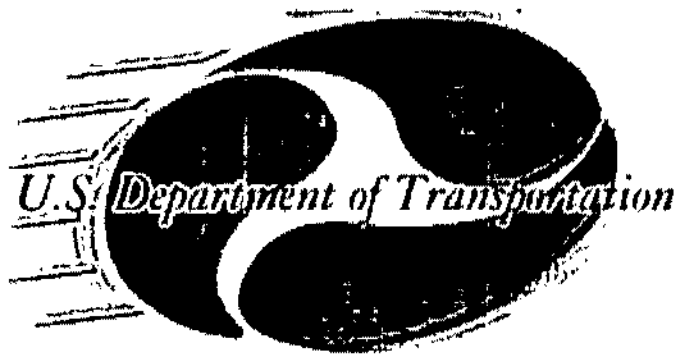
A History of the U.S. Department of Transportation During the Clinton-Gore Administration 1993 – 2001



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MESSAGE FROM SECRETARY OF TRANSPORTATION RODNEY E. SLATER

January 2001

Under President Clinton and Vice President Gore's leadership during the past eight years, the 100,000-strong, ever visionary and vigilant workforce of the U.S. Department of Transportation has enhanced a transportation system to serve an America on the move.

I am proud to present a history of the Department's work during the Clinton-Gore Administration, summarizing our progress as we enter the new century and the new millennium.

This has been a remarkable moment in time. As President Clinton said in his 2000 State of the Union address, "Never before have we had such a blessed opportunity to build the more perfect union of our founders' dreams." We acted to seize this moment by building from strength to strength, seeking to advance the American people's interests through an integrated transportation system for the 21st century.

To achieve this, we strove to foster and nurture a climate of innovation that creates a transportation system that is safe and sustainable but that also embraces an important set of imperatives by being: international in reach, connecting us to new markets and destinations around the globe; intermodal in form, enabling us to benefit from the collective strengths of the various individual modes of transport; intelligent in character, allowing us to harness the awesome power of technology to enhance the efficiency, capabilities and capacity of our transportation system; and inclusive in service, leaving no one behind.

This purpose was articulated in our strategic plan, which sets forth five strategic goals: safety; mobility; supporting economic growth; environmental protection; and national security. That plan also added a separate organizational excellence goal in its July 2000 update, to emphasize our commitment to managing for results and innovation. Congress deemed this strategic plan, and the resulting performance plan, to be the best in government, and it provides the foundation for our efforts.

President Clinton called for a government that "put people first." And this is what we have done in transportation. At its core, transportation is about people, and assisting them in their pursuit of happiness as they lead safer, better and more fulfilling lives. As a result, we have redefined transportation beyond the traditionally narrow public works definition of concrete, asphalt and steel to acknowledge that it is essential to our nation's journey of becoming One America and the more perfect union of our founders' dreams.

We at the U.S. Department of Transportation have worked with state and local governments and with transportation providers and users during the past eight years to continue improving our nation's vibrant transportation system and its ability to serve the needs of the American people today and tomorrow.

We have looked to the future, not only through our strategic plans but also through a visioning process that looks out 25 years and foresees alternative transportation scenarios, focusing on such topics as new technologies, the workforce of the future and new entrants into existing industries. This process has entailed the creation of a policy architecture that offers us a framework for informed and enlightened decision-making.

I have often said that it is our duty to, in the words of author and Coastguardsman Alex Haley, "find the good and praise it." That is what this history of the past eight years sets out to do.

We are proud to have been stewards of the nation's transportation system, and we are proud to bequeath to our successors a system that is safer and more secure, efficient, inclusive and environmentally friendly than it was eight years ago.

Rodney E. Slater

Secretary of Transportation, 1997-2001

Mission of the U.S. Department of Transportation

"Serve America by ensuring a safe, fast, efficient, accessible and convenient transportation system that meets our vital national interests and enhances the quality of life of the American people, today and into the future."

Values of the U.S. Department of Transportation

Integrity

We live and work in unity with our core values – customer focus, diversity, professionalism, respect, teamwork and excellence.

Customer Focus

We strive to understand and meet the needs of our customers.

Diversity

We value our diverse workforce and create a work environment that is free of prejudice and discrimination.

Professionalism

We exemplify the highest standards of dedication, trust, cooperation, pride and courtesy in the work environment.

Respect

We respect differences in people and ideas.
We treat each other and those we serve with fairness, dignity and compassion.
We encourage individual opportunity and growth.

Teamwork

We support each other and work together as a team in a ONE DOT fashion.

Excellence

We excel as responsible stewards of taxpayers' resources.
We strive to improve our performance and to track our progress.
We encourage creativity and innovation through empowerment.

CHANGES IN TRANSPORTATION DURING THE CLINTON-GORE ADMINISTRATION

▲ = Trend in positive direction

▼ = Trend in negative direction

■ = No trend, or indeterminate

Category	*Then*	*Now*	*Trend*
Safety			
Highway Fatality Rate (per 100 million vehicle miles traveled)	1.7	1.5	▲
Highway Injury Rate (per 100 million vehicle miles traveled)	137	119	▲
Seat Belt Use	66%	70%	▲
Rate of Alcohol-Related Traffic Deaths	43.5%	38.0%	▲
Large Truck Fatality Rate (per 100 million vehicle miles traveled)	3.0	2.7	▲
Large Truck Injury Rate (per 100 million vehicle miles traveled)	83.2	71.1	▲
Large Truck Fatalities	4,856	5,362	▼
Large Truck Injuries	133,000	142,000	▼
Air Carrier Fatal Accident Rate (per 100,000 hours)	0.033	0.040	■
Recreational Boating Fatalities	848	734	▲
Maritime Worker Fatality Rate (per 100,000 workers	59	28	▲
Rail Fatality Rate (per million train miles)	2.08	1.30	▲
Rail-Highway Crossing Crash Rate	3.47	2.00	▲
Transit Fatality Rate (per passenger mile)	.610	.531	▲
Serious Hazardous Materials Incidents	358	341	▲
Natural Gas Pipeline Failures	5,378	4,375	▲
Mobility			
Highway Pavement Meeting Standards	88.7%	93.0%	▲
Highway Bridges Deficient	26.7%	22.7%	▲
Runways in Satisfactory Condition	93%	95%	▲
Air Travel Delays (per 100,000 facility activities)	194.6	220	▼
Average Condition of Motorbus Fleet (1= poor, 5 = excellent)	2.96	3.13	▲

Transit Ridership (billions)	36.22	43.10	▲
Bus Fleet Accessibility (ADA compliance)	50%	77%	▲
Economic Growth			
Appalachian Highways (miles completed)	2,106	2,456.7	▲
DOT Contracts with Small Disadvantaged Businesses	16.6%	18.2%	▲
DOT Contracts with Women-Owned Businesses	3.0%	4.2%	▲
Transportation Petroleum Use (BTUs per GDP)	3.5	3.2	▲
Human and Natural Environment			
Highway Emissions (million tons)	74.4	63.7	▲
Maritime Oil Spills (gals. per million gals. shipped)	5.33	2.38	▲
Polluted DOT Facilities Needing No Further Cleanup	44%	90%	▲
People Exposed to Significant Aircraft Noise (thousands)	2,100	680	▲
National Security			
Ready Reserve Force Ships Available for National Emergencies	100%	100%	▲
Maritime Drug Seizure Rate (percentage of estimated maritime cocaine imports)	6%	12%	▲

OVERVIEW: TRANSPORTATION DURING THE CLINTON-GORE YEARS

This history of the U.S. Department of Transportation during the Administration of President Bill Clinton and Vice President Al Gore is organized around the Department's strategic goals, which provide a logical framework for describing its activities and initiatives during the past eight years.

Even a cursory review of the Department's history reveals themes that cut across the different forms of transportation to reflect leadership with a consistent focus and philosophy of governance. Seven key themes emerge:

Putting People First

"Putting people first" was President Clinton's motto during his 1992 candidacy and throughout his presidency. This phrase resonated in the transportation field, which, especially during the construction of the Interstate Highway System, had been criticized for a focus on building transportation projects, rather than trying to understand how people would use them.

When Secretary of Transportation Rodney Slater said "transportation is about more than concrete, asphalt and steel; it's about people, and helping them to lead safer, better, more fulfilling lives," his words, like President Clinton's, evoked a new and different spirit.

Today, transportation increasingly is oriented to the needs of people; people are no longer routinely expected to adapt themselves and their activities to the needs of transportation systems. In turn, this means that their needs increasingly determine how transportation facilities are designed, built and operated.

The focus on people is also seen in the dramatic attention paid to safety, which Secretary Slater has rightly called the Department's North Star. To an extraordinary extent, the Department has focused on making travel safer and more secure, and the result has been continuing downward trends in transportation accident and fatality rates.

Trusting People to Make the Right Decisions

For generations, transportation decision-making was driven from the top down; public and private providers decided where roads, railroads, airports and other facilities would be built, and the federal government decided how funds would be spent. It became clear by the early 1990s that this was an outdated approach.

During the 1990s, the Clinton-Gore Administration accelerated a burgeoning shift to local decision-making and greater public input. States and localities were given greater ability to decide which projects should be built and where, enabling their needs to be better met. And the public was able to play a greater role, having its voice heard and its opinions considered.

Shifting From Command and Control to Education and Flexibility

Transportation had long had a command and control approach that emphasized regulation and enforcement in everything from markets to operations to safety – regulation that usually was imposed from Washington without regard for local differences or personal needs.

Although regulation is often necessary, the same results often can be achieved, at less cost and burden, by educating the public and by giving them the flexibility to achieve results in ways that make sense in their own lives.

For example, much of the progress on highway safety has come not from increased regulation but from expanded public education. Campaigns to encourage people to use seat belts and not to drink and drive have produced significant gains: in the past dozen years the proportion of fatal car crashes caused by drunk drivers has dropped from about half to 38 percent, and seat belt use in the past two decades has grown from one in five travelers to better than two in three. As a result of these and other initiatives, the highway fatality rate has dropped from 5.5 deaths per 100 million vehicle miles traveled a generation ago to 1.5 today, saving more than one million lives in the years since DOT was formed.

Investing in America

Transportation suffered from an "infrastructure deficit" during the 1980s and early 1990s that paralleled the record federal budget deficits of the same era. Aging roads and transit systems, inadequate capacity and poor connections between the different forms of transportation meant congestion, delays and inefficiency.

President Clinton took office with a commitment to investing in America, providing its people with the education, training and other tools they needed to succeed and rebuilding the country's shattered infrastructure. Even as the President steadily reduced the budget deficit year by year, he ensured that transportation investment increased.

By 2001, federal transportation infrastructure investment was 104 percent higher than the average under the previous Administration, and the results are being seen in improved roads and bridges, newer and better-maintained buses and subways and more modern railroads.

Bringing Common Sense to Government

President Clinton made what seemed to many an almost impossible commitment: to increase investment in crucial national needs while reducing the federal budget deficit and holding the line on taxes for working Americans. This meant that costs had to be controlled elsewhere, and the obvious place was in government itself.

The National Performance Review spearheaded by Vice President Gore set a goal of making government work better and cost less, and, by all measures, it succeeded. The government workforce is smaller today than at any time in the past 40 years, and it performs far better than it did a decade ago. Less bureaucracy, fewer regulations, greater flexibility and more empowerment have enabled the Department of Transportation's employees to serve the public better even as staff was reduced.

At the same time, reduced regulation in transportation – most notably through the termination of the Interstate Commerce Commission and the ending of almost all economic regulation of transportation – has made travel more efficient and more accessible, reducing costs to travelers and shippers and enabling average Americans to travel with an ease undreamt of a generation ago.

Leveraging Change

King Canute stood on the shores of the English Channel and sought to order the waves themselves to withdraw; he failed, as must all who resist the tides of change. The 1990s saw the greatest changes in generations, as new technologies and globalization affected every sector of life. Part of the genius of the Clinton-Gore Administration was to ride the waves of change, rather than resist them.

In transportation, the Administration dramatically increased investment in new technologies such as Intelligent Transportation Systems, Global Positioning Systems and the Partnership for a New Generation of Vehicles. These technologies have made transportation safer, cleaner and more efficient even as they have held down costs.

The Clinton-Gore Administration also recognized the increasing internationalization of our economy, and began putting in place the global transportation system needed to serve that economy. By putting in place dozens of "open skies" agreements, including the first multinational one, the foundation for the aviation system of the future is being built. And by renewing our nation's connections to the rest of the world – our airports, seaports and other gateways – the Administration has enabled the nation to handle the growing trade made possible by falling trade barriers.

Focusing on the Big Picture

Transportation was not only focused on infrastructure construction a generation ago; its purpose was seen primarily as local economic development and its focus was limited to each individual transportation mode. This narrow view meant that many other considerations – social, environmental and even economic – were barely acknowledged, and it meant that transportation's inherent powers were not leveraged.

The Clinton-Gore Administration has changed this. Within transportation, it has stepped up the shift to intermodalism – focusing on the goal of getting people and products where they need to go, taking a systematic rather than a modal approach and acting to integrate the various forms of transportation to better serve travelers and shippers.

The Administration also has taken a broader view of transportation's costs and its benefits, recognizing the importance of sound local transportation links to the larger national economy and understanding the implications of air pollution, global warming and energy consumption. In fact, many of the most visible initiatives of the Clinton-Gore years are intended to address such issues from a systemic approach.

With an eye on the future, Secretary Slater completed more than 50 "Visioning Sessions" with hundreds of stakeholders across the country – including industry, labor, academia, government, citizen groups, DOT employees and other interested groups and individuals – on how transportation is apt to change over the next 25 years.

Two major reports arose from these discussions. The first report, "Changing Faces of Transportation," provides a retrospective look at changes in the United States since the publication of Secretary William Coleman's 1977 report "National Transportation Trends and Choices," and offers a vision of transportation 25 years into the future.

The second report, "Policy Architecture – Framework for Transportation Decisionmaking," describes a framework for decisionmaking in the future encompassing the public and private sectors working in a cooperative and coordinated fashion. These unique initiatives helped DOT, more than ever, to emphasize a systemic approach to transportation.

Moving into the New Millennium

What will be the transportation legacy of the Clinton-Gore Administration? It is the recognition that transportation is America's lifeline, and that government has a real role to play in making that system safer, more environmentally friendly and more effective at meeting people's needs.

Transportation connects resources with consumers and enables each of us to expand our personal horizons and express our personal freedom. We need only to look at the history of our highways, airways, waterways and railroads to see how vital a well-functioning, interconnected transportation system is to our nation's economic health and security.

Everything the Department of Transportation has done during the past eight years is aimed at making real improvements in the country's transportation system, the security of our nation and the quality of life of the American people. This is the course that the Clinton-Gore Administration has set us on as we work to advance the nation's transportation enterprise, and it will remain our course as we strive to nurture a climate of innovation in transportation for the new century and the new millennium.

SAFETY

Strategic Goal:

Promote public health and safety by working toward the elimination of transportation-related deaths and injuries.

Transportation facilitates the movement of people and goods, fueling the nation's economy and improving our quality of life. But the use of transportation, like any other human activity, exposes people and property to the risk of harm. Mitigating or eliminating these risks is at once a worthy ambition and a challenging goal.

Each year about 44,500 people lose their lives in transportation-related incidents and another 3.4 million are injured. Insurance, lost wages, health care and other costs exceed $165 billion annually, and the losses in terms of human suffering are incalculable. Protecting the public from such losses as it travels our skies, waterways and surface transport systems is now and should ever remain our nation's leading transportation priority.

Improving safety was President Bill Clinton and Vice President Al Gore's top transportation priority throughout the eight years of their Administration. It was a priority shared by Secretaries of Transportation Federico Peña and Rodney Slater during their tenures at the U.S. Department of Transportation (DOT), and became the foremost of the Department's strategic goals. As Secretary Slater said, "safety is our North Star by which we in DOT are guided and willing to be judged."

DOT achieved great progress in pursuit of this strategic goal during the Clinton-Gore years; it was progress that helped ensure safer and more secure travel in our nation's air space, on its highways, rails and transit systems and within its ports and waterways.

Significant progress was made in lowering the highway fatality and injury rates, bringing both of them to all-time lows by 1999. Not coincidentally, more Americans buckled up their seat belts over the same period, as a result of aggressive public awareness campaigns initiated by DOT. Fewer Americans drove while intoxicated because of strong education and enforcement campaigns. Rail fatalities and rail-highway crossing accidents both decreased by significant margins, as did the rates of transit fatalities and serious hazardous materials incidents. Recreational boating fatalities declined despite a growing boating population. Air carrier fatalities remained at about the same rate during the period, albeit at an extremely low level.

Key policy and program initiatives were advanced by the Clinton-Gore Administration addressing safety issues in all three of the transportation system's broad modes of travel – aviation, surface and maritime – and resulted in meaningful safety improvements in each of these areas.

Promoting Aviation Safety

One of the tragedies of aviation accidents is that they all too often involve large numbers of fatalities. Moreover, they sometimes also involve safety lapses that may have been preventable. Although the fatality rate on U.S. air carriers is relatively low, the continued growth forecast for the nation's aviation system during the coming decade could bring an increase in fatalities even if the accident rate remains low.

After a remarkable period of nearly two years without a major airline fatality during the early part of the Clinton-Gore Administration, several airline accidents occurred. The Federal Aviation Administration (FAA) responded to these tragedies with various actions and initiatives aimed at gaining a better understanding of how and why aviation safety breaches occur and what can be done to prevent further tragic occurrences.

Fostering "One Level of Safety"

The December 1994 crash of an American Eagle ATR-72 commuter aircraft near Roselawn, Indiana, caused by ice buildup, showed that not all threats to airline safety had been eliminated. Following the accident investigation, the FAA took a series of steps to combat the icing hazard to the ATR-72 and other similar aircraft. But the impact of the Roselawn crash was even more far-reaching.

After the Roselawn crash, Secretary Peña announced a three-point aviation safety initiative to reinforce the government's commitment to the highest level of aviation safety. This initiative was aimed at accelerating the FAA's efforts to create "one level of safety" for everything from 10-seat commuter planes to jumbo jets. It also called for bringing together government and industry leaders to discuss and make remedial recommendations on the broad issue of airline safety. A national airline safety audit also was recommended.

> *"Safety is – and always will be – the fundamental thread running through everything we do in aviation."*
>
> *– Secretary Peña, December 1994*

DOT convened a two-day Aviation Safety Summit in January 1995 to focus on ways to improve aviation safety measures and also increase the public's confidence in the safety of airline transportation. More than 950 government and industry representatives attended the event, at which Secretary Peña and FAA Administrator Hinson announced a "zero accidents campaign" to focus attention on the human factor in accidents, recognizing that some occur through pilot error or negligence, maintenance mistakes or other causes that could have been prevented. This summit led to a comprehensive airline safety audit that was completed later in 1995 and that has helped guide further efforts.

Two major airline accidents in 1996 brought about further efforts by DOT, leading to significant increases in aviation safety policies and procedures.

In May, ValuJet Flight 592 crashed shortly after takeoff from Miami, killing all 110 people aboard. The crew's loss of control of the aircraft was the result of a fire caused by activation of one or more oxygen generators carried in the forward cargo compartment. The tragedy led to a number of important actions: the FAA and DOT's Research and Special Programs Administration (RSPA) took actions to further control the transportation of hazardous materials; the FAA issued requirements for fire detection and suppression systems in certain types of cargo compartments; and the FAA acted to improve its surveillance of airlines that rely heavily on outside contractors to load cargo, which was thought to be a contributing factor in the ValuJet fire.

Setting Stretch Goals for Aviation Safety

In July, Trans World Airlines Flight 800 exploded in midair and crashed into the Atlantic Ocean off Long Island, New York. Initial speculation focused on terrorism as the cause of the explosion, and, a week after the crash, the Administration announced increased aviation security measures to further prevent acts of sabotage or terrorism. The President also formed the White House Commission on Aviation Safety and Security, which came to be known as the Gore Commission after its chair, Vice President Al Gore.

As the crash investigation continued, however, the National Transportation Safety Board (NTSB) determined that an accidental fuel explosion in the center wing tank was the probable cause of the accident. The NTSB further determined that the most likely cause of ignition of the fuel tank was an electrical short circuit. Even before these findings, the FAA had begun a series of remedial measures to guard against fuel tank ignition, including a review of aircraft wiring systems and the implementation of corrective actions to eliminate ignition risk from fuel quantity indication systems located inside fuel tanks.

In February 1997, the Gore Commission issued its final report to President Clinton. In its report, the Gore Commission made a number of key recommendations for ensuring greater airline safety and security. The report stated that, in safety, "the principal focus should be reducing the rate of accidents by a factor of five within a decade..."

To meet this ambitious stretch goal, the Gore Commission recommended that the FAA develop standards for continuous safety improvements and target its regulatory resources based on performance against those standards. It further recommended that the FAA be more vigorous in the application of high standards for certification of air carriers.

Caring for the Families of Aviation Accident Victims

As a result of concerns about the quality of information and assistance provided to the families of victims in the wake of aviation disasters, including that of Trans World Airlines Flight 800, President Clinton signed the Aviation Disaster Family Assistance Act, which required all U.S. certificated airlines to provide assurances that they would properly treat crash victims and their families.

Reducing the Impact of Human Factors

Recognizing that human error also can contribute to serious breaches of aviation safety, the FAA, Defense Department and National Aeronautics and Space Administration (NASA) unveiled the National Plan for Civil Aviation Human Factors in June 1995. This plan advanced an agenda for combating aviation accidents caused by human error. Its two major elements were a research element to identify human factors susceptible to error, and an applications element to establish policies and develop appropriate remedial programs to lessen the impact of human error on aviation safety.

Promoting Aviation Safety Overseas

In an effort to encourage other nations to give aviation safety the same high level of attention it receives in the U.S., the FAA initiated an International Aviation Safety Assessment program to evaluate the capability of other nations to provide safety oversight for their air carriers. In September 1994, the FAA issued the initial results of this assessment, finding that nine of the 30 nations assessed did not meet international safety standards. These nine nations were located in Central America, the Caribbean and Africa, and none of their air carriers was allowed to fly to or from the United States with their own aircraft.

In an effort to assist countries with less than acceptable safety oversight, the FAA offered technical expertise, assistance with inspections and training courses. In early 1998, for example, Secretary Slater announced the Clinton-Gore Administration's "Safer Skies for Africa" initiative in Dakar, Senegal, and invited eight sub-Saharan nations to participate. The initiative was aimed at increasing the number of African nations that meet the safety and airport security standards of the International Civil Aviation Organization.

Taking Steps to Prevent Surface Collisions

In addition to in-flight crashes, many aviation accidents occur on the ground, as a result of collisions on airport runways and other facilities. To address this, the FAA convened a three-day Runway Safety National Summit in 2000 to provide a forum for industry and government regulators to focus on avoiding surface collisions. To advance runway safety, the FAA announced that it would provide 25 airports with a new version of the Airport Surface Detection Equipment ground radar that had been designed as an economical system for less-trafficked airports.

Industry-government partnerships, such as that displayed in the runway safety conference, also were seen in the cooperation between Boeing and the FAA to modify flight control systems on more than a thousand Boeing 737 commercial airliners. In 1994, a USAir 737 crashed near Aliquippa, Pennsylvania. This accident prompted a critical design review to examine and, if necessary, enhance the safety of the aircraft's flight control system. In 1997, Vice President Gore announced that Boeing, in concert with the FAA and NTSB, had developed a plan to modify the rudders on its 737s. Study of the 737's rudder system has continued, and in April 2000 the FAA announced further measures to enhance its safety.

Taking the Long View on Safety

At the end of 1997, the National Civil Aviation Review Commission released to Congress a set of recommendations on aviation safety. The risk of perishing in a commercial aircraft accident is only about one in every 2 million flights, the Commission noted. As low as that rate is, however, it has remained constant during the past 30 years, and, with growing air traffic, this could mean an increase in the number of accidents and fatalities.

This is a wholly unacceptable trend that must be reversed, the Commission concluded, recommending that the government and industry cooperate in finding new aviation safety solutions. Among its specific recommendations: the FAA and the aviation industry must jointly develop a strategic plan to improve safety; safety programs need to be improved by establishing more effective safety risk management programs; FAA programs need to become more performance-oriented; cooperative efforts must be undertaken to extend aviation safety programs to other parts of the world.

In April 1998, as a result of the comprehensive review of the causes of aviation accidents undertaken by the White House Commission on Aviation Safety and Security, Vice President Gore announced that DOT, in partnership with industry, had adopted a focused priority safety agenda, called "Safer Skies," designed to bring about a five-fold reduction in fatal aircraft accidents. The Safer Skies initiative would use the latest technology to help analyze U.S. and global data to find the root causes of accidents and determine the best actions to break the chain of events that lead to aviation tragedies.

> *"By targeting and preventing the leading causes of fatalities and injuries, by expanding engine inspections and by improving pilots' warning and detection systems, we will significantly reduce the number of plane crashes and save hundreds and hundreds of lives."*
>
> *Vice President Gore, April 1998*

The FAA said that the initiative would focus on a variety of safety issues in commercial aviation, general aviation and aircraft cabins, among them loss of aircraft control, uncontained engine failure, weather, seatbelt and child restraint usage, and approach and landing standards.

In reviewing the initiative, the General Accounting Office wrote, "The Safer Skies initiative addresses the safety problems that have contributed to fatal accidents in the past, and in conjunction with other safety programs, it can be expected to reduce the fatal accident rate and thus enhance the safety of the nation's air passengers."

Subsequently, the NTSB reported that in 1998, for the first time since it had been compiling statistics, there were no passenger fatalities on scheduled U.S. airlines; in addition, there were no major aircraft accidents during the year.

Improving Surface Transportation Safety

Deaths and injuries from accidents on the nation's surface transportation system are slowly decreasing, but there are still too many, taking an extremely heavy toll on American families and costing the nation billions of dollars in medical costs and property damage. In fact, about nine of the 10 Americans who die in transportation-related accidents do so in the surface modes – our highway, transit and rail systems.

Focusing on Motor Vehicle Safety

There has been significant progress during the past generation in making motor vehicle travel safer. Although the total number of highway fatalities has increased during most of the 1990s as a result of growing traffic, the fatality rate has continued to drop. The fatality rate per 100 million vehicle miles traveled (VMT) was 1.5 in 1999, down from 1.6 in 1998 and dramatically lower than the 5.5 rate in 1966. If the fatality rate had remained at the same level as its peak a generation ago, highway fatalities would total about 120,000 annually, nearly triple today's actual number. In fact, the total number of people killed in 1999 was 41,345.

Increasing Seat Belt Use

DOT has worked diligently to promote greater use of seat belts and child safety seats, the most effective lifesaving strategies in motor vehicle accidents; 63 percent of those killed in crashes in 1999 were not wearing seat belts.

"If there is one thing we can do to save thousands of American lives, it is to increase seat belt use nationwide."

– President Clinton, December 1996

Secretary Slater announced an initiative in April 1997 to bring seat belt use to 85 percent by the end of 2000 and 90 percent by 2005.

There were four elements to the Secretary's initiative: building public-private partnerships that encourage the use of seat belts and child safety seats; expanding public education programs; asking the states to enact strong legislation for standard seat belt and child safety seat laws; and promoting active, high-visibility law enforcement of seat belt laws.

However, the rate of seat belt use in 1999 was 70 percent, up 1 percent from the preceding year but still well short of the 2000 goal of 85 percent. DOT plans to continue working to increase seat belt use through a combination of advocacy, including public education and enforcement of state laws requiring the use of seat belts.

Making Air Bags Safer

Air bags became almost standard equipment on new cars during the 1990s, and, in combination with seat belts, provide an added measure of protection in crashes. However, the mid-1990s saw growing concern about injuries attributed to the impact of deploying air bags, particularly among small women and young children. Air bags were designed to protect an adult male not using a seat belt, and smaller-bodied individuals were injured or even killed by the force of a deploying bag.

DOT responded to these concerns through a rule issued by the National Highway Traffic Safety Administration (NHTSA) in May 2000. This rule required that future air bags be designed to create less risk of serious air bag-induced injuries than current air bags.

The rule offered vehicle manufacturers a number of options to ensure that they would be free to use various combinations of advanced air bag technologies. With this flexibility, they could use advanced technologies, such as dual stage inflators and weight sensors, that control or prevent air bag deployment in appropriate circumstances. For example, a bag might deploy with less force if a child were sitting in a seat. Some new vehicles are already equipped with these types of devices.

Even as these new air bags were in development, DOT officials continued to advocate that all vehicle occupants use seat belts, that young children be transported in safety seats or booster seats appropriate for their age and that older children be transported in the back seats of cars. To support this, DOT also has proposed an innovative, universal attachment system for child safety seats that will make them more secure and easier to use properly.

Child safety seat use has continued to expand in recent years. In 1994, 87.7 percent of infants under one year of age were in child safety seats; by 1998, 97.2 percent were. In 1994, 60.7 percent of toddlers aged one to four were in child safety seats; by 1998, 91 percent were. In 1994, 57.7 percent of children aged five to 15 were in appropriate seats or other passive restraints, such as seat belts; in 1998, 68.7 percent were. Overall, 91.7 percent of children under age five were properly secured while traveling.

There have been clear benefits from these trends. In 1994, 681 children under age five were killed in motor vehicle crashes; in 1999, that number was reduced to 550 children, exceeding DOT's goal not only for 1999 but for 2000 as well.

Developing Safer Drivers

The planned National Advanced Driving Simulator (NADS) will provide a research tool to conduct fundamental research into the operation of the complex driver-vehicle-environment system. Of the three elements of this system, the driver is unique as the single element that is non-deterministic, i.e., driver behavior defies description or prediction by means of common physical laws. As a consequence, the only practical means of studying driver behavior is by means of direct observation.

The most valid method of conducting such research is to make observations while the driver is engaged in the actual driving task, in a real vehicle, operating on a real highway. However, many such experiments cannot be conducted without exposing the driver to unacceptable physical danger. Under these restrictions, the study of driver response during critical crash avoidance situations becomes a practical impossibility.

The NADS will offer the capability to study driver crash avoidance behavior and carry out related accident reconstruction. The complete control of highway environment and traffic scenarios provided by the NADS will allow researchers to set up hazardous situations and measure driver response. This same experimental control capability will allow conditions to be set up associated with real accident cases.

Ending Red Light Running

Vehicles recklessly passing through red lights have been a problem ever since Garrett Morgan invented the traffic signal early in the 20th century. The Federal Highway Administration (FHWA) has worked to reduce this irresponsibly dangerous practice, helping Secretary Peña in August 1995 launch the National Stop Red Light Running Partnership, a public awareness campaign against running red lights at traffic intersections.

Developed in association with private-sector partners Daimler-Chrysler and the American Trauma Society, the program provided state and local governments and the general public with timely and useful information. It also involved the FHWA working with local jurisdictions across the country to evaluate red light running and develop automated enforcement technologies that identify red light runners.

This campaign helped to produce a 10.3 percent decrease in the number of fatalities, and a 6 percent decrease between 1996 and 1999 in the number of crashes, at intersections with red lights. However, in 1999, there still were nearly 91,000 such crashes, resulting in more than 90,000 injuries and 956 deaths.

Fighting Drunk Driving

Only 38 percent of highway fatalities were alcohol-related in 1999 – about 17,000 deaths – well below the levels of 1988, when approximately half of all highway deaths were alcohol-related. Yet alcohol remains the single biggest cause of highway fatalities, and this is why DOT has set a goal of reducing the number of drunken driving-related fatalities to no more than 11,000 annually by 2005. An aggressive new public education campaign, "You Drink & Drive, You Lose," is designed to raise awareness of the dangers of alcohol.

A major step forward came in October 2000, when Congress approved the President's call for a .08 blood alcohol content level as the national standard for impaired driving. Previously, only 17 states had a .08 standard. Making this tough, but fair, standard the law of the land will discourage impaired drivers from getting on the road. President Clinton had previously fought for and signed into law in 1995 a "zero tolerance" standard for underage drinking and driving, helping to reduce underage drinking-related fatalities. There is a clear downward trend in alcohol-related motor vehicle fatalities among young people. In 1999, there were 119 fewer fatalities than when President Clinton took office, although the youth population increased by 2.5 million during that same period. The youth fatality rate in 1999 was the lowest ever recorded, at nine fatalities per 100,000 youths.

Protecting Highway Workers

Another cause of fatalities and serious injuries on our highways is from motorists and highway workers struck by other vehicles in construction work zones. In an effort to raise public awareness of the dangers associated with work zones, DOT initiated a nationwide public education campaign in early April 2000 to reduce fatalities and injuries in construction zones, declaring the kick-off of National Work Zone Awareness Week.

Saving Lives Through CIREN

The Crash Injury Research and Engineering Network (CIREN) is a multi-center research program involving a collaboration of clinicians and engineers in academia, industry and government. Together, they are pursuing in-depth studies of crashes, injuries and treatments to improve processes and outcomes. CIREN's mission is to improve the prevention, treatment, and rehabilitation of motor vehicle crash injuries to reduce deaths, disabilities, and human and economic costs.

CIREN is a collaboration of research on crashes and injuries at nine Level 1 Trauma Centers linked by a computer network. Researchers can review data and share expertise, which could lead to the design of safer vehicles. Seven of these centers are funded by NHTSA, one by Mercedes-Benz and one by Ford. Level 1 Trauma Centers are traditionally "teaching" institutions associated with a university.

The CIREN Centers and their academic partners are:

- Children's National Medical Center/George Washington University
- National Study Center for Trauma & EMS/R. Adams Cowley Shock Trauma Center/University of Maryland
- New Jersey Medical School/University of Medicine and Dentistry of New Jersey
- William Lehman Injury Research Center/University of Miami
- University of Michigan Health System Program for Injury Research & Education/ University of Michigan Transportation Research Center
- Harborview Injury Prevention & Research Center/University of Washington
- San Diego County Trauma System/University of California
- Mercedes-Benz CIREN Center/University of Alabama at Birmingham
- Ford Inova Fairfax Hospital CIREN Center

Creating Safer Vehicles

Effective with automobile crash testing of 1997 models late in the year, the New Car Assessment Program was expanded to include side impact testing. Unlike the frontal tests, which are conducted at 35 miles per hour, side impact tests were to be conducted at 38.5 miles per hour.

Proactively Recalling Vehicles and Components

In 1999, NHTSA reported vehicle recall campaigns involving a vehicle population of more than 19 million vehicles, equipment recall campaigns issued by 32 manufacturers with slightly more that 35 million units, and tire recall campaigns issued by five manufacturers and 7,291 units. This was a record number of recalls for recent years. These numbers are a reflection of increased safety assurance activities by NHTSA as well as recalls initiated by the manufacturers. As a point of comparison, in 1993, there were vehicle recalls with a vehicle population of approximately 11 million vehicles, there were equipment recalls involving a population of approximately 797 thousand units and tire recall campaigns involving 5,941 units.

Implementing the TREAD Act

The Transportation Recall Enhancement, Accountability and Documentation (TREAD) Act, which President Clinton signed in November 2000, directed that more be done to assure the American public about the safety of their motor vehicles and the equipment on those vehicles.

By providing stronger penalties, longer recall periods, enhanced enforcement authority and increased funding, the TREAD Act will enable DOT to move ahead vigorously to strengthen its safety defects investigation programs and protect the public from the danger of defective products.

The Act gave DOT the ability to learn more about safety problems in foreign countries before they become a problem in the U.S., and enabled DOT to look ahead to avoid problems before they become more serious. The Act also called upon DOT to upgrade tire safety standards and consider improvements in child passenger safety.

DOT is moving ahead quickly to make use of the new authority granted by TREAD, and has developed plans for improving defects investigations and set targets for accomplishing the rulemaking responsibilities in the Act.

Improving Child Safety

The use of a family of crash test dummies, designed to be as human-like as possible using the latest information available, helps promote improved safety designs in automobiles and other vehicles. The FHWA, FRA, FAA and RSPA also have used these dummies in tests. For example, the FRA, in conjunction with RSPA, conducted a series of controlled train crashes using NHTSA dummies.

NHTSA has recently completed the development of an expanded family of crash test dummies that includes children and a small female. These dummies can be equipped with a large array of load measuring instruments. They include dummies not only of typical adult males but also a 12-month-old infant, a 3-year-old, a 6-year-old and a 5th percentile female. A dummy of a large male should be completed within the next year.

In one of the most significant recent actions affecting the manufacture of child safety seats, NHTSA issued a new rule in 1999 that required a single standardized system (LATCH) for installing child safety seats in cars, minivans and light trucks. In September 2002, when the rule is fully implemented, properly installing a child seat will be greatly simplified.

Implementing New Highway Safety Strategies

The FHWA estimates that run-off-the-road crashes are a factor in more than one-third of the nation's traffic fatalities. More than 15,000 highway fatalities each year are attributable to single vehicles running off the road due to drowsy or inattentive drivers. "Rumble strips" on the edges of roadways have proved to be effective means of alerting drivers before they leave the roadway. Several states have shown reductions of 20 percent to 50 percent in the number of such accidents after installing rumble strips. Using a popular, interactive Web site, the FHWA launched a national education program in 1999 aimed at the driving public and state and local governments on the benefits of rumble strips.

As another means of reducing such crashes, the FHWA designed new performance standards for roadside safety devices, such as guardrails, that became effective in October 1998. These newly designed devices were expected to improve safety for a wider variety of vehicles, especially the growing number of pickups, minivans and sport utility vehicles in the United States. Roadside safety devices include not only guardrails, but also concrete median barriers, bridge rails and the familiar orange work-zone barrels. Their purpose is to keep motor vehicles from striking objects, such as pillars, bridges or tree that would make a crash more severe.

Enhancing Highway-Rail Safety

Some of the most devastating accidents are between trains and motor vehicles at grade crossings. The rate of such collisions has declined annually since 1987, with a decrease of nearly 50 percent since 1993 alone. This improvement has been achieved even while train-miles and motor vehicle-miles traveled have increased by 16 and 35 percent, respectively.

Still, every day motorists try to beat a train to a rail crossing, putting themselves, train crewmembers and passengers at risk. This continuing danger has spurred DOT and its operating administrations to continue their efforts to promote the safer use of grade crossings, as well as to enhance overall railway safety.

In 1993, more than 1,100 people died in rail-highway grade crossing and trespassing accidents. The following year, Secretary Peña unveiled proposed legislation and the comprehensive, intermodal Rail-Highway Grade Crossing Action Plan aimed at reducing this tragic number of fatalities. Key provisions of the legislation included providing local funding to close dangerous crossings, plus increased funding for public education programs dedicated to reducing this severe safety issue. The 10-year goal of the plan was to reduce the number of accidents and fatalities at grade crossings by 50 percent.

The Rail-Highway Grade Crossing Action Plan was primarily developed by four DOT agencies – the FHWA, the Federal Railroad Administration (FRA), the National Highway Traffic Safety Administration (NHTSA) and the Federal Transit Administration (FTA). It contained 55 recommendations concerning issues of enforcement, engineering, education and research to help improve grade crossing safety.

Among the public education campaigns that DOT supported was "Operation Lifesaver," a nationwide educational and outreach program that included videos aimed at teenagers and school bus drivers.

By 1998, there were nearly 1,400 fewer collisions and 200 fewer deaths at highway-rail crossings, which represents reductions, respectively, of 29 percent and 32 percent since 1993. In addition, the National Inventory of Crossings identified a reduction of 931, or 10.8 percent, in the number of crossings on the National Highway System since 1993, further reducing the chances of collisions.

Focusing on Railroad Safety

Reflecting the Clinton-Gore Administration's focus on increasing transportation safety in all modes, Secretary Peña hosted an industry-wide Rail Safety Summit in September 1994. The conference brought together a diverse group of rail industry representatives and engendered a shared sense of commitment and responsibility for reducing rail-related accidents.

Among the various initiatives that the Secretary announced to enhance rail safety were: DOT funding for public education on rail-highway crossing safety; an industry commitment to conduct additional safety inspections on all passenger rail service operations; uniform requirements for safety devices at railroad crossings; and inspection and training standards for securing intermodal shipments on railroad flat cars.

Forging Cooperative Safety Relationships

In 1995, the FRA formally established a Safety Assurance and Compliance Program (SACP), through which the agency would work cooperatively with rail labor and management to identify and solve the root causes of systemic rail safety problems. The program entailed both more effective allocation of inspection time and additional resources to address safety problems at the level where they originate, plus more effective enforcement of safety laws to make certain that problems are being addressed.

By involving the parties actually responsible for implementing solutions, the FRA expected to continually improve on the success of this highly effective program. In 1999, the SACP expanded its oversight to include activities specifically targeted at reducing rail accidents caused by human error. The program led to dramatic rail safety improvements, including 33 percent fewer train incidents, 28 percent fewer highway-rail incidents and 31 percent fewer highway-rail fatalities.

Further cooperative efforts between the rail industry, labor and government occurred in April 1996, when the inaugural meeting of the Railroad Safety Advisory Committee was convened. This committee, established by Secretary Peña, was formed to promote consensual rulemaking on key rail safety issues.

As railroad mergers began to accelerate in the mid-1990s, the FRA and the Surface Transportation Board (STB), the successor to the Interstate Commerce Commission, jointly issued a set of Safety Integration Plan guidelines to ensure that proper safety planning and safety investments were addressed during the course of merger discussions. The guidelines represented a comprehensive safety proposal that had to be submitted to regulators by a Class I railroad (and certain others) proposing to consolidate, merge or acquire control of another Class I railroad.

Enhancing Passenger Rail Safety

In recognition of the growing use of passenger rail service, the FRA published the first-ever comprehensive set of safety regulations for passenger rail service in May 1999. These regulations, which were developed in consultation with a cross-section of industry representatives, set various new and upgraded standards for structural safety, fire safety and emergency system, as well as inspection, testing and maintenance of the passenger rail vehicles that were transporting 440 million people nearly 14.6 billion passenger-miles annually. Later in 1999, the FRA and the FTA proposed a complementary safety policy to clarify the new regulations as they would apply to light-rail vehicles operating over the general railroad system.

Safeguarding Railway Workers

To promote safety among railroad workers, in 1995 the FRA helped negotiate a landmark agreement between railroad management and labor that required development of rules and procedures for protecting workers at risk of injury from moving trains and equipment. It was the FRA's first-ever "negotiated rulemaking," which typically involves seeking formal input from interested parties on a proposed rule early in the adoption process, rather than near the end, which can significantly expedite the process.

In this 1995 effort, a safety standards advisory committee consisting of representatives from rail management and labor, as well as the FRA, reached consensus on a range of general and specific recommendations to keep railroad employees safer while working on or near railway tracks.

> *"Through negotiated rulemaking...we have opened our doors to work with transportation leaders in both labor and management to ensure America has the safest, most efficient transportation system in the world."*
>
> *– Secretary Peña, May 1995*

The FRA also led formation of the North American Rail Alertness Partnership (NARAP) to pool industry resources and experience in fighting fatigue issues on the nation's railways.

Increasing Motor Carrier Safety

The number of fatalities associated with crashes involving large trucks and commercial passenger carriers (buses) continues to be high. In 1999, there were more than 5,300 fatalities in commercial vehicle-related crashes on our roads and highways. On a more positive note, during the six-year period 1993 to 1999 the large-truck fatality rate (fatalities per 100 million vehicle miles traveled) declined from 3.0 to 2.7. The Clinton-Gore Administration was committed to achieving significant reductions in truck-related fatalities and injuries.

In May 1999, Secretary Slater announced a DOT stretch goal of reducing fatalities associated with truck and bus accidents by 50 percent over the next decade and injuries by 20 percent. The program to reduce fatalities combines stronger law enforcement, tougher penalties and new advanced technologies, and it calls for more education and research. It will focus resources from across all areas of DOT on producing better vehicles with better drivers, while ensuring that drivers and companies with bad records are kept off the roads.

"Continuing to allow 5,000 deaths from crashes involving trucks and buses every year is simply unacceptable. So, we must make the hard choices as we go through the process. The goal of a 50 percent reduction is achievable if we put our minds to it, if we commit to it."

– Secretary Slater, May 1999

In December 1999, President Clinton signed into law the Motor Carrier Safety Improvement Act (the MCSIA), historic safety legislation that created the Federal Motor Carrier Safety Administration (FMCSA). The new agency, DOT's 11th operating administration, absorbed the former Office of Motor Carrier Safety, which had been part of the FHWA. Its creation demonstrated the Administration's commitment to raising the profile of commercial motor vehicle safety and achieving the Secretary's ambitious fatality reduction goal.

The MCSIA codified many of the recommendations made by Secretary Slater and the DOT Inspector General for improving enforcement of motor carrier safety regulations, including more effective means to identify problem drivers and keep them off the roads. It provided new funding to help states conduct more inspections of commercial vehicles, drivers and carriers; improve data collection; and conduct a major crash causation study.

The FMCSA is a safety agency, formed to provide a focus for DOT actions to improve truck and bus safety on the nation's roadways. It pursues these goals aggressively. Its program to reduce fatalities directs resources from across all areas of DOT toward producing safer vehicles operated by safer drivers and ensuring that high-risk motor carriers and records are removed from America's highways. Program efforts include four major s areas:

- **Strengthening enforcement of the Federal Motor Carrier Safety Regulations**: Increased roadside vehicle and driver inspections; increased compliance reviews of motor carriers at their place of business; higher penalties for violations of the safety regulations; and broader authority to shut down motor carriers that are deemed unsafe.

- **Improving the Commercial Driver's License Program:** Tightening standards and closing loopholes.

- **Applying advanced technology**: Information technologies, in-vehicle technologies, and intelligent vehicle systems – to improve motor carrier safety.

- **Expanding research, education, and outreach.**

Implementing the Commercial Driver's License Program

The Commercial Motor Vehicle Safety Act of 1986 required that drivers of commercial motor vehicles demonstrate the knowledge and skills necessary to operate safely on the nation's highways. In addition to these minimum national commercial driver's licensing standards, the Act required that drivers convicted of traffic violations have their driving privileges suspended from 60 days to life, depending on the seriousness of the violation.

To increase the effectiveness of the Commercial Driver's License (CDL) Program, the Congress included in the MCSIA aggressive new provisions related to driver violations, convictions and disqualifications. Under these provisions, convictions for moving violations by CDL holders must be processed in a timely way by state motor vehicle licensing agencies and transmitted to the license holder's state to ensure they appear on his or her driving record. The MCSIA tightened the requirements under which the states record driver conviction information and exchange this information with other states. It also prohibited the issuance of hardship licenses to drivers with suspended CDLs.

Over the past two years, the FMCSA has awarded Driver History Initiative grants to a number of states to develop and implement approaches to improving the timeliness, accuracy and completeness of driver records. States are automating citation and conviction information records, and citation accuracy has been improved by the use of hand-held scanners that read bar codes on driver's licenses. These are a few ways that states are improving their driver licensing record systems with new technologies.

In October 1999, DOT issued in the Federal Register a final rule making conviction of a state highway-rail grade crossing statute a disqualifying offense. Highway-rail grade crossing violations include failure to obey a traffic control device or the directions of a law enforcement officer. The minimum disqualification period ranges from 60 days to one year.

The FMCSA is taking action to strengthen the Commercial Driver's License Information System and is engaged in rulemaking actions to improve CDL training standards and other aspects of the CDL Program.

Enforcing Federal Motor Carrier Safety Regulations

From mid-1999 through 2000, the FMCSA safety investigators approximately doubled the number of compliance reviews conducted at motor carriers. In addition, using expanded funding earmarked in the MCSIA for inspections and other enforcement activities, the FMCSA substantially increased the number and effectiveness of roadside vehicle and driver inspections. These are conducted in partnership with the states under the Motor Carrier Safety Assistance Program (MCSAP). The fiscal year 2001 budget recently signed by President Clinton increases funding for inspections.

The FMCSA also is applying advanced technologies to improve the effectiveness of roadside vehicle and driver inspections. In partnership with industry, it is implementing the Commercial Vehicle Information Systems Networks (CVISN). The system should be fully deployed in 26 states by 2003. CVISN will accomplish several key goals:

- Integrate existing motor carrier information systems and networks in the states;
- Streamline inspections and other enforcement operations; and,
- Provide real-time information, allowing roadside inspectors to concentrate enforcement efforts on high-risk carriers.

Another important partnership to improve roadside inspections and strengthen enforcement is the priority enforcement initiative called the Performance and Registration Information System (PRISM) program. PRISM is a federal-state partnership that makes safe performance a requirement for obtaining and keeping commercial vehicle license plates. As of January 2001, 18 states participate in PRISM.

Other recent FMCSA actions to strengthen enforcement have focused on civil penalties for violations of the safety regulations. In September 2000, the FMCSA began implementing MCSIA requirements for the assessment of the maximum civil penalty for each violation of the law by any person who is found to have committed a pattern of violations of a critical or acute safety regulation.

In December 2000, the FMCSA prohibited motor carriers that do not pay civil penalties assessed by the FMCSA, or that do not arrange and abide by its payment agreements, from operating in interstate commerce. The FMCSA also will suspend the registration of brokers, freight forwarders or for-hire carriers who have failed to meet the penalty payment requirements. These actions will help deter safety violations.

An August 2000 action expands the prohibition against interstate operations by motor carriers with "unsatisfactory" safety ratings. Formerly, an interstate carrier that received an "unsatisfactory" rating could be shut down only if it transported passengers or hazardous materials. A new rule gives the FMCSA authority to shut down any motor carrier found to be unfit.

Speed abatement is another significant part of our enforcement program. Under the MCSAP, the FMCSA works with state law enforcement authorities to increase enforcement action against truck drivers who violate speed limits and other traffic laws.

Finally, the MCSIA provided DOT with stronger enforcement tools to ensure that foreign carriers do not operate illegally in the United States. These expanded authorities include: (1) denial of entry to carriers without evidence of registration; (2) placing vehicles out of service at the roadside if the carrier is found to be operating without authority; (3) imposing substantially increased penalties; and (4) disqualifying carriers from operating commercial motor vehicles in the U.S.

Restrictions on the operations of Mexican motor carriers in the United States will remain in place until DOT is satisfied that both countries have developed the necessary safeguards to ensure safe cross-border operations. The FMCSA is actively working to achieve a seamless, efficient border environment that ensures the safe and legal crossing of commercial motor vehicles.

Applying Advanced Technologies to Improve Motor Carrier Safety

The FMCSA technology program emphasizes intelligent transportation initiatives to improve commercial driver and vehicle safety and the application of advanced technology to vehicles and roadside vehicle inspections and clearances.

FMCSA manages the Commercial Vehicle Platform under DOT's Intelligent Vehicle Initiative Program. The Commercial Vehicle Platform supports research, field-testing and evaluation of deployable on-board safety technologies. In partnership with Volvo, Mack and Freightliner, DOT is testing technologies to avoid collisions and integrate electronic braking systems, prevent truck rollovers and detect lane departure and hazardous locations. In addition, DOT sponsors research and tests on fatigue detection devices.

The FMCSA is aggressively using advanced information systems and technology to improve its enforcement activities. In addition to the Commercial Vehicle Information Systems and Networks (CVISN) and the Performance Registration Information System, it has sophisticated information tools that safety investigators use to prioritize motor carriers for compliance reviews and an inspection selection algorithm that roadside inspectors use to select high-risk commercial vehicles.

In addition, the FMCSA sponsored development of technologies to measure brake performance during inspections and to automate commercial vehicle identification. Both technologies improve roadside screening and enforcement.

The FMCSA conducted a successful Paperless Log System pilot project in partnership with Werner Enterprises, Inc., and encouraged motor carriers to use electronic on-board recorders to record drivers' duty status.

Expanding Motor Carrier Research, Education and Outreach

The FMCSA research program seeks to gain fundamental and applied knowledge, and to develop new methods and technologies that increase truck and bus safety. The agency supports research in many areas relevant to motor carrier safety. These include problem assessment; policy, safety management and outreach; driver performance (including physical qualifications and health; training, licensing and safety performance; alertness and fatigue; and non-commercial driver behavior); truck and bus vehicle safety performance; and compliance, enforcement and operations.

In the area of education and outreach, the FMCSA has worked to expand the "No-Zone" program. Launched by the FHWA's former Office of Motor Carrier Safety in 1994, this national safety campaign educates passenger vehicle drivers on how to share the road safely with large trucks.

A second major FMCSA outreach initiative is the "Safety is Good Business" program, which promotes the voluntary use of best safety and business practices by 400,000 small motor carriers and by large-truck drivers and their families. The program spotlights the direct and indirect costs of crashes and supports the use of regulatory and operational countermeasures.

Making Bicycle and Pedestrian Travel Safer

> *"Since 1994, there has been a reduction in the number of pedestrians injured every year by several thousand. But, in 1998, 82,000 people were still hurt as they walked, and 5,400 were still killed as they walked. We must and we shall do better."*
>
> *– Secretary Slater, 1999*

Between 1993 and 1999, funding for pedestrian and bike paths increased 4,000 percent. Though it may be a small part of the billions we invest in transportation infrastructure, it is a significant source of enjoyment of Americans. And when President Clinton talks about highway projects, he constantly speaks of the need to consider the needs of pedestrians and bicyclists.

Injuries to bicyclists were down by 15 percent, while bicycle use was up 89 percent, according to a five-year DOT status report released in 1999 by the FHWA.

"We are committed to helping ensure that every transportation agency makes accommodations for bicycling and walking a routine part of their planning, design, construction, operations, and maintenance activities. Bicycling and walking will be important in our transportation system in the new millennium."

– Federal Highway Administrator Kenneth R. Wykle

These results are an update of the landmark National Bicycling and Walking Study, which was delivered to Congress in 1994. This report presented federal, state and local action plans for increasing bicycling and walking in America. The five-year update issued in 1999 also indicated that injuries to pedestrians have declined by 18 percent and that walking has increased by 13 percent during that period. The report indicated that fatal crashes involving pedestrians have declined by 6 percent but that the number of fatalities among bicyclists in crashes with motor vehicles has decreased only slightly.

In 1998, traffic crashes killed 761 bicyclists and injured an additional 53,000. Bicyclists under age 16 accounted for 30 percent of all bicyclists killed and 44 percent of those injured. Bicycle helmets have been determined to be the single most effective countermeasure to death or serious injury in the event of a crash; they were 85-88 percent effective in mitigating head and brain injuries. Yet the current national average for helmet use is only 20-25 percent. According to NHTSA estimates, universal helmet use by children ages 4-15 would prevent 135 to 155 deaths annually. NHTSA also estimates that every dollar spent on bicycle helmets for children ages 4-15 saves $3 in health care costs.

With President Clinton's signing of the Transportation Equity Act for the 21st Century (TEA-21) in June 1998, a National Bicycle and Pedestrian Safety Clearinghouse was created and funded to develop informational and educational programs and strategies to improve safety.

TEA-21 also made pedestrian projects broadly eligible for funding from most of the major federal-aid highway, transit and safety programs. National Highway System, Surface Transportation Program, Transportation Enhancement, and Congestion Mitigation and Air Quality Improvement Program funds may all be used to build pedestrian facilities. Decisions to allocate these funds are made at the state and metropolitan level, but DOT strongly intends through consultation to encourage the funding of pedestrian facilities. TEA-21 also has written pedestrian walkways into the planning process, requiring state and metropolitan planners to accommodate pedestrians in their long-range plans and to consider projects and strategies to increase the safety and security of non-motorized users.

Safeguarding the Nation's Pipelines

Our nation's underground infrastructure is immensely important. It carries not only valuable supplies of petroleum, natural gas and water, including 619 billion ton-miles of petroleum and other hazardous liquids, but now, in this age of digital communications, also the electrical and telecommunications connections that move information quickly and accurately around the nation. Ensuring the viability of these vital connections and protecting them from disruptions in service has become an increasingly important part of the nation's transportation safety agenda. This is especially true in light of pipeline explosions in recent years in places such as Edison, New Jersey; Bellingham, Washington; and Carlsbad, New Mexico.

In June 1999, Secretary Slater convened the Underground Facilities Damage Prevention Symposium, which sought to establish cooperative relationships between industry and government to better assess risks, improve safety practices and advance environmental protection efforts.

During the conference, the Secretary announced a set of initiatives aimed at preventing damage from outside sources to pipelines, telecommunications infrastructure, and electrical, water and sewer lines.

Secretary Slater announced a pipeline safety goal to reduce the number of pipeline "hits," or disruptions, by 25 percent over a three-year period. He also called for acceptance of a best practices study on "one-call" systems and damage prevention programs.

Secretary Slater also announced a final rule requiring certain pipeline operators to participate in one-call notification systems to prevent damage to pipelines from digging equipment. These one-call communication systems may be established individually or jointly by utilities, government agencies or other operators of underground facilities. The system provides a single telephone number from which excavators can obtain information on the location of pipelines and other underground utilities, such as fiber-optic cables, so they will not be damaged by excavation activities.

The rule, issued by RSPA, requires onshore gas, hazardous liquid and carbon dioxide pipeline operators to participate in qualified one-call systems. The ruling was based on DOT's 1995 study on national risk assessment prioritization, a survey of pipeline safety issues and potential solutions. The results were used to identify geographic areas where the consequences of pipeline accidents are highest and physical threats to pipeline integrity are greatest. The findings reconfirmed previous studies that showed outside force damage, also known as third-party or external-force damage, continues to be the single leading cause of pipeline failures.

During the past eight years, the Administration worked to strengthen safety and environmental standards and practices across the industry, and has made progress: during the past year alone, incidents of third-party damage have been reduced by 30 percent.

Through RSPA, DOT is currently moving ahead with several new regulations that, together, will greatly improve the Department's ability to protect communities and the environment.

The pipeline integrity management regulation offers a performance-based approach to protection that will provide industry with a better basis on which to assess – and promptly address – all risks. And it gives regulators a better basis on which to review those assessments.

The operator qualifications rule would require that pipeline workers be able to effectively perform safety tasks and emergency-related functions.

The corrosion prevention regulation, announced in December 2000, would provide for better corrosion prevention, control and detection in hazardous liquid pipelines.

RSPA plans to soon finalize a regulation to protect areas around the country that are unusually sensitive to oil spills, including the areas that are most likely to be permanently affected or damaged by spills.

Together, these actions will help ensure that the nation's pipeline system is sound, its communities safe and its environment protected.

Preventing Drug and Alcohol Use Among Transportation Workers

DOT also focused closely on the potential threat of drug and alcohol use by transportation workers involved in safety-sensitive positions throughout the various transportation industries, including the aviation, motor carrier, rail, transit, maritime and pipeline industries.

In February 1994, Secretary Peña announced a final set of rules on alcohol and drug testing for more than 7.4 million such employees. The new regulations were based on the principles of safety, common sense and flexible, performance-based standards. In addition to new mandatory alcohol testing programs, DOT amended its random drug testing procedures.

> *"Today we are making a commitment to the American people. We will do everything we can to ensure that when your child boards a school bus the driver has not been drinking and that when you board a plane or a bus or a subway, those responsible for your safety will have strong incentives to be sober and fit for duty."*
>
> *– Secretary Peña, February 1994*

In December 2000, Secretary Slater announced that DOT revised its drug and alcohol-testing rule to make the testing process easier to carry out and provide additional safeguards for employees. The amended rules added strengthened test result reviews to ensure fairness and enhanced training requirements for drug and alcohol testing personnel.

Emphasizing Maritime Safety

The nation's ports and waterways are important lanes of commerce, comprised of maritime shipping and commercial fishing, and they are also the playgrounds of millions of recreational boating enthusiasts.

Since our nation's founding more than two centuries ago, mariners have constantly relied on the Coast Guard to provide search and rescue operations in times of distress. It is the job of the U.S. Coast Guard, a DOT operating unit and one of the nation's five armed services, "to protect people from the sea, and the sea from people."

And each year, up to 50,000 ships and boats find themselves in distress or in urgent need of help on our waterways. In 1999, the Coast Guard responded to 39,834 distress calls and saved 3,744 lives – thus saving nearly 88 percent of all mariners in imminent danger, compared with approximately 80 percent when President Clinton took office. This progress was achieved as a result of increased resources being applied to search and rescue missions, as well as to improved communications and better boater safety education.

Strengthening the Coast Guard

President Clinton signed into law the Coast Guard Authorization Act of 1993, which allowed the Coast Guard to require that passenger vessels be equipped with state-of-the-art fire protection and other equipment directly related to improved vessel safety. This action put better enforcement tools in the hands of those dedicated to safer maritime transportation.

The Coast Guard Authorization Act of 1996 made long sought-after improvements providing new tools for improving the Coast Guard's management of waterway services and allowing for the modernization of coastal deepwater ports vital to shipping.

Improving Fishing Safety

Commercial fishing is an inherently dangerous business. In fact, it is one of the most hazardous occupations in America. To promote safety improvements on board commercial fishing vessels, the Coast Guard, together with fishing industry and safety professionals, joined forces to form the Fishing Vessel Casualty Task Force. Members of the task force included representatives from the Coast Guard, the National Oceanic and Atmospheric Administration, the NTSB, the Occupational Safety and Health Administration and representatives from the commercial fishing industry.

In 1999, the Coast Guard released the final report of the Fishing Vessel Casualty Task Force, which had been reviewing recent casualties and current fishing vessel safety programs, then developing recommendations to improve the safety of fishing vessels, including the need for mandatory dockside exams of vessels and standardized training for vessel operators.

The task force recommended both immediate and long-term solutions for reducing the extremely high death rate in commercial fishing. Among its recommendations were the need for improved vessel inspections to assure compliance with basic safety standards; requiring the licensing of operators to assure their familiarity with standard safety procedures; and ensuring that fishermen and crew receive better safety information.

Expanding the Focus on Waterways Safety

Growing concern about dangerous working conditions in the tugboat, towboat and barge industry inspired the Coast Guard to form a successful partnership with the American Waterways Operators (AWO), the industry's principal trade association.

The 1995 partnership, the first of its kind between the Coast Guard and any segment of the maritime industry, the Coast Guard-AWO Safety Partnership has generated a cooperative effort to improve marine safety and environmental protection. The emphasis has been on a flexible, open approach using "quality action teams" to focus on specific issues, such as crew fatalities, tank barge spills and safe operations during dangerous water conditions.

The Safety Partnership's achievements have received recognition from Vice President Gore's National Partnership for Reinventing Government, which presented the Coast Guard and the AWO with the "Hammer Award" for excellence in public-private partnership. In addition, the initiative also won recognition from the National Partnership for Reinventing Government and the American Society of Association Executives.

Port State Control Program

A substantial majority of the passenger and cargo ships that visit American ports each year are foreign-owned. Under the Port State Control program, begun in the 1970s, the Coast Guard examines foreign vessels to assure compliance with pollution prevention and navigation safety regulations. Coast Guard resources often have been stretched severely in trying to inspect all foreign ships that make their way into domestic ports and waterways and assure their compliance with international safety and environmental standards that are becoming more and more strict.

Therefore, in 1994, the Coast Guard began to use risk-based methodologies in its Port State Control efforts to allocate its limited inspection resources in a more targeted fashion. This resulted in the Coast Guard focusing its inspection program on those ships, ship owners, classification societies and flag administrations that were most often found lacking in meeting established international safety and environmental protection standards.

The Puget Sound area of Washington State has long been a region of public concern over the risks of drift grounding and potential oil spills. By legislative mandate, the Coast Guard oversees a system of privately owned tugboats used to aid vessels in distress in Puget Sound area waters.

In April 1996, President Clinton issued a presidential determination, expanding on existing legislation that required the Coast Guard to assess the adequacy of all vessel safety and environmental protection measures in effect in the Puget Sound area. After its assessment and appropriate opportunity for public comment, DOT proposed and has been implementing a series of additional measures to reduce safety risks and especially to mitigate the potential for oil spills.

Meeting the Y2K Challenge

In transportation, as in almost every other sector, Y2K was the story that *wasn't*. Y2K, which was shorthand for the Year 2000 computer problem, capped a remarkable period in the relatively short history of the Information Age. Although it represented a threat to every aspect of transportation, the greatest concerns were with its impacts on the system's safety.

During the final years of the 20th century, computers became ubiquitous. Society benefited greatly from the use of computer-based information and communications technologies. In transportation, these technologies enabled the productive "just-in-time" delivery systems, improved maritime navigation, and enhanced the safety and efficiency of highways, railroads and transit systems. In aviation, computers doubled the effective capacity of the nation's air traffic system and were used in everything from reservations to maintenance to cargo tracking.

All of these computer-driven systems contribute to the safe, smooth and productive functioning of the nation's transportation networks, and can generate even greater benefits in the future. However, the Y2K problem posed a significant challenge. The origin of this problem was simple. Because of limited storage capacity, many computers were programmed to use just two digits to keep track of the date. That seemed like a viable solution at the time, when programmers expected that those computers and programs would have been replaced by the new century.

Many of these computers and programs were not replaced, and planners feared that, on January 1, 2000, they would recognize a "double zero" date not as 2000, but as 1900, causing them to stop running or start generating bad data. That could have shut down the computers that operate government and business networks, risking major disruptions of financial markets, of communications and power systems and of transportation systems. There was particular concern about the computer networks that serve as the basis of safety-related systems, especially for such functions as air traffic control, intelligent highway, rail and transit operations and maritime navigation.

Traditional information processing systems and personal computers were not the only systems at risk of experiencing problems related to the date change. Computer controls that relied on information from countless embedded systems, or "chips," in complex operations in maritime shipping, electric power plants, oil refineries and other areas, also faced possible breakdowns with the arrival of 2000.

The mechanics involved in making any one of these systems capable of correctly processing the year 2000 date were fairly straightforward, but the scope of the work – identifying, fixing, and testing millions of systems and data exchange points in a global economy – was daunting.

Although the technical fix for the Y2K problem was straightforward, it required a heavy commitment of resources to evaluate computer systems and implement the necessary repairs.

Therefore, addressing the Y2K problem was less a technology problem than a management challenge. Recognizing this, President Clinton and Vice President Gore acted quickly. They directed federal officials, led by John Koskinen of the President's Council on Year 2000 Conversion, to do everything necessary to ensure that the government's computer systems functioned as well on January 1, 2000, as they did on the day before.

In the transportation sector, Deputy Secretary Downey led the effort. It was designed to ensure that the Department's 609 mission-critical systems continued to function. This work, which required detailed, line-by-line reviews of computer code and their repair, ultimately involved more than 3,000 people and cost more than $440 million.

Under the plan, DOT also coordinated industry-wide efforts, acting to raise awareness about the problem and provide advice, technical support and, in some cases, funding. DOT worked closely with other federal agencies, industry groups and national and international bodies such as the International Civil Aviation Organization to assess the readiness of travel systems and to ensure that any shortcomings were addressed.

The nation's transportation systems continued to function normally as the world transitioned to a new century and entered the new millennium. FAA Administrator Jane F. Garvey demonstrated the air traffic system's readiness with dramatic cross-country flights on New Year's Eve 1999 as the calendar turned over into the new millennium.

The Department's coordination and investment helped ensure that transportation safety and services continued uninterrupted by Y2K problems and that the American public could continue to have confidence in its transportation systems, and was one of the most significant successes of the Administration.

Renewing Commitment: The First National Transportation Safety Conference

Secretary Slater convened the first-ever National Transportation Safety Conference in March 1999. The conference was attended by a coalition of government, industry and community leaders with a shared commitment to improving the safety of the nation's intermodal transportation system. This inaugural event brought together more than 600 providers and users of all forms of transportation and served to help move the nation toward a comprehensive and integrated approach to travel safety.

> *"While travel has become safer in the past few years, even one loss of life is one too many."*
>
> *– Federal Railroad Administrator Jolene Molitoris*

At the close of the two-day conference, Secretary Slater signed a memorandum of understanding with leaders of industry, trade, labor, law enforcement and community organizations, pledging that ideas from the first National Transportation Safety Conference would be used to establish an unprecedented national safety action plan.

During the conference, Secretary Slater called on participants to "Sign on for Safety" by pledging to be alert and stay sober; buckle up and use child safety seats; stay in control and respect speed limits; obey all signs, signals, instructions and safety rules; and avoid all safety and security risks.

The memorandum of understanding signed by participants at the national conference committed them to work as partners to provide safe work environments; to advocate safety in their organizations; to provide safety education to employees; to make safety a priority in organization activities; and to be partners in the conference's safety action plan. For its part, DOT agreed to assist participants in developing educational programs and materials on transportation safety.

Secretary Slater said that DOT would develop a safety action plan to build on its comprehensive safety strategy and continue its successful efforts in decreasing the rate of injuries and fatalities attributed to the national transportation system. Among the key initiatives already undertaken or planned as part of this comprehensive effort to improve safety in all modes of transportation were the following:

- ***Child Safety*** – Under the leadership of National Highway Traffic Safety Administrator Dr. Ricardo Martinez, NHTSA and the American Automobile Association developed the 1999 brochure "Buying a Safer Car for Child Passengers." The brochure provided information to make it easier for families to shop for safety when shopping for a new car. Similarly, when fully implemented, the new requirement for universal child safety seat attachments, which President Clinton announced in a February 1999 radio address, will make it easier to properly install child safety seats and result in an estimated 50 lives saved and 3,000 injuries prevented each year. Making it easier for parents to buy the right vehicle and to properly place their children in safety seats will help achieve the President's goal of reducing child motor vehicle fatalities 25 percent by 2005.

- ***Aviation Safety*** – In April 1998, Vice President Gore announced that the FAA, in partnership with industry, had adopted a "Safer Skies" agenda designed to bring about a five-fold reduction in fatal aircraft accidents. The Safer Skies initiative seeks to identify and implement corrective actions in the six categories found to most contribute to fatal commercial air crashes: controlled flight into terrain; loss of control; uncontained engine failure; runway incursions; approaches and landings; and weather. Identifying and implementing effective steps in these areas will improve the fatal crash rate.

- ***Maritime Safety*** – A maritime conference concluded in November 1998 produced a vision for 2020, stating that the U.S. marine transportation system would be the world's most technologically advanced, safe, secure, efficient, accessible, globally competitive, dynamic and environmentally responsible system for moving goods and people. The conference called for ensuring that this crucial system would remain safe.

- ***Truck Safety*** – Secretary Slater appointed former Congressman, and later U.S. Secretary of Commerce, Norman Y. Mineta to head a review of motor carrier safety programs completed in 1999. The findings summarized strategies now in use and functional areas on which the motor carrier safety program is focused; surveyed views of outside, interested parties; and identified ways the program can be improved, including where it should be located within the Department. These results helped shape the Motor Carrier Safety Improvement Act of 1999, which reinvented crucial safety programs and created the FMCSA.

- ***Safety Among Disadvantaged Communities*** – At a National Diversity Forum in February 1999, Secretary Slater called traffic safety for members of racial minorities and other disadvantaged groups, including people with disabilities and rural and inner city residents, a priority agenda item. During the forum the Secretary called on representatives of more than 80 racial minority groups and traditional safety organizations to help reduce traffic deaths and injuries, especially among racial minorities, by encouraging motorists to buckle up, use child safety seats and avoid drinking and driving.

- ***Improved Information for Public Safety Policy*** – Secretary Slater announced that NHTSA would distribute nearly $5 million in incentive grants to improve traffic safety data systems in 47 states, the District of Columbia, Puerto Rico, Guam, the Virgin Islands, American Samoa, and the Northern Marianas Islands and through the Bureau of Indian Affairs. In addition, the Bureau of Transportation Statistics will hold a series of listening sessions to discuss the need for more extensive and reliable safety data collection. The FHWA announced a streamlining of its Highway Performance Monitoring System to reduce the burden on the states, which provide the data; to focus more sharply on important information; and to provide better service to all Americans.

- ***Safety for Aging Adults*** – DOT is assessing the transportation needs of a growing, aging population and to begin drafting a national agenda addressing the transportation needs of the U.S. population as it ages. This blueprint would expand on the President's determination to meet the mobility needs of older Americans and on the Administration's focus on safety as the highest transportation priority. The initiative built on a January 1997 DOT study that suggested that transportation safety could become a substantial problem for older Americans. It would involve participation from safety experts, engineers, state and community authorities, medical and social service providers, law enforcement, industry and interest groups.

NATIONAL SECURITY

Strategic Goal:

Ensure the security of the transportation system for the movement of people and goods, and support the National Security Strategy.

Advancing the Nation's Security Interests

Much progress has been made toward securing our national interest and defending our national borders during the eight years of the Clinton-Gore Administration. Effective airport security measures are in place to help protect against the intentional infliction of harm. Our domestic shores are being patrolled and defended to the greatest extent possible from incursions of contraband and illegal immigrants. New government-industry partnerships are being formed to work together to strengthen our critical infrastructures and assure their continued operation under any and all contingencies.

The nation has proved itself able and ready to mobilize resources in the event of emergency situations. And the important issues of safety and national security have been raised to the forefront of the national consciousness. Maintaining such high levels of security vigilance is an ongoing process, however, for in an often turbulent and ever-changing world, threats to our national interest and national security are never likely to end entirely.

In times of emergency, our transportation system is the vital link to mobilizing materials and our armed services to defend our nation from those who would threaten our security or national interests.

In times of peace, it is the link to protecting our borders from intrusion through the smuggling of contraband or the entry of illegal immigrants.

DOT helps ensure that those who use the nation's transportation system are safe and secure, that the system is always in a state of readiness and that its vulnerability to disruption, damage or exploitation is minimized.

Renewing Our Commitment to Security

The strategic aims of DOT's national security agenda are to reduce the vulnerability and consequences of intentional harm to our transportation system and its users; to ensure the readiness and capability of all modes of commercial transportation to meet national security needs; to ensure that the system's physical and information infrastructure and technology can support military logistics in times of mobilization as well as training; to maintain the readiness of existing resources, and DOT contingency resources, to support the nation's security strategy; and to reduce the flow of illegal drugs and illegal aliens entering the U.S.

DOT works to maximize the security of the public in all modes of transportation, and strives to maintain the integrity of the nation's transportation system, environment and infrastructure against terrorist and other criminal acts through partnerships with the private sector and other government agencies, regulations, guidelines, inspections, cooperative agreements and investments. Intermodal and interagency intelligence matters and security-related actions are coordinated by and with the oversight of the Department's Office of Intelligence and Security. Security actions, commensurate with their respective authorities, are carried out by DOT's 11 operating administrations.

During the early part of the Clinton-Gore administration, DOT established itself as an integral member of the interagency security community through a number of high profile initiatives and venues.

Based on a series of intelligence community reports on a growing threat to the nation's infrastructures, President Clinton, in Presidential Decision Directive 39, directed the Attorney General to assess the risks to the nation's critical infrastructures. The President signed PDD-39 in June 1995. It states in part:

> "The United States shall reduce its vulnerabilities to terrorism, at home and abroad. It shall be the responsibility of all Department and agency heads to ensure that their personnel and facilities, and the people and facilities under their jurisdiction are fully protected against terrorism. With regard to ensuring security:

> The Secretary of Transportation shall reduce vulnerabilities affecting the security of all airports in the U.S. and all aircraft and passengers and all maritime shipping under U.S. flag or registration or operating within the territory of the United States and shall coordinate security measures for rail, highway, mass transit and pipeline facilities..."

In implementing PDD-39, Secretary Peña recognized the need for better coordination both within the Department and with the private sector. The Secretary established an internal DOT security working group, chaired by the Office of Intelligence and Security, to coordinate intelligence and security activities among all of the DOT operating administrations and with such external agencies as the FBI.

Lacking the authority to take direct actions in several areas such as railroads, mass transit and highways, the establishment and continued refinement of an effective threat dissemination process became a high priority within DOT through close and effective working relationships were established with the Defense Department and transportation industry operations.

The Civil Reserve Air Fleet managed by DOT helped guarantee airlift support for the Department of Defense during a national emergency, and Voluntary Intermodal Sealift Agreements entered into with private sector partners helps move critical military supplies overseas during major conflicts.

After considering the various options to conduct a wide ranging series of vulnerability assessments, and since most of the nation's infrastructure is owned and controlled by the private sector, the President signed Executive Order 13010 establishing the President's Commission on Critical Infrastructure Protection. DOT coordinated efforts with the Commission to address the physical and cyber vulnerabilities to the transportation industry and its infrastructure.

With the release of the Commission's final report in May 1998, the President signed PDD-63, Critical Infrastructure Protection. Critical DOT-owned infrastructure specifically addressed included the National Airspace System and the Global Positioning Satellite (GPS) system. The FAA subsequently undertook a high priority program to implement security processes and procedures to protect the existing system while designing strong security into the replacement system. Vulnerabilities to GPS were documented, and steps taken to ensure the nation's civil radio-navigation system will provide dependable, reliable and secure services.

DOT also coordinated with the law enforcement and intelligence communities on transportation security planning for major events such as the 1996 Summer Olympics in Atlanta and the 2002 Winter Olympics in Salt Lake City.

DOT acted to enhance security on the nation's land borders, establishing close working relationships with Transport Canada. And co-sponsoring an annual U.S.-Canada Bilateral Transportation Security Conference to address security issues of mutual concern, such as cruise ships and drugs, illegal migrant interdiction and critical infrastructure protection.

The Department also looked to the future, developing a long-term vision that outlined robust strategies for transportation security policies and investments to accommodate a range of plausible futures during the coming 20-25 years. The resulting vision provided the framework for the development of the shorter term 2000 – 2005 DOT Strategic Plan, officially released in September 2000.

Making Our Skies More Secure

"We know we can't make the world risk-free, but we can reduce the risks we face and we have to take the fight to the terrorists. If we have the will, we can find the means."

– President Clinton, February 1997

Fortunately, terrorist incidents involving aviation in the U.S. have been relative few in number, thanks in large measure to the airport security systems that are now installed in virtually all major air facilities. Yet, in spite of our vigilance, the nation faces new and evolving threats.

The FAA took further steps toward improving security at our nation's airports during the Clinton-Gore years. In 1995, the FAA issued a requirement for increased security by all airports and air carriers in the U.S., and in 1997 the FAA introduced the Computer Assisted Passenger Pre-Screening System, to significantly improve the performance of airport security screeners.

The agency also helped to develop the new Threat Image Projection equipment, and later purchased more than 400 of these systems to continuously train and monitor screeners. Other FAA steps to improve the effectiveness of screeners included a rule requiring employment background investigations for these personnel, as well as a proposal to require screening companies to obtain certification.

During 1996, federal officials initiated an examination of domestic aviation security measures with a goal to establish a security baseline that would be consistent with the threat as assessed by the intelligence community.

Making a Commitment Against the Threat of Terrorism

The Aviation Security Advisory Committee established the Baseline Working Group on July 17, 1996 at a meeting with Deputy Secretary Downey. The Trans World Airlines 800 tragedy coincidentally occurred that same evening. This quickly led to the August 1996 creation of the White House Commission on Aviation Safety and Security to investigate the current state of aviation safety and security and to develop a strategy to improve them, both domestically and internationally.

In an interim report, the Commission, headed by Vice President Gore, recommended that the federal government purchase significant numbers of computer tomography detection systems, automated X-rays and other innovative systems. Congress subsequently allocated $144 million to plan, purchase and install these screening devices.

The FAA announced a plan to acquire 54 state-of-the-art CTX-5000 SP explosive detection systems and install the sophisticated equipment at many of the nation's busiest airports. The CTX-5000 SP was the first explosive detection system certified by the FAA for inspecting checked baggage. The FAA first certified the CTX-5000 system in December 1994, and the improved CTX-5000 SP in July 1996. To date, CTX-2500, 5500 and 9000 and the L-3 eXaminer 3DX-6000 have also passed the FAA's rigorous certification tests. Developed with FAA support, these machines automatically screen bags for explosives.

As recommended by the Gore Commission, the FAA continued to purchase and deploy hundreds of advanced security systems, including explosives trace detectors to improve and simplify the inspection of carry-on bags. The agency pressed forward with research on new security technology, including aircraft hardening to mitigate a detonation during flight. With the United Kingdom, the FAA conducted a successful blast test of a hardened container, and later purchased 20 containers for operational testing that began in March 1999.

The Gore Commission issued its final report in February 1997. The report included 11 specific recommendations on aviation security, including a number of suggestions calling for joint cooperation between government and the private sector, the establishment of security standards, and a call for substantial federal funding to be applied to capital costs associated with improving security.

The FAA has continued to respond to the Gore Commission's findings, and the agency's security program has emphasized cooperation with industry through an integrated product team and more than 170 local airport consortia.

> *"Heading into the next century, our activities, programs and results should define aviation safety and security for the rest of the world."*
>
> *– White House Commission on Aviation Safety and Security, Final Report, February 1997*

Making the World's Skies Safer

At the "Aviation in the 21st Century - Beyond Open Skies Ministerial" attended by 93 nations in Chicago in December 1999, Secretary Slater announced a plan for assuring that code-share service by foreign partners of U.S. airlines meets international standards of safety and security as established by the International Civil Aviation Organization, the chief global aviation body. Code sharing is a common industry practice in which one airline offers service in its own name to a particular city, but some or all of the transportation is provided by another carrier that carries the designator code of the airline that sold the transportation.

USG initiatives directed towards Nigeria, specifically the resumption of commercial air service between the United States and Nigeria, required DOT membership on the Nigeria Interagency Working Group. Subsequent reviews enabled a determination by the Secretary of Transportation that the Lagos airport was maintaining and carrying out effective security measures, and the suspension of service that had existed since 1993 was rescinded in December 1999.

Guidelines for U.S.-airline safety audits of their code-share service on foreign air carriers were subsequently established in February 2000. These guidelines specified that only airlines from countries with Category I ratings from the FAA – countries whose aviation authorities meet international standards for safety oversight – would be allowed to carry a U.S. carrier's code on their flights.

In addition, in the context of applications for new code-share arrangements, the FAA was charged with reviewing whether a U.S. airline applicant is carrying out audits in accordance with the U.S. carrier's program, reviewing the audit report and consulting other relevant safety-related information. Only upon completion of this review by the FAA is DOT in a position to consider approving an application for a new code-sharing agreement.

The guidelines also discussed the factors the airlines should examine in carrying out the audits of their code-share service on foreign air carriers, including personnel qualifications, as well as methods for operation and maintenance of aircraft.

Fighting Crime and Domestic Terrorism

After a tragic December 1993 shooting on board a Long Island Rail Road train that left six dead and 17 injured, DOT provided funds and assisted the railroad's staff in developing a crisis management/intervention training program. The course was designed to give transit personnel a spectrum of recommended guidelines for identifying, containing and diffusing critical incidents until properly trained professional could arrive on the scene.

In preparation for the 1996 Summer Olympics in Atlanta, DOT sponsored security clearances that were provided by DOD and provided secure communications units for railroad and transit police in order to ensure that these law enforcement officials would be able to receive critical threat information if there were a need to pass this information to them.

In 1997, DOT entered a partnership with Department of Treasury's Federal Law Enforcement Center to develop the Land Transportation Antiterrorism Training Program for law enforcement and security officials who are responsible for protecting the land transportation system. The course was designed to protect the land transportation infrastructure to include rail, mass transit and bus. The course is fully developed and is being offered at various transportation agencies.

Supporting Maritime Security

DOT manages the unique resources of the Coast Guard to help defend our national borders from harm and intrusion and to protect our national interest from threat.

For more than 200 years, the Coast Guard has been one of the nation's five armed services, and delivers unique capabilities to the Departments of Defense and State. The Coast Guard's four major national defense mission areas include: maritime intercept operations; port operations, security and defense; peacetime engagement; and military environmental response operations.

In 1998, the Chief of Naval Operations and the Commandant of the Coast Guard signed a Joint National Fleet Policy Statement. This statement emphasized interoperability of Navy and Coast Guard forces in meeting America's maritime security needs. Coast Guard maritime security cutters will be optimized for peacetime and crisis response Coast Guard missions and filling the requirement for relatively small, general purpose, shallow draft warships.

Our national security interests can be threatened by the entry of contraband and illegal migrants across our borders. When this threat comes from entry by sea, the Coast Guard is charged with addressing the threat. In the case of drug seizures, the Coast Guard was extremely vigilant and consistently increased its success rate in interdicting the trafficking of dangerous controlled substances into the United States from offshore.

Port Security Units, staffed mainly with Coast Guard Reserve personnel, became integral to Naval Coastal Warfare activities, deploying with Naval Task Forces around the world. Law Enforcement Detachments became familiar sights on Navy vessels, interdicting drugs in the Caribbean and the Eastern Pacific, and helping to enforce sanctions in the Persian Gulf.

Following the October 2000 suicide bombing attack on the U.S. Naval vessel *Cole* in Yemen, 140 Coast Guard reservists from a unit specially trained in port security were ordered to Southwest Asia to prevent future such attacks. The Coast Guard has six such port security teams available.

As a unique instrument of policy, Coast Guard personnel played a key role in building and strengthening close relationships with governments around the world, from Partnerships for Peace in Eastern Europe, to Unitas exercises around South and Central America, to establishment of numerous cooperative agreements with law enforcement agencies throughout the Caribbean in the Coast Guard's ceaseless effort to protect the country from drugs.

Coast Guard ships have deployed to help in other global security missions, including enforcement of the arms embargo of Bosnia in 1995 and United Nations embargo against Iraq in 1997. In addition, the Coast Guard ships have participated in Department of Defense exercises in Korea, and in the Baltic, Mediterranean and Black seas. During 1993, the Coast Guard participated in Operation Able Manner to help stem illegal migration from Haiti.

Combating Drugs

Interdiction of drug trafficking is one of the principal missions of the U.S. Coast Guard, and the Coast Guard has been extraordinarily successful in that mission. In March 1995, the Coast Guard participated in Operation Green Clover, an inter-agency effort to inhibit the aerial trafficking of coca paste from Peru and Bolivia to Colombia.

Operation Frontier Shield was launched in October 1996, with the Coast Guard participating in a drug interdiction operation in the Greater and Lesser Antilles islands of the Caribbean Sea. In March 1997, Operation Gulf Shield sent Coast Guard units into the Gulf of Mexico to interdict drug trafficking, marking the first time since World War II that beach patrols had been deployed to monitor the remote areas along the south Texas shoreline.

In July 2000, the Coast Guard seized a Colombian fishing boat with more than 1,000 pounds of cocaine off the Guatemalan coast. The vessel and its contraband were turned over to Drug Enforcement Agency authorities in Costa Rica, who were in that country as a result of the recent agreement.

DOT took further steps to help stem the flow of illegal drugs into the U.S. In May 2000, the U. S. Coast Guard concluded an International Maritime Interdiction Support agreement with Costa Rica as a means of dockside law enforcement and expeditionary logistics support of drug interdiction operations. This was the first such agreement to be executed, and other such agreements will be negotiated with selected coastal states in the eastern Pacific and western Caribbean regions.

Supporting the Ready Reserve Force

DOT also oversees the Maritime Administration (MARAD), which directs the maintenance of a Ready Reserve Force, providing prompt sealift support when needed to respond to matters of national security.

In January 1994, in connection with the Operation Restore Hope in Somalia, the Commander in Chief of the U.S. Transportation Command requested that MARAD activate a Ready Reserve Force troopship to support this humanitarian effort in an east African nation suffering from mass starvation. During a two-month period that winter, the ship *Empire State* transported 1,618 U.S. Army troops from Mogadishu, Somalia, to Mombassa, Kenya, in four separate voyages. This mission was the first use of a Ready Reserve Force troopship in a contingency situation since the Vietnam Conflict.

It was not the only Ready Reserve Force sealift operation to be ordered during the Clinton-Gore years, however. In September of 1994, MARAD again activated its Ready Reserve Force fleet, mobilizing 14 ships in support of the nation's Operation Maintain Democracy/Operation Uphold Democracy missions in Haiti.

This operation was the first large-scale Ready Reserve Force activation since Operations Desert Shield and Desert Storm in the Persian Gulf action to liberate Kuwait after its invasion by Iraq. Activations for the deployment to Haiti showed a marked readiness improvement over those for the Persian Gulf. In November 1994, another Ready Reserve Force ship was included in the operation, and by mid-December, all 15 Ready Reserve Force vessels had completed their voyages and returned unharmed to their homeports.

In June 1995, MARAD began another Ready Reserve Force activation, deploying the vessels Cape Race and Cape Diamond to support Operation Quick Lift, which moved elements of the United Nations Rapid Reaction Force to Bosnia-Herzegovina in support of the U.N. Protection Force. The ships carried 368,500 square-feet of equipment and cargo for British and Dutch units within the U.N. force. The Quick Life deployment of the Ready Reserve Force served as a model for the development of bilateral agreements and U.S. lift support to foreign nations during this joint U.N. peacekeeping operation in the former Yugoslavia.

In October 1996, when President Clinton signed the Maritime Security Act, a new Maritime Security Program also was created, with authorized funding of up to $100 million annually over a 10-year period to construct 47 vessels to augment the existing fleet of merchant ships available to provide sealift capabilities during times of national emergency. The Maritime Security Program also included the Voluntary Intermodal Sealift Agreement, a plan between the public and private sectors that specified how the Department of Defense would access the network of available vessels during an emergency situation.

"Revitalizing America's maritime industry is essential. Essential to rebuilding America's economy; essential to our transportation infrastructure; essential to fortifying our national security."

- Secretary Peña, October 1995

Securing the Nation's Ports

In 1997, the Department published the first of a series of booklets on maritime security entitled *Port Security: A National Planning Guide.* This guidebook, developed by the Department's Office of Intelligence and Security, MARAD and the Coast Guard, is the first in a series of documents produced through a cooperative effort of the maritime industry and the federal government. *Port Security: A National Planning Guide* provides an overview of the essential aspects of port security and identified many of the challenges facing seaports. *Port Security: Security Force Management* is the second in the series and serves as a technical manual to be used by port directors, directors of port security and other port security managers in fulfilling their responsibilities toward developing an effective port security program.

Port and Cargo Security

MARAD's Port and Cargo Security Program aims to reduce criminal exploitation of commercial maritime cargo. Cooperative international seaport security partnerships among government and private sectors are used to facilitate collaboration with multinational entities such as the Organization of American States, American Association of Port Authorities, Maritime Security Council and International Association of Airport and Seaport Police. The activities are intended to decrease drug smuggling and cargo crimes in commercial maritime conveyances.

MARAD, the U.S. Customs Service and the Justice Department co-chaired the Interagency Commission on Crime and Security in U.S. Seaports. The Commission was ordered by Presidential Memorandum to conduct a 12-month examination of the critical concerns of crime and security affecting the country's maritime trade, including the international implications, and report its findings to the President. MARAD made significant contributions to the preparation of the Commission's final report, which was released by the White House in September 2000.

The study addressed the nature and extent of crime in the nation's seaports, the current state of port security and the effectiveness of cooperation of all levels of government and the private sector. The Commission's recommendations will help guide efforts to combat the smuggling of drugs, migrants, weapons and other contraband, reduce our ports' vulnerability to terrorism and enhance security for military mobilization.

Protecting Seagoing Passengers

In November 1997, DOT, the State Department and the International Council of Cruise Lines sponsored an International Conference on Cruise Ship Counterterrorism. This was the first time a conference brought together international representatives from the intelligence, law enforcement, counterterrorism and vessel security communities to address these issues for passenger ships. Representatives from the U.S., the United Kingdom, Canada and Norway met to enhance the counterterrorism readiness and to foster improved communication, cooperation and response operation between the cruise vessel industry and the international response and planning agencies.

The Coast Guard published regulations setting forth security requirements for passenger vessels over 100 gross tons, carrying more than 12 passengers on international voyages, and the U.S. passenger terminals that serve them. The security regulations became final in October 1998. The regulations enhanced the Coast Guard's enforcement over cruise ships and terminals to screen passengers and baggage and prevent the introduction of weapons or explosives on board.

DOT also has been actively engaged in moving forward such cooperative international security initiatives as the newly created Organization of American States Inter-American Committee on Ports, which focused on Lain America and the Caribbean.

DOT's September 1999 Report to Congress, *An Assessment of the U.S. Marine Transportation System*, addressed key marine transportation issues, including security. Key recommendations included the establishment of a Federal Interagency Committee on the Marine Transportation System to coordinate federal maritime security, and a Marine Transportation System National Advisory Council to coordinate the efforts of non-federal stakeholders.

Building a 21st Century Coast Guard Fleet

Defending America against a myriad of threats is the greatest challenge to the Coast Guard today, one made more difficult because its deepwater assets – those used more for missions more than 50 nautical miles from the U.S. coast – are aging and technologically obsolete. While demands on the Coast Guard continue to mount, operating and maintenance costs continue to rise and the lack of critical capabilities increasingly limit mission success.

The solution to the problem facing the Coast Guard is the innovative acquisition formally known as the Deepwater Capability Replacement Project, or less formally known as the Deepwater Project. Advanced by the Clinton-Gore Administration, the Deepwater Project takes an innovative mission-based performance acquisition approach, and has teamed with leaders in industry to provide maximum operational effectiveness at the lowest total cost.

The innovative nature of the Deepwater Project's mission-based performance acquisition approach is matched by a teaming relationship with industry and unique process for communication. The many benefits of these efforts have helped earn the project recognition as a reinvention lab under Vice President Gore's National Partnership for Reinventing Government.

The Coast Guard has a proud and distinguished history providing a wide range of services to America. This success is threatened, however, by the debilitating effects of an aging and technologically obsolete fleet of deepwater assets. The Deepwater project has been initiated to ensure the acquisition of assets that will allow the Coast Guard to continue to succeed in defending our national sovereignty