security through policy, programs, and activities, developed in collaboration with government and industry partners, that reduce risk associated with potential terrorist attacks in part by increasing system resilience. The NSTS defines goals, supporting objectives and activities, and performance measures for each subsector of transportation. This section assesses progress toward achieving these goals by documenting the performance of each activity against the performance target and discussing some of the activity’s key accomplishments. For those measures that did not meet 2018 targets, supporting rationale is provided. Measure tables do not display the previous year’s results when the measure did not exist at that time.

A. Aviation Transportation Subsector

The Aviation Transportation Subsector consists of commercial aviation, commercial airports, general aviation, and air cargo. The owners and operators, state and local authorities, and the Federal Government work collaboratively to develop measurable security activities, plans, and objectives needed to achieve threat deterrence, detection, and resilience goals.

In 2018, approximately 813.8 million¹¹ passengers and crew members passed through Transportation Security Administration (TSA) screening, with a peak volume of 2.7 million passengers in one day. This is over 2 million travelers a day on average and a 5 percent increase compared to 2017. TSA officers also screened over 5.5 million carry-on items and 1.4 million checked items every day.¹² The capabilities of airports to process millions of passengers and tens of thousands of tons of cargo every day depend on an estimated 1.8 million workers, most of whom undergo a security threat assessment to have access to secured areas and other Security Identification Display Areas, Sterile Areas, and/or Air Operations Areas at U.S. airports. For the past several years, the Federal Aviation Administration/TSA Airspace Waiver Program has issued approximately 6,000 international waivers annually to foreign private charter and general aviation aircraft operating in U.S. airspace.¹³

Other accomplishments include:

- Establishing an aggressive Computed Tomography (CT) carry-on baggage screening equipment program that resulted in the procurement of 47 CT units for lab and field testing, thus paving the way for significant procurement and deployment of over 300 units to airports through FY 2020.
- Certifying the first third-party canine teams to begin screening air cargo under the Certified Cargo Screening Program-Canine. This fulfilled a requirement in the *TSA Modernization Act*¹⁴ to develop standards for the use of third-party canines for air cargo screening.
- Developing a new rules-based concept of operations for the Federal Air Marshal Service (FAMS), fully implemented through a new tactical seating model in FY 2019, that enhances the FAMS deployment profile, both domestically and internationally, while boosting encounters with higher-risk passengers.

¹¹ [TSA Year in Review: A Record Setting 2018](#).

¹² Ibid.

¹³ Aircraft operators must apply for an International Waiver before operating to/from or overflying the territorial restricted airspace of the United States.

¹⁴ *Federal Aviation Administration Reauthorization Act of 2018*, Public Law 115-254, 132 Stat. 3186 (October 5, 2018), includes the *TSA Modernization Act*.

Table 2: Aviation Progress Assessment

Goal 1: Manage risks to the Aviation Transportation Subsector from terrorist attacks and enhance system resilience					
Objective 1: Improve physical and cybersecurity of domestic aviation critical infrastructure					
Activity 1: Increase the number of aviation workers that require a fingerprint-based Criminal History Records Check and have unescorted access to non-public areas of airports who receive perpetual vetting of their criminal history through Rap Back¹⁵					
Performance Measure:	Prior Result	2018		Performance Goals	
	2017	Target	Result	2019	2020
<i>Percentage of aviation workers who require a Criminal History Records Check and have unescorted access to non-public areas of airports who receive perpetual vetting through Rap Back</i>	--*	50%	50%	75%	100%
Key Accomplishments: <ul style="list-style-type: none"> • Implemented process improvements to support recurrent vetting of approximately 20 million credential holders who work within the transportation sector. • Implemented Rap Back Service at 149 airports and 4 airlines. • Coordinated with the Federal Bureau of Investigation (FBI) to implement Rap Back Service sharing function to facilitate airline involvement. 					
* Supporting Rationale: This is a new performance measure and 2018 establishes baseline data.					
Activity 2: Assess cybersecurity in commercial aircraft					
Performance Measure:	Prior Result	2018		Performance Goals	
	2017	Target	Result	2019	2020
<i>* Percentage of organizations that have implemented at least one aviation cybersecurity enhancement after receiving a vulnerability assessment or survey</i>	--	--	--	--	--
<i>** Percent of Critical Infrastructure customers reporting implementation of at least one recommendation following a U.S. Department of Homeland Security (DHS) cybersecurity assessment</i>	91%	85%	85%	85%	87%

¹⁵ Rap Back is a Federal Bureau of Investigation (FBI) service that allows authorized government agencies to receive notification of subsequent activity on individuals who hold positions of trust (e.g. aviation workers) or who are under criminal justice supervision or investigation.

Key Accomplishment: Future assessments will identify and analyze aviation cyber vulnerabilities to support cyber risk-reduction and resiliency efforts within the aviation ecosystem, which includes both civil and military aviation.

Supporting Rationale:

* DHS did not complete any cybersecurity assessments for commercial aircraft in 2018; however, assessments are anticipated for 2019 & 2020 through the Aviation Cyber Initiative, which is jointly chaired by DHS, the U.S. Department of Defense, and the U.S. Department of Transportation. The Aviation Cyber Initiative provides a collaborative forum for cyber risk identification and reduction activities with respect to the aviation ecosystem. It recognizes the differences between departments' and agencies' cyber risk management approaches and supports effective stakeholder aviation cybersecurity risk management processes.

** This is a Cybersecurity and Infrastructure Security Agency (CISA) strategic measure that shows results of the mission program and is considered a CISA *Government Performance and Results Act Modernization Act of 2010* measure. The measure provides insight into the value of DHS cybersecurity assessments through the percent of Critical Infrastructure owners reporting implementation of at least one Improvement or Option for Consideration following a Cyber Resilience Review, External Dependencies Management Assessment, or Cyber Infrastructure Survey. It assesses how organizations manage cybersecurity for significant information services and assets (information, technology, resources, and personnel).

Objective 2: Improve capabilities to prevent, protect, mitigate, respond to, and recover from terrorist attacks throughout the aviation community

Activity 1: Continually expand training for frontline employees to strengthen technical skills to identify, deter, prevent, and respond to threats to the homeland

Performance Measure:	Prior Result	2018		Performance Goals	
	2017	Target	Result	2019	2020
<i>Improvement in detection rates for covert testing and annual proficiency reviews</i>	--	--	*	--	--

Key Accomplishments:

- Provided training to 2,988 commercial airline flight attendants and pilots as part of TSA's voluntary Crew Member Self Defense Training Program.
- Expanded the infrastructure of TSA's Canine Training Center that allowed TSA to train and field 185 new explosives detection canine teams.

* **Supporting Rationale:** This measure is no longer used and is being revised based on Government Accountability Office Covert Testing Audit Report findings.¹⁶ Revised processes and performance measures will be incorporated into the next iteration of the NSTS, to be released in 2020.

Objective 3: Enhance international aviation security risk management strategies

¹⁶ [GAO-19-374, dated April 2019.](#)

Activity 1: Conduct outreach to facilitate the use of international best practices and procedures

Performance Measure:	Prior Result	2018		Performance Goals	
	2017	Target	Result	2019	2020
<i>Percent of foreign last point of departure airports that take action to address identified vulnerabilities</i>	--	70%	57%*	70%	70%

Key Accomplishments:

- TSA worked with 100 percent of last point of departure airports to raise the global aviation security baseline and address security vulnerabilities and gaps.
- TSA continued building influential partnerships as part of ongoing efforts to mitigate vulnerabilities and strengthen the aviation security posture, promoting programs such as Preclearance and ensuring greater bilateral and multilateral information sharing.

*** Supporting Rationale:** TSA identifies vulnerabilities based on requirements set forth by the International Civil Aviation Organization (ICAO). TSA also identifies best practices beyond the ICAO requirements, in which case TSA has limited authority to enforce mitigation activities. Through stakeholder engagement and partnerships, TSA seeks to maximize influence regarding efforts to mitigate risk. TSA continues to build influential partnerships as part of ongoing efforts to mitigate vulnerabilities and strengthen the aviation security posture.

Activity 2: Assess compliance with security measures for international inbound passengers, cargo, and baggage

Performance Measure:	Prior Result	2018		Performance Goals	
	2017	Target	Result	2019	2020
<i>Percentage of international inspections and assessments indicating that TSA-required security standards for passengers, cargo including submission of Air Cargo Advance Screening (ACAS) information, and baggage, are being met</i>	--	75%	78%	75%	75%

Key Accomplishment: In 2018, TSA conducted 546 inspections of air carriers and aircraft operators carrying inbound passengers, cargo, and hold baggage, determining that 78 percent were fully compliant.

Activity 3: Scan international inbound cargo shipments entering the United States to detect radiological or nuclear threats

Performance Measure:	Prior Result	2018		Performance Goals	
	2017	Target	Result	2019	2020
<i>Percent of international air cargo, including special express commercial services cargo and mail, that passes through radiation detection systems upon entering the nation at airports of entry</i>	FOUO/LES	FOUO/LES	FOUO/LES*	FOUO/LES	FOUO/LES

Key Accomplishments:

- Continued funding 16 research efforts at 9 universities to address long-term, high-risk challenges in Radiation/Nuclear Detection and Forensics by completing investigation of new materials and approaches in support of the Countering Weapons of Mass Destruction Office mission. Released a Notice of Funding Opportunity announcement to solicit new proposals for research and awarded 4 new grants.¹⁷
- Initiated new research and development activities into next-generation prototype radioisotope identification device that could provide a low-cost and operationally effective alternative to commercial-off-the-shelf detectors and mobile active interrogation using neutron techniques for shielded threat detection. Continued to improve wide area monitoring and search techniques for radiological and nuclear threats, including the fusion of other sensors such as video and license plate readers.

* **Supporting Rationale:** This measure met its 2018 target.

Objective 4: Increase security technology capability to respond to known and emerging threats

Activity 1: Leveraging TSA work to harmonize standards internationally, and improve aviation industry stakeholder participation in the Research and Development process for threat detection and screening capabilities

Performance Measure:	Prior Result	2018		Performance Goals	
	2017	Target	Result	2019	2020
<i>Improved aviation industry stakeholder participation in the Research and Development process to harmonize global detection and screening capabilities</i>	--	60%	60%	70%	80%

Key Accomplishments:

- Worked with the European Civil Aviation Conference to align testing methodologies for Explosive Trace Detection, Explosive Detection System (EDS).
- TSA determined commensurate detection requirements with Explosive Trace Detection, EDS, and Advanced Technology EDS systems for cabin baggage.
- TSA has facilitated multiple working sessions with the European Civil Aviation Conference study groups to align testing quality control, configuration management, and statistical confidence.

¹⁷ [FY 2018 DHS Agency Financial Report](#), page 124.

Goal 2: Enhance effective aviation domain awareness of transportation systems and threats

Objective 1: Improve quality in the sharing of intelligence information and products for government, industry, and public awareness

Activity 1: Enhance the customer satisfaction of intelligence products to security partners

Performance Measure:	Prior Result	2018		Performance Goals	
	2017	Target	Result	2019	2020
<i>Percentage of customer satisfaction surveys indicating high quality and timeliness of intelligence products</i>	--	100%	71.5*	100%	100%

Key Accomplishments:

- Developed and implemented a product line that delivers same-day updates/responses to transportation stakeholders on modal security incidents (domestic and international).
- Expanded membership in the Aviation Domain Intelligence Integration and Analysis Cell by 100 percent, 50 percent increased attendance at daily web-based collaborative forums and sustained high attendance at recurring classified “Industry Day” agency/industry threat briefings.

* **Supporting Rationale:** There was a low response rate to the customer satisfaction surveys that may have contributed to a lower performance result. TSA will work with stakeholders to improve the participation rate. Results from the returned product surveys, however, indicate that a significant number of customers were "very satisfied" with the timeliness, relevance, completeness, and accuracy of TSA's intelligence products. The responses represent TSA customers in industry, state, local, tribal & territorial, and intelligence community levels. Also, continued Aviation Domain Intelligence Integration and Analysis Cell membership growth, and attendance at and contribution to collaborative forums also are indicators of stakeholder value.

Goal 3: Safeguard privacy, civil liberties, civil rights, and the freedom of movement of people and commerce

Objective 1: Reduce the impact of security policies and activities to privacy, civil rights, and civil liberties

Activity 1: Include the Office of Civil Rights and Liberties, Ombudsman and Traveler Engagement in the coordination process for new security policies involving the screening of individuals/passengers

Performance Measure:	Prior Result	2018		Performance Goals	
	2017	Target	Result	2019	2020
<i>Percentage of security policies coordinated and approved by Office of Civil Rights and Liberties, Ombudsman and Traveler Engagement.</i>	100%	100%	100%	100%	100%

Key Accomplishments:

- Performed significant outreach and training to field operations to address transgender passenger complaints regarding screening.

- Processed 1,698 redress requests with an average response time of 44 days, which improves on the DHS High Priority Performance Goal of less than 60 days.
- Published a Privacy Impact Assessment to assess the privacy impact on individuals in the TSA Office of Inspection Case Management system, which maintains Personally Identifiable Information from individuals designated as witnesses, victims, complainants, or subjects of an investigation.¹⁸

Objective 2: Apply risk-based security approach to supply chain and passengers

Activity 1: Screen all inbound air cargo shipments to resolve security risks of high-risk cargo, including high-risk cargo identified by ACAS, prior to loading for shipment to or upon arrival in the United States

Performance Measure:	Prior Result	2018		Performance Goals	
	2017	Target	Result	2019	2020
<i>Percentage of cargo by value imported to the United States by participants in the U.S. Customs and Border Protection (CBP) trade partnership program</i>	53.1%	53.0%	53.0%	53.0%	53.0%

Key Accomplishments:

- The ACAS Program went into effect in June 2018,¹⁹ requiring the submission of advance air cargo information on shipments arriving in the United States from a foreign location. Previously a voluntary process in which many airlines already participated globally, the program requirements are now mandatory for airlines, freight forwarders, air couriers, and express delivery services flying to the United States.
- Under the ACAS Program, TSA inspectors work with CBP officers to identify high-risk air cargo shipments and facilitate targeted, enhanced screening prior to loading on board U.S.-bound aircraft.

Activity 2: Provide expedited aviation security screening for trusted travelers

Performance Measure:	Prior Result	2018		Performance Goals	
	2017	Target	Result	2019	2020
<i>Percentage of daily passengers receiving expedited screening based on assessed low risk</i>	55%	50%	54%	50%	50%

Key Accomplishments:

- Enhanced passenger experience occurred at checkpoints through the combined use of trust-based programs (e.g., TSA Pre✓®) and new screening technologies (e.g., Credential Authentication Technology).
- Enrolled nearly 1.8 million new individuals in the TSA Pre✓® Application Program.
- Addressed increased checkpoint volume of 4.5 percent, an average increase of 112,329 passengers per day, without increased wait times. This was possible through a

¹⁸ Privacy documents for TSA listed at <https://www.dhs.gov/privacy-documents-transportation-security-administration-tsa>.

¹⁹ Interim Final Rule issued on June 12, 2018; ACAS Pilot Program began in 2010.

combination of additional Transportation Security Officers, efficiencies with technologies and processes, and increased numbers of people enrolled in trusted traveler programs.

- Released the TSA Biometrics Roadmap in July 2018, which defines an approach to leverage biometric technologies and will guide TSA’s efforts to modernize aviation passenger identity verification over the coming years.

B. Maritime Transportation Subsector

The U.S. maritime transportation system is a vital part of the national economy, playing a key role in the global supply chain. It consists of 25,000 miles of navigable channels, 238 locks at 192 locations, and over 3,700 marine terminals at 360 ports. Waterborne cargo and associated activities contribute more than \$649 billion annually to the U.S. Gross Domestic Product and sustain more than 13 million American jobs.²⁰ More than 99 percent of the volume of overseas trade (62 percent by value) enters or leaves the United States by ship.²¹ By their nature, waterways are generally less restricted and are freely accessible to transit without many of the mechanisms for detection and investigation often available in the air and land domains. Maritime security vulnerabilities and the potential consequences from a variety of hazards, including hurricanes, terrorist attacks, and cyber threats continue to be significant.

The U.S. Coast Guard (USCG) and its partners maintain a suite of performance measures to monitor progress in meeting *Maritime Transportation Security Act* (MTSA) performance goals and objectives. Refer to the following reports for further information on key maritime security-related performance and metrics:

- DHS Annual Performance Report for Fiscal Years 2017-2019;
- CBP Border Security Report FY2018;
- Threat of Terrorism to U.S. Ports and Vessels Report to Congress, dated August 25, 2017; and
- DHS Fiscal Year 2018 Performance & Accountability Reports.

Table 3: Maritime Progress Assessment

Goal 1: Manage risks to transportation systems from terrorist attack and enhance system resilience

Objective 1: Use risk-based security planning and operations to reduce the terrorism risk to the Marine Transportation System

Activity 1: Improve compliance at MTSA facilities through risk-based adjustment of enforcement operations tempo

²⁰ Maritime Administration, *Marine Transportation System Important Facts*. Available at <https://origin-www.marad.dot.gov/ports/marine-transportation-system-mts/> Accessed April 5, 2018.

²¹ Ibid.

Performance Measure:	Prior Result	2018		Performance Goals	
	2017	Target	Result	2019	2020
<i>Security compliance rate for high-risk maritime facilities</i>	95%	95%	96%	N/A*	N/A*
Key Accomplishment: The USCG completed over 5,500 security-related MTSA annual and spot check examinations and recorded 161 enforcement actions against the 3,400 MTSA-regulated facility owners or operators for noncompliance with MTSA regulations. In some cases, examinations of a previously inspected facility were not conducted due to the facility closing or changing its operations, thus removing them from USCG oversight. The 161 enforcement actions in 2018 took place at 105 MTSA-regulated facilities and included Notices of Violation, Letters of Warning, or administrative civil penalties. *Please note, this metric was retired in FY 2018.					
Activity 2: Improve interoperability of federal and state, local, tribal, and territorial response teams in Maritime and Security Response Operations (MSRO)					
Performance Measure:	Prior Result	2018		Performance Goals	
	2017	Target	Result	2019	2020
<i>Percentage change from year to year in port-level deployments of Maritime Security and Response Operations</i>	68%	80%	80%	80%	84%
Key Accomplishment: Maturation of the USCG's Risk-Based Maritime Security and Operations Tool allowed more efficient and effective deployment of assets.					
*Supporting Rationale: The USCG met its target for MSRO activity compliance and enhanced Performance Risk Reductions. These outcomes were achieved in conjunction with the USCG's focus on resource efficiency, with an emphasis on minimum activity requirements relayed during training initiatives internal to the USCG. The overall performance increase is attributed to the implementation of USCG-wide MSRO patrols and better accounting for the Risk Reduction of Other Government Agencies.					
Activity 3: Employ Maritime Security Risk Analysis Model (MSRAM)²² and other risk assessment and analysis tools to refine the estimates of MSRO activities' risk-reduction benefits, and use these estimates to inform the execution of MSRO activities in U.S. ports					
Performance Measure:	Prior Result	2018		Performance Goals	
	2017	Target	Result	2019	2020
<i>Percentage change in port risk estimates from MSRAM modeling</i>	49%	56%	52%*	49%	50%
Key Accomplishment: To measure and report outcomes of its Port, Waterway, and Coastal Security mission, the USCG used a risk-based proxy metric. The Port, Waterway, and Coastal Security performance model is designed to estimate USCG activity effectiveness against an					

²² MSRAM is a process and model that supports the USCG's mission to understand and mitigate the risk of terrorist attacks on targets in U.S. ports and waterways.

assessment of maritime terrorism risk, and is annually refined to ensure the most accurate portrayal of performance.

***Supporting Rationale:** Although targets were not met, USCG maritime security performance remains strong and continues to improve. There is an overall increase in performance from 2017, and the USCG expects to meet next year’s targets. We attribute this increase in performance, in part, to the maturation of the MSRO tool, lower likelihood of a weapon of mass destruction threat, and a slight increase in vessel tracking and surveillance capability.

Activity 4: Identify and assess high-risk inbound cargo

Performance Measure:	Prior Result	2018		Performance Goals	
	2017	Target	Result	2019	2020
<i>Percentage of inbound cargo identified by CBP as potentially high-risk that is assessed or scanned prior to departure or at arrival at a U.S. port of entry</i>	99.5%	100%	97.88%*	100%	100%

Key Accomplishment: Worked to secure and facilitate imports arriving in the United States, accommodating the increasing volume and complexities of international trade. With the Container Security Initiative, Customs-Trade Partnership Against Terrorism, and the Automated Commercial Environment, CBP has a sturdy base of partnerships and technology to safeguard the American public and promote legitimate international commerce.

***Supporting Rationale:** This measure gauges the overall percent of inbound cargo identified as potentially high-risk in the sea, air, and land environments that is reviewed, scanned, or otherwise examined prior to loading at a foreign port or at arrival at a U.S. port of entry. To improve measure results, CBP will continue to work to resolve status tracking problems and information processing errors, and with shippers and carriers to rectify logistical and scheduling issues.

Objective 2: Reduce security vulnerabilities and improve preparedness throughout the Marine Transportation System

Activity 1: Expand cybersecurity protections in all segments of the Marine Transportation System using the National Institute of Standards and Technology Framework

Performance Measure:	Prior Result	2018		Performance Goals	
	2017	Target	Result	2019	2020
<i>* Percent of Critical Infrastructure customers reporting implementation of at least one recommendation following a DHS cybersecurity assessment</i>	91.0%	85%	85%	85%	87%

Key Accomplishment: In 2018, 23 applications were funded via the Port Security Grant Program for assessments, or for enhancements recommended by an assessment, with a focus on protecting maritime critical infrastructure. Additionally, 30 of the 43 Area Maritime Security Committees (AMSC) have created Cybersecurity Subcommittees to discuss/address cyber security issues. The

remaining 13 AMSCs leverage a different subcommittee to address cyber issues (i.e., Law Enforcement, Facility Security Officers).

***Supporting Rationale:** This is a CISA strategic measure that shows results of the mission program.²³ The measure provides insight into the value of DHS cybersecurity assessments through the percent of critical infrastructure owners reporting implementation of at least one Improvement or Option for Consideration following a Cyber Resilience Review, External Dependencies Management Assessment, or Cyber Infrastructure Survey.

Activity 2: Improve International Ship and Port Facility Security Code implementation in foreign ports that send ships to the United States

Performance Measure:	Prior Result	2018		Performance Goals	
	2017	Target	Result	2019	2020
<i>Percentage of planned foreign port and reciprocal visits completed</i>	100%	100%	84%	100%	100%

Key Accomplishment: A total of 76 port assessment and reciprocal visits were planned for 2018 and 64 were completed.

***Supporting Rationale:** The majority of port assessments and reciprocal visits not conducted were rescheduled for 2019 due to scheduling and budget challenges.

Activity 3: Evaluate containerized cargo for illicit radiological or nuclear material

Performance Measure:	Prior Result	2018		Performance Goals	
	2017	Target	Result	2019	2020
<i>Percentage of containerized cargo conveyances that pass-through radiation portal monitors at sea ports of entry</i>	FOUO	FOUO	FOUO*	FOUO	FOUO

Key Accomplishments:

- The Countering Weapons of Mass Destruction Office completed operational testing and training for two first-of-its-kind radiation portal monitors designed to scan for radiological/nuclear threats in containers being transported from the dock to railcars by straddle carriers that move containers around a port. The “Straddle Carrier Portals” became operational at the Port of Tacoma, WA, in October 2018.
- Deployed the initial capability for CBP to operate Radiation Portal Monitors remotely.
- Procured 15,000 Spectroscopic Personal Radiation Detectors for DHS operating components (primarily CBP) to more precisely identify radiological/nuclear threats and reduce the number of nuisance alarms. Procured approximately 500 Radioisotope Identification Devices for the USCG.

***Supporting Rationale:** This measure met its 2018 target.

²³ *Government Performance and Results Modernization Act of 2010* requires agencies to engage in performance management tasks such as setting goals, measuring results, and reporting their progress.

Goal 2: Enhance effective domain awareness of MTS and threats

Objective 1: Improve the security, resilience, and regulatory (federal, state, local, tribal, and territorial) information sharing process throughout the Marine Transportation System community

Activity 1: Enhance resilience of cyber systems through exercises, guidance, and assessments

Performance Measure:	Prior Result	2018		Performance Goals	
	2017	Target	Result	2019	2020
<i>*Percent of Critical Infrastructure customers reporting implementation of at least one recommendation following a DHS cybersecurity assessment</i>	91%	85%	85%	85%	87%

Key Accomplishment: In late 2018, the USCG laid the foundation to establish a national Area Maritime Security Committee, Cybersecurity Subcommittee forum for all AMSCs across the nation. This new, webinar-based forum is held quarterly and provides an opportunity for all 43 AMSCs to come together and share best practices/lessons learned and receive updates from USCG Headquarters, DHS entities, and others on MTS cyber initiatives, policy, information, and available resources to assist industry.

***Supporting Rationale:** This is a CISA strategic measure that shows results of the mission program.²⁴ The measure provides insight into the value of DHS cybersecurity assessments through the percent of critical infrastructure owners reporting implementation of at least one Improvement or Option for Consideration following a Cyber Resilience Review, External Dependencies Management Assessment, or Cyber Infrastructure Survey.

Objective 2: Improve Maritime Transportation System stakeholder participation in the risk management process for security and resilience prioritization and programming

Activity 2: Improve effectiveness of port exercise programs by designing exercise objectives and events based on analysis of MSRAM risk data

Performance Measure:	Prior Result	2018		Performance Goals	
	2017	Target	Result	2019	2020
<i>Percentage of security exercises that include using MSRAM data</i>	100%	100%	100%	100%	100%

Key Accomplishments:

- Using the Area Maritime Security Training and Exercise Program, Federal Maritime Security Coordinators and their AMSCs tested the effectiveness of their respective port-level area maritime security plans and supported maritime security preparedness regimes through the engagement of federal, state, local, tribal, and territorial government and private sector stakeholders.

²⁴ Government Performance and Results Modernization Act of 2010 requires agencies to engage in performance management tasks such as setting goals, measuring results, and reporting their progress.

- In 2018, a total of 105 events were held, including 9 seminars, 19 workshops, 26 table top exercises, 8 functional exercises, 17 full-scale exercises, 20 area maritime security drills, and 6 maritime security operations during real events receiving exercise credit.

Goal 3: Safeguard privacy, civil liberties, civil rights, and the freedom of movement of people and commerce

Objective 1: Collaborate with international partners to increase the reliability of the global supply chain

Activity 1: Apply risk segmentation methods to evaluate cargo for expeditious clearance

Performance Measure:	Prior Result	2018		Performance Goals	
	2017	Target	Result	2019	2020
<i>Percentage of cargo by value imported to the United States by participants in CBP trade partnership programs</i>	53.1%	53%	53.3%	53%	53%

Key Accomplishment: CBP facilitates legitimate trade and travel while managing the shared threat to the homeland posed by individuals and cargo that may require additional scrutiny prior to entering or exiting the United States. CBP employs a layered approach to managing risk at various stages in the cargo lifecycle. CBP works with the trade community through voluntary public-private partnership programs, wherein some members of the trade community adopt tighter security measures throughout their international supply chain and in return are afforded benefits. This includes a variety of trade actors, such as importers, carriers, brokers, consolidators/third party logistic providers, Marine Port Authority and Terminal Operators, and foreign manufacturers.

C. Surface Transportation Subsector

The Surface Transportation Subsector enhances security through a risk-based approach to prevent terrorist attacks, protect people and critical assets and systems, and support responses to national transportation security incidents. The subsector consists of four transportation modes: Mass Transit and Passenger Rail, Freight Rail, Highway and Motor Carrier, and Pipeline.

The strategy is to identify risk and implement mitigating activities within the stakeholder and security partner areas of security operations. The subsector’s ability to analyze gaps identified by a vulnerability assessment process and apply practical mitigating activities leads to continuous improvement of activities associated with the threat detection, deterrence, and resilience goals.

To remain effective in a changing surface transportation threat environment, the subsector continually engages in research and development by planning, developing, and executing assessment processes to determine innovative and emerging technology suitability, effectiveness, and feasibility in surface transportation venues. It also coordinates and manages test beds with non-aviation stakeholders and technology end-users to assess promising technology solutions and other tools to drive mission success, address current and emerging threats, close capability

gaps, and reduce risk of serious disruptions to surface transportation stakeholders. Modal-specific test beds are discussed in the tables below.

Changes to policy, regulations, legislation, or budget are identified in this annual review where necessary. These assessments highlight issues associated with the NSTS implementation strategies, information sharing, and risk analyses that continue to advance progress of NSTS goals, objectives, and activities.

The subsector’s primary security focus is on cooperation, coordination, and oversight. Of note, TSA conducted 62 pipeline critical facility security reviews, 23 pipeline corporate security reviews, 92 assessments of security enhancements with mass transit operators, and 124 assessments of security enhancements with motor carriers that help raise the national security baseline and are consistent with the level of assessments conducted in past years. These review programs analyze security standards and security programs for each system and identify opportunities to further enhance security. TSA also presented the First Observer Plus™ program to 7,300 representatives across all modes of surface transportation to assist the entities in properly assessing, observing, and reporting suspicious activity.

Table 4: Mass Transit and Passenger Rail (MTPR) Progress Assessment

Goal 1: Manage risks to transportation systems from terrorist attacks and enhance system resilience					
Objective 1: Security Planning -- Reduce the risks associated with a terrorist attack on MTPR systems through security plans that address critical infrastructure protection, operational practices (to detect and deter), and cybersecurity					
Activity 1: Develop, review, and update security plans based on available information					
Performance Measure:	Prior Result	2018		Performance Goals	
	2017	Target	Result	2019	2020
<i>Percentage of high-risk transit agencies participating in Baseline Assessment for Security Enhancement (BASE) assessments achieving a positive rating for security planning</i>	--*	--*	85.5%*	85%	85%
Key Accomplishment: Conducted BASE evaluations on 22 percent of High Risk MTPR agencies (i.e., those with at least 60,000 daily unlinked passenger trips) to review established written security programs and emergency management plans.					
*Supporting Rationale: This is a new performance measure; 2018 establishes baseline data.					
Objective 2: Security Training -- Conduct training of employees to identify, prevent, respond to, and recover from a terrorist attack					

Activity 1: Improve the current state of the Nation's most critical MTPR systems security training programs through the incorporation of best practices and lessons learned into existing training plans

Performance Measure:	Prior Result	2018		Performance Goals	
	2017	Target	Result	2019	2020
<i>Percentage of high-risk transit agencies participating in BASE assessments achieving a positive rating for security training</i>	--*	--*	74.6%	74%	74%

Key Accomplishments:

- Trained approximately 3,000 MTPR individuals on First Observer Plus™, including approximately 2,100 at two (2) major transit agencies: Los Angeles County Metropolitan Transit Authority (11.4 percent of employees) and Metropolitan Atlanta Rapid Transit Authority (19.8 percent of employees).
- Distributed approximately 60,000 Counterterrorism Guides to transit organizations, the American Public Transportation Association members, and TSA Surface Inspector field offices in fiscal year 2018. Also provided approximately 11,000 Cyber Counterterrorism Guides to MTPR organizations and TSA Surface Inspector field offices for expanded distribution to appropriate frontline employees as part of a cooperative effort to improve MTPR system security.
- Continued work on the final rule for Security Training for Surface Transportation Employees. This final rule is on the DHS Unified Agenda to be published in 2019, subject to regulatory reform requirements under Executive Order 13771, Reducing Regulation and Controlling Regulatory Costs.

***Supporting Rationale:** This is a new performance measure; 2018 establishes baseline data.

Objective 3: Security Exercises-- Conduct exercises employing threat scenarios to evaluate and identify opportunities to improve security preparedness and resiliency

Activity 1: MTPR systems participate in exercises to evaluate the preparedness for response to and recovery from physical and cyber security incidents

Performance Measure:	Prior Result	2018		Performance Goals	
	2017	Target	Result	2019	2020
<i>Percentage of high-risk transit agencies participating in BASE assessments achieving a positive rating for security exercises including TSA's Intermodal Security Training and Exercise Program (I-STEP)</i>	--	--*	78.2%	78%	78%

Key Accomplishments:

- Completed two I-STEP exercises, in line with program targets and goals for the following: Metropolitan Atlanta Rapid Transit Authority and Detroit People Mover.
- Conducted 2,795 Risk Mitigation Activities for Surface Transportation (RMAST) reviews for the Mass Transit mode and 2,519 for passenger rail. RMAST uses risk-based, intelligence-driven processes and procedures to mitigate current threats and vulnerabilities. During pre-operational planning, TSA, in collaboration with stakeholder security

personnel, determines which risk mitigation activities are being used by stakeholders, and progress/results are tracked by TSA.

- Continued the Security Enhancement Through Assessments (SETA) pilot program to simulate a coordinated terrorist attack by covertly placing unattended/suspicious bags on multiple transit vehicles simultaneously. Eighteen SETA events were conducted in fiscal year 2018. The SETA program consists of five elements that are completed in three phases: 1) identifying vulnerabilities and establishing the baseline security posture; 2) mitigating the vulnerability through security training; and 3) reassessing and developing plans to maintain an effective security posture.

***Supporting Rationale:** This is a new performance measure; 2018 establishes baseline data.

Goal 2: Enhance effective domain awareness of transportation systems and threats

Objective 1: Intelligence and Information Sharing -- Maintain and enhance mechanisms for information and intelligence sharing between the MTPR industry and government

Activity 1: Provide timely and relevant information and intelligence to enhance industry's domain awareness

Performance Measure:	Prior Result	2018		Performance Goals	
	2017	Target	Result	2019	2020
<i>Trend of timely distribution of time-sensitive intelligence products</i>	--*	100%	100%	100%	100%

Key Accomplishments:

- MTPR operators reported “Significant Security Concerns” in compliance with 49 Code of Federal Regulations 1580.203 to the Transportation Security Operations Center, which then provides daily, monthly, and annual reports with analysis of trends. The monthly and annual reports are forwarded to MTPR security coordinators.
- MTPR stakeholders, transit police, FBI, and cybersecurity experts participated in the annual MTPR Security Roundtable. Physical and cybersecurity experts came together to inform and share their perspective on law enforcement and cybersecurity issues.
- TSA had over 25 engagements with MTPR industry members, providing intelligence briefings on current and emerging threats to transportation and fostering a collaborative information sharing relationship between the government and industry members. In addition, TSA released 17 intelligence products related to MTPR threats and incidents.

***Supporting Rationale:** This is a new performance measure; 2018 establishes baseline data.

Objective 2: Community outreach -- Encourage industry engagement with first responders and the public to enhance understanding of community risks associated with MTPR systems

Activity 1: Promote MTPR security awareness in communities surrounding critical MTPR assets and systems

Performance Measure:	Prior Result	2018		Performance Goals	
	2017	Target	Result	2019	2020
<i>Percentage of high-risk transit agencies participating in BASE assessments achieving a positive</i>	--	--*	85.5%	86%	87%

rating for public awareness and emergency preparedness programs

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Key Accomplishments:

- Facilitated over 11 Peer Advisory Group calls, scheduled monthly or event-driven, to provide intelligence updates and discuss emerging threats, security challenges overseas, and issues of national MTPR security concern.
- Hosted monthly transit industry information sharing teleconference calls to disseminate intelligence information and security program updates.
- Issued two Surface Transportation Cybersecurity Awareness Messages (CAMs) and eight Security Awareness Messages (SAMs) during times of heightened alert or in response to terrorism events, providing security information and awareness information that emphasize threat-specific existing security measures and/or recommend voluntary protective measures.
- Supported eight Amtrak-led Operation Regional Alliance Including Local, State, and Federal Efforts (RAILSAFE) activities that were planned for the year. On average, RAILSFAE activities include over 170 agencies across 41 states, over 1,000 personnel, and over 150 stations per event.
- Funded American Public Transportation Association to manage the Public Transportation Information Sharing and Analysis Center that provides a 24/7 Security Operating Capability for MTPR-specific critical information/intelligence requirements for incidents, threats, and vulnerabilities. It also disseminates the Transit and Rail Intelligence Awareness Daily Report, and offers additional cyber daily reports, as well as other critical reports.

***Supporting Rationale:** This is a new performance measure; 2018 establishes baseline data.

Goal 3: Safeguard privacy, civil liberties, and civil rights; and the freedom of movement of people and commerce

Objective 1: Security Planning and Training -- Protect civil liberties and the freedom of movement of people and commerce

Activity 1: Develop policy pursuant to applicable privacy and civil liberties and civil rights laws, regulations, and policies

Performance Measure:	Prior Result	2018		Performance Goals	
	2017	Target	Result	2019	2020
<i>Percentage of policies cleared for compliance through TSA's CRL/OTE</i>	100%	100%	100%	100%	100%

Key Accomplishments:

- Reviewed materials impacting TSA employees and the traveling public to ensure they were developed and are applied in a fair and lawful manner, consistent with federal laws and regulations protecting privacy, affording redress, governing freedom of information, and prohibiting discrimination and reprisal, while promoting diversity and inclusion.
- Evaluated all field activities to ascertain compliance with established laws, regulations, and policy.

Table 5: Freight Rail (FR) Progress Assessment

Goal 1: Manage risks to transportation systems from terrorist attacks and enhance system resilience					
Objective 1: Security Planning -- Reduce the risks associated with terrorist attacks on freight railroads through security plans that address critical infrastructure protection, operational practices, and cybersecurity					
Activity 1: Develop, review, and update security plans based on available information					
Performance Measure:	Prior Result	2018		Performance Goals	
	2017	Target	Result	2019	2020
<i>Railroads that transport rail security-sensitive materials (RSSM) in High Threat Urban Areas (HTUA) will implement a security plan and review or revise it during the reporting period</i>	--*	100%	--*	100%	100%
Key Accomplishment: 100 percent of railroads that transport RSSM through HTUA reported that they have security plans and contingency preparations to implement enhanced risk mitigating measures at elevated terrorism alert levels.					
*Supporting Rationale: Due to delays in reporting and compilation of industry data, the annual performance results for 2017 and 2018 were not available at the time of publication and will be available as a supplement to this report.					
Objective 2: Security Training -- Conduct training of frontline employees to identify, prevent, and respond to a terrorist attack					
Activity 1: Improve freight railroad security training programs through the incorporation of best practices and lessons learned in existing training curriculum					
Performance Measure:	Prior Result	2018		Performance Goals	
	2017	Target	Result	2019	2020
<i>Railroads that transport RSSM in HTUAs will report the number of frontline employees receiving security-related training during the reporting period</i>	--*	100%	--*	100%	100%
Key Accomplishments:					
<ul style="list-style-type: none"> • Approximately 80,000 frontline employees of Class I railroads received or participated in security awareness training, which is approximately 49 percent of the total Class I railroad workforce. • Distributed over 17,500 freight railroad-specific and cyber counterterrorism guides to industry stakeholders in a continued effort to enhance the recognition of indicators of possible terrorist activity. • Continued work on the final rule for Security Training for Surface Transportation Employees. This final rule is on the DHS Unified Agenda to be published in 2019, subject 					

to regulatory reform requirements under Executive Order 13771, Reducing Regulation and Controlling Regulatory Costs.

***Supporting Rationale:** Due to delays in reporting and compilation of industry data, the annual performance results for 2017 and 2018 were not available at the time of publication and will be available as a supplement to this report.

Objective 3: Security Exercises -- Conduct exercises to evaluate and identify opportunities to improve security preparedness and resiliency

Activity 1: Railroads participate in exercises to evaluate the preparedness for, response to, and recovery from security incidents

Performance Measure:	Prior Result	2018		Performance Goals	
	2017	Target	Result	2019	2020
<i>Railroads that transport RSSM in HTUAs will report the number and type of security-related exercises that the railroads conducted or participated in during the reporting period</i>	--*	100%	--*	100%	100%

Key Accomplishments:

- The Class I railroads conducted and participated in over 200 exercises focused on preparedness to address general or specific threats and security-related incidents or contingencies.
- Facilitated the use of the Simulation Deck platform during the Association of American Railroads annual security exercise, which added real-world feel by injecting simulated media (video, radio, blogs, and social media) into the exercise environment.
- Facilitated the first freight rail-specific I-STEP in the Chicago metropolitan area in September 2018.
- Participated in Regional Intermodal Security Exercise events, regional security workshops covering all surface transportation modes, in New England and Southern California.
- Mitigated current threats and vulnerabilities using RMAST activities, which typically include TSA Surface Transportation Security Inspectors discussing security awareness issues with stakeholders and personnel. In fiscal year 2018, 1,126 RMASTs were completed for freight rail, and 308 for rail hazardous materials shippers/receivers.

***Supporting Rationale:** Due to delays in reporting and compilation of industry data, the annual performance results for 2017 and 2018 were not available at the time of publication and will be available as a supplement to this report.

Goal 2: Enhance effective domain awareness of transportation systems and threats

Objective 1: Intelligence and Information Sharing -- Maintain and enhance mechanisms for information and intelligence sharing between the freight rail industry and government

Activity 1: Provide timely and relevant information and intelligence to enhance freight railroads' domain awareness

Performance Measure:	Prior Result	2018		Performance Goals	
	2017	Target	Result	2019	2020
<i>Positive trend in timely distribution of time-sensitive intelligence products</i>	100%	100%	100%	100%	100%

Key Accomplishments:

- Distributed more than 60 separate security information and intelligence products to designated rail security coordinators and security partners, including those produced by TSA, other DHS components, and other federal agencies. Examples of information and intelligence products include TSA Modal Threat Assessments, CAMs, SAMs, Transportation Intelligence Notes, and DHS Joint Intelligence Bulletins.
- Provided monthly reports analyzing “significant security concerns” made by railroads to comply with 49 CFR part 1580 and quarterly reports with trend analysis.
- Maintained and managed a database of Rail Security Coordinators for freight railroads, hazardous materials shippers, and hazardous materials receivers.

Objective 2: Community Outreach -- Engage with first responders and the public to provide awareness of security concerns associated with railroad operations in order to promote situational security awareness and preparedness

Activity 1: Promote freight railroad security awareness in communities surrounding critical freight assets and systems

Performance Measure:	Prior Result	2018		Performance Goals	
	2017	Target	Result	2019	2020
<i>Railroads that transport RSSM in HTUAs report the number of engagements or activities related to enhancing the security preparedness with public safety, law enforcement, or emergency management organizations</i>	--*	100%	--*	100%	100%

Key Accomplishment: Railroads have reported over 5,000 security awareness engagements that include interactions with law enforcement, emergency responders, and the public in their operating areas.

***Supporting Rationale:** Due to delays in reporting and compilation of industry data, the annual performance results for 2017 and 2018 were not available at the time of publication and will be available as a supplement to this report.

Goal 3: Safeguard privacy, civil liberties, and civil rights; and the freedom of movement of people and commerce

Objective 1: Security Planning and Training -- Protect civil liberties and the freedom of movement of people and commerce

Activity 1: Develop policy pursuant to applicable privacy and civil liberties and civil rights laws, regulations, and policies

Performance Measure:	Prior Result	2018		Performance Goals	
	2017	Target	Result	2019	2020
<i>Percentage of policies cleared for compliance through TSA's CRL</i>	100%	100%	100%	100%	100%

Key Accomplishments:

- Reviewed materials impacting TSA employees and the traveling public to ensure they were developed and are applied in a fair and lawful manner, consistent with federal laws and regulations protecting privacy, affording redress, governing freedom of information, and prohibiting discrimination and reprisal, while promoting diversity and inclusion.
- Evaluated all field activities to ascertain compliance with established laws, regulations, and policy.

Table 6: Highway and Motor Carrier (HMC) Progress Assessment

Goal 1: Manage risks to transportation systems from terrorist attacks and enhance system resilience

Objective 1: Security Planning -- Reduce the risks from a terrorist attack on HMC systems through security plans that address critical infrastructure protection, operational practices, and cybersecurity

Activity 1: Develop, review, and update security plans based on available information

Performance Measure:	Prior Result	2018		Performance Goals	
	2017	Target	Result	2019	2020
<i>Percentage of HMC systems participating in the BASE achieving a positive rating for security planning</i>	--*	--*	47.2%	48%	49%

Key Accomplishments:

- Commenced a BASE revisit plan to establish baseline results and provide continued security engagement to our stakeholders through the BASE program, and to continually impact security postures while solidifying performance metrics through reengagement efforts.
- Completed 89 (10 trucking; 6 school bus; 62 school districts; and 11 over-the-road bus) BASE assessments that provide a random sample of operators' voluntary implementation of recommended security measures. Due to the HMC mode's large number of operators, TSA conducted random assessments to identify progress and need-to-improve areas in security plans.
- Worked with industry partners to continue updating the Transportation Security Template and Assessment Review Toolkit for use by trucking, school bus, and over-the-road bus

entities to develop and implement security plans. Update and final approval of the toolkit is anticipated to be available to industry in 2019.

***Supporting Rationale:** This is a new performance measure; 2018 establishes baseline data.

Objective 2: Security Training -- Conduct training of frontline employees to identify, prevent, and respond to a terrorist attack

Activity 1: Improve the current state of the most critical HMC systems security training program through the incorporation of best practices and lessons learned into existing training plan

Performance Measure:	Prior Result	2018		Performance Goals	
	2017	Target	Result	2019	2020
<i>Percentage of HMC systems participating in BASE assessments achieving a positive rating for security training</i>	--*	--*	56.1%	57%	58%

Key Accomplishments:

- Commenced a BASE revisit plan to establish baseline results and provide continued security engagement to our stakeholders through the BASE program, and to continually impact security postures while solidifying performance metrics through reengagement efforts.
- Delivered First Observer Plus™ training to 5,490 HMC stakeholders, consisting of frontline employees and managers, to assist entities in effectively observing, assessing, and reporting potential terrorist activities.
- Continued work on the final rule for Security Training for Surface Transportation Employees. This final rule is on the DHS Unified Agenda to be published in 2019, subject to regulatory reform requirements under Executive Order 13771, Reducing Regulation and Controlling Regulatory Costs.
- Provided HMC Toolkit, HMC Counterterrorism Guides (1,130 school bus; 390 over-the-road Bus; 2,901 trucking; and 320 highway infrastructure), active shooter response cards, and terrorism indicator cards to industry stakeholders as part of a cooperative effort to improve security.
- In collaboration with industry and law enforcement partners in Richmond, Kentucky, TSA conducted the country's first-ever vehicle ramming seminar and live demonstration. This event in April 2018 provided the trucking operators, as well as local, state, and federal representatives an opportunity to learn, discuss, and experience/showcase challenges and solutions to vehicle ramming threats facing the trucking industry.

***Supporting Rationale:** This is a new performance measure; 2018 establishes baseline data.

Objective 3: Security Exercises -- Conduct exercises to evaluate and identify opportunities to improve security preparedness and resiliency

Activity 1: HMC systems participate in exercises to evaluate the preparedness for, response to, and recovery from security incidents

Performance Measure:	Prior Result	2018		Performance Goals	
	2017	Target	Result	2019	2020

<i>Percentage of HMC systems participating in BASE assessments achieving a positive rating for security exercises</i>	--*	--*	39.4%	40%	41%
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Key Accomplishments:

- Commenced a BASE revisit plan to establish baseline results and provide continued security engagement to our stakeholders through the BASE program and to continually impact security postures while solidifying performance metrics through reengagement efforts.
- Completed ten I-STEP exercises in Charlotte, NC; Concord, NC; Seattle, WA; Louisville, KY; Roanoke, VA; Bentonville, AR; and Boise, ID. In addition, TSA identified best practices from each exercise.
- Conducted 1,331 RMASTs that are designed to mitigate threats and vulnerabilities, and typically include TSA personnel sharing DHS/TSA-developed security-related materials with stakeholder personnel.

***Supporting Rationale:** This is a new performance measure; 2018 establishes baseline data.

Goal 2: Enhance effective domain awareness of transportation systems and threats

Objective 1: Intelligence and Information Sharing -- Maintain and enhance mechanisms for information and intelligence sharing between the HMC industry and government

Activity 1: Provide timely and relevant information and intelligence to enhance industry's domain awareness

Performance Measure:	Prior Result	2018		Performance Goals	
	2017	Target	Result	2019	2020
<i>Positive trend in timely distribution of time sensitive intelligence products</i>	100%	100%	100%	100%	100%

Key Accomplishments:

- Conducted quarterly conference calls providing stakeholders with current intelligence and threat briefs, updates on programs and policies, and an opportunity for stakeholder questions and comments.
- Issued eight SAMs to industry during times of heightened alert or in response to real-world terrorism events, providing security information and awareness information that emphasize threat-specific existing security measures and/or recommend voluntary protective measures.
- Conducted stakeholder follow-up calls with all modal stakeholders in the wake of significant terrorist attacks overseas. Each call included current threat and technique analysis, and opportunities for stakeholder questions and input.
- Sponsored the delivery of daily reports to stakeholders through the Public Transit-Surface Transportation-Over-The-Road-Bus Information Sharing and Analysis Center.
- TSA had over 20 engagements with HMC industry members, providing intelligence briefings on current and emerging threats to transportation, and fostering a collaborative

information sharing relationship between the government and industry members. In addition, TSA released 13 intelligence products related to HMC threats and incidents.

Objective 2: Community Outreach -- Encourage industry engagement with first responders and the public to enhance understanding of community risks associated with HMC

Activity 1: Promote HMC security awareness in communities surrounding critical HMC assets and systems

Performance Measure:	Prior Result	2018		Performance Goals	
	2017	Target	Result	2019	2020
<i>Percentage of HMC systems participating in BASE assessments achieving a positive rating for sharing security-related information or best practices</i>	--*	--*	87.5%	87%	89%

Key Accomplishment:

- Commenced a BASE revisit plan to establish baseline results and provide continued security engagement to our stakeholders through the BASE program and to continually impact security postures while solidifying performance metrics through reengagement efforts.
- Provided security awareness and TSA security initiative updates at more than 31 public/private stakeholder events/calls.
- Conducted 11 SETA events, which simulated a coordinated terrorist attack by covertly placing unattended/suspicious bags on school buses.

***Supporting Rationale:** This is a new performance measure; 2018 establishes baseline data.

Goal 3: Safeguard privacy, civil liberties, and civil rights; and the freedom of movement of people and commerce

Objective 1: Security Planning and Training -- Protect civil liberties and the freedom of movement of people and commerce

Activity 1: Develop policy pursuant to applicable privacy and civil liberties and civil rights laws, regulations, and policies

Performance Measure:	Prior Result	2018		Performance Goals	
	2017	Target	Result	2019	2020
<i>Percentage of policies cleared for compliance through TSA's CRL</i>	100%	100%	100%	100%	100%

Key Accomplishments:

- Reviewed materials impacting TSA employees and the traveling public to ensure they were developed and are applied in a fair and lawful manner, consistent with federal laws and regulations protecting privacy, affording redress, governing freedom of information, and prohibiting discrimination and reprisal, while promoting diversity and inclusion.

- Evaluated all field activities to ascertain compliance with established laws, regulations, and policy.

Table 7: Pipeline Progress Assessment

Goal 1: Manage risks to transportation systems from terrorist attacks and enhance system resilience					
Objective 1: Security Planning -- Reduce the risks from a terrorist attack on pipeline systems through security plans that address critical infrastructure protection, operational practices, and cybersecurity					
Activity 1: Develop, review, and update security plans based on available information					
Performance Measure:	Prior Result	2018		Performance Goals	
	2017	Target	Result	2019	2020
<i>Percentage of critical pipeline companies whose security plans meet the guidelines in the TSA Pipeline Security Guidelines as assessed through corporate security reviews</i>	--*	--*	82.4%	82%	82%
Key Accomplishment: Conducted on-site review of security plans at 23 critical pipeline companies in 2018 to assess their adherence to the security plan guidance in the TSA Pipeline Security Guidelines. Greater than 82 percent of companies assessed met the guideline requirements.					
Objective 2: Security Training -- Conduct training of frontline employees to identify, prevent, and respond to a terrorist attack					
Activity 1: Improve the current state of the Nation's most critical pipeline systems security training program through the incorporation of TSA pipeline security guidelines into existing training plans					
Performance Measure:	Prior Result	2018		Performance Goals	
	2017	Target	Result	2019	2020
<i>Percentage of critical pipeline companies whose security training plans and requirements meet the guidelines in the TSA Pipeline Security Guidelines as assessed through corporate security reviews</i>	--*	--*	80.4%	80%	80%
Key Accomplishment:					
<ul style="list-style-type: none"> • Conducted on-site review of security plans at 23 critical pipeline companies to assess their adherence to the security training plan guidance in the TSA Pipeline Security Guidelines. Greater than 80 percent of companies assessed met the guideline requirements. • Distributed over 500 pipeline-specific and cyber counterterrorism guides to industry stakeholders in a continued effort to enhance the recognition of indicators of possible terrorist activity. 					
*Supporting Rationale: This is a new performance measure; 2018 establishes baseline data.					

Objective 3: Security Exercises -- Conduct exercises employing threat scenarios to evaluate and identify opportunities to improve security preparedness and resiliency

Activity 1: Pipeline systems participate in exercises to evaluate the preparedness for, response to, and recovery from physical and/or cyber security incidents

Performance Measure:	Prior Result	2018		Performance Goals	
	2017	Target	Result	2019	2020
<i>Percentage of critical pipeline companies whose security exercises and drills meet the guidelines in the TSA Pipeline Security Guidelines as assessed through corporate security reviews</i>	--*	--*	60.5%	61%	62%

Key Accomplishments:

- Planned, developed, and executed, in collaboration with representatives from law enforcement and public safety agencies, an I-STEP exercise based on overarching TSA risk mitigation and resilience strategies and plans. The I-STEP exercise resulted in improved coordination between the pipeline company and local emergency responders, and the identification of best practices.
- Conducted on-site review of security training at 23 critical pipeline companies to assess their adherence to the exercise guidance in the TSA Pipeline Security Guidelines. Greater than 60 percent of companies assessed met the guideline requirements.

***Supporting Rationale:** This is a new performance measure; 2018 establishes baseline data.

Goal 2: Enhance effective domain awareness of transportation systems and threats

Objective 1: Intelligence and Information Sharing -- Maintain and enhance mechanisms for information and intelligence sharing between the pipeline industry and government

Activity 1: Provide timely and relevant information and intelligence to enhance industry's domain awareness

Performance Measure:	Prior Result	2018		Performance Goals	
	2017	Target	Result	2019	2020
<i>Increased timely distribution of time sensitive intelligence products</i>	100%	100%	100%	100%	100%

Key Accomplishments:

- Conducted 18 conference calls with stakeholders to provide current threat information, updates on programs and policies, and an opportunity for questions and comments.
- Participated in 13 external meetings with stakeholders and attended 7 stakeholder conferences to provide threat and intelligence updates, review trends in pipeline assessments, and discuss best practices and national issues regarding pipeline security.
- Distributed more than 60 separate security information and intelligence products to designated pipeline security partners, including those produced by TSA, other DHS components, and federal agencies. Examples of information and intelligence products

include TSA Modal Threat Assessments, SAMs, Transportation Intelligence Notes, and DHS Joint Intelligence Bulletins.

Objective 2: Community Outreach -- Encourage industry engagement with first responders and the public to enhance understanding of community risks associated with pipeline systems

Activity 1: Promote pipeline security awareness in communities surrounding critical pipeline assets and systems

Performance Measure:	Prior Result	2018		Performance Goals	
	2017	Target	Result	2019	2020
<i>Percentage of critical pipeline companies whose community outreach events meet the guidelines in the TSA Pipeline Security Guidelines as assessed through corporate security reviews</i>	--*	--*	82.8%	82%	82%

Key Accomplishment: Planned, developed, and executed, in coordination with law enforcement and public safety agencies, one I-STEP exercise based on overarching TSA risk mitigation and resilience strategies and plans. The I-STEP exercise resulted in improved coordination between the pipeline company and local emergency responders, and the identification of best practices.

***Supporting Rationale:** This is a new performance measure; 2018 establishes baseline data.

Goal 3: Safeguard privacy, civil liberties, and civil rights; and the freedom of movement of people and commerce

Objective 1: Security Planning and Training -- Protect civil liberties and the freedom of movement of people and commerce

Activity 1: Develop policy pursuant to applicable privacy and civil liberties and civil rights laws, regulations, and policies

Performance Measure:	Prior Result	2018		Performance Goals	
	2017	Target	Result	2019	2020
<i>Percentage of policies cleared for compliance through TSA's CRL</i>	100%	100%	100%	100%	100%

Key Accomplishments:

- Reviewed materials impacting TSA employees and the traveling public to ensure they were developed and are applied in a fair and lawful manner, consistent with federal laws and regulations protecting privacy, affording redress, governing freedom of information, and prohibiting discrimination and reprisal, while promoting diversity and inclusion.
- Evaluated all field activities to ascertain compliance with established laws, regulations, and policy.

D. Intermodal

The Intermodal Security Subsector covers the transportation elements of the global supply chain and the delivery of goods from origin to destination by multi-modal postal and parcel shipping services. The global supply chain consists of a dense network of routes and carriers operating efficiently to provide time-sensitive deliveries. Threats to intermodal transportation links of the supply chain are the same as those for the individual modes serving the supply chain. The threats also include the potential delivery of explosives, dangerous chemicals, or biological agents to specific targets. While the direct consequences of attacks on intermodal transportation systems may be limited, the indirect costs of attack-related disruptions could have significant and lasting effects, particularly where shipping options are limited.

Table 8: Intermodal Progress Assessment

Goal 1: Manage risks to transportation systems from terrorist attack and enhance system resilience					
Objective 1: Manage risks from transportation vulnerabilities in vital supply chains					
Activity 1: Identify and assess key supply chain transportation assets and systems					
Performance Measure:	Prior Result	2018		Performance Goals	
	2017	Target	Result	2019	2020
<i>Estimated percent completion of identification and assessment of priority supply chains</i>	--	--	--*	--	--
Key Accomplishments: <ul style="list-style-type: none"> Conducted DHS-led regional assessments using the Regional Resilience Assessment Program to identify opportunities for regional homeland security officials and critical infrastructure partners to strengthen infrastructure resilience. Key findings concentrate on regionally significant issues and present options to enhance resilience. The USCG conducted over 5,900 MTSA facility inspections, which aim to prevent maritime transportation security incidents and marine casualties resulting from malicious acts, accidents, or acts of nature against waterfront facilities. I-STEP engaged with over 33 stakeholder groups to conduct 7 multiple intermodal security exercises, resulting in after-action reports and development of industry practices. TSA participated in a policy development process with industry engagement and the Compliance Security Enhancement Through Testing Program to enhance industry compliance through measures other than penalties. In addition, the subsector coordinated U.S. and international positions on cargo technological standards, supply chain security, and advance cargo information with international cargo security working groups, such as the ICAO's Aviation Security Panel. 					
*Supporting Rationale: Data for this measure is not available currently. The sector continues to collaborate with industry stakeholders and security partners on supply chain issues and innovative approaches to security.					

Activity 2: Remediate physical security vulnerabilities of transportation operations to protect critical infrastructure

Performance Measure:	Prior Result	2018		Performance Goals	
	2017	Target	Result	2019	2020
<i>Percent of respondents reporting that DHS critical infrastructure information will inform their decision making on risk mitigation and resilience enhancements</i>	95%	77%	94%	82%	85%

Key Accomplishment: Conducted nearly 300 voluntary assessments for pipeline, mass transit, bus entities, and school districts; and issued guidelines that highlight key vulnerabilities and the means to resolve them.

Objective 2: Encourage adoption of global supply chain transportation-related standards, regulations, guidelines, and best practices

Activity 1: Implement the International Port Security Program (IPS) to assess the effectiveness of anti-terrorism measures in foreign ports, build security capacity where gaps exist, and impose conditions of entry on vessels arriving in the United States from ports with substandard security

Performance Measure:	Prior Result	2018		Performance Goals	
	2017	Target	Result	2019	2020
<i>Percent reduction of maritime security risk resulting from U.S. Coast Guard efforts to prevent a weapon of mass destruction from entering the United States via maritime means</i>	44%	39%	46%	44%	45%

Key Accomplishments:

- USCG’s IPS Program conducted assessments of 153 foreign ports in 49 countries in 2018 while imposing conditions of entry on vessels arriving from 20 countries.
- The IPS Program also conducted 21 capacity building activities in 21 countries with marginal port security, in order to prevent them from falling into non-compliance with the International Ship and Port Facility Code.

Goal 2: Enhance effective domain awareness of transportation systems and threats

Objective 1: Enhance federal analysis and sharing of transportation security supply chain information to improve situational awareness of terrorist threats

Activity: Implement advance notice of arrival protocols including CBP’s 24-Hour Advanced Manifest Rule and the USCG’s 96-Hour Advance Notice of Arrival to identify higher-risk cargo movements for enhanced security review.

Performance Measure:	Prior Result	2018		Performance Goals	
	2017	Target	Result	2019	2020
<i>Percent of inbound cargo identified by CBP as potentially high-risk that is assessed or scanned prior to departure or at arrival at a U.S. port of entry</i>	99.5%	100%	97.88%*	100%	100%
Key Accomplishment: Used Pre-Loading Advance Cargo Information to examine the application of advance cargo information and as a platform for dialogue among program participants and between regulators and industry.					
*Supporting Rationale: This measure gauges the overall percent of inbound cargo identified as potentially high-risk in the sea, air, and land environments that is reviewed, scanned, or otherwise examined prior to loading at a foreign port or at arrival at a U.S. port of entry or at arrival at a U.S. port of entry. To improve measure results, CBP will continue to work to resolve technical issues and with shippers and carriers to rectify logistical and scheduling issues.					
Objective 2: Strengthen and grow stakeholder partnerships and collaboration on supply chain resilience					
Activity 1: Streamlining security processes in collaboration with public and private sector partners to enhance U.S. economic competitiveness by enabling lawful trade					
Performance Measure:	Prior Result	2018		Performance Goals	
	2017	Target	Result	2019	2020
<i>Percent of imports compliant with applicable U.S. trade laws.</i>	99.4%	97.5%	98.7%	97.5%	97.5%
Key Accomplishment: Performance results indicate that the bulk of importers into the United States are compliant with U.S. trade laws, and ensure a high level of confidence for the automated processing of over 30 million shipments each year.					
Goal 3: Safeguard privacy, civil liberties, and civil rights; and the freedom of movement of people and commerce					
Objective 1: Manage transportation risks in the global supply chain networks to promote the efficient flow of commerce					
Activity 1: Expand risk segmentation through advanced technology to enable low-risk trade and travel (Automated Targeting System, Automated Manifest System, Air Cargo Advance Screening, and C-TPAT)					
Performance Measure:	Prior Result	2018		Performance Goals	
	2017	Target	Result	2019	2020
<i>Percent of cargo by value imported to the United States by participants in CBP trade partnership programs.</i>	53.1%	53.0%	53.3%	53%	53%
Key Accomplishment: CBP works with the trade community through these voluntary public-private partnership programs, wherein some members of the trade community adopt tighter security measures throughout their international supply chain and in return are afforded benefits. This includes a variety of trade actors, such as importers, carriers, brokers, consolidators/third					

party logistic providers, Marine Port Authority and Terminal Operators, and foreign manufacturers.

Activity 2: Streamlining security processes in collaboration with public and private sector partners to enhance U.S. economic competitiveness by enabling lawful trade

Performance Measure:	Prior Result	2018		Performance Goals	
	2017	Target	Result	2019	2020
<i>Percent of imports compliant with applicable U.S. trade laws.</i>	99.4%	97.5%	98.7%	97.5%	97.5%

Key Accomplishment: Performance results indicate that the bulk of importers into the U.S. are compliant with U.S. trade laws and ensure a high level of confidence for the automated processing of over 30 million shipments each year.

Appendix A:

Acronym List

Acronym	Definition
ACAS	Air Cargo Advance Screening
ACI	Aviation Cyber Initiative
AMSC	Area Maritime Security Committee
AMSTEP	Area Maritime Security Training and Exercise Program
ATS	Automated Targeting System
BASE	Baseline Assessment for Security Enhancements
CAM	Cybersecurity Awareness Message
CBP	U.S. Customs and Border Protection
CI	Critical Infrastructure
CISA	Cybersecurity and Infrastructure Security Agency
CT	Computed Tomography
DHS	U.S. Department of Homeland Security
EDS	Explosive Detection System
FAMS	Federal Air Marshal Service
FBI	Federal Bureau of Investigation
FEMA	Federal Emergency Management Agency
FR	Freight Rail
FY	Fiscal Year
HMC	Highway and Motor Carrier
HTUA	High Threat Urban Area
ICAO	International Civil Aviation Organization
IPS	International Port Security
I-STEP	Intermodal Security Training and Exercise Program
LES	Law Enforcement Sensitive
MSRO	Maritime and Security Response Operations
MTPR	Mass Transit and Passenger Rail
MTS	Maritime Transportation System
MTSA	Maritime Transportation Security Act
NMSAC	National Maritime Security Advisory Committee
NPRM	Notice of Proposed Rule Making
NSTS	National Strategy for Transportation Security
R&D	Research and Development
RAILSAFE	Regional Alliance Including Local, State, and Federal Efforts
RMAST	Risk Mitigation Activities for Surface Transportation
RSSM	Rail Security-Sensitive Materials
SAM	Security Awareness Message
SETA	Security Enhancement Through Assessments

TSA	Transportation Security Administration
TSGP	Transportation Security Grant Program
TTAL	Top Transit Asset List
USCG	United States Coast Guard

Appendix B:

Legislative Language: Annual Reporting Requirements

The Annual Report on Transportation Security covers four annual reporting requirements, including implementation of the National Strategy for Transportation Security, the Transportation Systems Sector-Specific Plan, and other statutory requirements, as detailed below, to achieve efficiency and deliver a coordinated message to the White House and Congress. This report satisfies the following reporting requirements:

1. Annual Periodic Progress Report on the National Strategy for Transportation Security: 49 U.S.C. § 114(s)(4)(B):

Periodic progress report –

(i) Requirement for report. - Each year, in conjunction with the submission of the budget to Congress under section 1105(a) of title 31, United States Code, the Secretary of Homeland Security shall submit to the appropriate congressional committees an assessment of the progress made on implementing the National Strategy for Transportation Security, including the transportation modal security plans.

(ii) Content. - Each progress report submitted under this subparagraph shall include, at a minimum, the following:

(I) Recommendations for improving and implementing the National Strategy for Transportation Security and the transportation modal and intermodal security plans that the Secretary of Homeland Security, in consultation with the Secretary of Transportation, considers appropriate.

(II) An accounting of all grants for transportation security, including grants and contracts for research and development, awarded by the Secretary of Homeland Security in the most recent fiscal year and a description of how such grants accomplished the goals of the National Strategy for Transportation Security.

(III) An accounting of all –

(aa) funds requested in the President's budget submitted pursuant to section 1105 of title 31 for the most recent fiscal year for transportation security, by mode;

(bb) personnel working on transportation security by mode, including the number of contractors; and,

(cc) information on the turnover in the previous year of senior staff of the Department of Homeland Security, including component agencies, working on transportation security issues. Such information shall include the number of employees who have permanently left the office, agency, or area in which they worked, and the amount of time that they worked for the Department of Homeland Security.

2. Annual Report on Transportation Security: 49 U.S.C. § 44938(a):

(a) Transportation Security. - Not later than March 31 of each year, the Secretary of Homeland Security shall submit to Congress a report on transportation security with recommendations the Secretary considers appropriate. The report shall be prepared in

conjunction with the biennial report the Administrator of the Transportation Security Administration submits under subsection (b) of this section in each year the Administrator of the Transportation Security Administration submits the biennial report but may not duplicate the information submitted under subsection (b) or section 44907(a)(3) of this title. The Secretary may submit the report in classified and unclassified parts. The report shall include-

- (1) an assessment of trends and developments in terrorist activities, methods, and other threats to transportation;
- (2) an evaluation of deployment of explosive detection devices;
- (3) recommendations for research, engineering, and development activities related to transportation security, except research engineering and development activities related to aviation security to the extent those activities are covered by the national aviation research plan required under section 44501(c) of this title;
- (4) identification and evaluation of cooperative efforts with other departments, agencies, and instrumentalities of the United States Government;
- (5) an evaluation of cooperation with foreign transportation and security authorities;
- (6) the status of the extent to which the recommendations of the President's Commission on Aviation Security and Terrorism have been carried out and the reasons for any delay in carrying out those recommendations;
- (7) a summary of the activities of the Director of Intelligence and Security in the 12-month period ending on the date of the report;
- (8) financial and staffing requirements of the Director;
- (9) an assessment of financial and staffing requirements, and attainment of existing staffing goals, for carrying out duties and powers of the Administrator of the Transportation Security Administration related to security; and
- (10) appropriate legislative and regulatory recommendations.

3. Annual Update on Enhanced Security Measures: as required by Section 109(b) of the *Aviation and Transportation Security Act* (Pub. L. No. 107-71) (49 U.S.C. § 114 note, 115 Stat 613-614), as amended by Pub. L. No. 107-296.

4. Annual Report on the National Strategy for Public Transportation Security:
6 U.S.C. § 1141:

(a) Annual report to Congress

(1) In general

Not later than March 31 of each year, the Secretary shall submit a report, containing the information described in paragraph (2), to the appropriate congressional committees.

(2) Contents

The report submitted under paragraph (1) shall include—

- (A) a description of the implementation of the provisions of this subchapter;
- (B) the amount of funds appropriated to carry out the provisions of this subchapter that have not been expended or obligated;
- (C) the National Strategy for Public Transportation Security required under section 1133 of title 6;

(D) an estimate of the cost to implement the National Strategy for Public Transportation Security which shall break out the aggregated total cost of needed capital and operational security improvements for fiscal years 2008–2018; and
(E) the state of public transportation security in the United States, which shall include detailing the status of security assessments, the progress being made around the country in developing prioritized lists of security improvements necessary to make public transportation facilities and passengers more secure, the progress being made by agencies in developing security plans and how those plans differ from the security assessments and a prioritized list of security improvements being compiled by other agencies, as well as a random sample of an equal number of large- and small-scale projects currently underway.

(3) Format

The Secretary may submit the report in both classified and redacted formats if the Secretary determines that such action is appropriate or necessary.

5. Annual Report on the National Strategy for Railroad Transportation Security:

6 U.S.C. § 1161

(e) Report

(1) Contents

Not later than 1 year after August 3, 2007, the Secretary shall transmit to the appropriate congressional committees a report containing—

(A) the assessment and the National Strategy required by this section; and

(B) an estimate of the cost to implement the National Strategy.

(2) Format

The Secretary may submit the report in both classified and redacted formats if the Secretary determines that such action is appropriate or necessary.

(f) Annual updates

Consistent with the requirements of section 114(t) 1 of title 49, the Secretary shall update the assessment and National Strategy each year and transmit a report, which may be submitted in both classified and redacted formats, to the appropriate congressional committees containing the updated assessment and recommendations.

Appendix C:

Public Transportation Security Annual Report 6 U.S.C. § 1141

This appendix addresses the annual reporting requirements of 6 U.S.C. § 1141, covering the implementation of the National Strategy for Public Transportation Security, as defined by Title 6-Domestic Security, Chapter 4-Transportation Security, Subchapter III-Public Transportation Security, Sections 1131 through 1139.

1) Description of the implementation of the provisions of Title XIV of the 9/11 Act (title)

§1131 Definitions

Status: No action required.

§1132. Findings

Status: No action required.

§1133. National Strategy for Public Transportation Security

Status: Implemented through the 2018 National Strategy for Transportation Security, Appendix C, Surface Security Plan.

§1134. Security assessments and plans

Status: See 3) a) and 3) c) below. Additionally, TSA published an Advance Notice of Proposed Rulemaking on Surface Transportation Vulnerability Assessments and Security Plans. *See* 81 FR 91401 (Dec. 16, 2016).

§1135. Public transportation security assistance

Status: See 2) below.

§1136. Security exercises

Status: TSA's Intermodal Security Training and Exercise Program (I-STEP), a security exercise program designed to reduce risks to critical transportation infrastructure, collaborated with transportation operators and security partners to build and sustain security preparedness to protect the traveling public, enhance national resilience, and identify capability gaps and needed resources. In 2018, I-STEP collaborated with security partners to produce 44 transportation security exercises supporting all modes of transportation. Of these, 17 were in the public transportation sector, specifically. Approximately 400 external stakeholder organizations in total were engaged during exercises with surface transportation operators.

§1137. Public transportation security training program

Status: TSA published a Notice of Proposed Rulemaking on Security Training for Surface Transportation Employees. *See* 81 FR 91336 (Dec. 16, 2016). The Final Rule is on the DHS Unified Agenda, subject to regulatory reform requirements under Executive Order 13771, Reducing Regulation and Controlling Regulatory Costs.

§1138. Public transportation research and development (R&D)

Status: To ensure market technology stimulation and maturation, TSA plans, develops, and executes assessment processes to determine innovative and emerging technology suitability, effectiveness, and feasibility in public areas and surface transportation venues. This includes laboratory-based evaluations and field assessments in areas such as anomaly explosive detection, intrusion detection, detection at-range, remote screening, and blast mitigation. TSA also coordinates chemical-biological and other weapons of mass destruction technology-related activities with the DHS Science and Technology Directorate (DHS S&T), and other federal departments and agencies. TSA coordinates and manages mass transit test beds with stakeholders and technology end-users to assess promising technology solutions and other tools to drive mission success, address current and emerging threats, close capability gaps, and reduce risk of serious disruptions to public area and transportation stakeholders. The data gathered from these test beds and the technologies used within them are a major factor in driving priorities in coordination with end-users. TSA collects and analyzes operational needs, technology requirements, and security concerns in collaboration with industry through the formally chartered R&D Working Group and in partnership with DHS S&T. This group serves as the primary mechanism for gathering R&D input, which comes from transportation stakeholders such as the U.S. Department of Transportation, DHS S&T, the U.S. Department of Defense, and state and local representatives. TSA also establishes Integrated Project Teams, such as for Detection at-Range, to facilitate increased formal collaboration between key government organizations to enhance and mature standoff detection technologies.

Examples of large-scale projects include:

- Mass Transit Test Beds: Amtrak, Los Angeles Metro (CA), New Jersey Transit (NJ), Bay Area Rapid Transit (CA), Washington Metropolitan Area Transit Authority (D.C.), Port Authority of New York and New Jersey (NYC), New York Police Department (NYC), and Chicago Metra (IL)
- Freight Rail Test Beds: Tennessee River Bridge (AL), Plattsmouth Bridge (NE), Hwy 1&9 (NJ), and Northern Branch Rail Corridor (NJ)
- Pipeline Test Beds: Yorktown Junction (VA), Compton Roads (VA), and a representative test fixture at the Johns Hopkins Applied Physics Laboratory (MD)

Examples of small-scale projects include:

- Special Studies: Blast Mitigation and Bus Studies
- Representative National Special Security Events Support

§1139. Information sharing

Status: The Public Transit Information Sharing and Analysis Center has provided the government and the commercial transportation industry with alerts, bulletins, information, and analyses concerning terrorist movements, operations, threats, and, on rare occasions, reports on suspicious sightings of possible terrorist activity. In turn, such information is jointly shared with TSA and an international association of over 1,500 public and private member organizations and stakeholders. The Public Transit Information Sharing and Analysis Center functions as a sector-specific platform, providing critical information/intelligence requirements covering threats, incidents, and vulnerabilities facing the transportation sector.

2) Amount of funds appropriated to carry out the provisions of this title that have not been expended or obligated.

The Transit Security Grant Program (TSGP) is one of the grant programs appropriated to the Federal Emergency Management Agency (FEMA) that directly support transportation infrastructure security activities. Section 1406 of the *Implementing Recommendations of the 9/11 Commission Act of 2007* (Pub. L. No. 110-53) (6 U.S.C. § 1135) authorized appropriations for TSGP through 2011. The DHS Consolidated Appropriations Act, 2019 (Pub. L. No. 116-6) provides the appropriation for it, though the program remains unauthorized for additional appropriations. Table 1 below shows TSGP funding levels through FY 2018. As shown in Table 2, TSGP funding through FY 2018 has been fully obligated to high-risk public transportation systems, but not all funds have been expended as the period of performance for the FY 2016, FY 2017, and FY 2018 grant is still open.²⁵ The FY 2019 grants cycle is in process, with funding to be fully awarded by September 30, 2019, with a three-year period of performance.

Table 1

TSGP Totals		
2006-2018	\$327M	TSGP funds awarded to Operational Activities
2006-2018	\$534M	TSGP funds awarded to Operational Deterrence
2006-2018	\$1.4B	TSGP funds awarded to Capital Projects

**Note: The balance amounts are current as of 10/31/18. The period of performance for these awards is 36 months. In this context, it is important to note that transit systems often do not drawdown funds until a project is complete.*

Table 2

Year of appropriation	Funds appropriated & awarded	Balance (funds remaining or open obligations) *
FY 2016	\$87.0M	\$53.0M
FY 2017	\$88.0M	\$73.9M
FY 2018	\$88.0M	\$88.0M

**Note: The balance amounts are current as of 10/31/18. The period of performance for these awards is 36 months. In this context, it is important to note that transit systems often do not drawdown funds until a project is complete.*

The 2018 Enacted Surface Appropriation funding appropriated to TSA for surface transportation-related security activities is reflected in Table 3 below:

²⁵ TSGP funding period of performance for expenditure is approximately 3 years from the fiscal year of obligation.

Table 3

2018 Surface Appropriation:	
\$24.4M	Surface Transportation Security Operations and Staffing
\$96.9M	Surface Transportation Security Inspectors and Visible Intermodal Prevention and Response operations
\$8M	Surface Transportation Procurement Construction and Improvements (Surface Transportation Research and Technology)
\$129.3M	Total Appropriation

3) State of public transportation security in the United States, including:

a) The status of security assessments;

The voluntary Baseline Assessment for Security Enhancement (BASE) program was used to review security assessments conducted by public transportation agencies. Between FY 2014 and FY 2018, 397 BASE reviews were conducted, including 80 on agencies that are in the high-risk category (defined by having an average weekday ridership of more than 60,000 passengers). During that time period, 55 of 61 agencies had a BASE review performed.

b) Progress being made developing prioritized lists of security improvements to secure public transportation facilities and passengers;

TSA and FEMA developed funding priorities for the TSGP and have reviewed those priorities, adjusting as necessary. Agencies that submit applications that are not aligned with the funding priorities are not considered for funding. The prioritized funding has resulted in security improvements as projects are completed.

c) Progress made by agencies developing security plans and how those plans differ from the security assessments;

The BASE program assesses public transportation agencies against multiple security-related categories identified by the public transportation community as fundamental for a sound security program, including the presence and quality of a security plan and assessment. The results of the BASE assessments indicate gaps or shortfalls in existing plans and allow the agencies to adjust and strengthen their plans to close the gaps. In 2018, over 85 percent of agencies that received a BASE received a score of 70 percent or higher for having a Security Plan in place. The average score for that group was over 86 percent. Additionally, close to 82 percent of agencies that received a BASE received a score of 70 percent or higher for Risk Management. The average score for that group was close to 87 percent.

4) A random sample of an equal number of large- and small-scale projects currently underway.

Ongoing projects vary greatly both in type and size. Projects range from lower-dollar amount training, exercises, public awareness projects, to operational deterrence projects and multi-million-dollar infrastructure capital protection projects for stations, bridges, and tunnels.

Examples of large-scale projects currently underway include:

- Securing underground/underwater vulnerable points of entry at top transit asset list (TTAL) assets
- Perimeter Security at a large, multi-modal TTAL asset
- Physical barriers and electronic security measures at a bridge critical to mass transit operations
- Portable barrier systems at TTAL assets

Examples of small-scale projects currently underway include:

- Sustainment of K-9 teams, mobile screening teams, anti-terrorism teams, and directed/surge patrols on overtime
- *See Something, Say Something*TM campaign, which was originally created with TSGP funds, and other public awareness campaign materials and resources
- Closed-circuit television and access control at transit stations and platforms

Appendix D: Reporting Requirements Cross-walk

Requirement	Year	Due	Included in this Report	Source where material is available	
Annual Periodic Progress Report on the National Strategy for Transportation Security: 49 U.S.C. § 114(s)(4)(C)	December 14, 2004 – PL 108-458 Intelligence Reform & Terrorism Prevention Act	1-Mar ²⁶	--		
	(i) Assess progress made on implementing the National Strategy for Transportation Security, including the transportation modal security plans.			Yes	Included in Tables 2–8, Page 2 - 31
	(I) Recommendations for improving and implementing the NSTS and transportation modal and intermodal security plans that the Secretary of Homeland Security, in consultation with the Secretary of Transportation, considers appropriate.			No	Addressed in 2018 NSTS , particularly the modal plans that discuss the NSTS implementation approach.
	(II) An accounting of all grants for transportation security, including grants & contracts for research & development, awarded by the Secretary of Homeland Security in the most recent fiscal year and a description of how such grants accomplished the NSTS goals			No	FEMA manages and reports on Homeland Security Grant Programs. Click here for 2018 information.
	(III) Accounting of all –			--	
	(aa) funds requested in the President's budget submitted for the most recent			No	2018 Budget-In-Brief, page 38

²⁶ Annually in conjunction with the submission of the budget to Congress under section 1105(a) (“On or after the first Monday in January but not later than the first Monday in February of each year...”).

Requirement		Year	Due	Included in this Report	Source where material is available
	fiscal year for transportation security, by mode;				
	(bb) personnel working on transportation security by mode, including the number of contractors; and,			No	FY 2018 Congressional Budget Justification
	(cc) information on the turnover in the previous year of senior staff of the DHS, including component agencies, working on transportation security issues. Such information shall include the number of employees who have permanently left the office, agency, or area in which they worked, and the amount of time that they worked for the Department.			No	FY 2018 Congressional Budget Justification
Annual Report on Transportation Security: 49 U.S.C. § 44938(a)		November 16, 1990 - PL 101-604 <i>Aviation Security Improvement Act of 1990</i>	31-Dec	--	
	(1) assessment of trends and developments in terrorist activities, methods, and other threats to transportation;			No	Included in 2018 NSTS Section II, Subsection C2 & C3, page 6-8. Also developed in Transportation Sector Security Risk Assessment (Sensitive Security Information).
	(2) evaluation of deployment of explosive detection devices;			No	See Electronic Baggage Screening Program , established by Congressional mandate for screening of all passenger checked baggage for concealed explosives

Requirement	Year	Due	Included in this Report	Source where material is available
(3) recommendations for research, engineering, and development activities related to transportation security, with exceptions as noted in statute;			No	Included in Transportation Security Acquisitions Reform Act Strategic 5-year Technology Investment Plan
(4) identification and evaluation of cooperative efforts with other Federal entities			No	NSTS briefly defines roles and responsibilities on page 74 in Supplementary Information. Other federal entities are also listed when they have activities that contribute to transportation security.
(5) evaluation of cooperation with foreign authorities;			No	TSA's Office of Global Operations works on cooperation with foreign partners and overseas transportation operations affecting the United States to identify risk, mitigate risk through capacity development and outreach/engagement, and to respond to incidents as they occur.
(6) status of the extent to which the recommendations of the President's Commission on Aviation Security and Terrorism have been carried out and the reasons for any delay in carrying out those recommendations			No	1990 Report recommendations fully integrated into subsequent laws, such as <i>Aviation and Transportation Security Act</i> and <i>Homeland Security Act</i>
(7) summary of activities of the Assistant Administrator for Intelligence and Analysis;			No	FY 2018 Congressional Budget Justification , Volume II, page 171 (page 206 overall)
(8) financial and staffing requirements of the Assistant Administrator for Intelligence and Analysis;			No	
(9) assessment of financial and staffing requirements, and attainment of existing staffing			No	

Requirement		Year	Due	Included in this Report	Source where material is available
	goals, for carrying out duties and powers of the Administrator of TSA related to security; and,				
	(10) legislative and regulatory recommendations.			No	Included in DHS annual budget development process
Annual Update on Enhanced Security Measures: Section 109(b), Aviation and Transportation Security Act (Pub. L. No. 107-71) (49 U.S.C. § 114 note, 115 Stat 613-614), as amended by Pub. L. No. 107-296		November 19, 2001 - PL 107-71 <i>Aviation and Transportation Security Act</i>	19-May ²⁷	No	All measures closed out
Annual Report on the National Strategy for Public Transportation Security: 6 U.S.C. § 1141		August 3, 2007 - PL 110-53 <i>9/11 Commission Act</i>	31-Mar	Yes	Included as Appendix C

²⁷ “No later than 6 months after the date of enactment of this Act (Nov 19, 2001), and annually thereafter...”