International Civil Aviation Organization

WORKING PAPER

ASSEMBLY — 38TH SESSION

EXECUTIVE COMMITTEE

Agenda Item 13: Aviation Security – Policy

RISK-BASED SECURITY

(Presented by the United States)

EXECUTIVE SUMMARY
This paper presents an overview of Risk-Based Security (RBS) initiatives being piloted and/or implemented by the United States for passengers of civil aviation. The United States continues efforts to focus resources and improve the passenger experience at security checkpoints by applying intelligence-driven, risk-based security procedures and enhancing the use of technology. Under this risk-based approach, all passengers undergo physical screening, but resources are allocated according to risk. This approach allows the United States to deliver the most effective security in the most efficient manner, focusing resources on lesser known and higher risk populations.

Strategic Objectives:	This working paper relates to Strategic Objective B — *Security*.
Financial implications:	not applicable
References:	not applicable

1.   **INTRODUCTION**

1.1   Since its inception, the Transportation Security Administration (TSA) has focused on enhancing aviation security while improving the passenger experience. To achieve this goal, TSA is evolving its application of intelligence-driven, risk-based security procedures and enhancing the use of technology through the Risk-Based Security (RBS) initiative. RBS is based on the following premises: the majority of airline passengers are low risk; TSA can better assess the flying population in terms of risk through voluntary submission of information; and behavior detection and interviewing techniques strengthen the security process. RBS allows TSA to prioritize allocation of limited screening resources according to risk by focusing on "unknowns" and high risk travellers while expediting the screening process for known and trusted travelers.

1.2   TSA began testing RBS techniques at U.S. airports in August 2011. RBS utilizes key methods such as pre-screening, real time threat assessments, random and unpredictable security measures, and physical screening of passengers and property to achieve a robust and more efficient security protocol. RBS is used to some degree at all U.S. airports and is comprised of various initiatives embedded in layers of aviation security, from pre-flight activities to physical security programs at the airport.

2.   **DISCUSSION**

2.1   Within the passenger screening context, RBS primarily focuses on identifying passengers who present a low risk to aviation security, by analyzing required passenger information in addition to voluntarily submitted personal information provided by participating passengers for Known Trusted Traveler programs such as Global Entry, NEXUS and SENTRI. RBS also incorporates real-time threat assessment capabilities, which may include the use of explosives detection canines or explosives detection technology in conjunction with Behavior Detection Officers. Passengers who are determined to be low risk may then be eligible for expedited checkpoint screening. As of July 2013, over 12.5 million passengers have participated in various RBS programs at passenger checkpoints. These passengers include voluntary participants as well as eligible frequent flyers, trusted travelers, active duty military members, flight crewmembers, and passengers who are ages 75 and over and ages 12 and under.

2.2   The most visible RBS program is TSA Pre✓™, which is currently implemented at 40 U.S. airports and allows eligible, pre-screened individuals to volunteer for expedited screening procedures. Since October 2011, over 12 million passengers have undergone TSA Pre✓™ screening. Currently, the program is available to U.S. citizens who are members of existing U.S. Customs and Border Protection (CBP) Trusted Traveler programs, including Global Entry, Secured Electronic Network for Travelers' Rapid Inspection (SENTRI – a U.S.-Mexico travel facilitation agreement), and NEXUS (a U.S.-Canada facilitation agreement, which also enables Canadian citizens to become eligible for TSA Pre✓™), as well as frequent flyers from five U.S. airlines. The newest passenger population to be included in TSA Pre✓™ is active duty members of the U.S. Armed Forces who possess a valid, military-issued Common Access Card (CAC) and can present the CAC at 10 participating airports. Participating passengers must still undergo physical screening of their person and their accessible property; however, TSA Pre✓™ expedited screening permits passengers to pass through the screening checkpoint without having to remove permitted liquids contained in quart-sized bags and laptops from carry-on baggage or having to take off their shoes, light outerwear/jackets, and belts. TSA Pre✓™ eligible passengers are not guaranteed expedited screening; TSA's principle of random and unpredictable screening may require that a passenger undergo additional screening protocols. TSA Pre✓™ continues to expand to include other groups and airlines at additional U.S. airports as it becomes operationally feasible.

2.3   In 2011, TSA implemented new security screening protocols for children ages 12 and under and, in March 2012, extended similar protocols to passengers ages 75 and over. These new procedures have reduced, though not eliminated, pat-downs that would have otherwise been conducted to resolve alarms. Passengers 12 and under and 75 and over are now allowed to leave their shoes on during screening, are permitted multiple passes through the metal detector and advanced imaging technology (AIT) devices, and may be subject to greater use of explosives trace detection (ETD) technology to clear any alarms. Passengers 12 and under are allowed to use TSA Pre✓™ lanes when traveling with an eligible passenger. Though all alarms still require resolution, these new procedures ensure effective security while allowing TSA to focus resources more effectively and improving the travel experience of low risk travelers.

2.4   TSA's Known Crewmember (KCM) program is part of the RBS initiative that enables transportation security officers to positively verify the identity and employment status of flight crewmembers and thereby offer them expedited screening procedures. Currently, nearly 40 U.S. airlines actively participate in the KCM program at nearly 30 U.S. airports. In November 2012, TSA approved the second stage of KCM, which offers more efficient screening to verified flight attendants employed by U.S. airlines. This additional population of crewmembers is becoming eligible for KCM as it becomes operationally feasible for air carriers.

2.5   TSA has established a target of providing expedited physical screening to 25 percent of the individuals processed through security screening by the end of 2013, and 50 percent by end of 2014. In an effort to achieve this goal, TSA has implemented Managed Inclusion at select airports, which uses multiple layers of security to identify travelers who may be processed through expedited screening. Through Managed Inclusion, Passenger Screening Canines and Behavior Detection Officers perform indirect, real-time threat assessments of passengers, allowing some passengers who have been identified as low-risk to become eligible for expedited screening in TSA Pre✓™ lanes.

2.6   The United States continues to identify ways to expand the number of travelers who may be eligible to participate in RBS programs in order to provide the most effective screening in the most efficient way possible. This includes the expansion of TSA Pre✓™ eligibility to additional populations, such as low-risk passengers on international outbound flights, which was implemented on May 7, 2013, and including Canadian citizen members of NEXUS in November 2012.. While expedited screening facilitates individual passenger movement through the checkpoint, overall throughput efficiency requires that TSA Pre✓™ lanes are adequately utilized, especially during peak hours. Accordingly, TSA is also considering how to merge various RBS programs to work cohesively and increase passenger throughput at dedicated TSA Pre✓™ screening lanes as well as procedures to provide expedited screening for eligible travellers at airports where a dedicated TSA Pre✓ is not feasible.

3.   **ACTION BY THE ASSEMBLY**

3.1   The Assembly is invited to note the information contained in this Paper.

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