1.0 Purpose:
This announcement is primarily to obtain market research, test, and demonstration information relative to the possible expansion of expedited aviation physical screening initiatives. Information gathered under this initiative may inform a Transportation Security Administration (TSA) decision relative to the feasibility of such an approach, and might be used in support of possible future solicitation(s) that could provide for the competitive selection of third party (commercial) pre-screening proposals. Given that this current market research initiative may involve a phase for prototype operations with a regulated partner, it will also provide useful services to the traveling public.

Participation in this initiative is not a requirement for participation in any future solicitation.

2.0 Response Date:
White Papers may be submitted to TSA in accordance with the instructions provided herein beginning as soon as this announcement is published; TSA will accept White Papers for evaluation only through 4:00 PM EDT on April 1, 2013 – although information and input from industry is always appreciated, late submissions cannot be evaluated in this case. White papers may be submitted to the Contracting Officer identified below, as email attachments. The Government will confirm receipt of the email transmission.
3.0 **Background:**
TSA Pre✓™ is one expedited aviation screening initiative currently serving five major airlines and 35 Airports, which is expanding to Airports across the country. This announcement contemplates gathering information about a further expansion of expedited physical screening, an initiative that directly supports the TSA's intelligence-driven, risk-based approach to security. The TSA's intent in this market research initiative is to understand better how certain pre-screening processes conducted by non-governmental entities (“third parties”) can enhance aviation security by placing more focus on pre-screening individuals who are U.S. Citizens, volunteer to participate, and are willing to provide some information about themselves that can be used to evaluate the degree of risk posed by that individual to the aviation transportation system.

Travelers determined to present a low risk to the aviation transportation system (variously called trusted, known, or registered travelers) are termed “known” travelers in the context of this initiative. They will be afforded the benefit of expedited screening lanes, may leave on their shoes, light outerwear and belts, as well as leave laptops and 3-1-1 compliant liquids in carry-on bags at Airports/Airlines that have implemented TSA Pre✓™.

Inclusion in the expedited physical screening initiative discussed herein will provide an expedited screening process and an enhanced travel experience. Travelers who chose not to enroll in this initiative, or for some other reason can’t be successfully pre-screened, are not subject to any limitations on their travel, will be processed through normal TSA screening before entering the controlled areas of airports. TSA also retains the authority to perform random screening on travelers authorized expedited physical screening.

4.0 **Description:**
The TSA is interested in evaluating the current/near term state of commercial solutions to be designed, developed, and operated by entities that are established as TSA regulated entities or are providing demonstration support in conjunction with such an entity. TSA is particularly interested in techniques that may be used to make members of the traveling public aware of the demonstration, to enroll them for this pre-screening, to use non-governmental data elements to generate an assessment of the risk to the aviation transportation system that may be posed by a specific individual, and to communicate the identity of persons who have successfully passed this risk based assessment to TSA’s Secure Flight. TSA will not make any changes to Secure Flight to accommodate the assessments so it is incumbent on submitters to transmit in a compliant format.

Specifically, TSA is seeking white papers that successfully demonstrate sound, well-reasoned concepts that could be implemented in a prototype to identify “known travelers” pre-screened to a high degree of confidence. Use of a minimum set of data elements for this purpose is mandatory for the process being considered herein; use of additional data elements that will further enhance the integrity of the risk reduction proposition offered by these solutions is very desirable.
5.0 White Paper Evaluation Approach and Timeline:

Phase 1 will consist of the receipt, and evaluation of White Papers from submitters under this Announcement. White Papers must be concise, and conform to the specified page count limitation of 35 pages, excluding any transmittal letter, cover page, table of contents and any resumes/ biographical information for proposed key performers in a prototype implementation. The White Paper review process is expected to take 30 days or less, absent a need for clarification.

Based on the review criteria published in this Announcement, TSA will select some, all or none of the White Paper approaches submitted for Phase 2. TSA will notify each submitter with the final status of their White Paper, as either selected, or not selected, and may provide submitters with limited feedback on the basis for non-selection. Entities with an interest in this initiative may only submit one white paper at a time, but may re-submit a White Paper after its non-select within the time frames established for submission, if the approach can be improved to ensure effective operations. The Government will evaluate the re-submission if available time permits the review, and subsequent action can be accomplished within the period of performance for the prototypes. Submitters are advised that re-submissions will be processed after all initial submissions received before the resubmission.

Phase 1 White Papers that are selected will be invited to participate in Phase 2, which will consist of a review of a prototype implementation of the White Paper concepts and the accompanying manual procedures. This Phase will include Government testing and evaluation of screening performance and outcome appropriateness – the testing and evaluation process is estimated to take 45 – 60 days, and may provide for limited/minor revisions to the prototype; if the prototype fails to successfully pass the testing and evaluation, it will be rejected. The following (not all inclusive) areas are provided as examples of areas that will be either tested or evaluated: core application process; core operation process (i.e., communication with SF, identity verification/validation); and core algorithm.

TSA recognizes that the controlling element in this process is the readiness of the ’system’ for testing and evaluation – if a given system is not available for testing until late in the prototyping period, it may not actually have an opportunity for prototyping operations with a TSA regulated entity.

Solutions that pass the testing and evaluation conducted in Phase 2 will be qualified to continue to Phase 3, which is live prototyping. The Government may determine it necessary to award Prototyping entities a no-cost contract that addresses Phase 3. Prototyping operations are subject to all applicable security procedures and requirements.

Each prototype selected to proceed to Phase 3 may be assigned a period of live operations at an airport, now estimated to last for at least 4 months, and as much as 6 months; specific details will be determined between the Prototyping entity and the airport. The TSA reserves the right to end a prototype at any point, at their sole discretion. The period of performance for the prototyping phase of this initiative is expected to end on December 31, 2013 but may be extended at the sole discretion of the Government, for some or all of the prototyping entities.
6.0  **TSA Government Representatives:**

**Contracting Officer:**
Ms. Gloria Uria, [TSAThirdPartVetting@tsa.dhs.gov](mailto:TSAThirdPartVetting@tsa.dhs.gov)

7.0  **Questions:**

Any questions regarding this Announcement must be provided to the Contracting Officer point of contact listed herein, in writing by email. Both questions and the resulting answers will be posted to FBO as amendments to the Announcement. Questions submitted within 2 weeks prior to a deadline may not be answered, and the due date for submission of White Papers will not be extended.

8.0  **Preliminary Prototype Requirements:**
TSA reserves the right to augment or revise the requirements enumerated herein at any point during the prototyping process, including halting prototype operations until revised requirements are met by each prototype.

The goal of each Prototype that may be authorized under this Announcement will be to enroll voluntary participants into a participating entity’s non-governmental program, in which the enrollees will be pre-screened by the company’s algorithm through the use of non-governmental data as "known" to a high degree. The enrollee's trusted status as a known traveler will be transmitted to Secure Flight (SF) either directly (as a list), or through a regulated partner.

In the pursuit of the most effective security in the most efficient way (allowing entities latitude to do what makes the most sense for them), this Announcement will take a hybrid approach on development of trusted algorithms. TSA will specify a few common core requirements for process and algorithm content, while encouraging innovation by allowing participating entities to include additional elements in their algorithms as they see fit (as long as they are legal). These hybrid algorithms would have to meet certain performance criteria, described below.

The preliminary requirements for a solution include:

- Proposes a viable concept of operations relating how the solution will function in the TSA regulated entity environment to enhance security operations. The Prototyping entity must identify an airport where their proposed solution will be fielded during this prototype phase.

- Present plans for an enrollment process that is convenient for travelers, user friendly and provides a mechanism for enrollees to acknowledge the voluntary use of their personal data.

- Presents an effective process for gathering required personal information from potentially large numbers of prospective enrollees, and then safeguarding the personal information from
loss, or disclosure. TSA may direct the disposition of personal data specifically gathered for the purpose of this Announcement or take custody of it, as circumstances may dictate. Information specifically gathered for the purpose of this Announcement can only be used for pre-screening purposes under this initiative, and must be purged at the direction of TSA following completion of the prototype activity and the analysis of prototyping results, unless otherwise authorized in writing by the enrollee.

Safeguards and disposes of personal information gathered and used under this initiative in accordance with Section 545 of the FY 12 DHS Appropriations Act (P.L. 112-74). Collects and/or retains personal information in accordance with the National Institute for Standards and Technology (NIST) Special Publication 800–30, entitled “Risk Management Guide for Information Technology Systems,” the NIST Special Publication 800–53, Revision 3, entitled “Recommended Security Controls for Federal Information Systems and Organizations,” and any supplemental standards established by TSA.

White papers must specifically identify where in their IT architecture personal information specifically gathered from enrollees for use under this initiative is stored. From a physical perspective, personal data obtained, acquired, or generated under this initiative may only be stored, analyzed, manipulated or transmitted within the United States.

Presents a plan for TSA to comply with the requirements published in NIST Publication 800–30, the NIST Special Publication 800–53, Revision 3, and any supplemental standards established by TSA to the regulated party.

TSA recognizes that submitters may perform other functions that rely on utilizing the same applicant data elements (for example, name, address, etc). TSA anticipates that submitters will obtain written authorization from each applicant to use the applicant’s biographic or biometric data for any purposes beyond those directly related to TSA third-party pre-screening, and must segregate (logically or physically) data collected for purposes of TSA third-party pre-screening from other data that the submitter may maintain on the same individual even where the same data element (name, for example) appears.

Submitters will be expected to provide applicants with notice that enables them to exercise informed consent prior to disclosing any information, and that advises the individual that they have the right to decline to provide information, but that refusal or failure to provide information may result in a delay or inability to complete the assessment. Participants may share information collected with others, as needed for the purposes of obtaining information for a new or updated assessment, or as otherwise authorized by the individual applicant.

Presents effective plans for communicating with the public about the benefits of expanding expediting physical screening and how these benefits may be realized through the prototype.

Able to explain key elements of the prototype clearly to prospective enrollees to facilitate full utilization, including the possibility of being randomly selected for regular screening, the life
of the pre-screening performed under the prototype, how to submit the known traveler number with their airline reservations and how to use expedited screening processes.

Has identified and obtained access to specific sources of current, accurate, and complete non-Governmental data that can be used to support effective screening of prospective travelers.

The specific sources and types of information employed for pre-screening purposes under this initiative may not be publically disclosed. The non-governmental information gathered by the prototype to support the pre-screening of a specific individual will not generally be disclosed to the TSA, but may be reviewed during an audit of prototype performance and outcomes; the results of the pre-screening process may be released to TSA upon request.

Provides for comprehensive TSA audits of all regulated entity planning, operations, applications, processes and all data used in or output from the pre-screening process. Audits will be conducted as may be considered necessary by TSA; advance notice will be provided to the extent possible, depending on the reason for an audit. TSA will provide regulatory oversight for compliance with the requirements either: (1) through the Prototyping entity’s regulated party; or (2) directly by a TSA order.

Demonstrates a reliable method that effectively identifies known travelers, based on a sound analysis and the application of an algorithm that produces dependable results.

Demonstrates effective use of the following minimum data elements:
- Full legal name;
- Gender;
- Date of Birth (DOB);
- The prospective enrollees’ waiver to search various non-governmental / commercial data, for name and status to be given to airline, etc.

It could be desirable if the solution employed additional data elements, possibly including some mix of the following or others, that would further enhance the integrity of the risk reduction proposition offered by a solution:
- current address;
- most recent past address;
- current employer;
- names used in the past;
- SSN
- Positive identity verification, including accomplishment through the use of innovative concepts; and
- Image(s) of any form of identification that was provided by the enrollee.

Provides the ability to readily update the screening process as new characteristics of travelers are identified, either by a Prototyping entity or by the TSA.
Changes in the processes used for pre-screening from those described in Phase 1 and/or tested in Phase 2 must be approved in advance by the TSA, and may be subject to additional TSA testing and evaluation before authorization for implementation in a prototype will be granted.

TSA desires to maximize appropriate participation in expedited screening initiatives. This said, TSA recognizes that any process put into use will likely identify some travelers who may actually have no intent to cause harm, but are screened out due to specifics of their personal history.

To the extent the pre-screening criteria may be tuned, the rate of false positives should be reduced to a point that maximizes the rate of participation in expedited screening initiatives without increasing the risk of a false negative and acceptance of a high risk traveler for participation in the program.

Provides feedback to applicants if they are not eligible to participate based on the prototyping entity’s risk assessment, and feedback to applicants who have been determined eligible to participate (with the Known Traveler number assigned by the solution).

Communication with Secure Flight shall include an upfront check during the enrollment process that must be completed before the vetting process can be finalized. For enrollees who successfully complete vetting, the prototype shall transmit the enrollees’ trusted status as a known traveler to Secure Flight (SF) either directly (as a list), or through a partner Airline, and will include a prototype solution assigned unique “known traveler number” in a sequence and format to be designated by Secure Flight.

The TSA is not providing funding to support any work that may be required by this Announcement; any fee charged to prospective enrollees for pre-screening through a prototype authorized by TSA under this initiative must be refunded if the prospective applicant cannot be pre-screened.

Able to complete a roll-out of the prototype within the time parameters of the prototyping period, based on a realistic assessment of the work that is required, and an achievable schedule for completing it.

The life of the security threat assessment (STA)/vetting performed by a given prototype period ends when Phase 3 ends for that prototype. The Prototype must report end of life for all the known traveler numbers assigned to Secure Flight.

Any history of previous performance in developing related solutions and technologies or an established history in relevant fields of science, technology, and marketing/business management.
Market Research Announcement
TSA Third Party Pre-screening
HSTSO2- 13- RFI-0001
1-8-2013

9.0 TSA Security:
All Prototyping entity personnel requiring unescorted access to TSA facilities, information systems, or information under this initiative will be subject to a suitability check conducted by TSA before such access can be provided; instructions will be provided separately by the Technical Point of Contact, as may be required.

The Prototyping entity shall not release any unclassified information pertaining to this initiative at any stage, regardless of the medium, to anyone outside the Prototyping entities organization without the written authorization of the Contracting Officer.

10.0 Sensitive Security Information (SSI) Requirements
This initiative will involve access to SSI; prototyping entities may generate it as well. Accordingly, all participants must be able to be vetted for the receipt of SSI - various elements can be considered in evaluating security risk of White Paper submitters and their employees who require access to SSI during this initiative, such as whether the submitter has any active federal contracts, possesses a facility clearance, or whether any employees have an active security clearance or a prior suitability determination.

A summary of the SSI requirements follow:

Pursuant to 49 U.S.C. § 114(r), Sensitive Security Information and Nondisclosure of Security Activities, Sensitive Security Information (SSI) is a category of sensitive but unclassified (SBU) information that must be protected because it is information that, if publicly released, would be detrimental to the security of transportation. Under 49 Code of Federal Regulations Part 1520.5(a), the SSI Regulation also provides additional reasons for protecting information as SSI beyond the condition that the release of the information would be detrimental to the security of transportation. TSA, however, primarily uses the criterion of “detrimental to the security of transportation” when determining whether information is SSI.

The governing document that defines the scope, categorization, handling requirements and disposition of information deemed SSI is the 49 C.F.R. Part 1520 (http://ecfr.gpoaccess.gov/) persons authorized to access specific SSI include those working under this TSA initiative with a need to know specific information in the course of fulfilling their transportation security obligations. TSA may deliver SSI materials to the prototyping entity. Also, materials created by the prototyping entity may require SSI designation and protection, and the prototyping entity has the responsibility to identify such materials to TSA as possible SSI.

For purposes of this provision, the term “prototyping entity” shall include an individual or other legal entity that performs work for or on behalf of the Prototyping entity under this initiative. Such agreements include, but are not limited to, contracts between any non-Federal entity and any prototyping entity and subcontracts, joint venture agreements, and teaming agreements between any non-Federal entity and another non-Federal entity to perform work related to the primary contract with the agency.
While SSI is not classified national security information subject to the handling requirements governing classified information, it is subject to certain legal disclosure limitations. To ensure regulatory compliance, the prototyping entity shall be subject to the following provisions:

(a) Handling and Safeguarding. The TSA prototyping entity shall safeguard and handle any SSI in accordance with the policies and procedures outlined in 49 C.F.R. Part 1520, as well as the DHS and TSA policies and procedures for handling and safeguarding SSI. These safeguarding procedures include SSI recognition, identification and marking of materials that possibly contain SSI, including prototyping entity-created materials, as well as following restrictions on disclosure, storage, handling, sharing, dissemination and destruction of SSI. The prototyping entity shall place this provision in all subcontracts, joint venture agreements, and teaming agreements related to the initiative with TSA.

(b) Request for Access to SSI materials. The prototyping entity must contact SSI@dhs.gov for guidance before using SSI materials for any other purpose besides activities falling within the scope of the prototyping initiative. Pursuant to 49 C.F.R. Part 1520.9(a)(3), the prototyping entity must contact SSI@dhs.gov for guidance on handling requests to access to SSI by other persons, including requests from experts, consultants, and legal counsel hired by the prototyping entity. TSA must first make a determination as to whether the requester is a “covered person” with a “need to know” under 49 C.F.R. Parts 1520.7 and 1520.11.

(c) Non-Disclosure Agreements (NDAs). NDAs are required to be signed by all Prototyping entity personnel when access to SSI is necessary for performance of the prototyping initiative. By signing the NDA, the recipient certifies in writing that they will take the necessary steps to prevent the unauthorized disclosure and use of information. The Contracting Officer will provide the prescribed non-disclosure forms (DHS Form 11000-6) as necessary to the Prototyping entity when circumstances warrant.

(d) Training and Certification. All Prototyping entity personnel who have access to SSI must complete the TSA-mandated SSI Awareness Training course prior to accessing SSI, and on an annual basis for the duration of this initiative. Prototyping entity personnel must also review and adhere to the SSI Quick Reference Guide for DHS Employees and Contractors. The Prototyping entity shall certify to the Contracting Officer annually that the requisite personnel have completed the mandated SSI training, that all SSI policies and procedures have been followed, and that those individuals with access adequately understand their responsibilities to protect the information.

(e) Processing SSI. Prototyping entities shall use TSA-owned equipment or their respective own equipment for processing (scanning, printing and/or copying) SSI. Use of other third party equipment shall require prior written approval of the Prototyping entity and Contracting Officer’s Representative (COR).

(f) Breach. In accordance with 49 C.F.R. Part 1520.9(c), the Prototyping agrees that in the event of any actual or suspected breach of SSI (i.e., loss of control, compromise, unauthorized disclosure, access for an unauthorized purpose, or other unauthorized access, whether physical or electronic), it shall immediately, and in no event later than one hour of discovery, report the breach to the Contracting Officer and the COR. The Prototyping entity is responsible for positively verifying that notification is received and acknowledged by at least one of the foregoing Government parties.
In the event that an SSI breach occurs as a result of the violation of a term of this initiative by the Prototyping entity or its employees, the Prototyping entity shall, as directed by the Contracting Officer and at no cost to the Government, take timely action to correct or mitigate the violation.

For unauthorized disclosure of SSI, the Prototyping entity and Prototyping entity's employees may also be subject to civil penalties and other consequences as set forth in 49 CFR Part 1520.17.

11.0 Evaluation Criteria:
The evaluation of White Papers will be accomplished through an independent technical review using the following criteria, which are listed in descending order of relative importance.

**Criterion I: Utility to DHS and to the Traveling Public:**
Potential of the proposed work for providing technology or solutions that effectively address TSA's objective of maximizing non-governmental/commercial data to effectively inform the responsible application of risk based screening techniques in a third party environment. Provides for user friendly processes, reasonable lead times for screening, and efficient outreach and feedback communications.

**Criterion II: Sound Technical Approach:**
Presentation of a sound technical approach to the proposed work that demonstrates reasonableness and responsiveness, as well as, an understanding of the challenges, to include protection of personal information, presented by the work. Illustration of a unique and clear path to address the challenge(s) posed by the work.

**Criterion III: Capability to Perform and History of Performance:**
Demonstration of a capability to plan, perform, and manage the proposed work, including any history of previous performance in developing related solutions and technologies or an established history in relevant fields of science, technology, and marketing/business management.

Evaluation of White Papers will be based on the aforementioned criteria.

In selecting white papers, the TSA Contracting Officer will also consider responsibility related issues, including satisfactory performance record, a satisfactory record of integrity and business ethics, and the necessary organization, experience, accounting and operational controls, and technical skills (specifically including the ability to protect sensitive data).

12.0 Evaluation Panel:
All properly submitted White Papers that conform to the Announcement requirements will be evaluated by a Source Selection Evaluation Board (SSEB) comprised of government and non-government technical experts that may be drawn from staff within TSA, other Federal agencies and subject matter experts from outside the Government that may obtained under contract. All government personnel are bound by public law to protect proprietary information. Other personnel who will have access to any proprietary data will be bound by appropriate non-
Disclosure agreements to protect proprietary and source-selection information and shall certify that they have no financial interest in any submissions evaluated. They will not be permitted to release any source-selection information to third parties, including others in their organization. Submissions and information received in response to this Announcement constitute permission to disclose White Paper information as described herein.

**13.0 Deliverables:**
The following *minimum* deliverables will be required for Entities that are selected to advance to Phase 2, and to Phase 3.

**13.1 Monthly Project Status Report:**
Reports of project status will be provided on a monthly basis, including the following information:

- **Static Information (Information that does not change monthly over the project):**
  - Project Title/Period of Performance
  - Initiative Manager’s Name, Telephone Number, E-mail and Unclassified Facsimile Number(s)
  - Performer’s Business Contact Name and Telephone Number

- **Monthly Update Information Provided in Bulleted or Short Narrative Format:**
  - Activity During the Past Reporting Period (month)
  - Status of prototype updates (for Phase 2)
  - Details and metrics for live operations (Phase 3)
  - Noteworthy Accomplishments (Meetings, Presentations, Publications, etc.)
  - Topics of Concern/Slippage (Technical, and Schedule)
  - Recovery Plan (if needed)
  - Explicit Plans for the next Month

**14.0 Other Information:**

**14.1 Eligibility Information:**
Because of the sensitive nature of the data under this initiative, only entities approved by TSA are eligible to participate. One of the criteria for approval is that the entity be organized in the United States and that the key personnel be U.S. citizens, or LPRs.

**15.0 White Papers:**

**15.1 White Paper Format:**
- Paper Size - 8.5 x 11 inch paper
- Margins - 1 inch
15.2 White Paper Content

Cover Page:
The Cover Page shall be labeled "WHITE PAPER", and include the Announcement number, proposed title, Offeror's administrative and technical points of contact, with telephone numbers, facsimile numbers, and Internet addresses, and shall be signed by an authorized officer.

White Paper body
A concise summary of the work that has been and/or will be performed to provide a prototype that meets the all requirements established in this Announcement, and the associated schedule and milestones for development. Coverage of the pre-screening
process must provide sufficient detail to allow TSA to fully understand the end to end process, and how the operation will run in an operational mode.

Cost:

Estimate of Fees, if any, to be charged to users for enrollment and pre-screening services.

16.0 Government Property, Government Furnished Equipment, and Facilities:
TSA intends to provide only test data – all other elements of performance must be provided by the performer.

17.0 SAFETY Act:
As part of the Homeland Security Act of 2002, Congress enacted the Support Anti- Terrorism by Fostering Effective Technologies Act of 2002 (the “SAFETY Act”). The SAFETY Act puts limitations on the potential liability of firms that develop and provide qualified anti-terrorism technologies. DHS S&T, acting through its Office of SAFETY Act Implementation (OSAI) encourages the development and deployment of anti-terrorism technologies by making available the SAFETY Act’s system of “risk management” and “liability management.” Offerors submitting proposals in response to this Announcement are encouraged to submit SAFETY Act applications for their existing technologies. They are invited to contact OSAI for more information, at 1-866-788-9318 or helpdesk@safetyact.gov. They also can visit OSAI’s Web site at www.safetyact.gov.