Transportation
Security
Administration

JUL - 8 2013

The Honorable Bennie G. Thompson
Ranking Member
Committee on Homeland Security
U.S. House of Representatives
Washington, DC 20515

Dear Congressman Thompson:

Thank you for your letter of June 11, 2013, regarding the U.S. Department of Homeland Security (DHS) Office of the Inspector General's (OIG) June 5, 2013, report on the Transportation Security Administration's (TSA) Screening of Passengers by Observation Techniques (SPOT) program. The DHS OIG presented TSA with six recommendations for improving the SPOT program. TSA concurred with the recommendations and continues to work on implementing them.

Enclosed are the SPOT Strategic Plan and yearly spend plans for the program, as requested. While the Strategic Plan was in draft when given to the OIG, it was formally approved on December 4, 2012.

The SPOT Strategic Plan contains Sensitive Security Information and must be protected from unauthorized disclosure, as outlined in 49 CFR parts 15 and 1520.

I appreciate that you took the time to share your concerns with me and hope this information is helpful. If you need additional information, please do not hesitate to contact me personally or the Office of Legislative Affairs at (571) 227-2717.

Sincerely yours,

John S. Pistole
Administrator

Attachments

TSA 15-00014 - 004097

OIG 13-91: TSA'S SCREENING OF PASSENGERS BY OBSERVATION TECHNIQUES (SPOT)

Recommendations with Estimated Implementation Dates

Recommendation # 1: Develop and implement a comprehensive strategic plan for the SPOT program that includes
•Mission, goals, objectives, and a system to measure performance;
•A training strategy that addresses the goals and objectives of the SPOT program;
•A plan to identify external partners integral to program success, such as law enforcement agencies, and takes steps to ensure that effective relationships are established; and
•A financial plan that includes identification of priorities, goals, objectives, and measures; needs analysis; budget formulation and execution; and expenditure tracking.
Estimated Implementation Date: 10/31/13

Recommendation # 2: Develop and implement controls to ensure completeness, accuracy, authorization, and validity of referral data entered into the Performance Measurement Information System (PMIS).
Estimated Implementation Date: 10/1/14

Recommendation # 3: Develop and implement a plan that provides recurrent training to Behavior Detection Officer (BDO) instructors and BDOs.
Estimated Implementation Date: 10/31/13

Recommendation # 4: Develop and implement a plan to assess BDO instructor performance in required core competencies on a regular basis.
Estimated Implementation Date: 10/31/13

Recommendation # 5: Monitor and track the use of BDOs for non-SPOT related duties to ensure BDOs are used in a cost-effective manner and in accordance with the mission of the SPOT program.
Estimated Implementation Date: 10/31/13

Recommendation # 6: Develop and implement a process for identifying and addressing issues that may directly affect the success of the SPOT program such as the selection, allocation, and performance of BDOs.
Estimated Implementation Date: 10/31/13

**Transportation
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Authorization of Conditional Disclosure of Sensitive Security Information (SSI)

Purpose

This memorandum, issued in accordance with 49 C.F.R. § 1520.15(e), authorizes the Transportation Security Administration's (TSA) Office of Legislative Affairs (OLA) to disclose limited Sensitive Security Information (SSI), as described below, to the below-named recipient(s). Subject to the limitations and conditions herein, the disclosure is not detrimental to transportation security.

Background

Recipient(s): Ranking Member Bennie Thompson

Subject SSI: TSA's Behavior Detection and Analysis Detection strategic plan

The TSA Administrator has delegated to the Assistant Administrator (AA) for OLA the authority, under 49 U.S.C. § 114(r) and 49 CFR § 1520.15(e), to *"make a conditional disclosure of specific records or information that constitute sensitive security information to a ranking member of any committee or subcommittee of [Congress], upon the AA's determination that disclosure...would not be detrimental to transportation security."* Because members of Congress are not covered persons under 49 C.F.R. § 1520.7, a 15(e) determination is being used to permit the disclosure of the above-listed SSI to the above-listed member(s) of Congress.

Office of Security Operations has been notified of this disclosure.

Limitations and Restrictions

Conditions are imposed upon the disclosure of SSI to the above-listed member(s) of Congress to protect against the unauthorized disclosure of any SSI, diminishing any potential detriment to transportation security.

- Only the above-listed Member(s) of Congress, and their staff, may receive the requested SSI;
- No additional SSI, beyond the responsive materials, is authorized for disclosure;
- Neither the member(s) of Congress, nor their staff, may publish, repurpose, or otherwise disclose SSI, unless specifically authorized in writing by TSA in accordance with 49 CFR § 1520; and
- All persons receiving SSI pursuant to this determination are designated as covered persons under 49 CFR § 1520.7(m) and are therefore subject to duties to protect SSI under 49 CFR § 1520.9 and consequences of unauthorized disclosure of SSI detailed at § 1520.17.

Determination

In accordance with 49 C.F.R. § 1520.15(e), I have determined that the conditional disclosure of SSI described above is not detrimental to transportation security and is hereby authorized.

Sarah Dietch
Assistant Administrator
Office of Legislative Affairs
Transportation Security Administration
U.S. Department of Homeland Security

6/28/2013
Date

Enclosures (2): 1. Incoming request from Ranking Member Thompson
2. TSA's Behavior Detection and Analysis Detection strategic plan

Sensitive Security Information

This is a cover sheet

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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 disclosure may result in civil penalty or other action. For U.S. Government agencies, public release is governed by 5 U.S.C. 552 and 49 CFR parts 15 and 1520

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Transportation Security Administration
Office of Security Capabilities

Behavior Detection and Analysis Division

Strategic Plan

I. Strategic Mission and Vision

MISSION   To develop and deliver effective behavior detection capabilities that engender trust, confidence and support from the traveling public; provide a capability – including people, processes and technologies – to discover high-risk signatures and mal-intent from the behavior of an individual.

VISION   Enable and Deploy the highest performing behavior analysis and detection capability to inform and enhance Risk Based Security and to become the standard for other behaviorally based screening programs.

The behavior analysis capability is central to safeguarding the threat to America's transportation system. It also plays a critical role in the Transportation Security Administration's (TSA) transformation to risk based security. Behavior analysis provides anomaly detection by focusing on an individual's intent; detecting non-verbal and verbal cues through observation and engagement. Crucially, this capability detects threats that pre-screening or standard physical screening technologies may fail to notice. The combination of pre-screening, anomaly detection, technology, and intelligence serve to transform our security effort and move TSA from a one-size-fits-all passenger interaction toward a tailored interaction that will greatly increase screening effectiveness.

This behavior analysis capability must meet the challenge of sifting through an enormous amount of passengers, while remaining focused on finding the anomaly that is indicative of a terror event. The optimal balance of pre-screening, technology, intelligence, and behavioral analysis and detection must be dedicated to finding individuals with the intent to do harm as well as individuals with connections to terrorist networks that may be involved in criminal activity supporting terrorism.

The overarching goals for the Behavior Analysis capability include:

1. **Scientific Foundation:** Continue to examine the behavior analysis capability based on scientific research, current intelligence, and emerging threats. This supports the Office of Security Capabilities' (OSC) goal to, "Protect the nation's transportation systems by identifying, qualifying, and deploying operationally sustainable capabilities and solutions" with the specific objective to, "Qualify and deploy adaptable and flexible security capabilities".

2. **Threat Detection and Risk Assessment:** Detect and deter threats to the aviation transportation system, as well as other transportation venues, by continually developing the capability, deploying new methodologies and concepts of operation, and innovative technologies. Continuously evaluate the ability of the behavior analysis capability program's overall risk effectiveness in reducing the adversary's likelihood of success. This supports the OSC goal to,

"Implement TSA's risk-based security and operations" with the specific objective to, "Develop a risk framework that improves analysis of mission requirements, gaps, and needed capabilities".

3. **Risk Based Security Integration:** Work in tandem with other Risk Based Security (RBS) efforts to ensure that the behavior analysis program is scalable within RBS development. This supports OSC's goal to, "Protect the nation's transportation systems by identifying, qualifying, and deploying operationally sustainable capabilities and solutions" with the objective, "Use a risk-based framework to drive better decisions about technology awards, contract oversight, deployment capabilities, and overall operations". As well as supports the goal to, "Implement TSA's risk-based security and operations" with the objective to, "Develop a risk framework that improves analysis of mission requirements, gaps, and needed capabilities".

4. **Performance Management:** Standardize performance management and evaluation by developing and collecting system, airport, and individual performance expectations and metrics. This includes strengthening partnerships with local Law Enforcement entities to share information and intelligence and increase the network. This aligns with OSC's goal to, "Protect the nation's transportation systems by identifying, qualifying, and deploying operationally sustainable capabilities and solutions" with the specific objective to, "Strengthen focus on operational management and support to the field".

5. **Data Accessibility:** Collect, organize, and make data accessible to enable robust analyses. Provide feedback for field practices to manage performance and replicate success. Develop operational baseline for overall system performance. This aligns with OSC's goal to, "Implement TSA's risk-based security and operations" and the specific objective to, "Develop an operational baseline for overall system performance".

Each of these overarching goals includes detailed objectives and execution plans for success. In developing the behavior analysis capability, we must be clear about what is required and what we expect to gain. The strategic plan provides a high-level overview of the goals, objectives, and execution plans required to build this capability and to successfully integrate with the Risk Based Security initiative.

II. Strategic Roadmap

To achieve these goals, OSC's Behavior Detection and Analysis Division (BDAD) will embark on a three stage evolution that will enable it to improve upon current capabilities through greater scientific understanding, performance management tools and empowerment of field staff. These three stages are:

Stage 1: Program Design and Foundation. Behavior analysis and detection capabilities are based on a strong scientific grounding and designed to integrate with RBS plans.

Stage 2: Consistency and Optimization. Capabilities are repeatable and reliable, continuously measureable at the national level, and optimized to expand with RBS deployment.
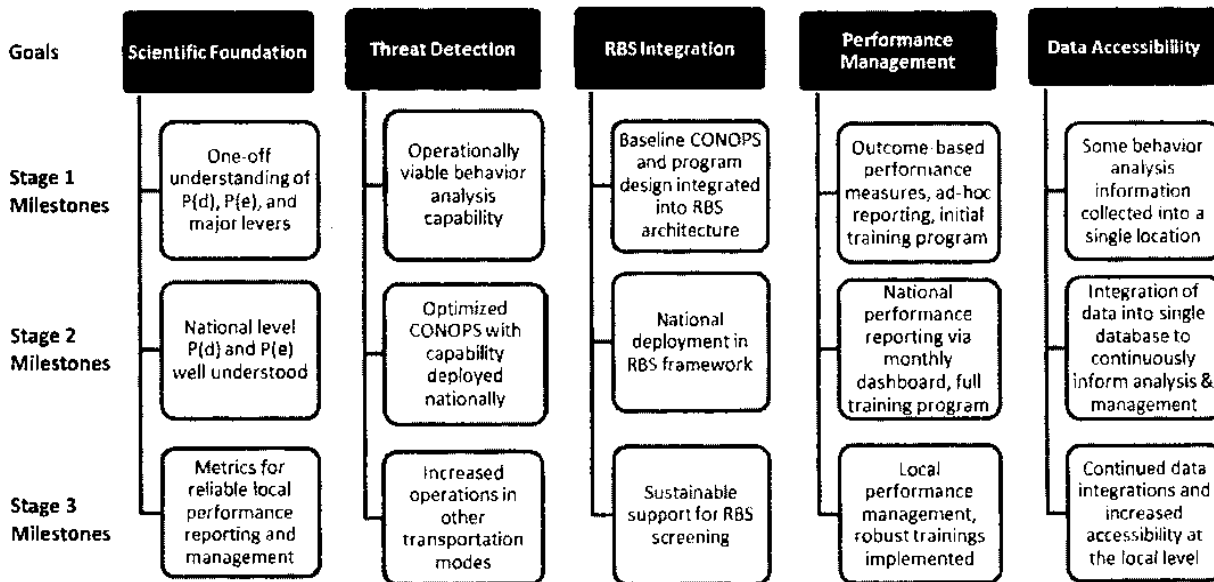
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Stage 3: Localized Performance. Local leadership is empowered with the tools, metrics and ability to maximize and manage local behavior detection capabilities, and keep them aligned to national level performance expectations.

Figure 1 depicts the **key milestones** for each of these three stages:

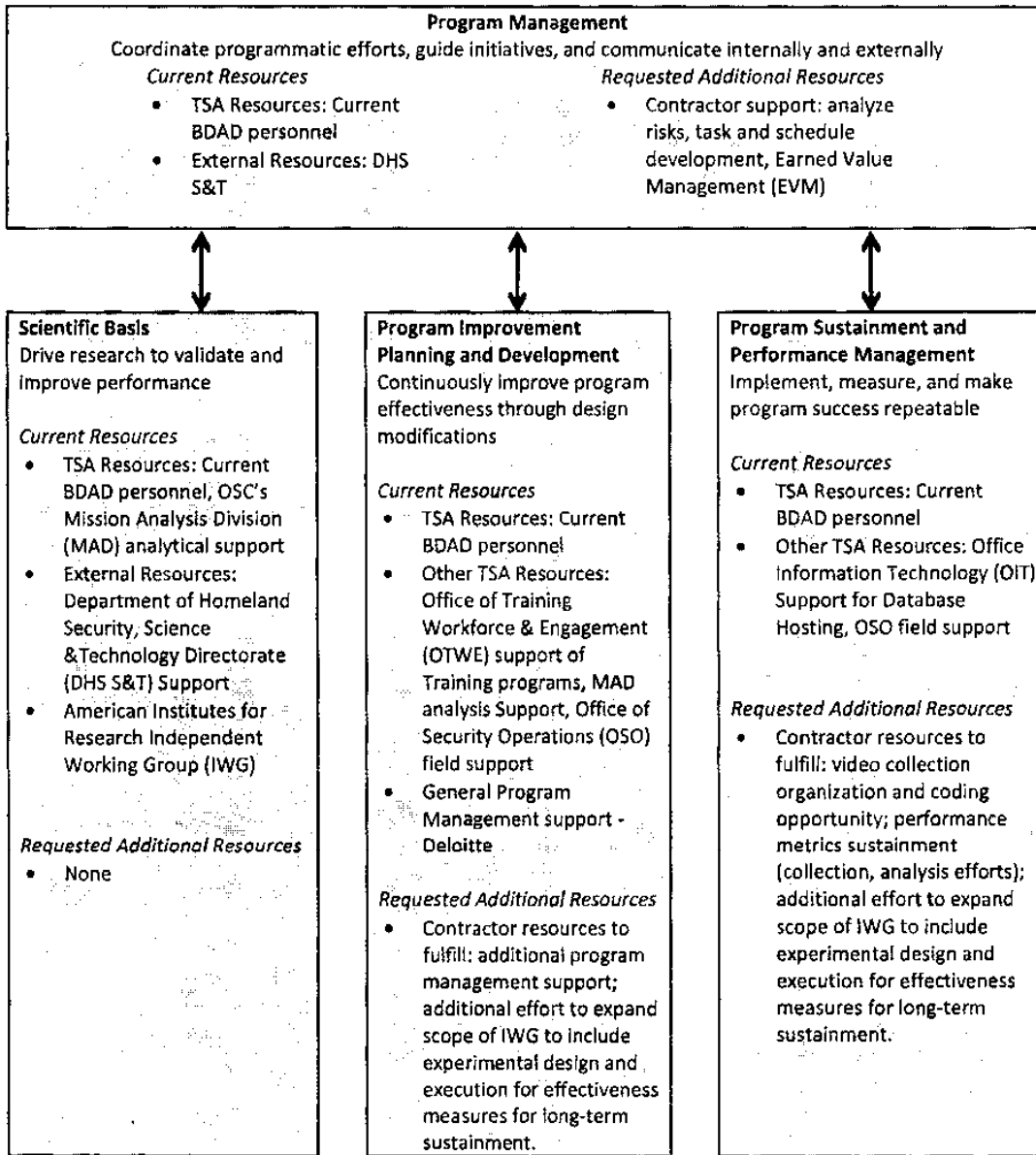Note: Probability of Detection (P(d)); Probability of Encounter (P(e))

Goals	Scientific Foundation	Threat Detection	RBS Integration	Performance Management	Data Accessibility
Stage 1 Milestones	One-off understanding of P(d), P(e), and major levers	Operationally viable behavior analysis capability	Baseline CONOPS and program design integrated into RBS architecture	Outcome-based performance measures, ad-hoc reporting, initial training program	Some behavior analysis information collected into a single location
Stage 2 Milestones	National level P(d) and P(e) well understood	Optimized CONOPS with capability deployed nationally	National deployment in RBS framework	National performance reporting via monthly dashboard, full training program	Integration of data into single database to continuously inform analysis & management
Stage 3 Milestones	Metrics for reliable local performance reporting and management	Increased operations in other transportation modes	Sustainable support for RBS screening	Local performance management, robust trainings implemented	Continued data integrations and increased accessibility at the local level

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III. Resources

In order to meet the Goals and Milestones within the timeframes described in this strategic plan, certain resources are required. The table below shows the labor resources required for each activity area for the first year of this strategic plan.

Program Management

Coordinate programmatic efforts, guide initiatives, and communicate internally and externally

Current Resources
- TSA Resources: Current BDAD personnel
- External Resources: DHS S&T

Requested Additional Resources
- Contractor support: analyze risks, task and schedule development, Earned Value Management (EVM)

Scientific Basis

Drive research to validate and improve performance

Current Resources
- TSA Resources: Current BDAD personnel, OSC's Mission Analysis Division (MAD) analytical support
- External Resources: Department of Homeland Security, Science &Technology Directorate (DHS S&T) Support
- American Institutes for Research Independent Working Group (IWG)

Requested Additional Resources
- None

Program Improvement Planning and Development

Continuously improve program effectiveness through design modifications

Current Resources
- TSA Resources: Current BDAD personnel
- Other TSA Resources: Office of Training Workforce & Engagement (OTWE) support of Training programs, MAD analysis Support, Office of Security Operations (OSO) field support
- General Program Management support - Deloitte

Requested Additional Resources
- Contractor resources to fulfill: additional program management support; additional effort to expand scope of IWG to include experimental design and execution for effectiveness measures for long-term sustainment.

Program Sustainment and Performance Management

Implement, measure, and make program success repeatable

Current Resources
- TSA Resources: Current BDAD personnel
- Other TSA Resources: Office Information Technology (OIT) Support for Database Hosting, OSO field support

Requested Additional Resources
- Contractor resources to fulfill: video collection organization and coding opportunity; performance metrics sustainment (collection, analysis efforts); additional effort to expand scope of IWG to include experimental design and execution for effectiveness measures for long-term sustainment.

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IV. Detailed Strategic Goals, Objectives, and Execution Plans – Near-term Initiatives

As the BDAD reaches short term milestones and begins to focus on later stages of development, the table below will be modified to include updated execution plans.

Strategic Goals	Objectives	High-Level Execution Plans	Outputs	Roles
1. **Scientific Foundation** Continue to analyze the behavior analysis capability based on scientific research, current intelligence, and emerging threats.	Continue analyzing effectiveness of behavior analysis	☐ Partner with DHS S&T and the greater scientific community ☐ Establish a baseline ☐ Determine how to measure rate of probability of detection and probability of encounter	Effectiveness metrics	BDAD OSC Mission Analysis DHS S&T IWG
	Enhance and improve foundation of behavior analysis capabilities	☐ Partner with DHS S&T and the greater scientific community to identify research opportunities ☐ Refine list of SPOT and other indicators to more efficiently and effectively detect anomalous behavior ☐ Continue validation effort for SPOT and Assessor	Number of proposed or ongoing research initiatives and expected outcomes Revised indicator list Validation documentation and analysis	BDAD DHS S&T IWG
2. **Threat Detection** Detect and potentially deter threats to the aviation transportation system, as well as	Determine optimal application of behavior analysis capability	☐ Determine optimal mix of SPOT and other capabilities to expand the behavior detection element ☐ Develop deployment and configuration options based on threat analysis	CONOPS recommendation with supporting risk and systems analysis Real time deployment	BDAD OSC Mission Analysis OSO
	Leverage technologies to enable enhanced behavior detection	☐ Explore opportunities to leverage CAT/BPSS with behavior analysis capability	Cost benefit and feasibility analyses for	BDAD

other transportation venues, by continually developing the capability and deploying new technologies and capabilities.		☐ and other intelligence gathering tools (e.g., risk engine) ☐ Enable real-time data collection and information sharing capability among all levels of the security system (e.g., real-time data input and output capability)	technology options	OSC Mission Analysis
	Adjust behavior analysis capabilities to meet or exceed the adversary's rate of adaptation	☐ Partner with DHS S&T and the greater scientific community to identify research findings and/or opportunities ☐ Coordinate with Intel to understand changing adversary tactics	Number of proposed or ongoing research initiatives and expected outcomes	BDAD DHS S&T IWG
3. **Integration with RBS** Work in tandem with other Risk Based Security (RBS) efforts to ensure that the behavior analysis program is scalable within RBS development.	Integrate behavior analysis CONOPS into RBS piloting efforts	☐ Partner with RBS team to determine behavior analysis requirements (i.e., effectiveness and efficiency of routing) ☐ Provide recommended CONOPS for RBS pilot	List of requirements Integration into RBS pilot	BDAD OSO
	Develop scalable application of behavior detection for RBS	☐ Analyze operational and cost elements, including duty cycles, FTE requirements, process time, and cost ☐ Develop deployment and configuration options based on RBS requirements and threat analysis	CONOPS recommendation with supporting risk and systems analysis	BDAD OSC Mission Analysis OSO
4. **Performance Management** Standardize performance	Require higher and sustained behavior analysis performance	☐ Develop outcome-based performance metrics, partner with DHS S&T ☐ Provide training and testing mechanisms to ensure compliance and standardization across the Agency	Performance metrics Testing SOPs Successful evaluations	BDAD OTWE OSO

management and evaluation by developing and collecting system, airport, and individual performance expectations and metrics.		☐ Improve quality control/assurance through continuous monitoring and evaluation ☐ Explore the feasibility of covert testing to enhance the behavior analysis program	Video-based materials for training and testing	
	Develop and integrate specific selection methods and measures for the Behavioral Detection Officer	☐ Partner with DHS S&T and the greater scientific community to identify research findings and opportunities	Number of proposed or ongoing research initiatives and expected outcomes Updated BDO selection criteria	BDAD IWG DHS S&T
	Develop comprehensive training plan for Behavior Detection Officers	☐ Conduct training task analyses for identification of training gaps and opportunities ☐ Maintain anti-profiling education and training ☐ Partner with Law Enforcement Agencies for collaboration and intelligence sharing	Training materials (Instructor Guides, Lesson Specifications, etc.) Percentage of BDOs trained	OTWE
5. Data and Information Sharing Collect, organize, and make data accessible to enable robust analyses.	Collate behavior analysis data into single database	☐ Collate all existing data sources, including SPOT database, DHS S&T validation study, and checkpoint databases ☐ Develop single database for all behavior analysis data	Behavior analysis database created	BDAD
	Increase data accessibility	☐ Provide database access at the local level ☐ Modify protocols for updating variable fields	Behavior analysis database accessible to HQ and Field	BDAD OSO
	Provide feedback for field practices to manage performance	☐ Provide continuous Airport level metrics for performance management	Report Card to field and S/L	BDAD OSO

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Transportation Security Administration
Office of Security Capabilities

John Sanders
Assistant Administrator
Office of Security Capabilities

Approve _____ 1/28/12 Disapprove _____ / _____
                           Date   Date

Modify _____ / _____ Needs more discussion _____ / _____
                           Date   Date

Christopher McLaughlin
Assistant Administrator
Office of Security Operations

Approve _____ 12/4 Disapprove _____ / _____
                           Date   Date

Modify _____ / _____ Needs more discussion _____ / _____
                           Date   Date

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BDOs and SPOT

	FY 2007	FY 2008	FY 2009	FY 2010	FY 2011	FY 2012
BDO - FTE Allocation	589	2,011	2,860	2,986	2,986	3,059
PC&B for BDOs Allocation	$ 40,845,997	$ 140,315,925	$191,809,211	$212,000,000	$212,000,000	$218,000,000
BDO Training Allocation			$5,433,358	$1,300,000	$1,420,000	$1,570,000
Program Office Allocation			$2,800,000	$2,499,050	$4,499,050	$3,138,000
Total Allocations	$ 40,845,997	$ 140,315,925	$200,042,569	$215,799,050	$217,919,050	$222,708,000