Transportation
Security
Administration

September 30, 2020

**3600.1**
Case Number:  2020-TSFO-00198

Ashley Gorski
Patrick Toomey
Nathan Freed Wessler
American Civil Liberties Union
Foundation
125 Broad Street, 18th Floor
New York, NY 10004
agorski@aclu.org
nspfoia@aclu.org

Dear Ms. Gorski:

This is the Transportation Security Administration's (TSA) third interim response to your Freedom of Information Act (FOIA) request dated January 09, 2020, addressed to the TSA FOIA Branch seeking access to "records pertaining to the use of facial recognition technology at airports and at the border by the Department of Homeland Security ('DHS'), U.S. Customs and Border Protection ('CBP'), and the Transportation Security Administration ('TSA')." That request seeks the following records from TSA:

*1. All policies, procedures, guidelines, formal or informal guidance, advisories, directives, and memoranda concerning:*

> *a. The acquisition, processing, retention, or dissemination of data collected or generated through CBP's biometric services and infrastructure, including biometric templates;*

> *b. Access by airlines, airports, cruise lines, seaports, commercial vendors, other countries, or other U.S. federal, state, or local authorities to data collected or generated through CBP's biometric services and infrastructure, including biometric templates;*

> *c. Retention or dissemination by airlines, airports, cruise lines, seaports, commercial vendors, other countries, or other U.S. federal, state, or local authorities of data collected or generated through CBP's biometric services and infrastructure, including biometric templates.*

*2. All final evaluations, tests, audits, analyses, studies, or assessments by the DHS Science and Technology Directorate, DHS Office of Biometric Identity Management, or the National Institute of Standards and Technology related to (i) the performance of algorithms in matching facial photographs, and/or (ii) the performance of facial recognition technologies developed by vendors. This request encompasses records concerning whether the algorithms or technologies perform differently based on flight route or an individual's race, ethnicity, skin pigmentation, gender, age, and/or country of origin.*

*3. All records, excluding informal email correspondence, concerning future interoperability between the TSA's biometric capabilities and "mission partner systems," including CBP and DHS Office of Biometric Identity Management systems.*

*4. All policies, procedures, guidelines, formal or informal guidance, advisories, directives, and memoranda concerning requests by other federal agencies (including but not limited to the FBI, the DEA, the CIA, and the U.S. Marshals) for TSA assistance in locating or identifying individuals, and all requests by federal agencies for TSA cooperation in designing systems to facilitate information-sharing. [Note that we understand that in May 2020 the ACLU agreed to rephrase this request as follows: 'All policies, procedures and guidelines concerning requests by other federal agencies (including but not limited to the FBI, the DEA, the CIA, and the U.S. Marshals) for TSA assistance in locating or identifying individuals, and all requests by federal agencies for TSA cooperation in designing systems to facilitate biometric information-sharing.']*

*5. All records, excluding informal email correspondence, concerning the TSA's plans to "complement the capabilities" of Credential Authentication Technology through the implementation of TVS or facial recognition technology with respect to domestic travelers.*

*6. All records, excluding informal email correspondence, concerning whether implementation of biometric technologies would result in operational efficiencies, including whether, at certain airport facilities, "the throughput of the checkpoint may be largely unaffected" by biometric technology because "a faster [travel document checker] process would merely shift traveler volume from the queue into the screening lane."*

The processing of TSA's third interim response identified certain records that will be released to you. Portions not released are being withheld pursuant to the Freedom of Information Act, 5 U.S.C. § 552. Please refer to the Applicable Exemptions list at the end of this letter that identifies the authority for withholding the exempt records by marking the block next to the applicable exemptions. An additional enclosure with this letter explains these exemptions in more detail.

For this third interim response, the TSA FOIA Branch reviewed 804 pages, of which 116 pages are presently under review by the Sensitive Security Information Program office; of the remaining 688 pages, we have released in full 99 pages, released in part (with redactions) 31 pages, withheld in full 34 pages, identified 289 pages as duplicates and identified 8 pages as non-responsive. Additionally, we have sent 75 pages to CBP for consultation, 33 pages to DHS for consultation, 17 pages to CBP as a referral and 79 pages to DHS as a referral.

Lastly, we have processed 23 pages, which are available on line, as follows:

- https://www.tsa.gov/sites/default/files/tsa_biometrics_roadmap.pdf

The rules and regulations of the Transportation Security Administration applicable to Freedom of Information Act requests are contained in the Code of Federal Regulations, Title 6, Part 5. They are published in the Federal Register and are available for inspection by the public.

<div align="center">Administrative Appeal</div>

Because TSA's response to this request is currently the subject of litigation, the administrative appeal rights normally associated with a FOIA request response are not being provided.

If you have any questions pertaining to your request, please contact AUSA Jennifer Jude at jennifer.jude@usdoj.gov.

Sincerely,

Teri M. Miller
FOIA Officer

Summary:
Number of Pages Released in Part or in Full:  130
Number of Pages Withheld in Full: 34

**APPLICABLE EXEMPTIONS**
**FREEDOM OF INFORMATION ACT AND/OR PRIVACY ACT**

**Freedom of Information Act (5 U.S.C. 552)**

☐ (b)(1)  ☒ (b)(2)  ☐ (b)(3)  ☐ (b)(4)  ☒ (b)(5)  ☒ (b)(6)

☐ (b)(7)(A) ☐ (b)(7)(B) ☐ (b)(7)(C) ☐ (b)(7)(D) ☐ (b)(7)(E) ☐ (b)(7)(F)

Enclosures

Transportation Security Administration (TSA) FOIA Branch applies FOIA exemptions to protect:

Exemptions

**Exemption (b)(1):** Records that contain information that is classified for national security purposes.

**Exemption (b)(2):** Records that are related solely to the internal personnel rules and practices of an agency.

**Exemption (b)(3):** Records specifically exempted from disclosure by Title 49 U.S.C. Section 114(r), which exempts from disclosure Sensitive Security Information (SSI) that "would be detrimental to the security of transportation" if disclosed.

**Exemption (b)(4):** Records that contain trade secrets and commercial or financial information obtained from a person that is privileged or confidential.

**Exemption (b)(5):** Inter- or intra-agency records that are normally privileged in the civil discovery context. The three most frequently invoked privileges are the deliberative process privilege, the attorney work-product privilege, and the attorney-client privilege:

- Deliberative process privilege – Under the deliberative process privilege, disclosure of these records would injure the quality of future agency decisions by discouraging the open and frank policy discussions between subordinates and superiors.

- Attorney work-product privilege – Records prepared by or at the direction of a TSA attorney.

- Attorney-client privilege – Records of communications between an attorney and his/her client relating to a matter for which the client has sought legal advice, as well as facts divulged by client to attorney and any opinions given by attorney based on these.

**Exemption (b)(6):** Records that contain identifying information that applies to a particular individual when the disclosure of such information "would constitute a clearly unwarranted invasion of personal privacy." This requires the balancing of the public's right to disclosure against the individual's right to privacy.

**Exemption (b)(7)(A):** Records or information compiled for law enforcement purposes, but only to the extent that production of such law enforcement records or information…could reasonably be expected to interfere with law enforcement proceedings.

**Exemption (b)(7)(C):** Records containing law enforcement information when disclosure "could reasonably be expected to constitute an unwarranted invasion of personal privacy" based upon the traditional recognition of strong privacy interests ordinarily appropriated in law enforcement records.

**Exemption (b)(7)(E):** Records compiled for law enforcement purposes, the release of which would disclose techniques and/or procedures for law enforcement investigations or prosecutions, or would disclose guidelines for law enforcement investigations or prosecutions if such disclosure could reasonably be expected to risk circumvention of the law.

**Exemption (b)(7)(F):** Records containing law enforcement information about a person, in that disclosure of information about him or her could reasonably be expected to endanger his or her life or physical safety.

PRIVACY ACT
SUBSECTIONS OF TITLE 5, UNITED STATES CODE, SECTION 552a

Transportation Security Administration (TSA) FOIA Branch applies Privacy Act exemptions to protect:

<u>Exemptions</u>

**Exemption (d)(5):** Information compiled in reasonable anticipation of civil action or proceeding; self-executing exemption.

**Exemption (j)(2):** Principal function criminal law enforcement agency records compiled during course of criminal law enforcement proceeding.

**Exemption (k)(1):** classified information under an Executive Order in the interest of national defense or foreign policy.

**Exemption (k)(2):** Non-criminal law enforcement records; criminal law enforcement records compiled by non-principal function criminal law enforcement agency; coverage is less broad where individual has been denied a right, privilege, or benefit as result of information sought.

**Exemption (k)(5):** Investigatory material used only to determine suitability, eligibility, or qualifications for federal civilian employment or access to classified information when the material comes from confidential sources.

**Exemption (k)(6):** Testing or examination material used to determine appointment or promotion of federal employees when disclosure would compromise the objectivity or fairness of the process.

Page 1

Withheld pursuant to exemption

(b)(5)

of the Freedom of Information and Privacy Act

Page 2

Withheld pursuant to exemption

(b)(5)

of the Freedom of Information and Privacy Act

Page 3

Withheld pursuant to exemption

(b)(5)

of the Freedom of Information and Privacy Act

Page 4

Withheld pursuant to exemption

(b)(5)

of the Freedom of Information and Privacy Act

Page 5

Withheld pursuant to exemption

(b)(5)

of the Freedom of Information and Privacy Act

Page 6

Withheld pursuant to exemption

(b)(5)

of the Freedom of Information and Privacy Act

Page 7

Withheld pursuant to exemption

(b)(5)

of the Freedom of Information and Privacy Act

Page 8

Withheld pursuant to exemption

(b)(5)

of the Freedom of Information and Privacy Act

All,

Attached is the final draft for tomorrow's meeting.  Please send me any comments before 9 am.

Thank you again for your assistance.

Regards, George

George Petersen
Executive Liaison Officer
DHS JRC Screening Portfolio Team
Office of Intelligence and Analysis
Transportation Security Administration, DHS
TSA HQ (Arlington, VA):  571-227-(b)(6)
Mobile:  (b)(6)

# Ongoing Efforts

**(1)** **Expand Use of IDENT/HART for Initial Vetting**

- TSA plans to provide biometrics to IDENT for its credentialed populations. Since May 2014, TWIC® card holder biometrics were enrolled in IDENT with initial vetting supported in the Technology Infrastructure Modernization (TIM) system.

- Onboarding of additional populations is dependent upon the transition of each credentialed population from legacy TSA systems to the TIM system.

- TSA recently onboarded the TSA Pre✓® population to IDENT beginning in November 2017. TSA expects new TSA Pre✓® enrollees to be provided to IDENT starting in March/April 2018.

**(2)** **Expand Populations Undergoing Recurrent Biometric Vetting**

- TSA is enrolling Aviation Workers in criminal recurrent vetting via FBI Rap Back Services, with Rap Sheets adjudicated by airports.

- TSA is performing recurrent terrorist, criminal, and immigration vetting on the enrolled TWIC® population using a process external to TIM, including the retrieval and adjudication of FBI Rap Sheets based upon IDENT notifications.

- TSA plans to conduct recurrent criminal history records checks via Rap Back for all biometric-based populations.

- TSA plans to implement recurrent biometric checks via IDENT.

**(3)** **Evaluate Use of Biometrics at the Checkpoint**

- TSA is working internally and with CBP to identify strategies to deploy biometric matching at the security checkpoint as well as potential biometric matching for bag drop and boarding.

- TSA plans to collect facial images for TSA Pre✓® applicants for possible future checkpoint use.

- TSA is also evaluating the use of biometrics for known crew members (b)(5), and law enforcement officers.

| From: | Froemling, Hao-y Tran |
| --- | --- |
| To: | Turner, Michael; Walbridge, Anne |
| Subject: | FW: Discuss CBP/TSA Facial Recognition: Call in: 571-468-[(b)(6)] or 202-325-[(b)(6)] Pin: [(b)(6)] |
| Date: | Wednesday, November 22, 2017 1:13:01 PM |
| Attachments: | CBP TVS and TSA SecureFlight Integration Draft.docx |
| | CBP-TSA Biometrics Pilot Recap_111317.pptx |

Can U review paper on CBP/secure flight integration? Think other is one we have already seen on past pilot results.
Thoughts?

Sent with BlackBerry Work
(www.blackberry.com)

**From:** Bush, Thomas <[(b)(6)]>
**Date:** Wednesday, Nov 22, 2017, 9:07 AM
**To:** Froemling, Hao-y Tran <[(b)(6)]>, Nykamp, Nancy
<[(b)(6)]>
**Subject:** FW: Discuss CBP/TSA Facial Recognition: Call in: 571-468-[(b)(6)] or 202-325-[(b)(6)] Pin:
[(b)(6)]

Thoujghts?

_____

**From:** Conley, Melissa
**Sent:** Wednesday, November 22, 2017 10:07 AM
**To:** Karoly, Steve <[(b)(6)]>; Lloyd, Myrtle <[(b)(6)]>
**Cc:** LaJoye, Darby <[(b)(6)]>; Bush, Thomas <[(b)(6)]>
Wheaton, Kelly <[(b)(6)]>; Prosnitz, Susan <[(b)(6)]>
**Subject:** RE: Discuss CBP/TSA Facial Recognition: Call in: 571-468-[(b)(6)] or 202-325-[(b)(6)] Pin:
[(b)(6)]

Please see attached an overview paper of the TVS system and a PowerPoint recapping the pilot at JFK. We will also add these attachments to the meeting invite.

Melissa Conley
Executive Advisor
Office of Requirements and Capabilities Analysis (ORCA)
[(b)(6)]
(d) 571-227-[(b)(6)] (c) [(b)(6)]

_____

**From:** Karoly, Steve
**Sent:** Wednesday, November 22, 2017 8:04 AM
**To:** Lloyd, Myrtle <[(b)(6)]>
**Cc:** LaJoye, Darby <[          ]>; Bush, Thomas <[(b)(6)]>; Karoly,

Steve <(b)(6)                        >; Wheaton, Kelly <(b)(6)                        >; Prosnitz, Susan
<(b)(6)                    >; Conley, Melissa <(b)(6)                >
**Subject:** FW: Discuss CBP/TSA Facial Recognition: Call in: 571-468-(b)(6)  or 202-325-(b)(6)  Pin:
(b)(6)

Hi Myrtle,

Can you work the calendars of those on the cc:line – we need to set up a mtg (hopefully next week
or the week after at the latest) to discuss subj topic.

Thanks,
Steve

Steve Karoly
Acting Assistant Administrator
Office of Requirements and Capabilities Analysis (ORCA)
Transportation Security Administration
(o) 571-227-(b)(6)
(c) (b)(6)
TSA HQ, 601 BLDG, (b)(6)


**The contents of this correspondence shall not be interpreted as contractual direction by
the U.S. Department of Homeland Security / Transportation Security Administration (TSA);
should there be any question regarding this technical direction being outside approved
contractual scope please contact the TSA Contracting Officer who is the sole source of
contractual direction from TSA prior to the start of the activities.  This correspondence is
For Official Use Only.**

_____

**From:** (b)(6)
**Sent:** Tuesday, November 21, 2017 11:02 AM
**To:** Karoly, Steve <(b)(6)
**Cc:** LaJoye, Darby <                            >; Bush, Thomas <(b)(6)                        >;
(b)(6)

**Subject:** RE: Discuss CBP/TSA Facial Recognition: Call in: 571-468-(b)(6)  or 202-325-(b)(6)  Pin:
(b)(6)


No problem.  The week of Dec 4 looks good for me.

_____

**From:** Karoly, Steve
**Sent:** Tuesday, November 21, 2017 8:15 AM
**To:** (b)(6)
**Cc:** LaJoye, Darby <(b)(6)>; Bush, Thomas <(b)(6)>
**Subject:** RE: Discuss CBP/TSA Facial Recognition: Call in: 571-468-(b)(6) or 202-325-(b)(6) Pin: (b)(6)


Good morning (b)(6)

I apologize for the last minute notification but we will need to postpone today's discussion.

TSA has some work to do to better define our path forward in regards to the use of biometrics and the integration of secure flight (present and future). I can give you a buzz later today to discuss further if you would like.

We should plan on rescheduling this session between the Thanksgiving and Christmas holidays.

Thanks,
Steve

Steve Karoly
Acting Assistant Administrator
Office of Requirements and Capabilities Analysis (ORCA)
Transportation Security Administration
(o) 571-227-(b)(6)
(c) (b)(6)
TSA HQ, 601 BLDG, (b)(6)


**The contents of this correspondence shall not be interpreted as contractual direction by the U.S. Department of Homeland Security / Transportation Security Administration (TSA); should there be any question regarding this technical direction being outside approved contractual scope please contact the TSA Contracting Officer who is the sole source of contractual direction from TSA prior to the start of the activities. This correspondence is For Official Use Only.**


-----Original Appointment-----
**From:** (b)(6)
**Sent:** Wednesday, November 8, 2017 4:48 PM
**To:** (b)(6) Bush, Thomas; Karoly, Steve; (b)(6) (b)(6) SAMHA, NAEL A

**Cc:** Wheaton, Kelly; Vergelli, John; HASHAM, SIKINA
**Subject:** Discuss CBP/TSA Facial Recognition: Call in: 571-468- (b)(6)  or 202-325- (b)(6)  Pin: (b)(6)
**When:** Tuesday, November 21, 2017 1:00 PM-2:00 PM (UTC-05:00) Eastern Time (US & Canada).
**Where:** CBP Ronald Reagan Building Room 2.4A


**From:** (b)(6)
**Sent:** Friday, November 03, 2017 8:41:01 PM
**To:** Bush, Thomas; Karoly, Steve; (b)(6)     SAMHA, NAEL A; (b)(6)
**Subject:** CBP/TSA Facial Recognition

Gentlemen – I'd like to get us together to discuss our facial recognition efforts on biometric entry/exit and potential use at the TSA screening checkpoint. We've been running the demonstration with TSA at JFK for several weeks, and I think the results are encouraging. I know there's a lot of issues to discuss, so it would be good for us to sit down and go through them. How does November 20 or the 21ˢᵗ look for a meeting? I'd like to keep the group small, but if there's someone else who needs to be part of the discussion, feel free to invite. Please let me know on the dates. Thx.

(b)(6)
Deputy Executive Assistant Commissioner
Office of Field Operations
US Customs and Border Protection

**Your moderator code is:** (b)(6)

| From: | Walbridge, Anne |
| To: | Graviss, Matthew |
| Cc: | Froemling, Hao-y Tran |
| Subject: | FW: Draft of CBP TSA Biometric Exit Document |
| Date: | Wednesday, December 13, 2017 12:51:31 PM |
| Attachments: | CBP TSA Biometic Exit Summary Report_DRAFT_120817 (002) + occ.docx |

Matthew,

As discussed, here is the draft report on the results of the JFK biometrics pilot with CBP.

Photos are on page 8 and results are on page 11 – focus on the TSA results. The Exit results are (b)(5)

Thanks,
Anne

Anne Walbridge
Security Initiatives Lead, Program Management Division
Office of Intelligence and Analysis
Transportation Security Administration
(w): 571-227-(b)(6)
(c) : (b)(6)

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**From:** Wheaton, Kelly
**Sent:** Tuesday, December 12, 2017 5:27 PM
**To:** (b)(6) <(b)(6) >; Conley, Melissa <(b)(6) McGivern, Tom <(b)(6) >; Vergelli, John <(b)(6) >; Pietra, Peter <(b)(6) >; Walbridge, Anne <(b)(6) >; Garcia, Paul <(b)(6) >; Adams, Vera <(b)(6) >; Harvey, Melanie <(b)(6) >; Houck, Heather <(b)(6)
**Cc:** Berumen, Paul <(b)(6) >; Prosnitz, Susan <(b)(6) >; Bonilla, Jose <(b)(6) Winn, Mara <(b)(6) >; Tsang, Elbert <(b)(6) >; Lim, Jason <(b)(6) >; Giovanniello, Anthony <(b)(6) >; Hearding, Peter <(b)(6) >; Tauber, Sarah <(b)(6) >; <(b)(6) (b)(6) <(b)(6) (b)(6) <(b)(6) >; Schmidt, Jennifer <(b)(6) >; Smith, Tim <
**Subject:** RE: Draft of CBP TSA Biometric Exit Document

Please find attached OCC's comments on the subject draft report. We have several over-arching comments:

(b)(5)

(b)(5)

If you have any questions about our comments/edits, please let us know.

Kelly D. Wheaton
Deputy Chief Counsel, Enforcement
571 227-(b)(6)

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**From** (b)(6) <CTR>
**Sent:** Friday, December 8, 2017 2:01 PM
**To:** Wheaton, Kelly <(b)(6)_____>; Conley, Melissa <(b)(6)_____>;
McGivern, Tom <(b)(6)_____>; Vergelli, John <(b)(6)_____>; Pietra,
Peter <(b)(6)_____>; Walbridge, Anne <(b)(6)_____>; Garcia, Paul
<(b)(6)_____> Adams, Vera <(b)(6)_____>; Harvey, Melanie
<_____>; Houck, Heather <(b)(6)_____>
**Cc:** Berumen, Paul <(b)(6)_____>; Prosnitz, Susan <(b)(6)_____>;
Bonilla, Jose <(b)(6)_____>; Winn, Mara <(b)(6)_____>; Tsang, Elbert
<(b)(6)_____>; Lim, Jason <(b)(6)_____>; Giovanniello, Anthony
<(b)(6)_____>; Hearding, Peter <(b)(6)_____>; Tauber,
Sarah <(b)(6)_____>; <(b)(6)_____>
<(b)(6)_____> <(b)(6)_____>;<(b)(6)_____>
<(b)(6)_____>; Schmidt, Jennifer <(b)(6)_____>; Smith, Tim
<_____>
**Subject:** Draft of CBP TSA Biometric Exit Document

All,

Please see attached CBP Biometric Exit Summary currently in draft, for awareness.

If you have any feedback or comments please send to Melissa Conley by COB Tuesday, 12/12.

Thank you,

(b)(6)

ORCA Front Office Contractor, Deloitte Team

Mobile: +1 (b)(6)

(b)(6)

-----Original Appointment-----

**From:** (b)(6) <CTR>

**Sent:** Friday, December 1, 2017 10:28 AM

**To:** (b)(6) <CTR>; Wheaton, Kelly; Conley, Melissa; McGivern, Tom; Vergelli, John; Pietra, Peter; Walbridge, Anne; Garcia, Paul; Adams, Vera; Harvey, Melanie; Houck, Heather

**Cc:** Berumen, Paul; Prosnitz, Susan; Bonilla, Jose; Winn, Mara; Tsang, Elbert; Lim, Jason; Giovanniello, Anthony; Hearding, Peter; Tauber, Sarah; Snyder, (b)(6) (b)(6) ; Jennifer Schmidt (b)(6) Smith, Tim L

**Subject:** Biometrics Working Group Discussion

**When:** Thursday, December 7, 2017 3:00 PM-4:00 PM (UTC-05:00) Eastern Time (US & Canada).

**Where:** HQE12-001N 18 Seat Conference Room (VTC); 888-549-(b)(6) #

**\*Adding dial-in\***

All,

As per Melissa's note below, scheduling time to review biometrics updates and outline next steps for biometrics.

Please see updated Biometrics Path Forward attached.

_____

**From:** Wheaton, Kelly

**Sent:** Thursday, November 30, 2017 3:25 PM

**To:** Conley, Melissa (b)(6) >; McGivern, Tom (b)(6) ; Vergelli, John <(b)(6) >; Pietra, Peter <(b)(6) >; Walbridge, Anne <(b)(6) >; Garcia, Paul <(b)(6) >; Adams, Vera (b)(6) >; Harvey, Melanie (b)(6) >

**Cc:** (b)(6) >; Berumen, Paul <(b)(6) >; Prosnitz, Susan <(b)(6) >; Bonilla, Jose <(b)(6) >; Winn, Mara (b)(6) >; Tsang, Elbert (b)(6) >; Lim, Jason

<(b)(6) ___ >; Giovanniello, Anthony <(b)(6) ___ Hearding, Peter <(b)(6) ___

**Subject:** RE: IATA One ID

Adding Anthony Giovanniello, OCC and Peter Hearding, OGS, because of international implications.

Kelly D. Wheaton
Deputy Chief Counsel, Enforcement
571 227-(b)(6)

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**From:** Conley, Melissa
**Sent:** Thursday, November 30, 2017 10:07 AM
**To:** McGivern, Tom <(b)(6) ___ >; Vergelli, John <(b)(6) ___ >; Pietra, Peter <(b)(6) ___ >; Walbridge, Anne <(b)(6) ___ >; Garcia, Paul <(b)(6) ___ >; Adams, Vera <(b)(6) ___ >; Harvey, Melanie <(b)(6) ___ >
**Cc:** (b)(6) ___ ; Berumen, Paul <(b)(6) ___ >; Wheaton, Kelly <(b)(6) ___ >; Prosnitz, Susan <(b)(6) ___ >; Bonilla, Jose <(b)(6) ___ >; Winn, Mara <(b)(6) ___ >; Tsang, Elbert <(b)(6) ___ >; Lim, Jason <(b)(6) ___ >
**Subject:** IATA One ID

Team,

I wanted to share these documents with you—they are products of an IATA working group CBP has been working with this year called "One ID". They are asking for our participation in this working group and I think it would be a good idea to get some of us plugged into this effort. The premise of it is essentially the same as we have discussed earlier…the idea of having identity management be streamlined through the various checkpoints of a travel process. It's advanced enough to the point where security checkpoints are being included in the discussions.

On another note, I will be rescheduling our biometrics working group meetings next week so that we can pick up where we left off on strategy development and other meetings that are upcoming like Jet Blue on December 15th and our CBP phase 2 pilot discussion some time the week of December 4th.

Please pass this along to who I may have forgotten, I tried to get representation from OIA, OCC, ORCA,OSPIE, Privacy, OAPM. I'm still looking for a good rep from OSO and included Melanie Harvey for the time being.

More to follow.

Melissa Conley
Executive Advisor
Office of Requirements and Capabilities Analysis (ORCA)
(b)(6)
(d) 571-227(b)(6) (c) (b)(6)

| From: | Kroll, Mark |
| --- | --- |
| To: | Smith, Lakiesha |
| Cc: | Froemling, Hao-y Tran |
| Subject: | FW: OPS Suppt: UPDATED! ADM"s Briefing Book Tasker (BBT 2018-299) - PreCheck follow up meeting |
| Date: | Wednesday, November 14, 2018 5:22:32 PM |
| Attachments: | Briefing Book_ADM_TSA Precheck Renewals Follow Up - Memo 2018-11-15 v1.docx |
| | TSA PreCheck Renewals_ADM Follow Up_2018-11-15 v2.pptx |

Lakiesha,

Would you be able to push the attached updated docs for tomorrow's Adm meeting?

r/
Mark


Sent with BlackBerry Work
(www.blackberry.com)

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**From:** Froemling, Hao-y Tran <(b)(6)                        >
**Date:** Wednesday, Nov 14, 2018, 5:09 PM
**To:** Kroll, Mark <(b)(6)                  >, Lim, Jason <(b)(6)                    >, TSA OIA
Correspondence <TSA.OIA.Correspondence@tsa.dhs.gov>, Operations Support <TSA-OS@tsa.dhs.gov>
**Cc:** Nykamp, Nancy <(b)(6)                        >, Davis, Simone <(b)(6)                      >, Goll,
Keith <(b)(6)                >, Mitchell, Carolyn <(b)(6)                >
**Subject:** RE: OPS Suppt: UPDATED! ADM's Briefing Book Tasker (BBT 2018-299) - PreCheck follow
up meeting

Thanks for the quick assist, Mark!

Attached are the updates that incorporates the edits that RCA/Jason provided at 4:56pm.

Believe these are final and ready to push to ExecSec. Should this go from Ops Support to TSA FO?


Hao-y Froemling
Executive Director of Vetting
Office of Intelligence and Analysis
TSA


Office – 571-227-(b)(6)
Mobile – (b)(6)
Email –

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**From:** Kroll, Mark
**Sent:** Wednesday, November 14, 2018 4:59 PM
**To:** Lim, Jason <(b)(6)                  >; Froemling, Hao-y Tran <(b)(6)                          >;
TSA OIA Correspondence <TSA.OIA.Correspondence@tsa.dhs.gov>; Operations Support <TSA-
OS@tsa.dhs.gov>
**Cc:** Nykamp, Nancy <(b)(6)                    >; Davis, Simone <(b)(6)                  >
Goll, Keith <(b)(6)                  > Mitchell, Carolyn <(b)(6)            >
**Subject:** RE: OPS Suppt: UPDATED! ADM's Briefing Book Tasker (BBT 2018-299) - PreCheck follow up
meeting

Hao-y,

EAA read through the updated slide deck and was fine with it. Once RCA is done with edits if nothing drastically changed it can be pushed to ExecSec to update the read-ahead for tomorrow's meeting.

v/r
Mark R. Kroll
EA to Stacey Fitzmaurice
Executive Assistant Administrator (EAA) Operations Support
Transportation Security Administration
Department of Homeland Security
(O) (571) 227-(b)(6) (iPhone) ((b)(6)
OSIS: (b)(6)

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**From:** Lim, Jason
**Sent:** Wednesday, November 14, 2018 4:56 PM
**To:** Froemling, Hao-y Tran <(b)(6)>; TSA OIA Correspondence <TSA.OIA.Correspondence@tsa.dhs.gov>; Operations Support <TSA-OS@tsa.dhs.gov>; Kroll, Mark <(b)(6)
**Cc:** Nykamp, Nancy <(b)(6)> Davis, Simone <(b)(6) Goll, Keith <(b)(6)>; Mitchell, Carolyn <(b)(6)
**Subject:** RE: OPS Suppt: UPDATED! ADM's Briefing Book Tasker (BBT 2018-299) - PreCheck follow up meeting

I apologize, but we just ran through the deck with Austin/Keith and have final edits to page #6. Please use this version.

---

**From:** Froemling, Hao-y Tran
**Sent:** Wednesday, November 14, 2018 4:21 PM
**To:** TSA OIA Correspondence <TSA.OIA.Correspondence@tsa.dhs.gov>; Operations Support <TSA-OS@tsa.dhs.gov>; Kroll, Mark <(b)(6)>
**Cc:** Nykamp, Nancy <(b)(6)>; Davis, Simone <(b)(6)>; Goll, Keith <(b)(6)>; Lim, Jason <(b)(6)>; Mitchell, Carolyn <(b)(6)
**Subject:** OPS Suppt: UPDATED! ADM's Briefing Book Tasker (BBT 2018-299) - PreCheck follow up meeting

Ops Support –
Per pre-brief with EAA OS earlier this morning, please find attached the updated slide deck for ADM Briefing Book and read ahead for Thursday 12pm meeting on TSA precheck follow up.
Is it possible to update ADM/DADM briefing books assuming EAA OS FO approval? Otherwise, we will bring updated copies to briefing in the morning.

Hao-y Froemling
Executive Director of Vetting
Office of Intelligence and Analysis
TSA

Office – 571-227-(b)(6)
Mobile – (b)(6)
Email –

**From:** TSA OIA Correspondence
**Sent:** Thursday, November 1, 2018 10:54 AM
**To:** Mitchell, Carolyn <(b)(6)          >; Hull, Jason <(b)(6)          >; Ellison, Chang <(b)(6)          >; TSA OIA PMD Comms <TSA.OIA.PMD.Comms@tsa.dhs.gov>
**Cc:** Froemling, Hao-y Tran <(b)(6)          >; Maldonado, Frances <(b)(6)          >; TSA OIA Correspondence <TSA.OIA.Correspondence@tsa.dhs.gov>; Trujillo, Jeremy (b)(6)          >
**Subject:** CT-6817: ADM's Briefing Book Tasker (BBT 2018-299) - PreCheck follow up meeting

Good Morning PMD,
Please use the attached briefing book template to create a briefing memo for an upcoming meeting.

**Suspense**: Noon, Tuesday 11/6

**Action**:  Please use the attached templates and provide a briefing book for the upcoming PreCheck follow up meeting.

**Background**: The briefing book should address the ADM's requests:

> (b)(5)

Thank you,
Kelsey Hawes
TSA – I&A Communications Division
DIGITALSPEC, LLC.
Intelligence & Analysis
Transportation Security Administration
571-227-(b)(6)
(b)(6)

**From:** Operations Support

**Sent:** Thursday, November 1, 2018 10:15 AM
**To:** TSA OIA Correspondence <TSA.OIA.Correspondence@tsa.dhs.gov>
**Cc:** Operations Support <TSA-OS@tsa.dhs.gov>
**Subject:** FW: Due 9 Nov, 3pm - ADM's Briefing Book Tasker (BBT 2018-299) - PreCheck follow up meeting

Good morning,

Please complete the ADM's briefing memo for the PreCheck follow up meeting **by 3pm 9Nov**.

-Please let me know if you have any questions or concerns.

V/r,

*Lakiesha Smith*
Program Analyst (b)(6)
Email: (b)(6)
(D): 571-227-(b)(6)
(C): (b)(6)

*Operations Support*

---

**From:** TSAExecSec-ADM
**Sent:** Wednesday, October 31, 2018 1:23 PM
**To:** Operations Support <TSA-OS@tsa.dhs.gov>
**Cc:** TSAExecSec-ADM <TSAExecSec-ADM@tsa.dhs.gov>; Administrators Action Group <AAG@tsa.dhs.gov>
**Subject:** Due 9 Nov, 3pm - ADM's Briefing Book Tasker (BBT 2018-299) - PreCheck follow up meeting

**Dear Ops Support Colleagues,**

**This tasker is for the PreCheck follow up meeting.  Please create a briefing memo for this event and send it to the ADM Briefing Team email address (TSAExecSec-ADM@tsa.dhs.gov) by the due date below.  Please let me know if you have any questions.**

**Regards,**

Twyla Walker-King
Office of the Executive Secretariat
Office of the Administrator
Transportation Security Administration
Desk: (571) 227-(b)(6)
Mobile: (b)(6)

| DUE | 9 NOVEMBER, 3PM |
|---|---|
| Event Date | Thursday, November 15, 2018 |
| Event Name | PreCheck follow up meeting |
| Lead Program Office | Ops Support/I&A |
| Required Coordination | |
| Product | Briefing Memo |
| **Notes** | **Briefing Book Tasker # 2018-299**<br><br>Purpose:  PreCheck follow up meeting<br><br>Briefer(s):  N/A<br><br>Read-Aheads:  Exec Sec to task Ops Support, specifically I&A, with preparing the briefing memo to address the ADM's requests:<br><br>(b)(5)<br><br>*Please submit all materials you intend to show the Administrator to the briefing team (TSAExecSec-ADM@tsa.dhs.gov) by the due date. Do not bring materials to the meeting that were not submitted to the briefing team unless you received prior approval or instruction to do so. If you are making a presentation, please supply an appropriate number of handouts at the meeting.*<br><br>Attendees:<br>ADM<br>DADM<br>COS<br>Ryan Propis<br>Stacey Fitzmaurice<br>Krista Powers<br>Susan Prosnitz<br>Austin Gould |

Hao-Y Froemling
Simone Davis
Tom Bush


Attachments:  Include any appropriate attachments, including bios for external attendees.  A template Briefing Memo and bio are attached.

Coordination:  Please coordinate the briefing material with any other program offices that have equities in the meeting.  We have identified those we are aware of above -- there may be others.  Please ensure that the AAs or Deputy AAs in those offices have cleared the materials.

Meeting Classification:  Please include a bullet in background section of briefing memorandum if the meeting or any of the briefing materials are classified.  (i.e., "This meeting [or any of the briefing materials] are classified").

Please note that all materials you intend to show the Administrator must be submitted for review with the briefing memo.  Please do not bring anything (classified or unclassified) to the meeting that was not submitted with the briefing memo without prior approval.  If you are making a presentation, please supply an appropriate number of handouts at the meeting.

Twyla Walker-King
Office of the Executive Secretariat
Office of the Administrator
Transportation Security Administration
Desk: (571) 227-(b)(6)
Mobile: (b)(6)
Email:(b)(6)

# Facial Images for TSA Pre✓® Passport Holders

- 85% of existing TSA Pre✓® applicants enrolled with a US passport or as lawful permanent residents (LPR)

- Facial images are available via Department of State (DoS) passport data and DHS

- TSA is working with CBP as DHS' gateway to DoS passport photos for TSA facial recognition technology at the checkpoint:

  (b)(5)

  - Requires update to TSA Privacy Impact Assessment (PIA) for TDC Automation Using Facial Recognition
  - TSA is targeting demo/prototype in Q3/Q4 FY19

| From: | Walbridge, Anne |
|---|---|
| To: | Froemling, Hao-y Tran; Ellison, Chang |
| Cc: | Turner, Michael; Lombardo, Donald; Mitchell, Carolyn |
| Subject: | RE: CBP Exit and TSA PreCheck integration efforts |
| Date: | Tuesday, November 21, 2017 5:26:42 PM |
| Attachments: | CBP-TSA Biometrics Pilot Recap_111317.pptx |

Hao-y and Chang,

I would recommend (b)(5)

(b)(5)      Let me know and I can reach out to Melissa Conley.

(b)(5)

Happy Thanksgiving!
Anne

Anne Walbridge
Security Initiatives Lead, Program Management Division
Office of Intelligence and Analysis
Transportation Security Administration
(w): 571-227-1 (b)(6)
(c) : (b)(6)

---

**From:** Froemling, Hao-y Tran
**Sent:** Wednesday, November 15, 2017 8:16 PM
**To:** Ellison, Chang <(b)(6)>; Walbridge, Anne <(b)(6)>
**Cc:** Turner, Michael <(b)(6)> Lombardo, Donald <(b)(6)>; Mitchell, Carolyn (b)(6)
**Subject:** FW: CBP Exit and TSA PreCheck integration efforts

Chang/Anne-
Let's discuss combined response to sco on CBP biometrics coordination and timing/planning of various activities.

Cc Don, Carrie and Ike

Sent with BlackBerry Work

Please see attached updates from EDV. Please request PMD verify that it is still accurate and confirm if we need to add a note re: what portion of TIM is in the cloud or not.

COMMS –
This should also go through RCA regarding their broader plans with IDENT for biometrics.

Hao-y

Hao-y Froemling
Executive Director of Vetting
Office of Intelligence and Analysis
TSA

Office – 571-227-(b)(6)
Mobile – (b)(6)
Email – 

**From:** TSA OIA Correspondence <TSA.OIA.Correspondence@tsa.dhs.gov>
**Sent:** Monday, December 31, 2018 12:47 PM
**To:** Froemling, Hao-y Tran <(b)(6)                      >
**Cc:** TSA OIA Correspondence <TSA.OIA.Correspondence@tsa.dhs.gov>; Trujillo, Jeremy <(b)(6)                      >
**Subject:** FW: *For EDV Clearance* CT-6957: 2018 DHS Biometrics Survey

Good Afternoon Ms. Froemling,

DHS PLCY is requesting component inputs to the attached *DHS Biometrics Survey (Attachment A)*. Attached is PMD's input.

**Suspense**: COB Thursday, 1/3/19

**Action**: Please review the attached spreadsheet (specifically row 52 *TIM Programs*) and provide clearance or additional inputs to PMD's input. The attached memo provides additional context.

**Background**: On May 25, 2017, former Secretary Kelly promulgated policy guidance that, where required and within legal and policy boundaries, allows DHS Components and Offices not to use age as the basis for collecting biometrics.  The policy also supports multimodal biometrics collection, in accordance with mission needs, to improve identity resolution in support of screening and vetting activities.

Sincerely,

**Chris Tobias**
TSA I&A Communications
DigitalSpec LLC
(b)(6)
571-227-(b)(6)

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**From:** TSA OIA PMD Comms <TSA.OIA.PMD.Comms@tsa.dhs.gov>
**Sent:** Monday, December 31, 2018 12:09 PM
**To:** TSA OIA Correspondence <TSA.OIA.Correspondence@tsa.dhs.gov>
**Cc:** Trujillo, Jeremy <(b)(6)                              Ellison, Chang <(b)(6)                              ; Hull,
Jason (b)(6)                    ; Mitchell, Carolyn <(b)(6)                          ; TSA OIA PMD
Comms <TSA.OIA.PMD.Comms@tsa.dhs.gov>; Hamilton, Stephanie
<(b)(6)                          
**Subject:** RE: CT-6957: 2018 DHS Biometrics Survey

Good afternoon,

Please see attached PMD's input, as cleared by Stephanie Hamilton (since Jason and Carrie are
out*).

Thank you (and have a wonderful New Year's)!

*Kind regards,*
*Dominique AA Madison*
*Program Management Analyst*
*Data Corrections Liaison for TSA Pre✓®*
*Office of Intelligence & Analysis (OIA)*
*Surface Program Management Division*
*10th floor,* (b)(6)
*TSA Headquarters- Crystal City, VA*
*Desk: 571-227-*(b)(6)
*Mobile:* (b)(6)

---

**From:** TSA OIA Correspondence <TSA.OIA.Correspondence@tsa.dhs.gov>
**Sent:** Thursday, December 27, 2018 1:50 PM
**To:** Ellison, Chang <(b)(6)                      >; Hull, Jason <(b)(6)                      >; Mitchell,
Carolyn <(b)(6)                    >; TSA OIA PMD Comms
<TSA.OIA.PMD.Comms@tsa.dhs.gov>
**Cc:** Trujillo, Jeremy <(b)(6)                      ; TSA OIA Correspondence
<TSA.OIA.Correspondence@tsa.dhs.gov>
**Subject:** FW: CT-6957: 2018 DHS Biometrics Survey

Good Afternoon PMD,

DHS PLCY is requesting component inputs to the attached *DHS Biometrics Survey (Attachment A).*

<u>Suspense</u>: 12pm Monday, 12/31/18

<u>Action</u>: Please review the attached spreadsheet (specifically row 52 *TIM Programs*) and provide requested inputs. The attached memo provides additional context.

<u>Background</u>: On May 25, 2017, former Secretary Kelly promulgated policy guidance that, where required and within legal and policy boundaries, allows DHS Components and Offices not to use age as the basis for collecting biometrics. The policy also supports multimodal biometrics collection, in accordance with mission needs, to improve identity resolution in support of screening and vetting activities.


Sincerely,

**Chris Tobias**
TSA I&A Communications
DigitalSpec LLC
(b)(6)
571-227-(b)(6)

---

**From:** King, Chas <(b)(6)>
**Sent:** Thursday, December 27, 2018 12:50 PM
**To:** TSA OIA Correspondence <TSA.OIA.Correspondence@tsa.dhs.gov>
**Cc:** Operations Support <TSA-OS@tsa.dhs.gov>
**Subject:** FW: [Component Action Requested] [Due 5 pm Fri 12/28] 2018 DHS Biometrics Survey

For action, but no rush … the person who asked for this at DHS is out of office due to the "federal funding hiatus."

Chas

Charles King
Counterterrorism Advisor
571.227.(b)(6) (Desk)
(b)(6) (Cell)
(b)(6) (Gray)
(b)(6)

---

**From:** TSAExecSec-DHSExternal <TSAExecSec-DHSExternal@tsa.dhs.gov>

From: Karas, Mike
To: (b)(6) (b)(6) (b)(6) (b)(6) ; Goll, Keith; Fortner, Robert; Latta, John; Nykamp, Nancy; Froemling, Hao-y Tran; Reedy, Amy; (b)(6) ; Janowski, Carol; Ellison, Chang; Gould, Austin; (b)(6) (b)(6) Sears, Daniel; (b)(6) (b)(6) Lombardo, Donald; (b)(6) ; Defoe, John; (b)(6)
Subject: RE: [HOLD] TSA/SES workshop follow-up
Date: Wednesday, June 10, 2020 5:24:23 PM
Attachments: 20200609 TSA OBIM SES Workshop 2 vSend.pdf

All,

  Attached is the briefing deck that will be used for the follow-up workshop tomorrow.

-Regards,
-Mike


-----Original Appointment-----
**From:** (b)(6)
**Sent:** Wednesday, June 3, 2020 5:10 PM
**To:** (b)(6) ; Karas, Mike; (b)(6) Goll, Keith; Fortner, Robert; Latta, John; Nykamp, Nancy; Froemling, Hao-y Tran; Reedy, Amy; (b)(6) Janowski, Carol; Ellison, Chang; Gould, Austin; (b)(6) (b)(6) (b)(6) Sears, Daniel; (b)(6) (b)(6) (b)(6) Lombardo, Donald; (b)(6) (b)(6) Defoe, John; (b)(6)
**Subject:** [HOLD] TSA/SES workshop follow-up
**When:** Thursday, June 11, 2020 3:00 PM-4:00 PM (UTC-05:00) Eastern Time (US & Canada).
**Where:** details to follow

ALCON – please hold this time for the follow-up session.

Thanks,

(b)(6)

*ALCON,*

*We look forward to seeing you in the TSA/OBIM SES Workshop tomorrow from 3-5pm. The objectives of the workshop are to review TSA and OBIM's biometric missions and status of the joint Roadmap, discuss changes and trends that are impacting TSA and OBIM biometrics, and get your input into the joint strategy. The detailed agenda is attached, along with reference documents to provide background on TSA, OBIM, and the Roadmap work to date. Logistics information is below:*

***TSA/OBIM SES Biometrics Visioning Workshop***
***Timing:*** *Wednesday, June 3, 3:00pm – 5:00pm*
***Dress code:*** *Business Casual*
***Classification:*** *Unclassified*
***Platform:*** *ZoomGov – please plan to join via video and engage in the polls and discussions*

*Please let me know if you have any questions in advance of the meeting.*

*-Regards,*


Stay Safe.  Stay Healthy.

Mike Karas
TSA Chief Enterprise Architect
Acting TSA Chief Data Officer
Director, Enterprise Architecture Division
Information Technology
Transportation Security Administration
571-227-(b)(6) – Office
(b)(6) - Cell

# TRANSPORTATION SECURITY ADMINISTRATION

# TSA Biometrics Efforts Update

★ ★ ★ ★ ★ ★

## For Office of Biometric Identity Management

Provided by George Petersen, Executive Liaison, TSA

14 December 2017

# TSA Credentialed Populations with Biometrics

TSA collects biometrics to complete a Security Threat Assessment (STA) for individuals seeking access or benefit regarding transportation or critical infrastructure. These biometrics are primarily used to conduct a fingerprint-based criminal history record check.

| Population | Population Size | Biometric Databases Used (Vetting*) |
|---|---|---|
| TSA Pre✓® Application Program | ~5.7M | FBI Next Generation Identification |
| Maritime Workers (TWIC®) – Active TWIC® Card Holders | ~2.2M | FBI Next Generation Identification *DHS IDENT (~1.66 M)* |
| HAZMAT Drivers (HTAP) – Current STAs | ~ 1.5M | FBI Next Generation Identification |
| Airport Workers (SIDA/Sterile) | ~1.8M | FBI Next Generation Identification *FBI Rap Back via NGI (~200 K)* |
| Alien Flight Student Program (AFSP) | ~198K | FBI Next Generation Identification |
| General Aviation (GA) | ~79K | FBI Next Generation Identification |

*TSA uses databases in italics for recurrent vetting.

# Questions?

**When will OBIM have the remaining fingerprints of TWIC Population?**
> All fingerprints in the TWIC population will be in IDENT by May 2019 given the 5 year TWIC duration. 75% of the TWIC population is currently in IDENT.

**Assuming TSA receives FBI approval for DC to participate in Rap Back, how will TSA handle Aviation Workers fingerprints, which do not go through a DC? Will they be processed by IDENT?**
> TSA currently sends Aviation Worker fingerprints directly to the FBI on behalf of the airports. The DC provides alternative options for sending prints to the FBI for participation in Rap Back and TSA does not anticipate that changing for entities who choose not to go through a DC.

**When will OBIM be provided the updated TIM population connection schedule?**
> TIM's current priority is fully onboarding the TSA Pre✓® population. Following this, TIM will focus on onboarding the HME population.

**Will TIM send photos of TSA populations when connected?**
> TSA will plan to send IDENT TSA Pre✓® photos once TSA begins collecting them, estimated for sometime in CY 2018. TSA will coordinate this with IDENT once we have a date for beginning to capture photos.

**Who does OBIM talk to about future concerns?**
> – Issues of executive and strategic concern may be directed to George Petersen, TSA's representative on the OBIM Executive Stakeholder Board.
> – Working group questions can be directed to Anne Walbridge, in TSA's Office of Intelligence Program Management Division, who coordinates efforts with Alicia Harrison, OBIM.
> – TIM holds a meeting every two weeks with OBIM to discuss current issues and prioritization of efforts.

# TRANSPORTATION SECURITY ADMINISTRATION

★ ★ ★ ★ ★ ★

# TSA Pre✓® Application Program Renewals Follow Up

**November 2018**

# Agenda

**Purpose:** Update ADM on TSA Pre✓® renewals, including context of how TSA Pre✓® Application Program activities align with TSA biometrics implementation planning

- Background

- TSA Pre✓® Application Program Facial Biometrics
  - Accessing facial images for Passport holders/LPRs (85%)
  - Accessing facial images for Non-Passport Holders (15%)

- Trusted Traveler Biometrics Efforts

- TSA Pre✓® Fees and UES Award

- TSA Pre✓® Messaging

# Background

- TSA Pre√® Application Program Renewals Strategy was to retain as many trusted traveler members as possible, while balancing convenience and security.

- As TSA has been further defining its biometrics approach and roadmap, TSA Pre√® Application Program aligned its efforts relative to enrollment and biometrics:

    - In Sept 2018, TSA Pre√® Application Program began collecting facial biometrics with new enrollments

    - For TSA Pre√® Application Program Renewals, approach is to access facial biometrics via DHS and DoS passport data (85% of members) and to fill in remainder of facial biometrics (15% of members) via photo capture at the checkpoint.

# Trusted Traveler Biometrics Efforts and Considerations

To support the long-term biometrics vision for TSA Pre✓® lanes, RCA is preparing for future demos and capability development that will align to meeting TSA Pre✓® goals and business needs. This includes prototyping and piloting the following:

- CAT + Facial Capture + Storage/Staging Capability (Est. Q4 FY19)
  - When deployed system-wide, this will cover the 15% facial gap
- TSA-CBP Phase III Integration to enable 1:N facial matching (Est. Q3/4 FY19)
  - Integrates CBP biometrics (facial) with SecureFlight (biographic/vetting status)
  - When integration is complete, this will give TSA access to 85% of the facial gap
- TDC Full Automation Capability (Est. Q2 FY20)
  - Automate the five distinct TDC functions in one integrated ID verification system
  - Integrate CAT, 1:N and 1:1 facial matching, facial capture with E-gate

## Assumptions

- These efforts will lead to a set of technical, function, human factors, and process requirements to automate the five distinct TDC functions.
- These are notional timelines for prototyping/piloting of the aforementioned capabilities.
- Risks include dependencies on privacy, policy, legal, IT security, funding, congressional oversight, and procurement/contracting considerations.

- TSA Pre√® Ops Support is collaborating with SCPA on incorporating talking points and Q&A into the TSA Pre√® PAG to address FLEx and CT initiatives, and that they are separate from the TSA Pre√® experience.

- Overarching messages:
  - Enrolling in TSA Pre√® remains the best way to ensure you garner a consistent and predictable expedited security screening experience at TSA checkpoints.
  - TSA Pre√® will still be the fastest and smartest choice for air travelers who are looking for an expedited security screening experience.
  - Only trusted travelers who have a Known Traveler Number (KTN) will be able to experience TSA Pre√® expedited screening.
  - In standard lanes where CT is used, passengers will be able to leave their laptop in their carry-on bag, but must divest 3-1-1 liquids, shoes, belt and jacket.
  - In TSA Pre√® lanes, passengers may leave their laptop and 3-1-1 compliant liquids in the bag, as well as keep shoes, belt, and light jacket on.

# TSA OBIM SES Workshop

# Agenda

| Agenda item | Time |
|---|---|
| **Objectives, introductions, engagement update** | **50 min** |
| Welcome and introductions | 15 min |
| TSA and OBIM biometrics overviews | 20 min |
| Roadmap engagement update | 15 min |
| **Biometric drivers discussion** | **15 min** |
| Biometric technology changes | 10 min |
| Drivers for biometrics | 5 min |
| **Idea generation** | **55 min** |
| Breakout groups | 30 min |
| Share-out | 20 min |
| Next steps | 5 min |

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Page 01

Withheld pursuant to exemption

(b)(5)

of the Freedom of Information and Privacy Act

Page 02

Withheld pursuant to exemption

(b)(5)

of the Freedom of Information and Privacy Act

Page 03

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Page 04

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Page 19

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of the Freedom of Information and Privacy Act

# Debrief: Biometrics Industry Day

March 21, 2019
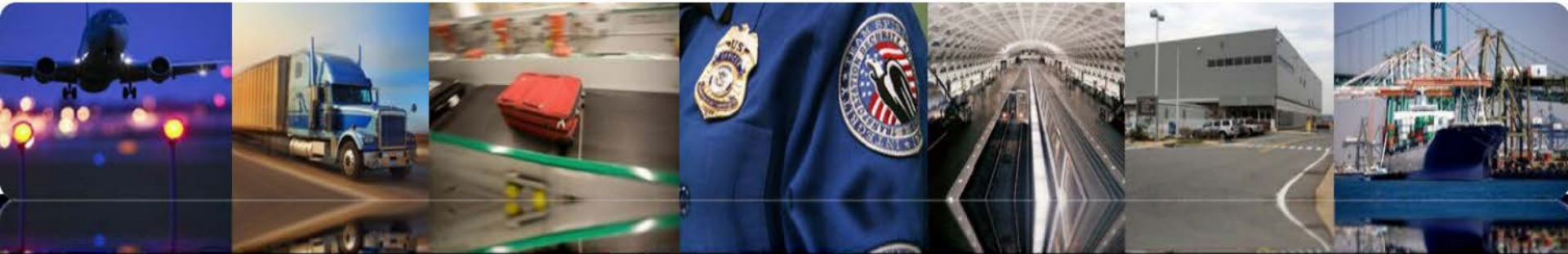
# Industry Day by the Numbers

A set of diverse stakeholders, including representatives from airlines and airports, vendors, privacy advocates, and Congressional staff attended the first ever TSA Biometrics Industry Day.

## 121
### total attendees

### 5 Airports
- BWI Airport
- MWAA (DCA + Dulles)
- DFW Airport
- San Antonio International Airport
including AAAE, ACC and ACI

### 8 Airlines
- Spirit
- Southwest
- Delta
- United
including A4A
- JetBlue
- American
- Atlas Air
- SkyWest

### 45+ Technology Vendors

### 3 Congressional Committees
- House Committee on Homeland Security
- Transportation and Maritime Subcommittee, House Homeland Security Committee
- Immigration and Border Security Subcommittee, House Homeland Security Committee

### 5 Privacy Groups
- EPIC
- ACLU
- CATO Institute
- Center on Privacy and Technology, Georgetown Law
- Center for Democracy & Technology

### 5 Federal Partners
- DHS PLCY
- CBP
- ICE
- DHS S&T
- OBIM

Transportation Security Administration

RCA | REQUIREMENTS & CAPABILITIES ANALYSIS

# Summary of Themes Discussed at Industry Day

**Industry Day speakers addressed a wide range of topics related to biometrics.**

| | |
|---|---|
| CBP-TSA Partnership on Biometrics Technology | TSA Biometrics Roadmap |
| *TSA Modernization Act* Reporting Requirements | Biometrics Architecture |
| AOSSP and Biometric Amendment Policy Procedures | Privacy Considerations |
| ITF's Solution Demonstration Process | DHS Biometrics Rally Results |

RCA | REQUIREMENTS & CAPABILITIES ANALYSIS

# Takeaways

**Industry Day provided an opportunity for stakeholders to engage TSA leadership on the agency's biometrics efforts.**

## Questions and Takeaways from Attendees.

Attendees commented that the event was informative and useful in communicating TSA's vision for biometrics. They raised specific questions with regard to the following:

- What capabilities have CBP-TSA pilots tested?
- Does TSA envision an application of biometrics in airport lounges?
- What is TSA's internal timeline for future pilots?
- How does TSA envision its relationship with airports in the future?
- Is TSA planning for self-enrollment via mobile applications?
- What are TSA's plans to integrate Secure Flight data with biometrics?
- Will TSA support identity databases developed by commercial entities?
- Does TSA plan to test or pilot iris recognition?
- How does TSA plan to integrate biometrics with programs moving in parallel, such as FLEx?
- Will biometrics go through a qualification process?
- How does TSA plan to fund its biometrics efforts?
- What is the difference between ITF's demonstration process and other biometrics tests?
- How does TSA apply privacy laws from international travelers' country of origin?

Transportation Security Administration

RCA | REQUIREMENTS & CAPABILITIES ANALYSIS

# Next Steps

The below outlines proposed follow-up items to maintain stakeholders engaged in TSA's biometrics efforts.

1. Distribute TSA Biometrics Industry Day master deck to all attendees via new biometrics e-mail address.

2. Develop and socialize a survey that allows attendees to provide feedback on Industry Day and submit follow-up questions.

3. Continue building engagement strategy to communicate updates on TSA's biometrics efforts to stakeholders.

**Transportation Security Administration**

**RCA** | REQUIREMENTS & CAPABILITIES ANALYSIS

**2020-TSFO-00198_00517**

# Industry Day (3/11/19) – Summary of Feedback Survey

**Survey respondents were satisfied overall with the content of TSA's inaugural Industry Day and are eager to continue engaging with TSA on biometrics.**

## Respondent Organizations

Airport
Federal Agency
Consulting
Technology Vendor

0%   20%   40%   60%
% of Respondents*
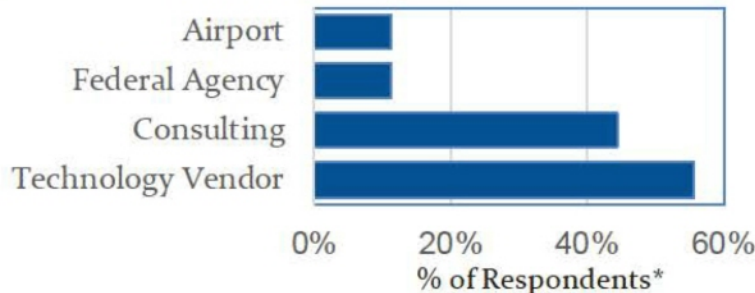
Respondents expressed interest in a variety of topics for **future industry engagement**, including: multi-modal contactless biometrics, post-TDC screening, data quality assurance, long-term planning, and project design, among others.

## Key Feedback Stats

**80%** Chose "All of the Above" when asked to select a presentation that was most helpful

**70%** "Strongly Agreed" that the topics covered were helpful and informative

**70%** "Strongly Agreed" that their organization would benefit from targeted roundtable discussions

**50%** "Strongly Agreed" that they are more informed about TSA's use of biometrics
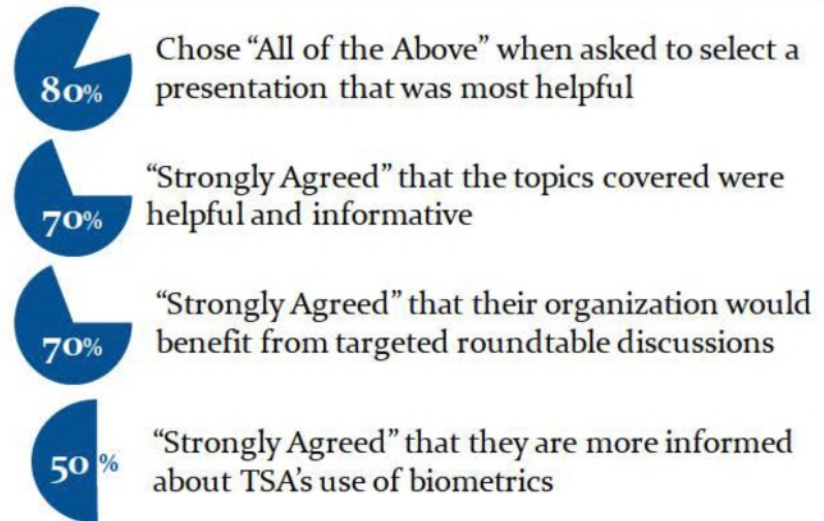
## RESPONDENT FEEDBACK QUOTES

"I appreciate TSA hosting the Industry Day and including its various partners as today's security environment will require the collaboration of all stakeholders including TSA, CBP, Airlines and Airports."

"It was a VERY informative event. Found it very helpful."

"Keep up the good work and communication. Engagement is good for everybody!"

"I am pleased that I was able to attend, and I hope that TSA will continue to interact with private industry as they move forward with these initiatives…"

**Transportation Security Administration**

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# TSA Biometrics Industry Day

March 11, 2019
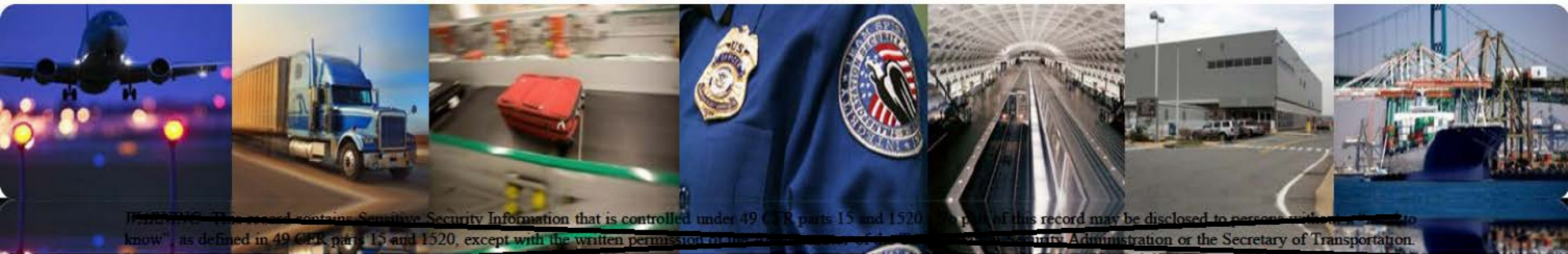
# Welcome and Opening Statements

Austin Gould
Assistant Administrator
RCA

# Keynote

**Stacey Fitzmaurice**
**Executive Assistant Administrator**
**Operations Support**

# How did we get here? | CBP-TSA Partnership on Biometrics Technology

**Melissa Conley**
Executive Advisor
Requirements & Capabilities Analysis
Transportation Security Administration

**Dan Tanciar**
Deputy Executive Director
Planning, Program Analysis, and Evaluation
U.S. Customs and Border Protection

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# Entry Exit Update – Program Summary

## Air Exit

22 letters of commitment from unique stakeholders

13 stakeholder sponsored sites online
4 CBP operated demonstration sites
1 TSA pilot location

## Air Entry

15 airports, including 4 preclearance locations

FY 19 Q2-24 Simplified Arrival expansion planned

## Land

2 Pedestrian pilots and 1 vehicle pilot online

66 imposters detected

2019 SWB expansion of pedestrian and production deployment of vehicle inbound in Anzalduas

## Sea

3 major cruise line partners
Royal Caribbean Cruise Lines,
Norwegian Cruise Lines, MSC Cruises

Additional partners and locations:
Carnival, Holland America, San Francisco and Long Beach Port Authorities

- **22 commitments** from major airlines and airports

- **Partners are leveraging CBP technology** utilizing unique approaches based on hardware solutions; cameras, gates, tablets

- Currently processing an average of **79 departures per day**

- As of Jan 29, 2019, **11,417 flights and 1.7 million travelers biometrically processed** across 19 airports

- Biometric match rates **(BMR) 98% or higher**

# Entry Exit Update – Air Exit Stakeholder Highlights

- **JetBlue** is conducting biometric exit operations in JFK, Fort Lauderdale, and Boston

- **Los Angeles World Airports (LAWA)** is conducting facial boarding on multiple flights and committed to installing biometric technology at all departure gates at Tom Bradley International Terminal

- **Hartsfield-Jackson Atlanta International Airport – Delta** opened the first full biometric experience (i.e. curb to gate) terminal (for international travelers only) in Atlanta (Terminal F) in November 2018
  - This includes facial recognition at check-in, bag drop, TSA checkpoint, and departure gates

- **Orlando International Airport** has installed 56 e-Gates at 26 departure gates. Multiple airlines including Lufthansa, LATAM, Aero Mexico, and Avianca have begun using biometric facial recognition

- **Dulles International Airport** airlines including SAS, United, Cathay, and Emirates are processing daily flights at IAD with a two-step process

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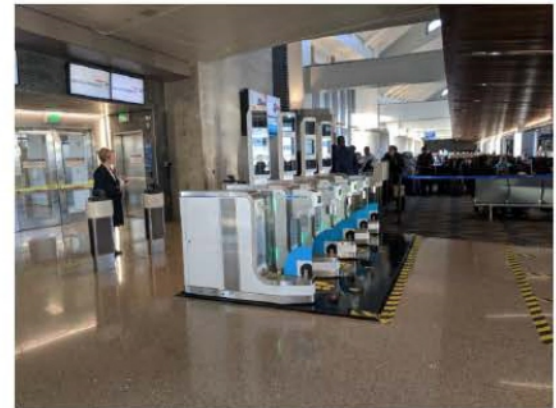
# Traveler Verification Service (TVS) – Air Entry Update

- **Upgrading fingerprint devices and cameras** to improve photo quality for more effective biometric match at inspection

- **Streamlined arrival process** by removing the requirement for presentation of passport or fingerprinting of in scope travelers

- **Deployed facial recognition in 15 locations**: Atlanta, Miami, JFK, LAX, San Diego, San Jose, Orlando, Fort Lauderdale, Houston Hobby, Houston Bush, Washington Dulles, Dublin, Shannon, Abu Dhabi and Aruba

- **\*Processed, 86,965 flights and 7.99 million travelers** in preclearance and U.S. Airports

- **Biometric match rates of high 90s** (99.0%)

- **6 imposters identified** to date (3 Washington Dulles, 2 San Jose, 1 JFK)

  \*As of Jan 29, 2019

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# Traveler Verification Service (TVS) – Performance Metrics

## Air Exit

**11,961**
exit flights processed

**1.77 M**
exit passengers

**98.6%**
exit biometric match rate

## Air Entry

**76,890**
entry flights processed

**6.45 M**
entry passengers

**99.0%**
entry biometric match rate

## Air Preclearance

**13,356**
preclearance flights processed

**1.77 M**
preclearance passengers

**98.9%**
preclearance biometric match rate

## Land

**1.16 M**
pedestrian entries processed

**96.6%**
pedestrian match rate

**66**
pedestrian imposters detected

✚ CBP has engaged in a partnership with NIST to evaluate CBP biometric data performance and recommend enhancements.

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# Biometrics at TSA | What Have We Accomplished?

TSA continues to refine and execute our strategy to leverage biometrics to enhance security effectiveness, increase efficiency, and improve the passenger experience

**August-October 2018**
TDC Biometrics Pilot
(CBP/TSA Phase 2) at
LAX tested the
scalability of the
technology with a
larger gallery and
enhanced automation

**May 2018**
Travel Document
Checker (TDC) Process
Automation
Demonstration (1:1
biometric access
control)

**October 2017**
TDC Biometrics Pilot
(CBP/TSA Phase 1) at
JFK Pilot matched
facial photos to CBP
flight galleries

**Late 2019/Early 2020**
TDC Biometrics Pilot
(CBP/TSA Phase 3)
system incorporates
vetting status into
biometric matching

**2015**
Biometrics Integrated
Project Team (IPT)
Chartered

Today

**Integrated Identity
Verification System
for Aviation
Travelers**

**May 2017**
Biometric Authentication
Technology (BAT) contact
and contactless fingerprint
demonstrations at ATL and
DEN

**January 2018**
Performed Process
and Technology
Analysis on CLEAR

**June-October 2018**
Developed TSA
Biometrics Roadmap,
released October 2018

**November 2018**
ATL Terminal F pilot in
coordination with CBP
and Delta Airlines
(curb to gate
biometrics)

**2020+**
Develop and test
biometric access control
unit to fully automate
TDC operations

**TSA is developing front-end solution requirements, designing back-end system architecture, and demonstrating innovative solutions to gain lessons learned from field operations and address capability needs.**

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# TSA and CBP Partnership Highlights & Pilot History

**Background:** The "Joint TSA/CBP Policy on the Use of Biometric Technology" was signed by both agencies in April 2018. As a result, TSA and CBP have been working together on a series of phased pilots designed to demonstrate the feasibility of using biometric solutions at the TSA checkpoint. These technologies aim to automate the currently-manual TDC process, and iteratively increase operational capability over time, using a CBP-developed facial matching service called the Traveler Verification Service (TVS).

## TSA – CBP Phase I

**Location: JFK Terminal 7**

**Dates:** October 2017

**Key Questions:**
- Can TVS support international outbound traveler processing?

**Objective:**
- Test functional capability of biometric matching for international outbound passengers at the TSA checkpoint

## TSA – CBP Phase IIA

**Location: LAX TBIT**

**Dates:** August – October 2018

**Key Questions:**
- Can TSA and CBP operationally integrate at the TSA checkpoint?

**Objective:**
- Test operational feasibility of co-located TSA / CBP officers at the checkpoint

## TSA – CBP Phase IIB *(Current)*

**Location: ATL Int'l Terminal F**

**Dates:** Ongoing

**Key Questions:**
- Can TVS support non-checkpoint ID verification touchpoints?

**Objective:**
- Test viability of non-checkpoint biometrics in the aviation passenger journey

The joint efforts by CBP and TSA have shown positive performance across various airlines, airports, and touchpoints to biometrically verify the identity of international outbound passengers.

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2020-TSFO-00198_00529

# Biometrics Roadmap & *TSA Modernization Act* Reporting Requirements

**Jason Lim**

Biometrics Capability Manager, RCA

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# Why Biometrics?

Identity verification is a cornerstone of TSA's operational landscape in the commercial aviation sector. In order to meet the challenges of evolving security threats, rising air travel volumes, resource constraints, and limits on operational footprint, TSA and aviation security regulators around the globe must look to automate manual and paper-based identity verification processes through smart technology investments.

**Security Effectiveness**

**Operational Efficiency**

*Biometrics has the potential to enhance both security & efficiency without sacrificing either.*

The TSA Biometrics Roadmap communicates our approach to capitalizing on this environment.

TSA BIOMETRICS ROADMAP

For Aviation Security & the Passenger Experience

**Industry Adoption**

TSA must innovate alongside with aviation security partners as they continue to pursue advanced biometrics solutions and technologies in airports
*(e.g., mobile driver's license and biometric bag drop solutions)*

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# TSA Biometrics Roadmap | Executive Summary

The TSA Biometrics Roadmap was signed and published in October 2018 and highlights how TSA plans to pursue and deploy biometric solutions for the aviation ecosystem

**Vision:** A biometrics capability, built with strategic partners, that enhances aviation security, streamlines operations, and simplifies the user experience.

**Goal 1:** Partner with CBP on Biometrics for International Travelers

- **Objective 1.1:** Prove Operational Feasibility
- **Objective 1.2:** Develop Interagency Policies and Procedures
- **Objective 1.3:** Simplify and Streamline Operations

**Goal 2:** Operationalize Biometrics for TSA Pre√® Travelers

- **Objective 2.1:** Update TSA Pre√® Data Holdings
- **Objective 2.2:** Modernize the TSA Pre√® Passenger Experience

**Goal 3:** Expand Biometrics to Additional Domestic Travelers

- **Objective 3.1** Perform Business Case Analysis for Domestic Traveler Biometrics
- **Objective 3.2:** Evaluate Biometric Solutions for Domestic Travelers
- **Objective 3.3:** Effectively Use Existing and Available Traveler Data
- **Objective 3.4:** Establish Partnerships to Implement Scalable Solutions

**Goal 4:** Develop Infrastructure to Support Biometric Solutions

- **Objective 4.1:** Develop, Maintain, and Manage to a Strategic Roadmap
- **Objective 4.2:** Integrate Capabilities with DHS and Industry Partners
- **Objective 4.3:** Capture Requirements and Standards for Industry
- **Objective 4.4:** Implement Assessment Processes

**Guiding Principles:** Security Effectiveness & Operational Efficiency, Privacy, Cyber Security, DHS Unity of Effort, Public-Private Partnerships, Usability, Passenger Experience, Interoperability, and Future Proofing

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2020-TSFO-00198_00532

# TSA Modernization Act – Reporting Requirements and Implementation

On October 3, 2018, Congress passed the *TSA Modernization Act*, and it was signed into law on October 5, 2018. Section 1919 of the Act requires the Secretary of Homeland Security to submit a report to Congress, with assessments from the TSA Administrator and CBP Commissioner relating to biometric technologies, within 270 days of the law's enactment.

## Summary of Section 1919

As applied **jointly to CBP and TSA**, Section 1919 ("Biometrics Expansion") of the *TSA Modernization Act of 2018* –

1. Requires the TSA Administrator and Commissioner of CBP to consult with each other on the deployment of biometric technologies
2. Requires **submission of a report** to appropriate committees of Congress (and to any member of Congress upon request) that includes assessments of:
   - The **operational and security impact** of using biometric technology to identify travelers
   - The potential **effects on privacy** of the expansion of biometric technologies, including methods proposed or implemented to mitigate privacy risks related to the active or passive collection of biometric data
   - The methods to **analyze and address matching errors related to race, gender, or age** with respect to the use of biometric technology, including facial recognition technology
3. Requires TSA and CBP to publish a public version of the joint assessment on their agency websites, if practicable
4. Requires an assessment of the biometric entry-exit system (CBP-specific)

**TSA will coordinate with key agency partners, including CBP and DHS' Science & Technology (S&T) Directorate, to comply with the requirements of Section 1919.**

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# TSA Modernization Act Overarching Objectives

**The following overarching objectives will guide TSA's response to the Section 1919 report**

## Coordinate report responses with CBP and S&T

A unified effort with key partners will be critical to ensuring the report is responsive to Congress' interest in the operational and security impact of using biometric technology to identify travelers, privacy impacts, and matching errors.

## Articulate the security and operational business case for TSA's use of biometrics

Consistent with TSA's Biometrics Roadmap, the report will highlight how the use of biometrics will enhance security effectiveness, improve operational efficiency, and yield a streamlined passenger experience.

## Provide transparency to Congress and the public regarding privacy protections

TSA will promote transparency to Congress and the public by engaging in careful study and analysis of potential privacy impacts. The assessment will include key privacy considerations TSA is taking into account with respect to the use of biometrics technology.

## Ground efforts in rigorous academic and scientific review for a sustainable foundation

The report will provide an analysis of matching performance, which will inform both TSA's and CBP's' understanding of performance errors and mitigation strategies, among other findings.

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# TSA Modernization Act – Next Steps

The following provides an overview of next steps for the Section 1919 report:

**1** Coordinate with CBP on report content

**2** Arrange TSA, CBP, DHS, and OMB reviews

**3** Submit report to Congress

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# Biometrics Architecture

**Dan Boyd**
Systems Engineer, RCA

**Brandon Gutierrez**
Systems Engineer, RCA

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2020-TSFO-00198_00536

## TSA Biometrics Architecture Mission

*Create a scalable facial recognition capability at TDC that enhances security, improves operational efficiency and passenger experiences, leverages enterprise investments, maximizes sustainability, and facilitates partnerships while respecting privacy, civil rights, and civil liberties.*

# Desired TSA End State – Automation of Travel Document Checker (TDC) Functions via Biometrics

*Prior to physical screening, TSA must:*

| ① | ② | ③ | ④ | ⑤ | ⑥ |
|---|---|---|---|---|---|
| Verify the authenticity of the presented form of identification | Verify the passenger and his/her form of identification are a match | Validate passenger flight reservation status | Verify passenger's secure flight vetting status | Segment/access the passenger to the appropriate screening lane | Resolve any non-matches and security issues manually |

| Solution Space | Step 1 | Step 2 | Step 3 | Step 4 | Step 5 | Step 6 |
|---|---|---|---|---|---|---|
| **Current Process:** Manual + boarding pass scanner (BPS) | Manual | Manual | 🟨 | 🟨 | Manual | Manual |
| **Near Term:** Credential Authentication Technology (CAT) | ✓ | Manual | ✓ | ✓ | Manual | Manual |
| **Interim:** Biometric ID Verification w/ SF integration | ✓ | ✓ | ✓ | ✓ | Manual | Manual |
| **Future:** Biometric ID Verification System w/ SF integration and Checkpoint Access Mechanism | ✓ | ✓ | ✓ | ✓ | ✓ | Manual |

**Key:** ✓ Automated   🟨 Partially Automated

**By developing an architecture that supports the automation of TDC functions, TSA can better control access to the sterile environment, improve the traveler experience, and reallocate resources to mitigate screening inefficiencies.**

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# TSA Biometrics Architecture Design Principles

TSA's Biometric Architecture design principles are grounded in the organizational mission and strategy publications below:

*Key guidance supporting TSA's strategy and mission:*
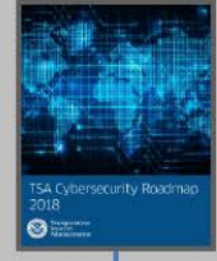


| Maximizing what's already there | Privacy by Design | Simple & Consistent Experience | Open & Modular Architecture | Alignment to TSA IT Vision and Security |
|---|---|---|---|---|
| Maximize CBP and DHS investments in terms of capabilities and infrastructure in addition to what TSA has developed and validated | Assure architecture and technical solutions adhere to privacy standards and are within TSA's authorities | Create a consistent and intuitive experience for travelers and TSOs by incorporating form and human factors, as well as keep training and instructions simple and easy to understand for both TSOs and travelers | Mitigate risk of vendor 'lock-in' and allow easy Third Party integration through API-led connectivity to provide data-sharing and biometrics services | Emphasize outcome-based security engineering considerations to maintain compliance with IT's enterprise vision and policy to create a truly secure solution |

These principles were used to evaluate potential architecture paths forward and will continue to guide TSA to an optimal, future proofed biometrics capability.

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2020-TSFO-00198_00539

# TSA's Evolving Environment

TSA's biometrics architecture must incorporate proven, cost-efficient technologies, leading standards, and business-centric services in order to promote long-term changeability.
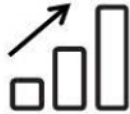
**Scale** to TSA-specific passenger segments and meet TSA mission needs

**Incorporate** technological advancements to enhance security operations and mitigate bias

**Adapt** to regulatory and sociotechnical changes during the roll-out of new solutions

**Enable** Private-Public Partnership (P3) deployments through APIs and modularity

An assessment of authorities, privacy issues, costs, tradeoffs, and potential, phased courses of action will continue to inform the broader TSA biometrics solution space.

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# Target State TSA Biometric Architecture

A complete architecture requires a host of technologies and services to Prepare, Process, and Act on biometrics across passenger touchpoints.

| Biometric Process Steps | | |
|---|---|---|
| **3 Act** | **Front-end** | Capture Biometric · Credential Authentication · Business Logic · User Interface |
| **2 Process** | **Biometric Integration Services** | Biometric Pairing & Staging · Biometric Matching · Vetting Status Integration · 3rd Party Integration / Management · User Authentication |
| **1 Prepare** | **Data Sources** | TSA · CBP · DHS · Airlines |

**Passenger Touchpoints:** Enrollment · Reservation · Check-in · Bag Drop · Checkpoint/TDC · Boarding · Other

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# Break

Upcoming: Policy Process Overview

# Policy Process Overview

**Dave Moran**
Transportation Security Specialist
Policy, Plans, and Engagement

**Susan McDermott**
Program Analyst
Policy, Plans, and Engagement

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## Amendment Process

- An amendment to a security program (ACISP, AOSSP, CCSSSP, CCSP-Canine, FACAOSSP, MSP, PCSSP, TFSSP) allows the aircraft operator to operate under procedures determined by TSA to provide a commensurate level of security in lieu of security program procedures.

- An aircraft operator must submit a request for an amendment to their assigned Principal Security Inspector (PSI) at least 45 days before the date it proposes for the amendment to become effective.

- TSA either approves or denies the aircraft operator's request for an amendment based on a thorough review.

## Biometric Amendments

- Policy, Plans, and Engagement (PPE) works closely with Requirements & Capabilities Analysis (RCA) to review each biometric-based amendment request separately.
  - PPE will draft policy documents in conjunction with RCA's process analysis.
  - Amendments based on a proof-of-concept will be reviewed and revised accordingly following RCA's test data analysis.

- There are currently two types of biometric-based checked baggage drop amendments.
  - CLEAR
  - Customs and Border Protection (CBP) Traveler Verification Service (TVS)

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2020-TSFO-00198_00545

# Privacy

**Peter Pietra**
TSA Privacy Officer
TSAprivacy@dhs.gov

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2020-TSFO-00198_00546

# Privacy

"...traveler sentiment toward biometric technologies, when coupled with the appropriate privacy safeguards, has evolved toward appreciation for the enhanced security and efficiency they can provide."

- TSA Biometrics Roadmap, p. 4

# Privacy

- **Informed consent**
  - Notice
  - Choice
  - Consent
- **Data security**
  - 'Nuff Said
- **Accuracy**
  - Consequences
- **Use Limitations**
  - Transportation Security
  - Law Enforcement/Intel
  - Commercial Integration

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## Privacy

"The Secretary shall appoint a senior official in the Department to assume primary responsibility for privacy policy, including- (1) assuring that the use of technologies sustain and do not erode, privacy protections relating to the use, collection, and disclosure of personal information;"

Sec 222, Homeland Security Act

Agencies shall conduct a privacy impact assessment before "developing or procuring information technology that collects, maintains, or disseminates information that is in an identifiable form"

Sec 208, E-Government Act of 2002

## DHS Framework

### Fair Information Practice Principles

- Transparency
- Individual Participation
- Purpose Specification
- Data Minimization
- Use Limitation
- Data Quality and Integrity
- Security
- Accountability and Auditing

DHS Privacy Technology Implementation Guide

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**2020-TSFO-00198_00550**

# Innovation Task Force (ITF) Overview

**Mara Winn**
Program Manager, ITF

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# Innovation Task Force Overview & Process

## OUR MISSION

Foster innovation by integrating key stakeholders to identify and demonstrate emerging solutions that increase security effectiveness and efficiency, improve passenger experience and the flow of commerce, and deliver solutions that secure the freedom of movement throughout the nation's transportation system.

## OUR PRIORITIES

**Collaborate**

Convene the aviation security ecosystem to identify and demonstrate solutions

**Demonstrate**

Establish the capability for TSA to quickly demonstrate innovative solutions

**Assess**

Measure solution effectiveness to achieve the optimized future state and provide vendors with data to improve solutions

## Solution Demonstration Process



IDENTIFY | PLAN | ASSESS | DEMO | ANALYZE | CLOSE-OUT | TRANSITION

Capability Gap Identification & Prioritization → Technical Review | Panel Review | Solution Selection

Demonstration Planning

Lab Assessment

Demonstration

Evaluation & Analysis

Lessons Learned & Recommendations

Solution Demonstration Outcome & Transition

Steering Committee* Recommendation → Transition Committee*

Review & selection process replicated twice for the whitepaper and proposal phases

✓ Solution Provider Readiness Review
✓ Assessment Readiness Review

✓ Demonstration Readiness Review

✓ Outcome
✓ Transition Readiness Review

**Key:** ■ ITF Activity  ■ Action if Applicable to Demo  ■ Decision Point  ■ Steering or Transition Committee Activity

*As referenced in the TSA Systems Acquisition Manual (TSAM)

Not Of Interest | Requires Further Research | Procure | Acquire

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# Biometric Authentication Technology (BAT) Case Study



### IDENTIFY

ITF identified the BAT Proof of Concept (PoC) through another office within TSA and was demonstrated in ITF's first cohort of solutions

### PLAN

ITF assembled an Integrated Project Team (IPT), created a Demonstration Plan, Operator Manual, and Communications Plan for demonstration; ITF coordinated with other TSA offices to develop the Concept of Operations and Data Collection Plan

### ASSESS

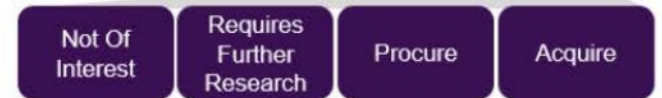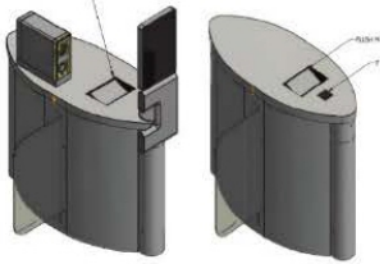In coordination with agency partners, ITF collected and analyzed Operational and Human Factors data over the course of 30 days at each location

*Example data: Fingerprint Match Rate, formal questionnaires*

### DEMONSTRATE

2 BAT models demonstrated during PoC: BAT contact fingerprint scanner and BAT contactless fingerprint scanner; both units demonstrated at ATL and DEN from May - July 2017

### TEST

Access control systems for automated biometric passenger authentication and validation utilizing fingerprints were tested at TSIF for functionality, reliability, maintainability, and safety

### CLOSEOUT

After assessing final data collection reports and assembling lessons-learned, ITF briefed agency stakeholders on a recommended course of action

*ITF Recommended that the BAT PoC #1:*
## Requires Further Research

| Not Of Interest | Requires Further Research | Procure | Acquire |

# ITF Informing the TSA Biometric Strategy

**Through the BAT demonstration and other demonstration efforts, ITF has helped to inform the TSA biometric strategy**

**May 2017**
*Biometric Authentication Technology (BAT) Demos at ATL and DEN*

**January 2018**
*Performed Process and Technology Analysis on CLEAR*

**October 2018**
*Released TSA Biometrics Roadmap*

**2019/2020**
*TDC Biometrics Pilot (CBP/TSA Phase 3) fully automated system*

**ITF-Informed TSA Biometric Strategy**

**2015**
*Biometrics Integrated Project Team (IPT) Developed*

**October 2017**
*TDC Biometrics Pilot (CBP/TSA Phase 1) at JFK Pilot matched facial photos to CBP flight galleries*

**May 2018**
*Travel Document Checker (TDC) Process Automation Demonstration*

**August 2018**
*TDC Biometrics Pilot (CBP/TSA Phase 2) at LAX to test the scalability of the technology*

**Lessons Learned**
The above activities ultimately informed the TSA biometric strategy

**Engagement**
Open and maintain lanes of communication with industry to ensure that ITF is asking the right questions and developing strategic problem statements

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# What Next?

The Innovation Task Force will continue to develop forward-looking strategies through lessons learned from biometric technology engagement and demonstrations.

Stay tuned into Innovation Task Force efforts and future strategic engagements with biometric technology.

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# DHS S&T Biometrics Rally I & II Overview

**Arun Vemury**
Director, Biometric and Identity Technology Center
DHS S&T

Please email peoplescreening@dhs.gov directly to request slides on the DHS S&T Biometrics Rally

**Transportation Security Administration**

RCA | REQUIREMENTS & CAPABILITIES ANALYSIS

2020-TSFO-00198_00557

# Break

**Upcoming: Panel Discussion / Q&A**

# Panel Discussion / Q&A

- **Mara Winn,** ITF Program Manager, *Moderator*

- **Melissa Conley,** RCA Executive Advisor

- **Susan Prosnitz,** Deputy Chief Counsel

- **Peter Pietra,** Privacy Officer

- **Arun Vemury,** DHS S&T Director

- **Ted Sobel,** Former Acting Deputy Assistant Secretary for Screening
  Coordination at DHS

# Concluding Remarks

Jason Lim
Biometrics Capability Manager
RCA

# Thank you for attending!

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ACTION

MEMORANDUM FOR:     Russell Roberts  ~~RR~~ 7/23/18
                    Assistant Administrator
                    Information Technology

FROM:               Austin Gould  AG  17 JUL 18
                    Assistant Administrator
                    Requirements and Capabilities Analysis

SUBJECT:            Customs and Boarder Protection and Transportation
                    Security Administration Phase II Travel Document Check
                    Biometric Pilot Information Technology support

Purpose

The purpose of this memorandum is to memorialize roles and responsibilities between
Transportation Security Administration (TSA) Information Technology (IT) and Requirements
and Capability Analysis (RCA) in support of the biometric pilot at Los Angeles International
Airport (LAX) at the Tom Bradley International Terminal (TBIT), planned for August 2018.

Background

In 2013, Congress transferred the biometric exit mission from the Department of Homeland
Security to Customs and Boarder Protection (CBP). Working in partnership with the air travel
industry, CBP is leading the transformation of air travel using biometrics as the key to enhancing
security and improving the entire traveler experience from curb to gate. The use of facial
recognition technology as the biometric exit mechanism presents an opportunity for CBP and the
TSA to collaborate and work together to streamline and strengthen passenger screening
operations.

RCA and CBP's Office of Field Operations coordinated a facial recognition proof of concept
pilot using CBP Traveler Verification System (TVS) at the TSA checkpoint. The goal is to
develop a seamless, efficient process to use biometrics to validate identity against all measures
required by both CBP and TSA for international passengers. There will be three phases of the
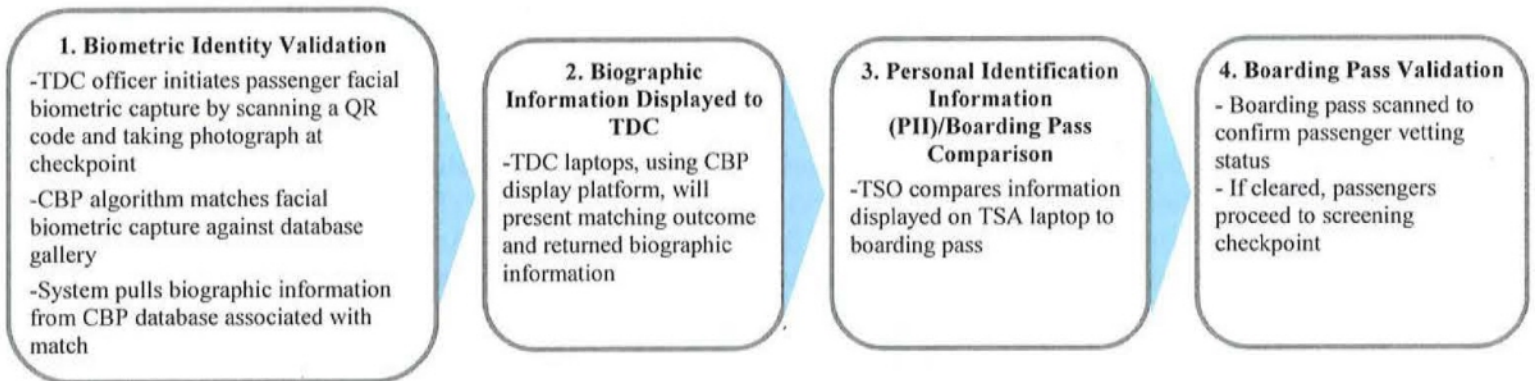pilot:

- Phase I (completed): data collection in order determine the feasibility of using
  biometric facial recognition technology for identity verification at the TSA
  Checkpoint.

- Phase II (in progress): incorporate 'no match' adjudication by CBP officers assigned to a TSA checkpoint, and the use of CBP's match response to eliminate the document check by TSA.
- Phase III (TBD): Goal is to integrate the CBP TVS with passenger vetting status.

The collaborative efforts between CBP and TSA support the ultimate goal of traveler facilitation with enhanced security supports the joint memo signed by Administrator Pekoske and Commissioner McAleenan (memo attached for reference). Biometric identity verification, once integrated with Secure Flight data, has the potential to reduce the necessary number of Travel Document Checkers and allows TSA to reallocate those resources to screening and behavior analysis.

## Phase II Operations

The current Integrated Master Schedule has the pilot starting early August 2018. The operations for this pilot will consist of CBP certified facial recognition equipment installed at TBIT checkpoint. The pilot will run for a 30-day period during non-peak hours at four (4) TDC podiums. The following process applies to passengers with confirmed international destinations:

**1. Biometric Identity Validation**

-TDC officer initiates passenger facial biometric capture by scanning a QR code and taking photograph at checkpoint

-CBP algorithm matches facial biometric capture against database gallery

-System pulls biographic information from CBP database associated with match

**2. Biographic Information Displayed to TDC**

-TDC laptops, using CBP display platform, will present matching outcome and returned biographic information

**3. Personal Identification Information (PII)/Boarding Pass Comparison**

-TSO compares information displayed on TSA laptop to boarding pass

**4. Boarding Pass Validation**

- Boarding pass scanned to confirm passenger vetting status
- If cleared, passengers proceed to screening checkpoint



MATCH

Doe, Jane

DOB: 01/01/1994

Matching status indicates whether passenger is a) cleared for screening (match) or b) requires CBP officer adjudication (no match).

Photo captured by TVS camera is displayed whether result is match or no match.

Biographic information, pulled from manifest data, will only be displayed if the result is a match.

Data Displayed

TSA Laptop displays: Name, Date of Birth (DOB), Biometric Match Status

*(PII drawn from passenger's most recent credential in CBP database - PII NOT drawn from manifest data or entry interview)*

If the pilot is successful, based on high match performance (i.e., 90%+ match rate) and processing time (i.e., no operational impact), then a determination is required by CBP and TSA to extend the pilot in 30-day increments. Operational suitability and scalability will be key factors to stress the system to see how it performs with a larger photo gallery.

Information Technology Support

Phase II will require support from the following entities:

**TSA**
- Provide four (4) TSA laptops, actively connected to the TSA network, that can access the following link: https://atsm.cbp.dhs.gov/tsa.
- The TSA laptops must also be able to:
  - Support multiple TSA officer accounts on the same laptop in a checkpoint environment
  - Support rotating officers at the TDC on the same laptop
  - Support Personal Identity Verification enabled log-in to maintain TSA IT security requirements
- If the initial 30-day pilot is successful, TSA IT will provide an additional twelve (12) laptops to enable the entire checkpoint to be biometrically operational for an extended pilot duration
- Evaluate cybersecurity measures of the CBP TVS

**CBP**
- Develop a display platform for biometric matching result and associated biographic data to TSA officers accessible on a TSA laptop
- Provide facial recognition cameras
- Provide facial recognition matching system (i.e. CBP TVS) in the backend
- Provide super user account information or have another log in mechanism for display platform
- Support the network connection

**Los Angeles International Airport**
- Provide required infrastructure for hardwired connection to CBP cameras

Concurrence

Request concurrence with the IT requirements to support Phase II TDC Biometric Pilot at LAX.

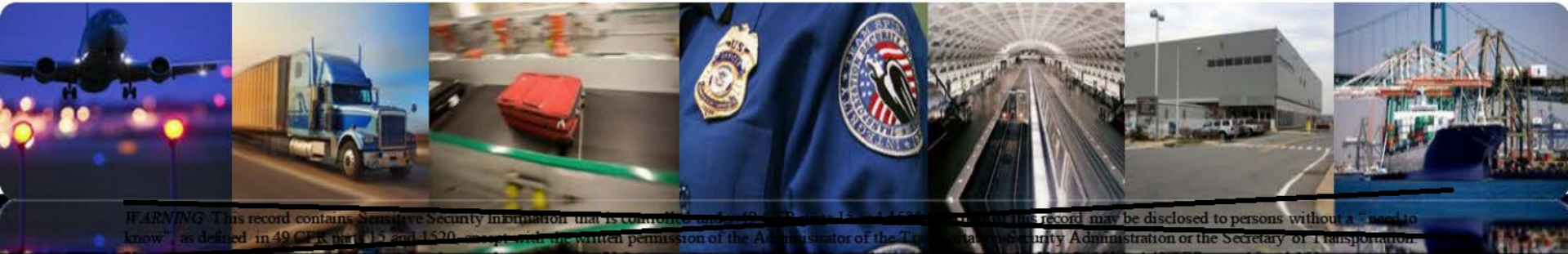Approve ~~_signature_~~ 7/23/18   Disapprove_____ /_____
R. Fortner for R. Roberts         Date                    Date

Modify_____ /_____        Needs more discussion_____ /_____
              Date                                         Date

Attachment
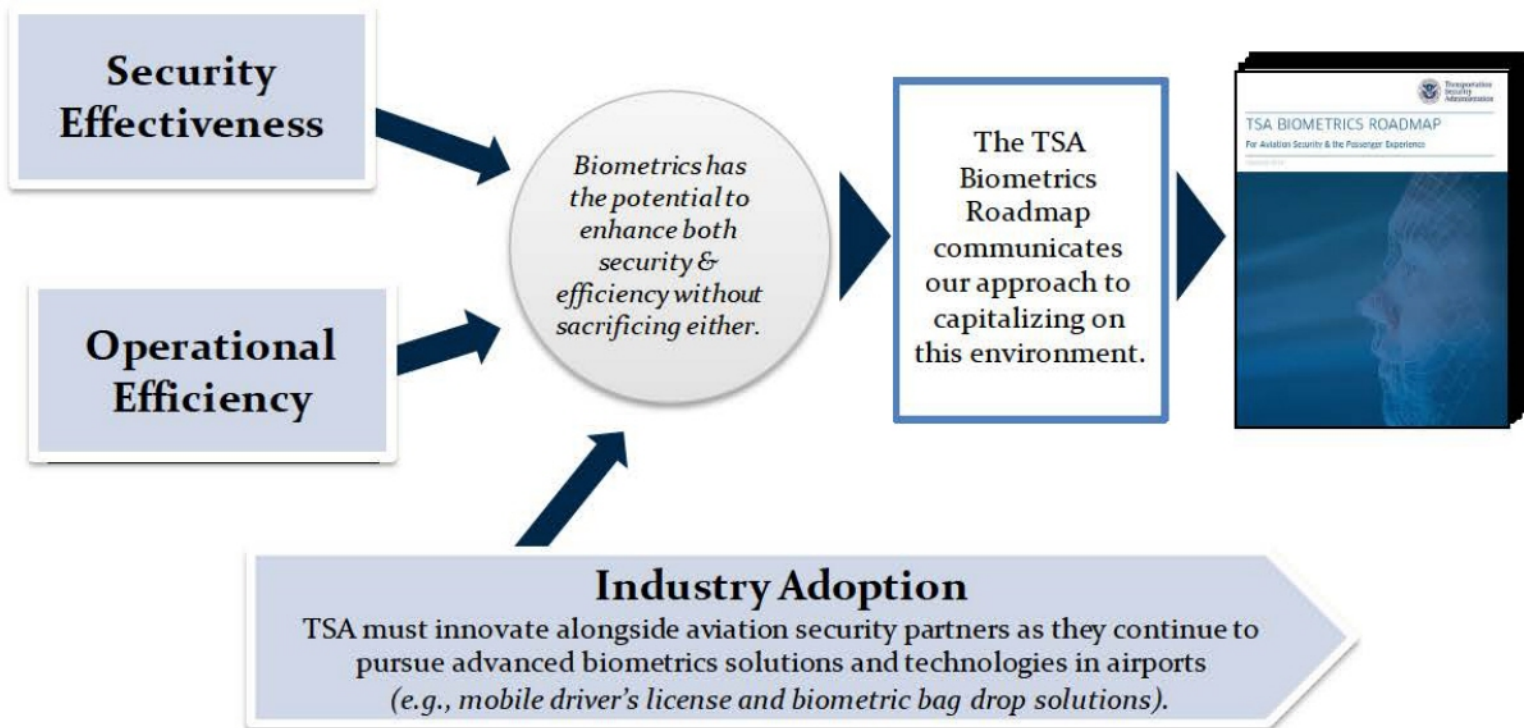Joint TSA/CBP Policy on Use of Biometric Technology

# TSA Biometrics Overview

## House Committee on Oversight and Reform Staff-
## May 17, 2019

# Why Biometrics?

Identity verification is a cornerstone of TSA's operational landscape in the commercial aviation sector. In order to meet the challenges of evolving security threats, rising air travel volumes, resource constraints, and limits on operational footprint, TSA and aviation security regulators around the globe must look to automate manual and paper-based identity verification processes through smart technology investments.

**Security Effectiveness**

**Operational Efficiency**

*Biometrics has the potential to enhance both security & efficiency without sacrificing either.*

The TSA Biometrics Roadmap communicates our approach to capitalizing on this environment.

TSA BIOMETRICS ROADMAP
For Aviation Security & the Passenger Experience

**Industry Adoption**

TSA must innovate alongside aviation security partners as they continue to pursue advanced biometrics solutions and technologies in airports *(e.g., mobile driver's license and biometric bag drop solutions).*

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# TSA Biometrics Roadmap | Executive Summary

The TSA Biometrics Roadmap was signed and published in October 2018 and highlights how TSA plans to pursue and deploy biometric solutions for the aviation ecosystem

**Vision:** A biometrics capability, built with strategic partners, that enhances aviation security, streamlines operations, and simplifies the user experience.

**Goal 1:** Partner with CBP on Biometrics for International Travelers

- **Objective 1.1:** Prove Operational Feasibility
- **Objective 1.2:** Develop Interagency Policies and Procedures
- **Objective 1.3:** Simplify and Streamline Operations

**Goal 2:** Operationalize Biometrics for TSA Pre✓® Travelers

- **Objective 2.1:** Update TSA Pre✓® Data Holdings
- **Objective 2.2:** Modernize the TSA Pre✓® Passenger Experience

**Goal 3:** Expand Biometrics to Additional Domestic Travelers

- **Objective 3.1** Perform Business Case Analysis for Domestic Traveler Biometrics
- **Objective 3.2:** Evaluate Biometric Solutions for Domestic Travelers
- **Objective 3.3:** Effectively Use Existing and Available Traveler Data
- **Objective 3.4:** Establish Partnerships to Implement Scalable Solutions

**Goal 4:** Develop Infrastructure to Support Biometric Solutions

- **Objective 4.1:** Develop, Maintain, and Manage to a Strategic Roadmap
- **Objective 4.2:** Integrate Capabilities with DHS and Industry Partners
- **Objective 4.3:** Capture Requirements and Standards for Industry
- **Objective 4.4:** Implement Assessment Processes

**Guiding Principles:** Security Effectiveness & Operational Efficiency, Privacy, Cyber Security, DHS Unity of Effort, Public-Private Partnerships, Usability, Passenger Experience, Interoperability, and Future Proofing

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# Desired TSA End State – Automation of Travel Document Checker (TDC) Functions via Biometrics

*Prior to physical screening, TSA must:*

**1** Verify the authenticity of the presented form of identification

**2** Verify the passenger and his/her form of identification are a match

**3** Validate passenger flight reservation status

**4** Verify passenger's secure flight vetting status

**5** Segment/access the passenger to the appropriate screening lane

**6** Resolve any non-matches and security issues manually

| Solution Space | Step 1 | Step 2 | Step 3 | Step 4 | Step 5 | Step 6 |
|---|---|---|---|---|---|---|
| **Current Process:** Manual + boarding pass scanner (BPS) | Manual | Manual | � (yellow box) | (yellow box) | Manual | Manual |
| **Near Term:** Credential Authentication Technology (CAT) | ✔ | Manual | ✔ | ✔ | Manual | Manual |
| **Interim:** Biometric ID Verification w/ SF integration | ✔ | ✔ | ✔ | ✔ | Manual | Manual |
| **Future:** Biometric ID Verification System w/ SF integration and Checkpoint Access Mechanism | ✔ | ✔ | ✔ | ✔ | ✔ | Manual |

**Key:** ✔ Automated   ▭ (yellow) Partially Automated

**By developing an architecture that supports the automation of TDC functions, TSA can better control access to the sterile environment, improve the traveler experience, and reallocate resources to mitigate screening inefficiencies.**

Transportation Security Administration

2020-TSFO-00198_00569

# CBP/TSA Pilots Series Overview

## TSA – CBP Phase I

**Location: JFK Terminal 7**

**Dates:** October 2017

**Key Questions:**
- Can TVS support international outbound traveler processing?

**Objective:**
- Test functional capability of biometric matching for international outbound passengers at the TSA checkpoint.

## TSA – CBP Phase IIA

**Location: LAX TBIT**

**Dates:** August – October 2018

**Key Questions:**
- Can TSA and CBP operationally integrate at the TSA checkpoint?

**Objective:**
- Test operational feasibility of co-located TSA / CBP officers as the checkpoint.

## TSA – CBP Phase IIB
### (Current)

**Location: ATL International Terminal F**

**Dates:** Ongoing

**Key Questions:**
- Can TVS support non-checkpoint ID verification touchpoints?

**Objective:**
- Test viability of non-checkpoint biometrics in the aviation passenger journey.

### PHASE IIB CONOPs OVERVIEW

**Five touchpoints are connected to CBP TVS to receive match results: 1) Check-in Kiosks; 2) Bag Drop; 3) TSA Checkpoint; 4) Boarding Exit; 5) Entry**
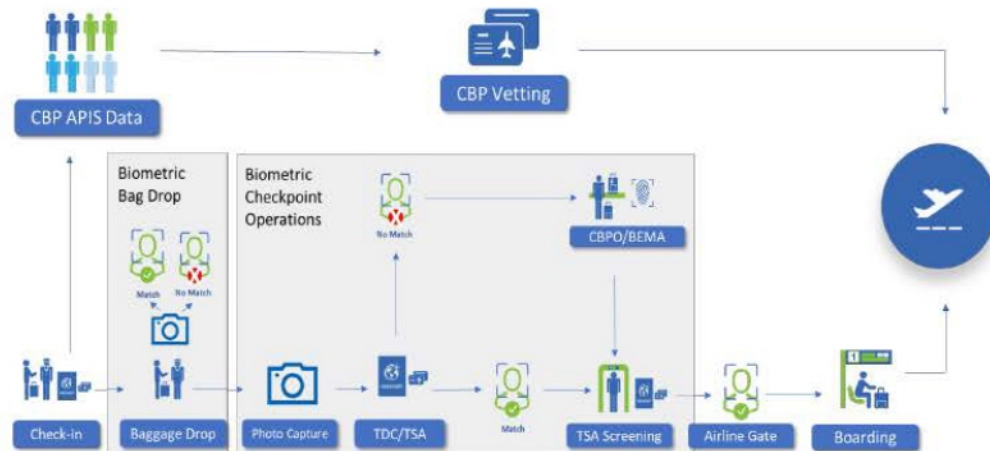


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# Privacy

TSA is committed to protecting passenger privacy and ensuring the traveling public's trust as it seeks to improve the passenger experience through its exploration of opt-in biometric technology.

### TSA'S PRIVACY APPROACH

| | | |
|---|---|---|
| Travelers will be notified of the use of biometric technology and have the ability to voluntarily opt-in to various biometric procedures. | TSA will incorporate privacy considerations into each phase of biometric solution development. | In these efforts, TSA will be transparent and proactively mitigate privacy risks identified in the use of biometric technology. |

➤ In any such use of biometric technology with potential privacy impacts, TSA is committed to protecting personally identifiable information (PII).

➤ TSA will comply with the Department of Homeland Security's privacy policies and procedures. This includes conducting appropriate Privacy Threshold Analyses (PTAs), Privacy Impact Assessments (PIAs), and System of Record Notices (SORNs) to ensure that TSA's biometrics capabilities uphold important privacy protections.

➤ DHS's Fair Information Practice Principles (FIPPs) regarding transparency, individual participation, purpose specification, data minimization, use limitation, data quality and integrity, security, and accountability and auditing will inform TSA's privacy considerations.

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# TSA Modernization Act – Reporting Requirements and Implementation

The *TSA Modernization Act* was enacted on October 5, 2018. Section 1919 requires the Secretary of Homeland Security to submit to Congress within 270 days of enactment, a report, with assessments from TSA and CBP relating to biometric technologies.

## Summary of Section 1919

As applied **jointly to CBP and TSA**, Section 1919 ("Biometrics Expansion") of the *TSA Modernization Act of 2018* –

1. Requires the TSA Administrator and Commissioner of CBP to consult with each other on the deployment of biometric technologies.
2. Requires **submission of a report** to appropriate committees of Congress (and to any member of Congress upon request) that includes assessments of:
   - The **operational and security impact** of using biometric technology to identify travelers
   - The potential **effects on privacy** of the expansion of biometric technologies, including methods proposed or implemented to mitigate privacy risks related to the active or passive collection of biometric data
   - The methods to **analyze and address matching errors related to race, gender, or age** with respect to the use of biometric technology, including facial recognition technology.
3. Requires TSA and CBP to publish a public version of the joint assessment on their agency websites, if practicable.
4. Requires an assessment of the biometric entry-exit system (CBP-specific).

**TSA is coordinating with key agency partners, including CBP and DHS' Science & Technology (S&T) Directorate, to comply with the requirements of Section 1919.**

Transportation Security Administration

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# TSA CLEARANCE SHEET

| | **ORIGINATOR** | | |
|---|---|---|---|
| | Cesar Medina | | |

| **DOCUMENT FOR ACTION** | **OFFICE** | **PHONE** | **DATE** |
|---|---|---|---|
| ☐ Action Memo ☐ Letter<br>☐ Info. Memo ☐ Other | RCA | 7-(b)(6) | 7/9/2018 |

**SUBJECT:** Memorandum to Operate Travel Document Check Biometric Pilot Phase II at LAX

| **TSA CONTROL NUMBER** | RCA-18-XXX | **ACTION REQUIRED** | | | | | |
|---|---|---|---|---|---|---|---|
| **REVIEWERS** | | **Office** | **Phone Extension** | **Date Received** | **Date Approved** | **Initial** | **Correction Required** |
| 1. | Matt Gilkeson | RCA | 7-(b)(6) | 9 Jul 18 | 9 Jul 18 | *[initials]* | |
| 2. | Mara Winn | | | | | *[initials]* | |
| 3. | Jose Bonilla | RCA/FTF | (b)(6) | 7/31 | 7/31 | JB | |
| 4. | | | | | | | |
| 5. | Stacey Fitzmaurice | EAA OS | 7-(b)(6) | 8/3/18 | | | |
| 6. | Darby Lajoye | EAASO | 7-(b)(6) | 81/18 | 93/18 | *[initials]* | |
| 7. | Return signed folder to RCA | | | | | | |

## **PLEASE RETURN ALL FOLDERS TO JENNA HAYFIELD AT (b)(6)**

| **FRONT OFFICE** | | **INITIAL** | **DATE** | **CORRECTION REQUESTED** |
|---|---|---|---|---|
| 1. | Christina Peach/Melissa Conley | | | |
| 2. | Keith Goll | *[initials]* | 7/10/35 | |
| 3. | Austin Gould | *[initials]* | 8/3/18 | |

**Explanation, Special Instructions, Comments:**

**Purpose:**
The purpose of this memorandum is to secure concurrence to operate Customs and Border Patrol Traveler Verification System Phase (TVS) Phase II at Los Angeles International Airport (LAX) Tom Bradley International Terminal (TBIT).

**Action Requested:**
AA review/approval.

## DUE DATE: July 13, 2018

| | TSA CLEARANCE SHEET | ORIGINATOR |
|---|---|---|

## TSA CLEARANCE SHEET

**Transportation Security Administration**

**ORIGINATOR:** Rachel Manis

| DOCUMENT FOR ACTION | OFFICE | PHONE | DATE |
|---|---|---|---|
| ☐ Action Memo ☐ Letter<br>☐ Info. Memo ☒ Other | ORCA | 7-(b)(6) | 6/7/2018 |

**SUBJECT:** TSA Pilot with TVS Phase II CONOPS Version 1.2

| TSA CONTROL NUMBER | ORCA-18-099 | ACTION REQUIRED | | | | | |
|---|---|---|---|---|---|---|---|
| **REVIEWERS** | | Office | Phone Extension | Date Received | Date Approved | Initial | Correction Required |
| 1. | Matt Graviss | ORCA | 7-(b)(6) | | mJ | 6-12 | |
| 2. | | | | | | | |
| 3 | | | | | | | |
| 4. | | | | | | | |
| 5 | | | | | | | |
| 6. | | | | | | | |

## **PLEASE RETURN ALL FOLDERS TO ORCA COMMUNICATIONS AT (b)(6)

| ORCA FRONT OFFICE | | INITIAL | DATE | CORRECTION REQUESTED |
|---|---|---|---|---|
| 1. | Melissa Conley/Christina Peach | CP | 6/12/18 | |
| 2. | Andy Lee | KM | 6/13/18 | |
| 3. | Keith Goll | CH | 6/14/18 | |

## Explanation, Special Instructions, Comments:

ORCA Communications level of review, per the originator's request:
☐ **Full Editorial Review** (grammar, formatting, acronyms)
☐ **Format Review Only** (alignment, title/signature lines, spacing)
☒ **Route Only** (no editorial or format review)

## Purpose:

TSA's Office of Requirements and Capabilities Analysis (ORCA) and CBP's Office of Field Operations (OFO) is coordinating a facial recognition Proof of Concept pilot using CBP's Traveler Verification Service (TVS) at the TSA checkpoint. The TVS is a cloud-based facial biometric matching service that uses existing traveler data provided by airlines via the Advance Passenger Information System (APIS) to create temporary photo galleries for passengers on all departing and arriving U.S. flights. There will be three phases of the pilot

## Action Requested:

Reviewers: Review, approve, sign document, and initial clearance sheet

## DUE DATE: June 12, 2018

| | | **ORIGINATOR** | | |
|---|---|---|---|---|
| | | Melissa Conley | | |

**Transportation Security Administration**

| **DOCUMENT FOR ACTION** | | **OFFICE** | **PHONE** | **DATE** |
|---|---|---|---|---|
| ☒ Action Memo ☐ Letter<br>☐ Info. Memo ☐ Other | | ORCA | 7-2(b)(6) | 9/22/2017 |

| **SUBJECT:** | TSA-CBP Entry Exit Pilot at JFK |
|---|---|

| **TSA CONTROL NUMBER** | ORCA-17-165 | **ACTION REQUIRED** | | | | | |
|---|---|---|---|---|---|---|---|

| **REVIEWERS** | | Office | Phone Extension | Date Received | Date Approved | Initial | Correction Required |
|---|---|---|---|---|---|---|---|
| 1. | | | | | | | |
| 2. | | | | | | | |
| 3 | | | | | | | |
| 4. | | | | | | | |
| 5 | | | | | | | |

## **PLEASE RETURN ALL FOLDERS TO ORCA COMMUNICATIONS AT (b)(6)**

| **ORCA FRONT OFFICE** | | INITIAL | DATE | CORRECTION REQUESTED |
|---|---|---|---|---|
| 1. | Melissa Conley | MC | 10/3 | |
| 2. | Keith Goll | (lg | 10/3 | |
| 3. | Steve Karoly | (lg | 10/3 | |

## Explanation, Special Instructions, Comments:

ORCA Communications level of review, per the originator's request:
☒ **Full Editorial Review** (grammar, formatting, acronyms)
☐ **Format Review Only** (alignment, title/signature lines, spacing)
☐ **Route Only** (no editorial or format review)

## Purpose:
The purpose of this memorandum is to grant U.S. Customs and Border Protection (CBP) the authority to operate the CBP-Transportation Security Administration (TSA) Entry/Exit Pilot at John F. Kennedy International Airport (JFK), Terminal 7 checkpoint, for Phase I data collection.

## Action Requested:
AA review and signature.

### DUE DATE: ASAP

Good Afternoon (b)(6)

TSA's responses to your questions, are within your initial email below.

Thank you.

Regards,

Marie

Marie A Trottier
Multicultural Branch
TSA Multicultural Coalition POC
Tribal Affairs Liaison
Traveler Engagement Division
Transportation Security Administration - CRL/OTE
Department of Homeland Security
571-227-(b)(6) (direct office line)
571-227-1921 (fax)



**From:** (b)(6)

**Sent:** Thursday, February 1, 2018 2:57 PM

**To:** Trottier, Marie

**Subject:** Follow-up Question Re: TSA Multicultural Coalition Conference Call - Call-In Details

Marie,

Thanks for putting together this call. As discussed on the call, I'm following up with my specific questions in writing in order to get a more detailed response.

TSA Precheck Questions:

Regarding the information collected from TSA Precheck applicants, especially the biometric data, what components of DHS is this information disseminated to? Additionally, what other agencies is this information disseminated to? I would appreciate it if TSA could provide the specific databases the information is disseminated to (e.g. FBI's Next Generation Identification (NGI) system).

At present, TSA does not share TSA Pre√® biometrics with any other DHS components. TSA plans to begin providing TSA Pre√® biometrics to the DHS Office of Biometric Identity Management (OBIM) in spring 2018. This will include biometrics associated with any new applicants as well as biometrics associated with current enrollees. The biometrics will be enrolled within OBIM's Automated Biometric Identification System (IDENT) for recurrent checks against the systems IDENT uses and under DHS policy for biometric storage.

TSA also provides TSA Pre√® biometrics to the FBI's NGI system for the purposes of conducting a criminal history record check.

Applicants are provided a Privacy Act Statement that states, in relevant part, that "Your fingerprints and associated information will be provided to the Federal Bureau of Investigation (FBI) for the purpose of comparing your fingerprints to other fingerprints in the FBI's Next Generation Identification (NGI) system or its successor systems including civil, criminal, and

This information is provided above.


For reference, FBI's retention policy on noncriminal fingerprints is described here: https://www.fbi.gov/services/records-management/foipa/privacy-impact-assessments/next-generation-identification-ngi-retention-and-searching-of-noncriminal-justice-fingerprint-submissions


Customer Service Branch Question:


What types of complaints does TSA get about TSA Precheck?
TSA primarily receives customer inquiries via the TSA Contact Center.
TSA also receives customer inquiries regarding TSA Pre√® through the contractor-operated Universal Enrollment Contact Center. These inquiries are specific to TSA's credentialing programs and the enrollment services provided. Of the calls received (approximately 16,000 per week), ~15% are status inquiries from individual applicants and ~85% are general inquiries regarding enrollment. Less than 1% of the calls received are complaints. Of the complaints, these typically relate to enrollment-specific issues such as enrollment centers that are unexpectedly closed, difficulty finding an enrollment center, etc.).


Thanks for your time and help with these questions.


Best regards,
(b)(6)


(b)(6)



Electronic Privacy Information Center
202.483.1140 (b)(6)
(b)(6)


Defend Privacy. Support EPIC.
http://www.epic.org/donate/

> On Jan 31, 2018, at 6:30 PM, Trottier, Marie <(b)(6)
> wrote:
> Good Evening:
> Thank you for agreeing to participate in TSA's Multicultural Coalition Conference Call
> scheduled for February 1, 2018 from 1:30PM to 3:00PM (Eastern Time). Here are the
> details of the call:
> The call-in number (b)(2)
> Conference participant passcode: (b)(2)

Purpose: to introduce you to other program offices within TSA. We have invited TSA colleagues from the following offices to participate in this call by providing information about their programs and responding to any follow-up inquiries you may have:

• Customer Service Branch

• Innovation Task Force

• Transportation Security Redress Branch

• TSA Pre-Check

Should you have any questions or need additional information, please email me at: (b)(6) or call me on my direct line: 571-227-(b)(6)

The Multicultural Branch looks forward to your participation on this call.

Best regards,

Marie

Marie A Trottier
Multicultural Branch
Traveler Engagement Division
TSA Multicultural Coalition POC
Tribal Affairs Liaison
Transportation Security Administration - CRL/OTE
Department of Homeland Security
571-227-(b)(6) direct office line)
571-227-1921 (fax)

Decisions

Based on the information presented during the DP1 event, the Steering Committee made the following decisions:

1. The BCT Demonstration Plan is approved.

2. The RCA BCT team is authorized to proceed with the capability development activities identified in the BCT Demonstration Plan.

3. The RCA BCT team is authorized to route the BCT CDP and CORD for review and approval.

4. The RCA BCT team is authorized to continue implementing the TSAM TID process to further develop and define valid biometrics requirements.

Action Items

The following action item has been assigned to the BCT team and associated personnel:

1. Initiate routing of the BCT CDP and CORD for review and approval.

Attachments

1. BCT Demonstration Plan Presentation

2. BCT CDP

3. BCT CORD

4. BCT DLM

5. Biometrics TSA Informational ARB ADM_03062019

The Point of Contact for this memorandum is Daniel Boyd, who may be reached at (571) 227-(b)(6) or (b)(6)

Cc:
EAA for Enterprise Support
EAA for Security Operations
EAA for Operations Support
AA for Acquisition Program Management/CAE
AA for Requirements and Capabilities Analysis/CRE
AA for Contracting and Procurement/HCA
AA for Chief Counsel
AA for Information Technology/CIO
AA for Chief Finance Office/CFO
AA for Training and Development
AA for Intelligence and Analysis
AA for Legislative Affairs

## CAT-C Phase II Design Changes

(b)(5)

**Transportation Security Administration**

# ORCA Front Office
Memorandum on TSA-CBP Biometrics Pilot
*October 3, 2017*

Transportation
Security
Administration

ACTION

MEMORANDUM FOR:      Steve Karoly
                     Acting Assistant Administrator
                     Office of Requirements and Capabilities Analysis

FROM:                Melissa Conley MC
                     Executive Advisor, Front Office
                     Office of Requirement and Capabilities Analysis

SUBJECT:             TSA-CBP Entry/Exit Pilot at JFK

Purpose

The purpose of this memorandum is to grant U.S. Customs and Border Protection (CBP) the authority to operate the CBP-Transportation Security Administration (TSA) Entry/Exit Pilot at John F. Kennedy International Airport (JFK), Terminal 7 checkpoint, for Phase I data collection.

Background

TSA's Office of Requirements and Capabilities Analysis (ORCA) and CBP's Office of Field Operations (OFO) are conducting a joint facial recognition proof of concept using CBP's Traveler Verification Service (TVS) biometric system. TVS utilizes a cloud-based biometric matching service that compares captured photos of international travelers against existing photos from sources such as a U.S. passport, U.S. visa, and/or other Department of Homeland Security encounters. The pilot is planned to start on October 11, 2017, at JFK's international checkpoint in Terminal 7.

This multi-phased pilot is the first step in a partnership with CBP to validate identities of international outbound travelers at a checkpoint. In this initial phase, CBP technologies and related processes will be conducted at the TSA checkpoint and the data collected will be used to determine the feasibility of using CBP TVS technology for identity verification at a TSA checkpoint.

Discussion

**Authority:** The pilot will be conducted under CBP authorities with the placement of the cameras at TSA's Travel Document Checker (TDC) station. The cameras and related technology are owned
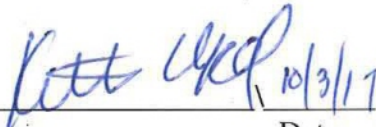
and operated by CBP. Both TSA and CBP are working together to conduct this pilot utilizing the CBP gallery of passenger biometrics at the TSA checkpoint.

**Concept of Operations (CONOPS):** There will be limited changes to TDC processes. When travelers on outbound international flights arrive at the TSA checkpoint and reach the TDC podium, they will opt into to the facial recognition camera placed next to the TDC podium. The passenger will approach the facial recognition camera and activate the camera by scanning their boarding pass. CBP and TSA will provide signage to explain the process to the passenger, but the TDC will need to provide supplemental instructions depending on the situation. After the TVS reads the passenger's boarding pass and a photo is captured, the biometric match result will be rendered by the technology and displayed to the officer at the TDC. The passenger will proceed to the podium, where the officer will review the passenger's identification documentation and boarding pass per the current TSA standard operating procedure. If at any time this pilot directly impacts the flow of passengers thorough the checkpoint, the Federal Security Director or designee can bypass the camera and revert back to normal TDC operations.

**Training:** Training will be conducted in the form of an abridged CONOPS document outlining the steps for each participating passenger to follow. The document provides background, purpose, process overview and common questions from passengers with proper responses. This CONOPS guide will be provided to all officers working during the pilot to ensure a smooth rollout.

Recommendation

Recommend approval of this memorandum granting CBP's technologies and processes authority to be used at a TSA checkpoint through the TSA-CBP Entry/Exit Pilot at the JFK Terminal 7 checkpoint.

Approve _____ 10/3/17          Disapprove _____ _____
                          Date                                      Date

Modify _____ _____          Needs more discussion _____ _____
                      Date                                      Date

latent fingerprint repositories. The FBI may retain your fingerprints and associated information in NGI after the completion of this application and, while retained, your fingerprints may continue to be compared against other fingerprints submitted to or retained by NGI. DHS will also transmit your fingerprints for enrollment into DHS OBIM Automated Biometrics Identification System (IDENT)."

TSA does not provide TSA Pre✓® biometrics to any other databases outside of TSA.

Also, for the various agencies/DHS subcomponents that the information is disseminated to, what is the retention policy for this information? Is there a means to expunge one's information from these databases once the reason for collection has passed.

For example, as described on the phone, the FBI receives TSA Precheck applicant information in order to do a criminal history records check. This information is stored in the FBI's NGI database and the Bureau's policy is to retain noncriminal fingerprints until the person obtains "110 years of age or seven years after notification of death with biometric confirmation." Presumably, after the initial criminal history record check is complete, the FBI no longer needs the TSA Precheck applicant's information. Current practice though would require the applicant to obtain a court order to have their information removed from NGI if they want it out before they turn 110 or die.

Because TSA conducts recurrent checks on TSA Pre✓® Application Program participants, retention throughout the entire enrollment is necessary. TSA retention follows the following schedule:

- For individuals who were not a potential match to a watch list, TSA/OBIM will delete TSA Pre✓® applicant data, including applicant biometrics, one year after the individual has notified TSA that he or she is no longer participating in the TSA Pre✓® Application Program (e.g., one year after the individual's security threat assessment has expired).

- For individuals who originally appeared to be a match to a watch list but were subsequently determined not to be a match, TSA/OBIM will retain their biometrics for seven years after completion of matching or one year after the individual has notified TSA that he or she is no longer participating in the TSA Pre✓® Application Program, whichever is later.

- For individuals who were determined to be a positive match to a watch list, TSA/OBIM will retain their biometrics for 99 years after completion of matching activity or seven years after TSA learns that the individual is deceased, whichever is earlier.

Biometrics provided to OBIM follow the OBIM retention schedule, except that TSA can request deletion of records enrolled by TSA where there has been no independent encounter with DHS that results in the individual's enrollment in OBIM.

FBI NGI follow the FBI NGI's retention policy.

Would TSA consider putting together a report/flowchart that shows everywhere a person's Precheck application information goes and how to have it removed (hopefully without the need to obtain a court order)? I'll note that a submitting agency can have the information removed from NGI.

## Transportation Security Administration

## Touch to Capture TVS Facial Image

1. There is no visible change to the TVS screen.

2. The lower 80% of the reverse-facing screen is enabled to be tapped to capture the photo (Outlined in Red). The camera will be activated with a single tap of the screen with one finger. NOTE: A passenger can also activate the camera with a single tap on the passenger-facing screen, as it is identical to the reverse-facing screen. Please do not let any travelers touch the camera screen.

3. The use of the QR reader will no longer be necessary to capture a photo using the TVS system at TDC.

4. If the camera/TVS tablet is not working, please notify your Supervisor. Supervisors: try to re-boot the system once, if that does not address the issue, please email garret.a.conover@cbp.dhs.gov and CC: kelli.biegger@tsa.dhs.gov with a detailed description of the issue. If there is a network connection issue with the CBP camera, please contact the ATL Network Operation Center (NOC) 404-209-5550 and report the issue. If there is a network issue with the TSA tablet, Supervisor should call SPOC at 800-253-8571.
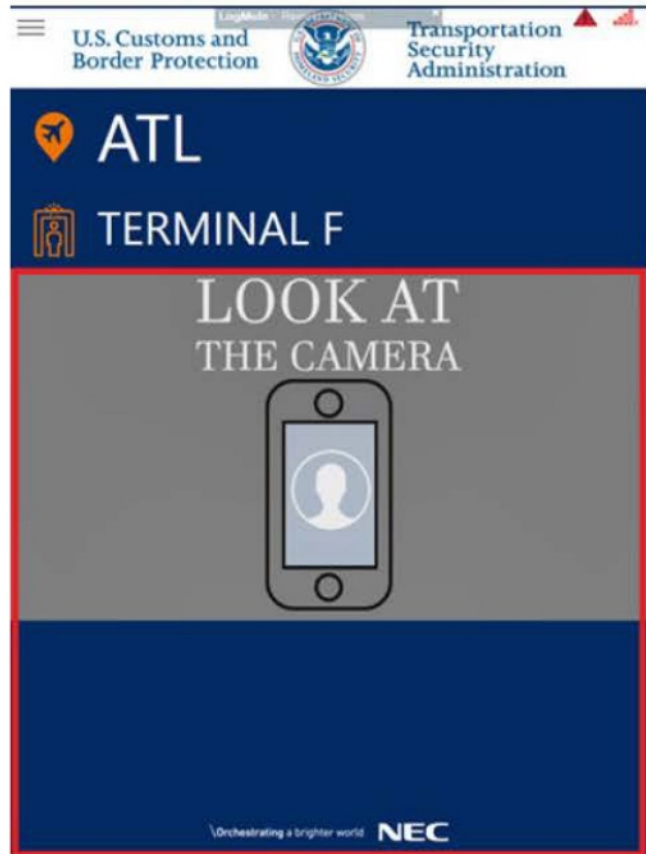
## Best Practices and Reminders:

- Ensure passenger is on an international flight; domestic passengers receive standard TDC procedures.
- Do not take the passport if the traveler is on an international flight, only take the boarding pass.
- Ensure passenger is standing in front of the camera before tapping screen to capture photo.
- Please ask passengers to remove eyewear and hats. Please be mindful of religious headwear, and follow TSA training when encountered.

# TSA Biometrics Industry Day

Monday, March 11, 2019

1:00 p.m. - 4:30 p.m.

TSA HQ Townhall

| Session | Speaker(s) | Time |
|---|---|---|
| Welcome and Opening Statements | Austin Gould, Assistant Administrator, Requirements & Capabilities Analysis, TSA | 1:00 – 1:10 p.m. |
| Keynote | Stacey Fitzmaurice, Executive Assistant Administrator for Operations Support, TSA | 1:10 – 1:20 p.m. |
| How did we get here?/CBP-TSA Partnership on Biometrics Technology | Melissa Conley, Executive Advisor, Requirements & Capabilities Analysis, TSA \| Dan Tanciar, Deputy Executive Director - Planning, Program Analysis, and Evaluation, U.S. Customs and Border Protection | 1:20 – 1:40 p.m. |
| Biometrics Roadmap & TSA Modernization Act Reporting Requirements | Jason Lim, Biometrics Capability Manager, TSA | 1:40 – 2:00 p.m. |
| Biometrics Architecture | Dan Boyd, Systems Engineer, Requirements & Capabilities Analysis, TSA \| Brandon Gutierrez, Systems Engineer, Requirements & Capabilities Analysis, TSA | 2:00 – 2:20 p.m. |
| Break | | 2:20 – 2:30 p.m. |
| Policy Process Overview | Dave Moran, Transportation Security Specialist, Policy, Plans, and Engagement, TSA \| Susan McDermott, Program Analyst, Policy, Plans, and Engagement, TSA | 2:30 – 2:45 p.m. |
| Privacy | Peter Pietra, TSA Privacy Officer | 2:45 – 3:00 p.m. |
| Innovation Task Force (ITF) Overview | Mara Winn, Manager, Innovation Task Force (ITF), TSA | 3:00 – 3:15 p.m. |
| Biometrics Rally I & II Overview | Arun Vemury, Director, Biometric and Identity Technology Center, DHS S&T | 3:15 – 3:30 p.m. |
| Break | | 3:30 – 3:40 p.m. |
| Panel Discussion / Q&A | Moderator: Mara Winn, ITF Manager \| Melissa Conley, RCA Executive Advisor \| Ted Sobel, RCA \| Susan Prosnitz, Deputy Chief Counsel \| Mary Kate Whalen, Deputy Chief Counsel \| Peter Pietra, TSA Privacy Officer \| Arun Vemury, DHS S&T Director | 3:40 – 4:25 p.m. |
| Concluding Remarks | Jason Lim, Biometrics Capability Manager, TSA | 4:25 – 4:30 p.m. |

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## ACQUISITION DECISION MEMORANDUM

| | |
|---|---|
| **MEMORANDUM FOR:** | Jason Lim<br>Capability Manager, Identity Management<br>Requirements and Capabilities Analysis |
| **FROM:** | Austin Gould<br>Component Requirements Executive<br>Requirements and Capabilities Analysis |
| **SUBJECT:** | Transportation Security Administration Technology Innovation Demonstration Steering Committee Decision Point 1 Approval for Biometrics Checkpoint Technology Demonstration Plan and Proposed Path Forward Activities |

*AL 1 Nov 19*

On October 30, 2019, the Transportation Security Administration (TSA) Technology Innovation Demonstration (TID) Steering Committee, chaired by Requirements and Capabilities Analysis (RCA), conducted a Decision Point 1 (DP1) event for Biometrics Checkpoint Technology (BCT). The purpose of the event was to review and approve the BCT Demonstration Plan, created in accordance with the requirements set forth in the TSA Systems Acquisition Manual (TSAM), and approve the proposed path forward activities.

Discussion

During the TSA TID Steering Committee DP1 event, the RCA BCT team presented a comprehensive overview of:

1. Actions to date, since March 2019, when the TSA Informational Acquisition Review Board (ARB) Acquisition Decision Memorandum (ADM) was released approving the BCT path forward.

2. The BCT Demonstration Plan and Documentation Package, including the Consolidated Operational Requirements Document (CORD), Capability Development Plan (CDP), and Demonstration Logistics Methodology (DLM).

3. The proposed demonstration path forward and alignment to the TSAM TID process.

4. Proposed next steps, including routing and approval of the BCT Documentation Package.

**FILE:** 2600.3

# Biometrics Checkpoint Technology (BCT) Technology Innovation Demonstration (TID) Plan Overview

October 2019
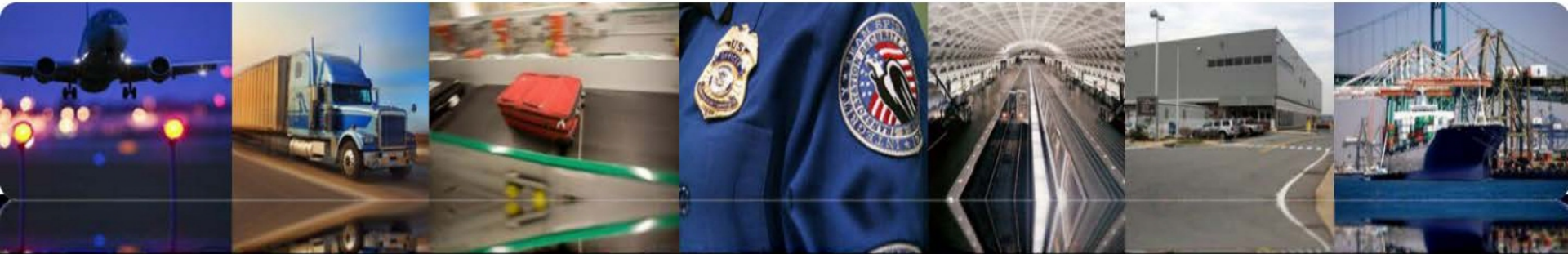
# Acquisition Process Review

# TSAM Technology Innovation Demonstration (TID) Process

The purpose of this process is to study the effectiveness of more mature technologies in the field, allowing for a potential transition into the formal Acquisition lifecycle.

## Technology Innovation Demonstration Flow Chart

Identify Potentially Beneficial Technology → Develop Demonstration Plan → Review Demonstration Plan with Technology Innovation Demonstration Steering Committee **[1]** → Conduct Demonstration, Analyze Results, and Develop Closeout Brief → Brief Technology Innovation Demonstration Steering Committee on Demonstration Results **[2]**

Technology Innovation Demonstration Transition Committee determines next steps from one of four categories:

| Not of Interest | Requires Further Research | Acquire | Procure |
|---|---|---|---|
| Effort stops, TSA not interested in pursuing this technology at this time | Effort referred for developmental activity (e.g., DHS S&T) or to airport for consideration/ implementation | Effort transitioned to the appropriate ARB for review and approval for entry into the ALF | Effort transitioned to end-user office and HCA for Procurement |

Upon *Acquire* decision, an ARB must review and approve the technology for inclusion into the ALF, entry points may include: **[3]**

**[0]** Pre-Need — **[1]** Need — **[2A]** Analyze and Select — **[2B]** **[2C]** Obtain — **[3]** Produce, Deploy, and Support

*Demonstrations are intended for technologies with TRL 6 or higher

# Biometrics Acquisition Path Forward

In March 2019, the TSA Biometrics Team was approved to use the TSA Systems Acquisition Manual (TSAM) Technology Innovation Demonstration (TID) to find efficiencies in the acquisition process, and deliver the right technology to the field at the right time.

## Background

### Acquisition Decision Memo

- Use of the TID process for BCT was approved via an ADM in March 2019

### JRC / PARM Coordination

- The TSAM was signed in August 2018, and included the TID process as a possible strategy to streamline acquisitions
- The TID process allows for field demonstrations of mature technologies

### Integrated Project Team (IPT)

- An IPT was created to drive support activities and complimentary efforts to conduct demonstrations

## Progress to Date

### Documentation Development

- **Capability Development Plan:** Outlines demonstrations and supporting activities

- **Consolidated Operations Requirements Document:** Provides requirements for the solution, along with details on mission need and operational concepts

- **Demonstration Logistics Methodology:** Describes the high-level testing and evaluation, supportability, and cost principles employed by the in support of the TID process

## Next Steps

### Demonstration Plan Review

- The BCT Project Team requests approval to conduct demonstrations as stated in the presented Demonstration Plan

- **If approved, all approved documentation will be refined and updated as necessary throughout the TID process to ensure accuracy and consistency**

**Transportation Security Administration**

**RCA** | REQUIREMENTS & CAPABILITIES ANALYSIS

# Documentation Overview

The following documents will form the Demonstration Plan Package for BCT Technologies, to be presented at Decision Point 1.

| Document | Intent | Level of Review | TID Alignment |
|---|---|---|---|
| Capability Development Plan (CDP) | Outlines the demonstrations and supporting activities that will be conducted during the TID process | • TSA<br>• DHS – PARM review / signature | Capability Development Plan |
| Consolidated Operations Requirements Document (CORD) | Provides clarity and completeness to concerns related to requirements' testability and achievability, along with details on mission need and operational concepts | • TSA<br>• DHS – JRC review / signature | Mission Needs Statement, Concept of Operations, and Operational Requirements |
| Demonstration Logistics Methodology (DLM) | Describes the high-level testing and evaluation, supportability, and cost principles employed by the in support of the TID process | • TSA – RCA / APM signature<br>• DHS – informational | Integrated Logistics Support Plan, Lifecycle Cost Estimate, Test and Evaluation Strategy |
| Demo Plan Brief | Consolidates all relevant data into a presentation format for briefing and decision-making purposes | • TSA – informational<br>• DHS – none | TID Demonstration Brief |

**Transportation Security Administration**

**RCA** | REQUIREMENTS & CAPABILITIES ANALYSIS

2020-TSFO-00198_00592

# Leadership Review and Requested Approval

The BCT Project utilized the following review & socialization plan to gain buy-in for the demonstration path forward.

**Decision Point 1 Socialization Meetings**

- Provided an overview of progress to-date through the TID process and socialized Decision Point 1 documentation with the CRE, CAE, and CIO for review and comment

**Finalized Documentation for Signature**

- Incorporated leadership feedback into documentation and routed to CRE, CAE, and CIO for approval and signature prior to Decision Point 1

**Decision Point 1 Approval Request**

- The BCT Project requests approval to conduct demonstrations as stated in the presented Demonstration Plan and under the proposed biometric capability development timeline
- If approved by CRE, CAE, and CIO, the BCT Project will provide a memorandum to memorialize the Steering Committee's decision to proceed in the BCT TID process

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# Capability Development and Acquisitions Strategy

**Transportation Security Administration**

**2020-TSFO-00198_00594**

# TSA Biometrics Capability Development

TSA is pursuing 1:1 facial matching, 1:N facial recognition, Mobile Drivers' License (mDL), and Registered Traveler (RT) program integration to enhance biometrics capabilities at the TSA checkpoint for identity verification.

| | | |
|---|---|---|
| **1:1 Facial Matching** | **Integrate biometric capture with Credential Authentication Technology (CAT) machines to verify a live image capture against the image on a credential:**<br>• *Phase I (Unnetworked)*: Processed ~4,600 passengers at LAS from 8/27 – 9/27<br>• *Phase II (Networked)*: Pilot planned for Q2 FY20<br>• *Phase III (E-gate)*: Pilot planned for Q3 FY20 | Trusted/ General Travelers |
| **1:N Facial Recognition** | **Utilize a backend matching service developed by CBP (Transportation Verification Service) to compare a live image capture to gallery of enrolled references**<br>• *Phase I (Scalability)*: Pilot in Q2 FY17 at JFK<br>• *Phase II (Multiple touchpoints)*: Pilot ongoing in ATL<br>• *Phase III (Token-less)*: Pilot in Q4 FY20 | Trusted Travelers |
| **Digital ID Capability** | **Integrate mDL authentication capability with CAT machines to transmit digital identity information**<br>• TSA is preparing to contract mDL "dongle" development to the CAT vendor in Q2 FY20<br>• This effort is inclusive of RT vendor's desire for TSA to allow for an electronic confer and concur. | Trusted/ General Travelers |

**TSA plans to pilot these solutions with TSA Pre✓® passengers to evaluate technology performance before deploying solutions for additional population groups.**

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# CAT-C Phase I – LAS Operational Overview

The CAT-C Operator is responsible for ensuring a successful biometric identity verification demonstration. Operators were trained to process passengers through the CAT-C without inhibiting checkpoint throughput during the 30 day pilot period.

## Operator Procedures

Operators are required to follow the CAT-C Operator Manual which defines step-by-step instructions on how to operate the CAT-C unit to perform the following:

1. Validate that the ID is authentic
2. Photograph the passenger
3. Compare the photograph of the passenger to the image from the passenger's identity document
4. Record the transaction data, including demographic data from the ID document, for S&T assessment of the system

## Approximate Findings

- Two volunteers were assigned to staff the CAT-C to ensure adequate coverage during peak time periods.

- TSA processed approximately **4,600 passengers** through the CAT-C device, or **~150 passengers per day.**

- Approximate CAT-C passenger throughput time estimates

  - Passengers traveling with multiple bags: ~28 sec
  - Passengers inquisitive of the system: ~15 sec
  - Passengers incurious about the system: ~8 sec
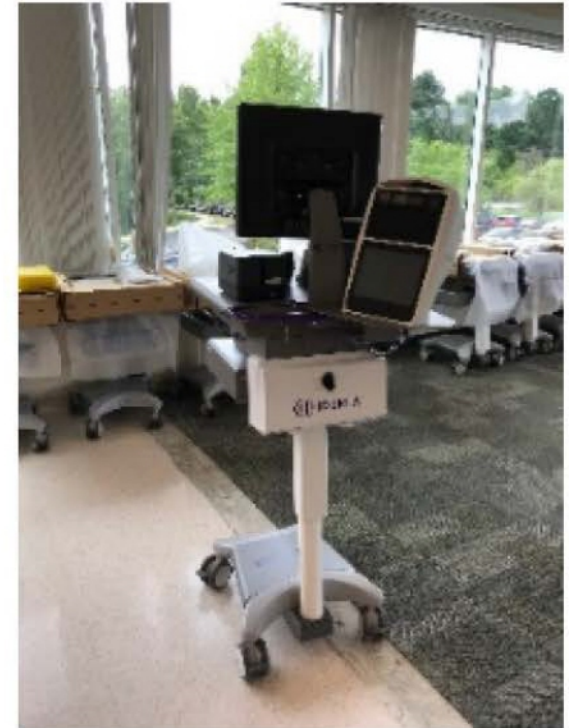
The CAT-C unit (pictured above) was located in Terminal 3 Concourse E at the Upper TSA Pre√® Lane Area before the TDC

**Transportation Security Administration**

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RCA | REQUIREMENTS & CAPABILITIES ANALYSIS

# Looking Forward: CAT-C Phase II and III

While attending the Future Travel Experience (FTE) Conference in August 2019, RCA Leadership meet with CAT vendor (Idemia) to discuss and strategize the next demonstrations of the CAT-C configurations to further automate the TDC function.

## CAT-C Phase II
### Pilot: Q3 FY20

- Leverages a more flexible solution to allow the use of non-proprietary and modular commercial off-the-shelf (COTS) cameras
- Will be the final configuration/form factor for a TSO-assisted 1:1 facial matching capability at many airports



*CAT-C Phase II unit*

## CAT-C Phase III
### Pilot: Q4 FY20

- Automates all TDC functions and allows the TDC officer to transition into an identity resolution officer
- Will be evaluated in coordination with TSIF and S&T personnel to best integrate into the checkpoint



*CAT-C Phase III unit*

By demonstrating various configurations of BCT, TSA will produce functional requirements to inform Decision Point II events for each biometric capability.

**Transportation Security Administration**

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2020-TSFO-00198_00597

# Decision Point 1 Documentation Overview

1.  Capability Development Plan (CDP)
2.  Consolidated Operational Requirements Document (CORD)
3.  Demonstration Logistics Methodology (DLM)

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RCA | REQUIREMENTS & CAPABILITIES ANALYSIS

# CDP Overview

The intent of the CDP is to outline the demonstrations and supporting activities that will be conducted during the TID process of the TSAM. The CDP details technology-maturing and analysis activities needed to better understand the biometrics technology space. These activities will be used to support the capability development and demonstration of BCT.

## Mission Space

- **Identity Verification (IDV):** TSA must ensure that a person seeking to board an aircraft is who they claim to be and was appropriately vetted against intelligence-driven watchlists.

- **Capability Gaps:** In 2018, TSA identified the following IDV capability gaps for TSA:
  - Verify a Traveler's/Non-Traveling Individual's Identity
  - Obtain a Traveler's/Non-Traveling Individual's Risk Level

- **Recommendation:** Investigate a new materiel solution to close capability gaps
  - Biometric technology

## TID Trade Space

- **Envisioned System:** Assists a TSO in verifying a passenger's identity and confirming their risk level while configurable to operate in Federalized airport security screening checkpoint

- **Plan of Action & Milestones:** If approved at DP1, the BCT Project will conduct 3 Series of demonstrations to evaluate multiple configurations of BCT

- **Integrated Project Team (IPT):** The BCT TID process will be supported by the stakeholders:
  - TSA - RCA, APM, IT, CC, PRIV, I&A, CRL OTE, PPE, SO, OSHE, T&D
  - DHS – Science and Technology Directorate (S&T)

## Analysis of Demonstrations

- **Assessment Phases:** Each demonstration will undergo the following phases for assessment:
  - Phase 1 – Solution is installed at a DHS testing facility
  - Phase 2 – Solution is demonstrated in the checkpoint environment

- **Evaluation Criteria:** Demonstrations will evaluate the BCT solution's ability to support the key performance parameters (KPPs) identified in the CORD
  - Demonstration of these capabilities will help inform the refinement and determination of the final operational and functional requirements

# CORD Overview

The CORD focuses on operational requirements that describe "**what**" BCT must do rather than specifying "**how**" BCT will do it. The requirements discussed in this document directly support the efforts set forth in the Biometrics Roadmap, 2018-2026 TSA Strategy, and other TSA strategic documentation.

## Operating Concept

Demonstrations of BCT will evaluate the system's ability to perform the following:

- **Primary Screening Function:**
  - Verify a traveler's identity
  - Confirm the traveler has a proper flight reservation, and
  - Obtain the traveler's vetting status

- **Secondary Screening Function:**
  - Provide information to assist the TDC in resolution of any alerts that occur during primary screening functions
  - Maintain positive control of the traveler at the TDC

## Setup Configuration

- **Configurations:** The appropriate configuration is based on staffing, footprint, infrastructure, lane type, and throughput requirements. Configurations include:
  - TSO-Assisted Configuration
  - Self-Service Configuration

- **Operations & Support:** BCT configurations will be evaluated in the following screening scenarios:
  - Screening of Passenger with ID
  - Screening of Passenger with On File Biometric

- **Resolution:** Passengers not successfully processed will be routed to an alternative TDC to verify identity

## KPPs & Operational Reqs.

- **KPPs:** The following system capabilities are considered essential for successful accomplishment of the system's mission
  - Biometric Capture Rate
  - Biometric Verification
  - Biometric Error Rate
  - Interoperability
  - Cybersecurity

- **Throughput:** The system will not negatively impact the operational throughput of the checkpoint lane

- **Logical Design:** The system will support sound human factors engineering principles for users/operators

**Transportation Security Administration**

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RCA | REQUIREMENTS & CAPABILITIES ANALYSIS

# DLM Overview

The BCT DLM describes the high-level testing and evaluation, supportability, and cost principles employed by the BCT IPT in in support of the TID process. As such, statements included in this document are preliminary and may not impact the long-term strategy of an acquisition or procurement resultant from the demonstrations.

## Testing and Evaluation Strategy

- **Data Collection:** Laboratory and field data collection activities will be planned to refine the system capabilities to meet TSA's needs related to security and operations.

- **Evaluation Characteristics:**
  - Improved Security Effectiveness
  - Improved Operational Efficiency
  - Improved Modularity and Interoperability

- **Demonstrations:**
  - CAT-C Phases 1 – 3
  - Digital Credential Integration
  - Token-less Experience

## Demo Lifecycle Sustainment

- **Sustainment Concept:** Maintenance of the BCT units for demonstration are covered by Original Equipment Manufacturer (OEM) warranty per contracts and bailment agreements with each technology vendor.

- **Operator Resources & Training:** BCT will be operated by TSA personnel and/or TSOs. The BCT IPT will interface with operators to forecast training and staffing needs prior to demonstrations.

- **Facilities, Infrastructure, and Installation:** Site surveys are conducted to assess facility readiness for equipment installation to support both testing and demonstration of technologies

## Cost Estimating Results

- **Scope:** Demonstrates long-term programmatic rigor prior to demonstration to assist in the potential transition to an acquisition or procurement.

- **Cost Analysis:** The BCT IPT estimated the current cost for testing, travel/ODCs, system development and contractor support to execute BCT TID activities
  - FY19 (Actual) - $7,000,524
  - FY20 (Projected) - $9,487,771

- **Long-term Considerations:** Potential funding sources have been identified including appropriated/non-appropriated funding and burden sharing with other programs and private entities (e.g. airports/airlines)

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RCA | REQUIREMENTS & CAPABILITIES ANALYSIS

2020-TSFO-00198_00601

**TRANSPORTATION SECURITY ADMINISTRATION**

# New Checkpoint Technology Brief
# Chairman Thompson ATL Visit

★ ★ ★ ★ ★ ★

**March 14, 2019**

2020-TSFO-00198_00602

# Credential Authentication Technology (CAT)

CAT enhances the passenger screening process at the checkpoint by serving as a technological solution to improve the inspection of identification documentation and confirm passengers' Secure Flight status. CAT machines validate drivers licenses, passports and other TSA accepted forms of identification.

| | FY 2018 | | FY 2019 | | | | FY 2020 | | | | FY 2021 | | | |
|---|---|---|---|---|---|---|---|---|---|---|---|---|---|---|
| | Q3 | Q4 | Q1 | Q2 | Q3 | Q4 | Q1 | Q2 | Q3 | Q4 | Q1 | Q2 | Q3 | Q4 |

Key Activities:
- Operational Testing Completed (FY2018 Q4)
- Government Shutdown
- DHS ARB (FY2019 Q2)
- Cyber Upgrades
- Deploy 325 Units
- Deploy 294 Units
- Deploy 552 Units
- Contract Award (x3)
- Today
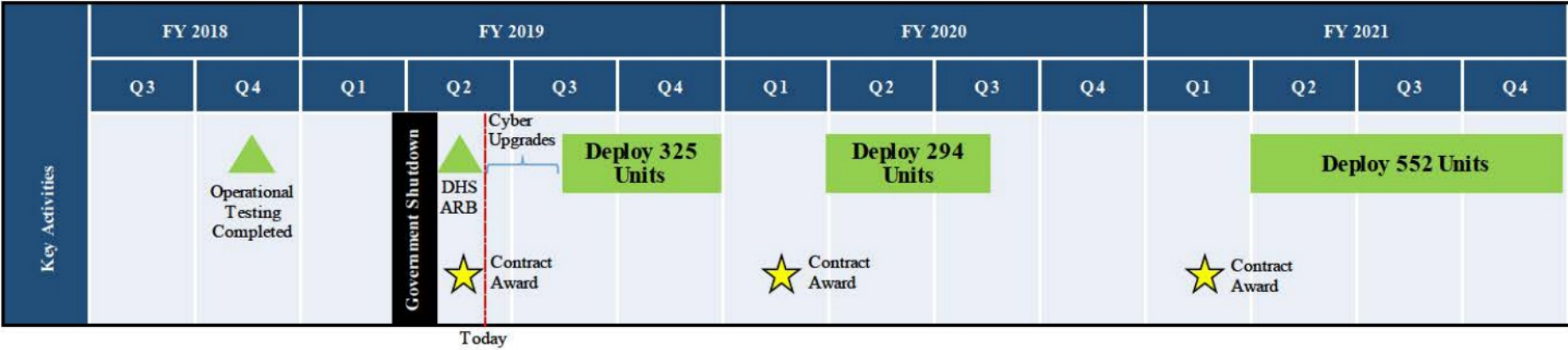
- Total Projected Units: 1520
- Units Deployed: 47 (LRIP only)
- Average Unit Cost: $25K

| Deploying 325 Units to the following Airports: | | | | | |
|---|---|---|---|---|---|
| ATL | Hartsfield-Jackson Atlanta | DTW | Detroit Metro | LGA | LaGuardia |
| AUS | Austin Bergstrom Int'l | EWR | Newark Liberty Int'l | MIA | Miami Int'l |
| BNA | Nashville Int'l | FLL | Fort Lauderdale Int'l | MSP | Minneapolis-Saint Paul Int'l |
| BOS | Boston Logan Int'l | IAD | Dulles Int'l | ORD | O'Hare Int'l |
| BWI | Baltimore/Washington Int'l | IAH | George Bush Int'l | PDX | Portland Int'l |
| CLT | Charlotte Douglas Int'l | IND | Indianapolis Int'l | PHX | Phoenix Sky Harbor Int'l |
| DCA | Ronald Reagan Washington | JFK | John F. Kennedy Int'l | RDU | Raleigh-Durham Int'l |
| DEN | Denver Int'l | LAS | McCarran Int. Las Vegas | SEA | Seattle-Tacoma Int'l |
| DFW | Dallas-Fort Worth Int'l | LAX | Los Angeles Int'l | | |

# Checkpoint Computed Tomography (CT) - AT/CT

TSA recognizes CT screening technology as the most impactful capability currently available to address the rapidly-evolving threats at airport checkpoints. CT systems offer an enhanced 3D imaging platform compared to deployed legacy AT x-ray systems and can be upgraded to automatically detect a broader range of threats.

| | FY 2018 | | FY 2019 | | | | FY 2020 | | | | FY 2021 | | | |
|---|---|---|---|---|---|---|---|---|---|---|---|---|---|---|
| | Q3 | Q4 | Q1 | Q2 | Q3 | Q4 | Q1 | Q2 | Q3 | Q4 | Q1 | Q2 | Q3 | Q4 |

Key Activities:
- ▲ Lab Testing Complete
- ▲ Operational Testing Complete
- Government Shutdown
- Today
- ★ Contract Award
- Deploy 202 CT Systems
- Threat Detection Upgrade
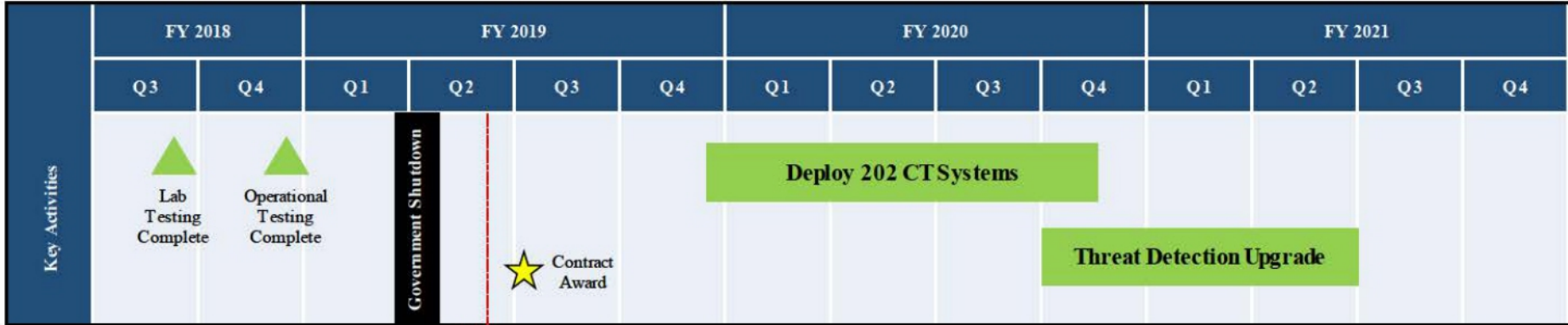
**Analogic ConneCT**   **L3 ClearScan**

**Smiths CTiX**   **IDSS DETECT 1000**

Deploying **202 units to 51** Airports (Listed on next page)

TSA is executing on its intent to rapidly qualify, procure, and deploy CT technology to airport checkpoints. All systems from the FY19 Procurement will be deployed by Q4 FY20.

- Total Units: Up to 300
- Units Deployed: 10 (AT/CT only)
- Average Unit Cost: $400k (est.)

2020-TSFO-00198_00604

# Checkpoint Computed Tomography (CT) - AT/CT (cntd.)

TSA tentatively plans to deploy system procured during the FY19 AT/CT acquisition to the following airports:

| | Deploying **202\*** Units to the following Airports (**ALPHABETICAL ORDER**) | | | | | | | | |
|---|---|---|---|---|---|---|---|---|---|
| ATL | Hartsfield-Jackson Atlanta | 6 | HNL | Honolulu Int'l | 1 | PDX | Portland Int'l | 4 |
| AUS | Austin Bergstrom Int'l | 3 | IAD | Dulles Int'l | 7 | PHL | Philadelphia Int'l | 5 |
| BHM | Birmingham-Shuttlesworth Int'l | 1 | IAH | George Bush Int'l | 7 | PHX | Phoenix Sky Harbor Int'l | 7 |
| BNA | Nashville Int'l | 4 | IND | Indianapolis Int'l | 2 | PIT | Pittsburgh Int'l | 2 |
| BOS | Boston Logan Int'l | 5 | JAN | Jackson-Medgar Wiley Evers Int'l | 1 | RDU | Raleigh-Durham Int'l | 3 |
| BWI | Baltimore/Washington Int'l | 5 | JFK | John F. Kennedy Int'l | 7 | RSW | Southwest Florida Int'l | 2 |
| CLE | Cleveland Hopkins Int'l | 2 | LAS | McCarran Int. Las Vegas | 7 | SAN | San Diego Int'l | 5 |
| CLT | Charlotte Douglas Int'l | 4 | LAX | Los Angeles Int'l | 6 | SAT | San Antonio Int'l | 1 |
| CMH | John Glenn Columbus Int'l | 2 | LGA | LaGuardia | 3 | SEA | Seattle-Tacoma Int'l | 1 |
| CVG | Cincinnati/N. Kentucky Int'l | 2 | MCI | Kansas City Int'l | 2 | SFO | San Francisco Int'l | 10 |
| DAL | Dallas Love Field | 2 | MCO | Orlando Int'l | 4 | SJC | San Jose Int'l | 4 |
| DCA | Ronald Reagan Washington | 5 | MDW | Chicago Midway Int'l | 2 | SJU | San Juan | 3 |
| DEN | Denver Int'l | 6 | MEM | Memphis Int'l | 1 | SLC | Salt Lake City Int'l | 1 |
| DFW | Dallas-Fort Worth Int'l | 5 | MIA | Miami Int'l | 9 | SMF | Sacramento Int'l | 2 |
| DTW | Detroit Metro | 4 | MSP | Minneapolis-Saint Paul Int'l | 4 | SNA | John Wayne | 1 |
| EWR | Newark Liberty Int'l | 3 | MSY | Louis Armstrong New Orleans Int'l | 2 | STL | St. Louis Lambert Int'l | 3 |
| FLL | Fort Lauderdale Int'l | 7 | ORD | O'Hare Int'l | 7 | TPA | Tampa Int'l | 4 |

Note: Deployment Site List is <u>not sequenced by priority</u> and is subject to change. Additionally, numbers referenced above indicate amount of AT/CT systems deployed per airport.
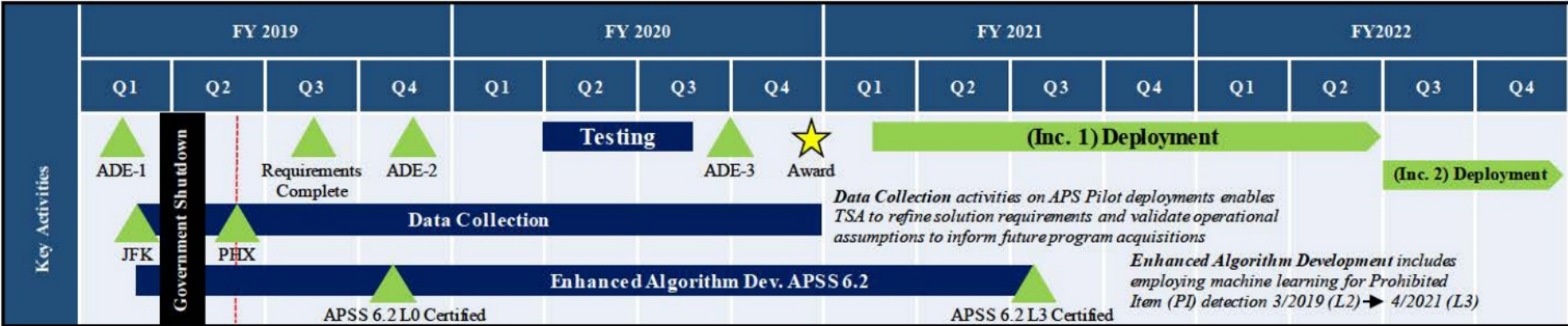
\*Six (6) systems within the FY19 AT/CT procurement will be deployed to the TSA Academy, TSIF, TSL, BACO, TML, and the OEM.

# Checkpoint Computed Tomography (CT) - APS

To support full-scale deployment of computed tomography (CT), TSA will stand-up the Accessible Property Screening (APS) Program enabling CT deployment to all checkpoints and replace AT X-ray technology. This Program will continue development and future acquisitions to incrementally deploy mature capability improvements to the field.

| | FY 2019 | | | | FY 2020 | | | | FY 2021 | | | | FY2022 | | | |
|---|---|---|---|---|---|---|---|---|---|---|---|---|---|---|---|---|
| **Key Activities** | Q1 | Q2 | Q3 | Q4 | Q1 | Q2 | Q3 | Q4 | Q1 | Q2 | Q3 | Q4 | Q1 | Q2 | Q3 | Q4 |

Key Activities timeline:
- ADE-1 (Q1 FY2019)
- Government Shutdown (Q2 FY2019)
- Requirements Complete (Q3 FY2019)
- ADE-2 (Q4 FY2019)
- Testing (Q1–Q2 FY2020)
- ADE-3 (Q3 FY2020)
- Award ⭐ (Q4 FY2020)
- (Inc. 1) Deployment (Q1 FY2021 – FY2022)
- (Inc. 2) Deployment (FY2022)
- JFK / PHX — Data Collection
- APSS 6.2 L0 Certified
- Enhanced Algorithm Dev. APSS 6.2
- APSS 6.2 L3 Certified
- Today

*Data Collection activities on APS Pilot deployments enables TSA to refine solution requirements and validate operational assumptions to inform future program acquisitions*

*Enhanced Algorithm Development includes employing machine learning for Prohibited Item (PI) detection 3/2019 (L2) → 4/2021 (L3)*

**L3 ClearScan CT, MacDonald Humfrey ASL**

TSA is aggressively managing CT procurement and deployment to airport checkpoints, with a planned transition to a long-term solution beginning in FY20. Given the ongoing system improvements that will be needed in order to produce a fully-fledged CT solution, TSA will adopt an incremental acquisition strategy to achieve this goal.

- Total Units: ~2500
- Units Deployed: 21 of 39
- Average Unit Cost: $400k (est.)

**APS Pilot Deployments**

| Airports | | Labs | |
|---|---|---|---|
| Site | Qty. | Lab | Qty. |
| ATL* | 2 | TSIF | 1 |
| BOS | 1 | Tyndall | 4 |
| DTW* | 1 | TIEDS | 4 |
| JFK | 1 | | |
| LAS* | 4 | | |
| ORD | 1 | (*) Denotes soon-to-be operational | |
| PHX | 1 | | |
| TPA* | 1 | | |

**APS Capabilities**

*Initial Operating Capability*
- Limited Automated Conveyance (auto-divert)
- APSS 6.2 Level 0 auto-detection algorithm
- Network hardened

*Final Operating Capability*
- Full Automated Conveyance (bin return & parallel divest)
- APSS 6.2 Level 3 auto-detection algorithm w/ PI detection
- Networked enabled, remote screening-capable

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# Automation of Travel Document Checker (TDC) Functions via CAT & Biometrics

**Prior to physical screening, TSA must:**

| | | | | | |
|---|---|---|---|---|---|
| **1** Verify the authenticity of the presented form of identification | **2** Verify the passenger and his/her form of identification are a match | **3** Validate passenger flight reservation status | **4** Verify passenger's secure flight vetting status | **5** Direct the passenger toward the path of receiving the right level of screening | **6** Resolve any non-matches and security issues manually |

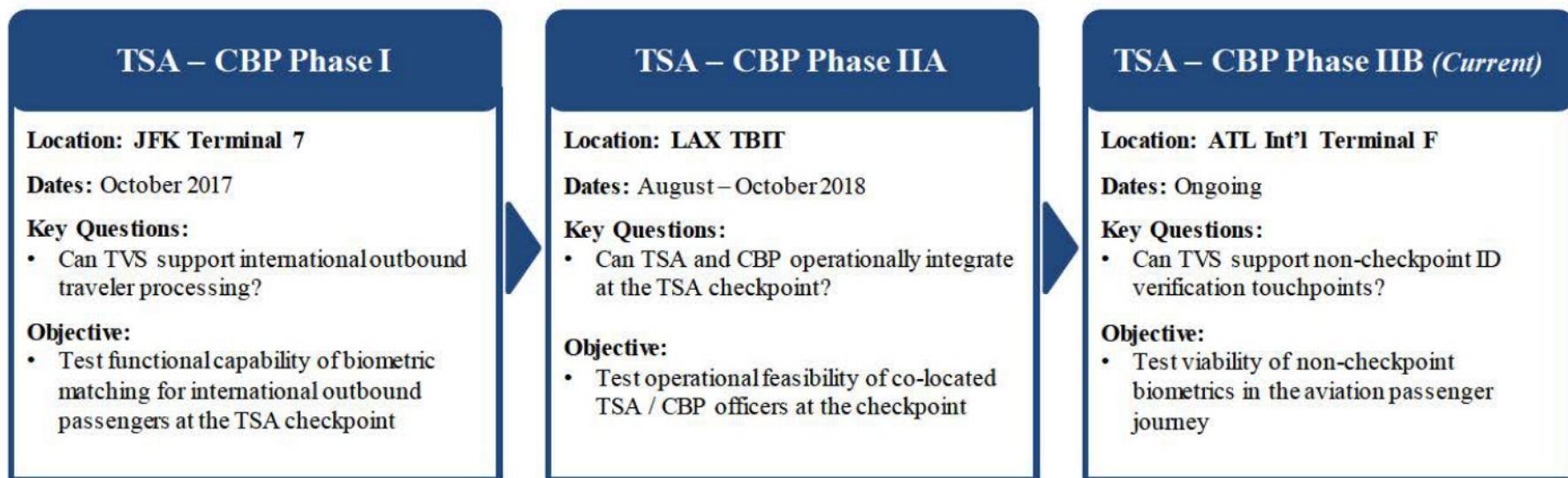| Solution Space | Step 1 | Step 2 | Step 3 | Step 4 | Step 5 | Step 6 |
|---|---|---|---|---|---|---|
| **Current** Process (manual + boarding pass scanner (BPS)) | Manual | Manual | ▭ (partially automated) | ▭ (partially automated) | Manual | Manual |
| **Near Term:** Credential Authentication Technology (CAT) | ✓ | Manual | ✓ | ✓ | Manual | Manual |
| **Interim:** Biometric ID Verification w/ SF integration | ✓ | ✓ | ✓ | ✓ | Manual | Manual |
| **Future:** Biometric ID Verification System w/ SF integration and e-Gate | ✓ | ✓ | ✓ | ✓ | ✓ | Manual |

**Key:** ✓ Automated ▭ Partially Automated

**By developing an architecture that supports the automation of TDC functions, TSA can better control access to the sterile environment, improve the traveler experience, and reallocate resources to mitigate screening inefficiencies**

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# Biometrics – TSA and CBP Partnership Highlights

**Background:** The "Joint TSA/CBP Policy on the Use of Biometric Technology" was signed by both agencies in April 2018. As a result, TSA and CBP have been working together on a series of phased pilots designed to demonstrate the feasibility of using biometric solutions at the TSA checkpoint. These technologies aim to automate the currently-manual TDC process, and iteratively increase operational capability over time, using a CBP-developed facial matching service called the Traveler Verification Service (TVS).

### TSA – CBP Phase I

**Location:** JFK Terminal 7

**Dates:** October 2017

**Key Questions:**
- Can TVS support international outbound traveler processing?

**Objective:**
- Test functional capability of biometric matching for international outbound passengers at the TSA checkpoint

### TSA – CBP Phase IIA

**Location:** LAX TBIT

**Dates:** August – October 2018

**Key Questions:**
- Can TSA and CBP operationally integrate at the TSA checkpoint?

**Objective:**
- Test operational feasibility of co-located TSA / CBP officers at the checkpoint

### TSA – CBP Phase IIB *(Current)*

**Location:** ATL Int'l Terminal F

**Dates:** Ongoing

**Key Questions:**
- Can TVS support non-checkpoint ID verification touchpoints?

**Objective:**
- Test viability of non-checkpoint biometrics in the aviation passenger journey

The joint efforts by CBP and TSA have shown positive performance across various airlines, airports, and touchpoints to biometrically verify the identity of international outbound passengers.

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# TSA – CBP Phase II – ATL International Terminal F

The second Phase II Pilot is similar to LAX TBIT but includes additional biometric automation at TSA-regulated bag drop kiosks managed by Delta Air Lines.
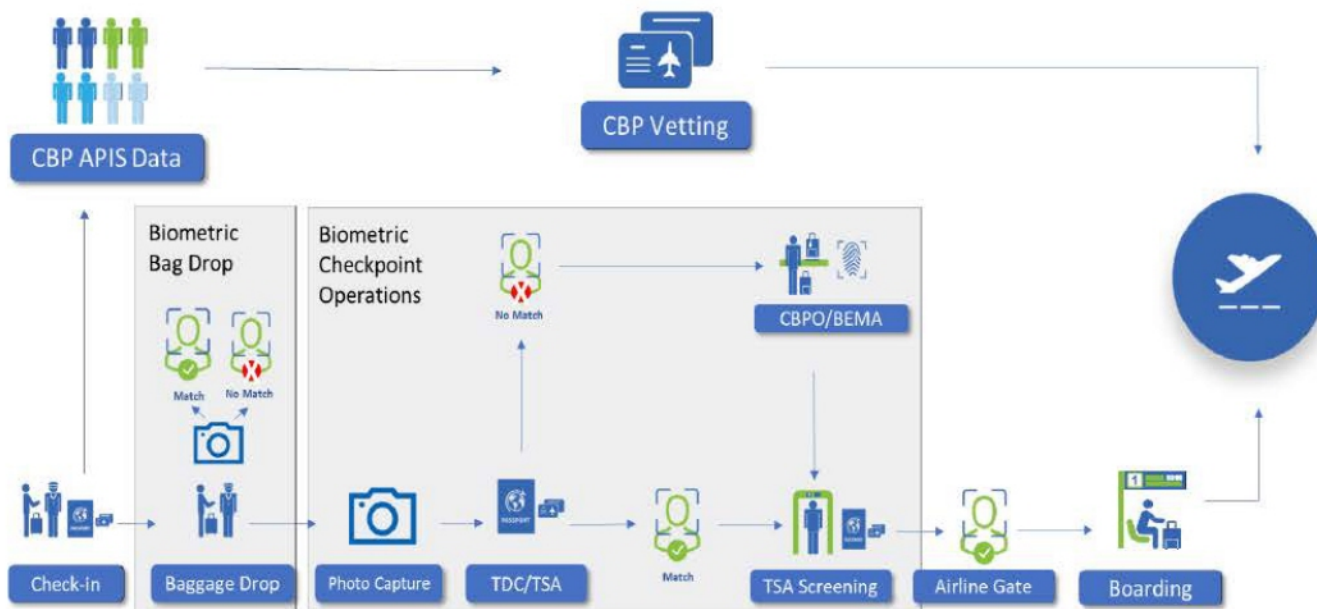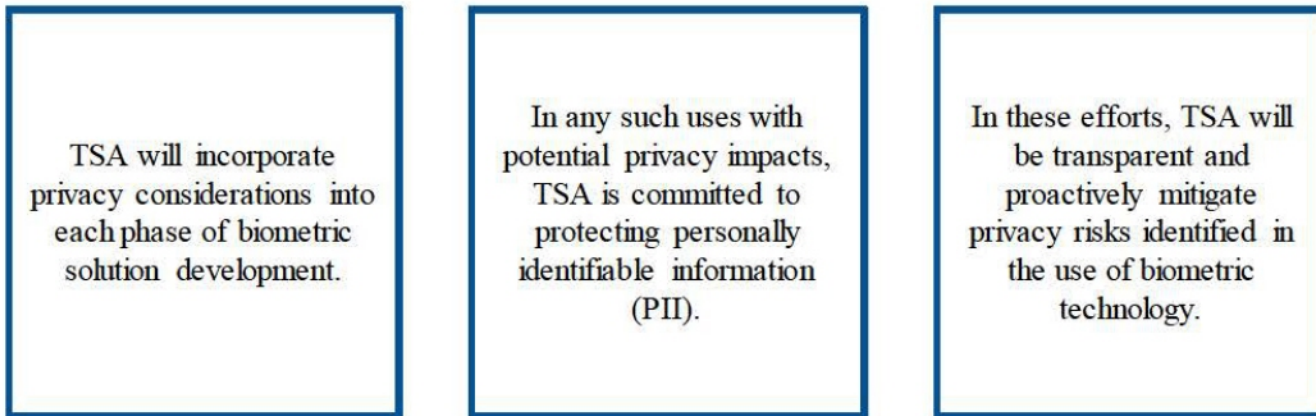
## CONOPs STEPS

1. Traveler checks in and proceeds to bag drop
2. Facial capture/match at bag drop eliminates the need for presentation of physical ID (license passport) for most outbound travelers
3. Traveler is photographed prior to engaging with the TSA Travel Document Checker (TDC)
4. The matching response and limited biographic information will be displayed to the TDC on a mobile device
5. TDC will scan the boarding pass to verify authenticity and the traveler will proceed to the appropriate screening lane
6. In the case where facial recognition or biographic information does not match, the TDC will process the traveler utilizing TSA's current standard operating procedures and allow the passenger to proceed to the appropriate screening lane
7. If staffing permits, CBP officers will assist with non-match resolution

## CONOPs OVERVIEW



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# Biometrics – Protecting Passenger Privacy

TSA is committed to protecting passenger privacy and ensuring the traveling public's trust as it seeks to improve the passenger experience through its exploration of biometric technology.

#### TSA'S PRIVACY APPROACH

| | | |
|---|---|---|
| TSA will incorporate privacy considerations into each phase of biometric solution development. | In any such uses with potential privacy impacts, TSA is committed to protecting personally identifiable information (PII). | In these efforts, TSA will be transparent and proactively mitigate privacy risks identified in the use of biometric technology. |

➤ TSA will comply with the Department of Homeland Security's privacy policies and procedures. This includes conducting appropriate Privacy Threshold Analyses (PTAs), Privacy Impact Assessments (PIAs), and System of Record Notices (SORNs) to ensure that TSA's biometrics capabilities uphold important privacy protections.

➤ DHS's Fair Information Practice Principles (FIPPs) regarding transparency, individual participation, purpose specification, data minimization, use limitation, data quality and integrity, security, and accountability and auditing will inform TSA's privacy considerations. These principles will guide TSA as it seeks to protect privacy while achieving the operational and security benefits of biometrics technology and improving the passenger experience.

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