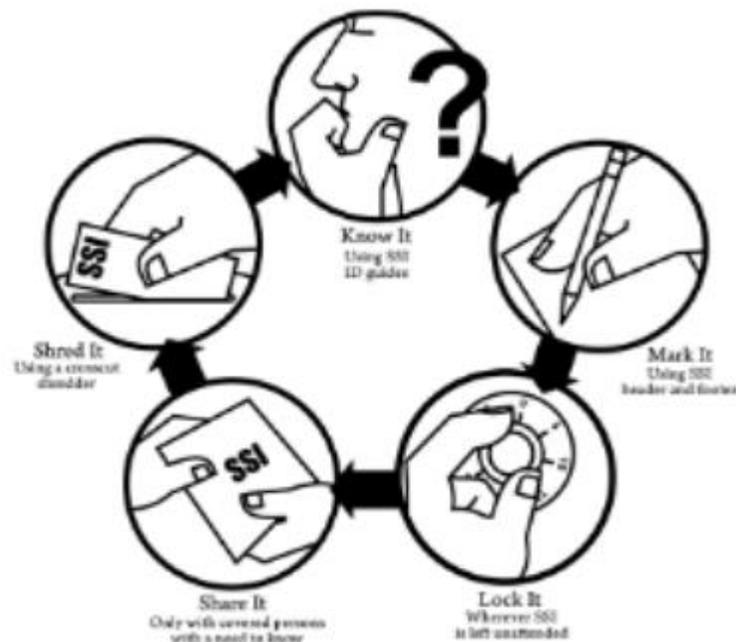


DEPARTMENT OF HOMELAND SECURITY

# SENSITIVE SECURITY INFORMATION

## Cover Sheet



For more information on handling SSI, contact [SSI@dhs.gov](mailto:SSI@dhs.gov).

**WARNING:** This record contains Sensitive Security Information that is controlled under 49 CFR parts 15 and 1520. No part of this record may be disclosed to persons without a "need to know", as defined in 49 CFR parts 15 and 1520, except with the written permission of the Administrator of the Transportation Security Administration or the Secretary of Transportation. Unauthorized release may result in civil penalty or other action. For U.S. government agencies, public disclosure is governed by 5 U.S.C. 552 and 49 CFR parts 15 and 1520.

DHS Form 11054 (8/10)

Reference: 49 CFR § 1520.13, Marking SSI



## Management Responses to Audit Recommendations

|  |   |                   |
|--|---|-------------------|
| Report # 19.08   | Report Title: Aviation Security           | Date: August 2020 |
| <b>Recommendation 1:</b>   |   |                   |
| [REDACTED]   |   |                   |
| [REDACTED]   |   |                   |
| <b>Proposed Action:</b> [REDACTED]<br>[REDACTED]<br>[REDACTED]<br>[REDACTED]<br>[REDACTED]<br>[REDACTED]<br>[REDACTED] | <b>Response:</b><br>[REDACTED]            |                   |
| <b>Person Responsible:</b> [REDACTED]<br>[REDACTED]  | <b>Implementation Date:</b><br>[REDACTED] |                   |
| <b>City Auditor's Office Response:</b> [REDACTED]<br>[REDACTED]<br>[REDACTED]<br>[REDACTED]                            |   |                   |
| <b>Recommendation 2:</b>   |   |                   |
| [REDACTED]   |   |                   |
| [REDACTED]   |   |                   |
| <b>Proposed Action:</b> [REDACTED]<br>[REDACTED]<br>[REDACTED]<br>[REDACTED]<br>[REDACTED]<br>[REDACTED]<br>[REDACTED] | <b>Response:</b><br>[REDACTED]            |                   |
| <b>Person Responsible:</b> [REDACTED]<br>[REDACTED]  | <b>Implementation Date:</b><br>[REDACTED] |                   |

*WARNING:* This record contains Sensitive Security Information that is controlled under [49 CFR parts 15 and 1520](#). No part of this record may be disclosed to persons without a "need to know", as defined in [49 CFR parts 15 and 1520](#), except with the written permission of the Administrator of the Transportation Security Administration or the Secretary of Transportation. Unauthorized release may result in civil penalty or other action. For U.S. government agencies, public disclosure is governed by [5 U.S.C. 552](#) and [49 CFR parts 15 and 1520](#).

**Recommendation 3:**

[REDACTED]

|  |                                |
|--|--------------------------------|
| <b>Proposed Action:</b> [REDACTED]<br>[REDACTED]<br>[REDACTED]<br>[REDACTED]<br>[REDACTED]<br>[REDACTED]<br>[REDACTED]<br>[REDACTED] | <b>Response:</b><br>[REDACTED] |
|--|--------------------------------|

|   |   |
|---|---|
| <b>Person Responsible:</b> [REDACTED]<br>[REDACTED] | <b>Implementation Date:</b><br>[REDACTED] |
|---|---|

**City Auditor's Office Response:** [REDACTED]  
[REDACTED]

**Recommendation 4:**

[REDACTED]

|  |                                |
|--|--------------------------------|
| <b>Proposed Action:</b> [REDACTED]<br>[REDACTED]<br>[REDACTED]<br>[REDACTED]<br>[REDACTED] | <b>Response:</b><br>[REDACTED] |
|--|--------------------------------|

|   |   |
|---|---|
| <b>Person Responsible:</b> [REDACTED]<br>[REDACTED] | <b>Implementation Date:</b><br>[REDACTED] |
|---|---|

SENSITIVE SECURITY INFORMATION

**Recommendation 5:**

[REDACTED]

|  |                                |
|--|--------------------------------|
| <b>Proposed Action:</b> [REDACTED]<br>[REDACTED]<br>[REDACTED]<br>[REDACTED]<br>[REDACTED]<br>[REDACTED]<br>[REDACTED] | <b>Response:</b><br>[REDACTED] |
|--|--------------------------------|

|   |   |
|---|---|
| <b>Person Responsible:</b> [REDACTED]<br>[REDACTED] | <b>Implementation Date:</b><br>[REDACTED] |
|---|---|

**City Auditor's Office Response:** [REDACTED]  
[REDACTED]  
[REDACTED]

**Recommendation 6:**

[REDACTED]  
[REDACTED]  
[REDACTED]

|  |                                |
|--|--------------------------------|
| <b>Proposed Action:</b> [REDACTED]<br>[REDACTED]<br>[REDACTED]<br>[REDACTED]<br>[REDACTED] | <b>Response:</b><br>[REDACTED] |
|--|--------------------------------|

|                                       |   |
|---------------------------------------|---|
| <b>Person Responsible:</b> [REDACTED] | <b>Implementation Date:</b><br>[REDACTED] |
|---------------------------------------|---|

**Recommendation 7:**

[REDACTED]  
[REDACTED]

|  |                                |
|--|--------------------------------|
| <b>Proposed Action:</b> [REDACTED]<br>[REDACTED]<br>[REDACTED]<br>[REDACTED] | <b>Response:</b><br>[REDACTED] |
|--|--------------------------------|

|                                       |   |
|---------------------------------------|---|
| <b>Person Responsible:</b> [REDACTED] | <b>Implementation Date:</b><br>[REDACTED] |
|---------------------------------------|---|

**Recommendation 8:**

[REDACTED]

**Proposed Action:** [REDACTED]  
[REDACTED]  
[REDACTED]  
[REDACTED]  
[REDACTED]

**Response:**  
[REDACTED]

**Person Responsible:** [REDACTED]  
[REDACTED]

**Implementation Date:**  
[REDACTED]

**Recommendation 9:**

[REDACTED]  
[REDACTED]  
[REDACTED]

**Proposed Action:** [REDACTED]  
[REDACTED]  
[REDACTED]  
[REDACTED]

**Response:**  
[REDACTED]

**Person Responsible:** Not Applicable

**Implementation Date:**  
[REDACTED]

**City Auditor's Office Response:** [REDACTED]  
[REDACTED]  
[REDACTED]  
[REDACTED]  
[REDACTED]

**Recommendation 10:**

[REDACTED]  
[REDACTED]

**Proposed Action:** [REDACTED]  
[REDACTED]  
[REDACTED]  
[REDACTED]  
[REDACTED]

**Response:**  
[REDACTED]

**Person Responsible:** [REDACTED]

**Implementation Date:**  
[REDACTED]

**City Auditor's Office Response:** [REDACTED]  
[REDACTED]  
[REDACTED]  
[REDACTED]

**Recommendation 11:**

[REDACTED]

|  |                                |
|--|--------------------------------|
| <b>Proposed Action:</b> [REDACTED]<br>[REDACTED]<br>[REDACTED]<br>[REDACTED]<br>[REDACTED] | <b>Response:</b><br>[REDACTED] |
|--|--------------------------------|

|   |   |
|---|---|
| <b>Person Responsible:</b> [REDACTED]<br>[REDACTED] | <b>Implementation Date:</b><br>[REDACTED] |
|---|---|

**City Auditor's Office Response:** [REDACTED]

**Recommendation 12:**

[REDACTED]

|  |                                |
|--|--------------------------------|
| <b>Proposed Action:</b> [REDACTED]<br>[REDACTED]<br>[REDACTED]<br>[REDACTED]<br>[REDACTED]<br>[REDACTED] | <b>Response:</b><br>[REDACTED] |
|--|--------------------------------|

|   |   |
|---|---|
| <b>Person Responsible:</b> [REDACTED]<br>[REDACTED] | <b>Implementation Date:</b><br>[REDACTED] |
|---|---|

**City Auditor's Office Response:** [REDACTED]  
[REDACTED]

**Recommendation 13:**

[REDACTED]

|   |                                |
|---|--------------------------------|
| <b>Proposed Action:</b><br>[REDACTED]<br>[REDACTED] | <b>Response:</b><br>[REDACTED] |
|---|--------------------------------|

|   |   |
|---|---|
| <b>Person Responsible:</b> [REDACTED]<br>[REDACTED] | <b>Implementation Date:</b><br>[REDACTED] |
|---|---|

**Recommendation 14:**

We recommend that Aviation's General Manager update its procedures to reflect the reverse audit technique.

|  |                                    |
|--|------------------------------------|
| <b>Proposed Action:</b> [REDACTED]<br>[REDACTED]<br>[REDACTED]<br>[REDACTED]<br>[REDACTED]<br>[REDACTED]<br>[REDACTED]<br>[REDACTED]<br>[REDACTED]<br>[REDACTED] | <b>Response:</b><br><br>[REDACTED] |
|--|------------------------------------|

|   |   |
|---|---|
| <b>Person Responsible:</b> [REDACTED]<br>[REDACTED] | <b>Implementation Date:</b><br>[REDACTED] |
|---|---|

**City Auditor's Office Response:** [REDACTED]  
[REDACTED]  
[REDACTED]  
[REDACTED]

**Recommendation 15:**  
[REDACTED]  
[REDACTED]

|  |                                    |
|--|------------------------------------|
| <b>Proposed Action:</b> [REDACTED]<br>[REDACTED]<br>[REDACTED]<br>[REDACTED]<br>[REDACTED]<br>[REDACTED]<br>[REDACTED] | <b>Response:</b><br><br>[REDACTED] |
|--|------------------------------------|

|   |   |
|---|---|
| <b>Person Responsible:</b> [REDACTED]<br>[REDACTED] | <b>Implementation Date:</b><br>[REDACTED] |
|---|---|

**City Auditor's Office Response:** [REDACTED].



## CITY OF ATLANTA

**AMANDA NOBLE**  
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**STEPHANIE JACKSON**  
Deputy City Auditor  
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**AUDIT COMMITTEE**  
Marion Cameron, CPA, Chair  
Daniel Ebersole  
Danielle Hampton  
Amanda Beck, PhD

August 21, 2020

Honorable Mayor and Members of the City Council:

We undertook this audit because the former Aviation General Manager expressed interest in a performance audit of the Office of Aviation Security, [REDACTED]. The office is responsible for controlling access to secure areas of the airport facilities.

The Department of Aviation has designed and implemented controls to limit entry into secured areas of the airport in accordance with 49 CFR §1542. Based on our audit tests, the [REDACTED]

[REDACTED] We tested controls in areas that we determined to be higher risk. Because audit tests are necessarily limited in scope and because we recognize that the department has overlapping controls to mitigate risk, exceptions in audit testing do not imply noncompliance with federal regulations. We made 15 recommendations to the department, [REDACTED]

The Audit Committee has reviewed this report and is releasing it in accordance with Article 2, Chapter 6 of the City Charter. Federal law requires that we redact sensitive security information from the audit report for public release, which TSA reviewed prior to release. We appreciate the courtesy and cooperation of city staff throughout the audit. We sent the Department of Aviation the first draft for review in March 2020, and we did not receive their final response until June 2020. The team for this project was Randi Hadeen and Rebecca Robinson.

Amanda Noble  
City Auditor

Marion Cameron  
Chair, Audit Committee

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## 19.08 Aviation Security Audit

The purpose of this memo is to communicate the results of our performance audit of the Department of Aviation's security controls. Aviation's Security Division is responsible for administering the security program which includes controlling access to secure areas of the airport facilities. The objective of this audit was to answer the following question:

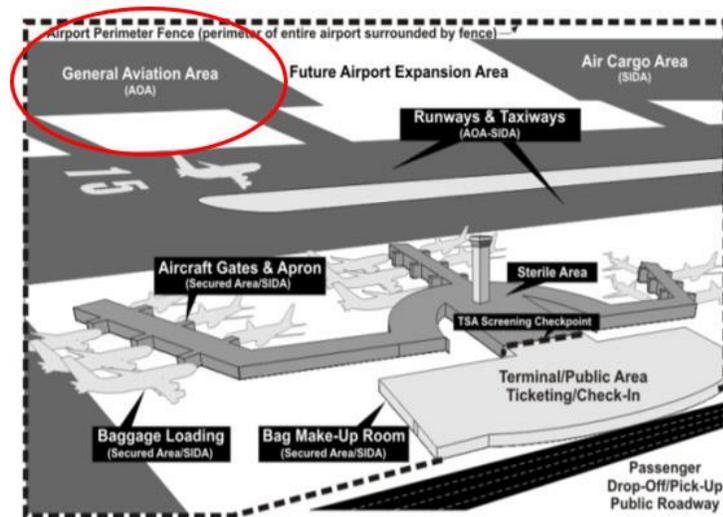
- Does the Department of Aviation have controls in place to adhere to applicable regulations for secure access areas and physical security at the airport?

### Background

Aviation security is critical to ensure the safety and security of the traveling public. The Department of Aviation's safety and security goals are to provide a safe and secure environment for its passengers, employees, and visitors traveling through Hartsfield-Jackson Atlanta International Airport. As the busiest airport in the world, Aviation must be prepared to respond to security threats at the airport by reducing security vulnerabilities as mandated by its oversight authority, the TSA (Transportation Security Administration).

The airport is made up of four levels of security:

- sterile areas
- secured areas
- air operations area
- SIDA (security identification display areas)



### Exhibit A: Levels of Security at the Airport

**Source:** Aircraft Owners and Pilots Association, *TSA Airport Access Security Requirements*  
<https://www.aopa.org/advocacy/airports-and-airspace/security-and-borders/tsa-airport-access-security-requirements>

Sterile areas provide passengers access to concourses and are generally controlled by the TSA, for example, security checkpoints. Secured areas provide access to the aircraft and other ground vehicles, such as passenger gates. SIDA are

located throughout the airport between public areas to secure areas and the AOA (Air Operations Areas), which are aircraft movement areas that are highly restricted to planes and emergency vehicles (see Exhibit A).

Aviation is responsible for the safety of over 275,000 passengers daily and 63,000 employees by maintaining its video surveillance system, ensuring adequate security coverage, and controlling access to secure areas of the airport as directed by the TSA. The TSA is a federal agency under the Department of Homeland Security that develops security directives for airports throughout the country. To carry out the TSA security directives, Aviation’s Security Division divides its security functions into three groups (see Exhibit B).

**Exhibit B: Security Division by Functional Group**

| Functional Group                  | Description |
|-----------------------------------|-------------|
| Compliance and Enforcement        | [REDACTED]  |
| Access Control and Investigations | [REDACTED]  |
| Credentialing                     | [REDACTED]  |

**Source:** Auditor’s creation based on interviews with Security Division staff

Compliance and Enforcement

Aviation contracts its security services for the airport perimeter gates, employee checkpoints, and vendor delivery docks. The Compliance and Enforcement group supervises the contract security officers to ensure compliance with Aviation’s policies and procedures and contract terms by conducting covert compliance tests. [REDACTED]

[REDACTED]

[REDACTED]

[REDACTED]

[REDACTED]

[REDACTED]

[REDACTED] The Code of Federal Regulations requires airports to create a TSA-approved Airport Security Program, which includes detailed information about how it will protect against security threats, for example, access controls.

### Access Control and Investigations

Aviation has implemented controls to mitigate security vulnerabilities [REDACTED] [REDACTED] Access Control and Investigations is responsible for vetting visitors seeking access to secure areas of the airport, investigating employee BORNs (breach of rules notifications), and assisting the Centralized Command and Control Center, [REDACTED]

The Centralized Command and Control Center is primarily responsible for providing emergency response and dispatch services to passengers and employees, and is also responsible for responding to door alarms. Located offsite, the Centralized Command and Control Center is responsible for monitoring the airport's inventory of cameras and investigating forced open door alarms throughout the airport's four levels of security. Door alarms require immediate response as they could indicate a security breach. The Centralized Command and Control Center uses the SACS (Security Access Control System) to acknowledge door alarms and dispatch security officers to investigate. Two types of door alarms could indicate unauthorized access:

- [REDACTED]
- [REDACTED]

Access Control and Investigations and the Centralized Command and Control Center can access live video on its fully-equipped CCTV dashboard. Aviation contracts camera system operation and maintenance to a third-party vendor.

### Credentialing

The TSA mandates that airports have measures in place to control procedures for issuance of secure access badges. The credentialing group is responsible for issuing badges to airport employees including contractors, airline employees, and concessionaires. The credentialing group collects fingerprints and extensive biographical data from each individual seeking employment at the airport to submit to the FBI and TSA for background checks. Aviation implemented Rap Back checks to ensure that airport employees do not pose security threats to passengers and other employees. Prior to issuing a badge, the credentialing group must receive security clearance from both the FBI and TSA. Individuals who have been convicted of a disqualifying offense in the last ten years may not be employed at the airport. Disqualifying offenses include criminal activities such as murder, aircraft piracy, and robbery.

[REDACTED]

[REDACTED]

Individuals who receive security clearance for employment at the airport are notified via a letter sent directly to their company's authorized signer. The letter instructs the employee to come into the badging office to complete security training. Security training includes watching security videos and passing assessments. Upon successful completion, airport employees are issued a badge based on the level of access required to complete their tasks.

[REDACTED]

[REDACTED]

The credentialing group performs badging audits to encourage companies to manage their employees' city-issued badges to prevent unauthorized access to secure areas of the airport.

[REDACTED]

[REDACTED] The credentialing group assesses a \$200 fee for each separated employees' badge that companies fail to return.

To access secure areas of the airport, which include doors, elevators, and turnstiles, airport employees [REDACTED]

[REDACTED] It is important that airport employees always have their badges on their person and visible to prevent unauthorized entry into secure areas, and the credentialing group must ensure that all airport employees are trained on the badge policy before issuing them a badge.

### Scope and Methodology

We conducted this audit in accordance with generally accepted government auditing standards. Our scope for audit testing generally covered July through November 2019 depending on record retention requirements. Our audit methods included:

- [REDACTED]
- [REDACTED]



SLA-Service Level Agreement  
TSA-Transportation Security Administration  
TSC-Transportation Security Clearinghouse

SENSITIVE SECURITY INFORMATION

# Findings and Analysis

The Department of Aviation has designed and implemented controls to limit entry into secured areas of the airport in accordance with 49 CFR § 1542. [REDACTED]

**Finding #1:** [REDACTED]

| 49 CFR 1542   | Airport Security Program | Policies and Procedures/<br>Best Practices/Other | Test/Results      | Management's Response |
|---|--------------------------|--|-------------------|-----------------------|
| <p><b>§ 1542.201 Security of the secured area.</b><br/>           (1) Establish and carry out measures for controlling entry to secured areas of the airport in accordance with § 1542.207.<br/>           (2) Provide for detection of, and response to, each unauthorized presence or movement in, or attempted entry to, the secured area by an individual whose access is not authorized in accordance with its security program.</p> | <p>[REDACTED]</p>        | <p>[REDACTED]</p>                                | <p>[REDACTED]</p> | <p>[REDACTED]</p>     |

**Recommendation:** We recommend that Aviation's General Manager

- [REDACTED]
- [REDACTED]
- [REDACTED]
- [REDACTED]
- [REDACTED]
- [REDACTED]

SENSITIVE SECURITY INFORMATION

Finding #2: [REDACTED]

| 49 CFR 1542   | Airport Security Program | Policies and Procedures/<br>Best Practices/Other | Test/Results | Management's Response |
|---|--------------------------|--|--------------|-----------------------|
| <p><b>§ 1542.207 Access control systems.</b><br/>(a) Secured area.<br/>Except as provided in paragraph (b) of this section, the measures for controlling entry to the secured area required under § 1542.201(b)(1) must—<br/>(1) Ensure that only those individuals authorized to have unescorted access to the secured area are able to gain entry;<br/>(2) Ensure that an individual is immediately denied entry to a secured area when that person's access authority for that area is withdrawn; and<br/>(3) Provide a means to differentiate between individuals authorized to have access to an entire secured area and</p> | [REDACTED]               | [REDACTED]                                       | [REDACTED]   | [REDACTED]            |



Finding #3: [REDACTED]

| 49 CFR 1542  | Airport Security Program | Policies and Procedures/<br>Best Practices/Other | Test/Results | Management's Response |
|--|--------------------------|--|--------------|-----------------------|
| <p><b>§ 1542.207 Access control systems.</b><br/>(a) Secured area.<br/>Except as provided in paragraph (b) of this section, the measures for controlling entry to the secured area required under § 1542.201(b)(1) must—<br/>(1) Ensure that only those individuals authorized to have unescorted access to the secured area are able to gain entry; (2) Ensure that an individual is immediately denied entry to a secured area when that person's access authority for that area is withdrawn;</p> | [REDACTED]               | [REDACTED]                                       | [REDACTED]   | [REDACTED]            |

Recommendation: [REDACTED]





**Finding #5:** [REDACTED]

| 49 CFR 1542  | Airport Security Program | Test/Results   | Management's Response |            |            |            |            |            |            |            |            |            |            |            |            |            |            |            |            |            |            |            |            |            |            |            |            |            |            |            |            |            |            |            |            |            |            |            |            |            |            |            |            |            |            |            |            |            |            |            |            |            |            |            |            |            |            |            |            |            |            |            |                   |
|--|--------------------------|--|-----------------------|------------|------------|------------|------------|------------|------------|------------|------------|------------|------------|------------|------------|------------|------------|------------|------------|------------|------------|------------|------------|------------|------------|------------|------------|------------|------------|------------|------------|------------|------------|------------|------------|------------|------------|------------|------------|------------|------------|------------|------------|------------|------------|------------|------------|------------|------------|------------|------------|------------|------------|------------|------------|------------|------------|------------|------------|------------|------------|------------|-------------------|
| <p><b>§ 1542.211</b><br/> <b>Identification systems.</b><br/>                     (3) Procedures to ensure accountability through the following:<br/>                     (i) Retrieving expired identification media and media of persons who no longer have unescorted access authority.<br/>                     (ii) Reporting lost or stolen identification media.<br/>                     (iii) Securing unissued identification media stock and supplies.<br/>                     (iv) Auditing the system at a minimum of once a year or sooner, as necessary, to ensure the integrity and accountability of all identification media.<br/>                     (v) As specified in the security program, revalidate the identification system or reissue identification media if a portion of all issued, unexpired identification media are lost, stolen, or</p> | <p>[REDACTED]</p>        | <p>[REDACTED]</p> <table border="1" data-bbox="1077 954 2128 1263"> <thead> <tr> <th>[REDACTED]</th> </tr> </thead> <tbody> <tr> <td>[REDACTED]</td> </tr> <tr> <td>[REDACTED]</td> </tr> <tr> <td>[REDACTED]</td> </tr> <tr> <td>[REDACTED]</td> </tr> <tr> <td>[REDACTED]</td> </tr> </tbody> </table> <p>[REDACTED]</p> | [REDACTED]            | [REDACTED] | [REDACTED] | [REDACTED] | [REDACTED] | [REDACTED] | [REDACTED] | [REDACTED] | [REDACTED] | [REDACTED] | [REDACTED] | [REDACTED] | [REDACTED] | [REDACTED] | [REDACTED] | [REDACTED] | [REDACTED] | [REDACTED] | [REDACTED] | [REDACTED] | [REDACTED] | [REDACTED] | [REDACTED] | [REDACTED] | [REDACTED] | [REDACTED] | [REDACTED] | [REDACTED] | [REDACTED] | [REDACTED] | [REDACTED] | [REDACTED] | [REDACTED] | [REDACTED] | [REDACTED] | [REDACTED] | [REDACTED] | [REDACTED] | [REDACTED] | [REDACTED] | [REDACTED] | [REDACTED] | [REDACTED] | [REDACTED] | [REDACTED] | [REDACTED] | [REDACTED] | [REDACTED] | [REDACTED] | [REDACTED] | [REDACTED] | [REDACTED] | [REDACTED] | [REDACTED] | [REDACTED] | [REDACTED] | [REDACTED] | [REDACTED] | [REDACTED] | [REDACTED] | <p>[REDACTED]</p> |
| [REDACTED]   | [REDACTED]               | [REDACTED]   | [REDACTED]            | [REDACTED] | [REDACTED] | [REDACTED] | [REDACTED] | [REDACTED] | [REDACTED] |            |            |            |            |            |            |            |            |            |            |            |            |            |            |            |            |            |            |            |            |            |            |            |            |            |            |            |            |            |            |            |            |            |            |            |            |            |            |            |            |            |            |            |            |            |            |            |            |            |            |            |            |            |                   |
| [REDACTED]   | [REDACTED]               | [REDACTED]   | [REDACTED]            | [REDACTED] | [REDACTED] | [REDACTED] | [REDACTED] | [REDACTED] | [REDACTED] |            |            |            |            |            |            |            |            |            |            |            |            |            |            |            |            |            |            |            |            |            |            |            |            |            |            |            |            |            |            |            |            |            |            |            |            |            |            |            |            |            |            |            |            |            |            |            |            |            |            |            |            |            |                   |
| [REDACTED]   | [REDACTED]               | [REDACTED]   | [REDACTED]            | [REDACTED] | [REDACTED] | [REDACTED] | [REDACTED] | [REDACTED] | [REDACTED] |            |            |            |            |            |            |            |            |            |            |            |            |            |            |            |            |            |            |            |            |            |            |            |            |            |            |            |            |            |            |            |            |            |            |            |            |            |            |            |            |            |            |            |            |            |            |            |            |            |            |            |            |            |                   |
| [REDACTED]   | [REDACTED]               | [REDACTED]   | [REDACTED]            | [REDACTED] | [REDACTED] | [REDACTED] | [REDACTED] | [REDACTED] | [REDACTED] |            |            |            |            |            |            |            |            |            |            |            |            |            |            |            |            |            |            |            |            |            |            |            |            |            |            |            |            |            |            |            |            |            |            |            |            |            |            |            |            |            |            |            |            |            |            |            |            |            |            |            |            |            |                   |
| [REDACTED]   | [REDACTED]               | [REDACTED]   | [REDACTED]            | [REDACTED] | [REDACTED] | [REDACTED] | [REDACTED] | [REDACTED] | [REDACTED] |            |            |            |            |            |            |            |            |            |            |            |            |            |            |            |            |            |            |            |            |            |            |            |            |            |            |            |            |            |            |            |            |            |            |            |            |            |            |            |            |            |            |            |            |            |            |            |            |            |            |            |            |            |                   |
| [REDACTED]   | [REDACTED]               | [REDACTED]   | [REDACTED]            | [REDACTED] | [REDACTED] | [REDACTED] | [REDACTED] | [REDACTED] | [REDACTED] |            |            |            |            |            |            |            |            |            |            |            |            |            |            |            |            |            |            |            |            |            |            |            |            |            |            |            |            |            |            |            |            |            |            |            |            |            |            |            |            |            |            |            |            |            |            |            |            |            |            |            |            |            |                   |

otherwise unaccounted for, including identification media that are combined with access media.

[REDACTED]

[REDACTED]

[REDACTED]

**Recommendation:** We recommend that Aviation's General Manager

- 1 [REDACTED]
- 1 [REDACTED]

SENSITIVE SECURITY INFORMATION

**Finding #6:** [REDACTED]

| 49 CFR 1542  | Airport Security Program | Policies and Procedures/<br>Best Practices/Other   | Test/Results  | Management's Response |                  |     |     |     |       |     |       |     |       |      |     |       |     |       |     |     |       |   |
|--|--------------------------|--|---|-----------------------|------------------|-----|-----|-----|-------|-----|-------|-----|-------|------|-----|-------|-----|-------|-----|-----|-------|---|
| <p>49 CFR 1542 does not address time requirements for badging.</p> | <p>[REDACTED]</p>        | <p><b>19-R-3952</b><br/>City Council resolution number 19-R-3952 requests Aviation improve the employee security badging process to limit employee wait times to a maximum of two-hours.</p> | <p>We analyzed badging data from the time airport employees submitted a badge application to the time that they received their letter from Aviation stating that they were cleared to receive a city-issued badge, and it took a median of seven (6.5) days from application date to approval notification between January 2, 2019, through October 17, 2019. Our sample includes 10,020 qualified employee records, of which 762 (8%) were completed within two days or less, 5,729 (57%) were completed in between 3 and 8 days, 1,747 (17%) were completed in between 9 and 14 days, and 1,782 (18%) were completed in 15 days or more (see Exhibit H). Eighty-two percent of employees received their badge in fewer than two weeks.</p> <p><b>Exhibit H: January 2019-October 2019 Days Between Processing to Print</b></p> <table border="1"> <caption>Exhibit H: January 2019-October 2019 Days Between Processing to Print</caption> <thead> <tr> <th>Number of Days</th> <th>Number of Badges</th> </tr> </thead> <tbody> <tr> <td>0-2</td> <td>762</td> </tr> <tr> <td>3-4</td> <td>2,026</td> </tr> <tr> <td>5-6</td> <td>2,222</td> </tr> <tr> <td>7-8</td> <td>1,481</td> </tr> <tr> <td>9-10</td> <td>696</td> </tr> <tr> <td>11-12</td> <td>483</td> </tr> <tr> <td>13-14</td> <td>568</td> </tr> <tr> <td>15+</td> <td>1,782</td> </tr> </tbody> </table> <p><b>Source:</b> Auditor's creation based on data provided by Aviation between January 2019-October 2019</p> <p>City Council resolution number 19-R-3952 requests Aviation improve the employee security badging process to limit employee wait times to a maximum of two-hours. The badging records that Aviation provided for our analysis were not calculated in hourly increments, but in days. Aviation is in the process of implementing a new queuing system, called Q-Flow, which should reduce the queuing wait times in the badging office. It would give airport employees an opportunity to make appointments to come into the</p> | Number of Days        | Number of Badges | 0-2 | 762 | 3-4 | 2,026 | 5-6 | 2,222 | 7-8 | 1,481 | 9-10 | 696 | 11-12 | 483 | 13-14 | 568 | 15+ | 1,782 | <p>Although the badging process does not meet the council's two-hour wait time legislation, it far exceeds the previous operational norms of two plus hours wait time for credentialing services.</p> |
| Number of Days   | Number of Badges         |  |   |                       |                  |     |     |     |       |     |       |     |       |      |     |       |     |       |     |     |       |   |
| 0-2  | 762                      |  |   |                       |                  |     |     |     |       |     |       |     |       |      |     |       |     |       |     |     |       |   |
| 3-4  | 2,026                    |  |   |                       |                  |     |     |     |       |     |       |     |       |      |     |       |     |       |     |     |       |   |
| 5-6  | 2,222                    |  |   |                       |                  |     |     |     |       |     |       |     |       |      |     |       |     |       |     |     |       |   |
| 7-8  | 1,481                    |  |   |                       |                  |     |     |     |       |     |       |     |       |      |     |       |     |       |     |     |       |   |
| 9-10   | 696                      |  |   |                       |                  |     |     |     |       |     |       |     |       |      |     |       |     |       |     |     |       |   |
| 11-12  | 483                      |  |   |                       |                  |     |     |     |       |     |       |     |       |      |     |       |     |       |     |     |       |   |
| 13-14  | 568                      |  |   |                       |                  |     |     |     |       |     |       |     |       |      |     |       |     |       |     |     |       |   |
| 15+  | 1,782                    |  |   |                       |                  |     |     |     |       |     |       |     |       |      |     |       |     |       |     |     |       |   |

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|--|--|--|--|--|
|  |  |  | <p>badging office to complete the necessary requirements for obtaining a badge, thereby avoiding walk-in wait times.</p> <p>Airport employees voluntarily come into the badging office at their convenience. Employees must take a ticket number and wait for their turn to be called by Aviation staff (see Exhibit I). When the employee's application is submitted, Aviation verifies that it is complete and directs the employee to the fingerprinting queue. Once fingerprinted, the</p> <p>[REDACTED]</p> <p>[REDACTED]</p> <p>[REDACTED]</p> <p>[REDACTED]</p> <p>[REDACTED]</p> <p>[REDACTED]</p> <p>[REDACTED]</p> <p>[REDACTED] As of the date of our observations, Aviation did not have SLAs (service level agreements) in place to measure queuing wait times.</p> |  |
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SENSITIVE SECURITY INFORMATION

