



NATIONAL SAFE SKIES ALLIANCE

Program for Applied Research in Airport Security

PARAS 0027 Project Statement

Project Title:	Guidance for Root Cause Analysis in Aviation Security
Program Officer:	Jessica Grizzle 865-738-2080 Jessica.Grizzle@sskies.org
Fiscal Year:	2019
Contract Time:	15 Months
Funding Cap:	\$200,000
RFP Close Date:	June 27, 2019
Authorization to Begin Work (estimated):	August 2019

BACKGROUND

The TSA recently implemented an approach to compliance and civil enforcement called Outcome-Focused Compliance (OFC). The three main activities of OFC are: (1) identifying vulnerabilities (e.g., through self-audit, industry reviews, testing, etc.), (2) developing solutions to mitigate vulnerabilities using Root Cause Analysis (RCA), and (3) deploying effective measures/mitigations. This project is focused on item 2, Root Cause Analysis. There are numerous ways to conduct RCA—different tools, processes, and philosophies—but it is unclear which, if any, are best suited for aviation security incidents, failures, and vulnerabilities. As a result, guidance is needed to assist with identifying a systematic, standardized RCA process to meet regulatory requirements and business improvement opportunities across the airport business enterprise.

OBJECTIVE

The objective of this research is to produce guidance specific to the aviation industry to assist security managers (and others) in conducting Root Cause Analysis (RCA) and interpreting the results. At a minimum, the guidance should include:

- Definition and components of RCA
- Recommended process for conducting RCA
- Lessons learned from previous processes
- Guidance for interpreting results, to include determining regulatory requirements versus business requirements, sharing/distribution of results, and need for implementation
- Identification of next steps after RCA for both regulatory requirements and business process improvements
- Executive brief for airports to use to express importance of RCA
- Applicable tools or checklists

The guidance should be practical and scalable to all airports.

SPECIAL NOTES

- Broad airport surveys will not be conducted as part of this research effort.
- Some information gathered during the research process may be Sensitive Security Information. Proposers should plan to protect it accordingly.
- Proposers should ensure a plan is in place to provide deliverables that are well executed and free from grammatical errors.
- Proposers are encouraged to ask questions regarding proposed scope and project panel intent. Questions should be directed to Jessica Grizzle, PARAS Program Officer.
- Proposers should be aware of current related PARAS projects, industry publications and white papers, research, and other relevant literature, documents, and initiatives, and include in the research plan their approach to coordinating with these research efforts. Examples include:
 - PARAS 0009 Guidance for Security Management Systems (SeMS)
 - PARAS 0016 Airport Security Vulnerability Assessments (In Progress)

RESEARCH PLAN

PARAS is seeking the insights of proposers on how best to achieve the research objective and is asking proposers to develop and include a detailed research plan. Proposers are expected to describe research plans that can realistically be accomplished within the constraints of available funds and contract time. Proposals must present the proposers' current thinking in sufficient detail to demonstrate their understanding of the issues and the soundness of their approach to meeting the research objective. The work proposed must be divided into tasks, and work for each task must be described in detail.

DELIVERABLES

The research plan should include the following Deliverables for PARAS approval at a minimum:

1. Amplified work plan
2. Literature review
3. Interim report that describes work performed in the early tasks and an updated work plan for remaining tasks
4. Draft final deliverable

Additionally, the research plan should build in appropriate checkpoints with the PARAS panel, including at a minimum:

- Kick-off teleconference meeting to be held within 1 month of Notice to Proceed
- One face-to-face interim deliverable review meeting
- Web-enabled teleconferences tied to the panel review and PARAS approval of other interim deliverables as deemed appropriate

The final deliverables will include a guidance document and a Microsoft PowerPoint presentation that summarizes the research of the guidebook, which will be used in presentations to the industry.

Note: The contract time includes 1 week for PARAS review of the Amplified Work Plan, 2 weeks for PARAS review of the interim report, 1 month for PARAS review and comment of the final deliverables, and 1 month for contractor preparation of the final deliverables. For budgeting purposes, proposers should assume that PARAS will provide access to web-enabled teleconference services. Proposers should assume that the face-to-face interim deliverable review meeting will be held in the Washington, DC area.

PROPOSAL

The essential features required in a proposal for research are detailed in the current document entitled *Guidance for Preparing Proposals*. Proposals must be prepared according to this document, and attention is directed specifically to Section V for mandatory requirements. **Proposals that do not conform to the mandatory requirements will be rejected.**

The total funds available are made known in this Project Statement, and line items of the budget are examined to determine the reasonableness of the allocation of funds to the various tasks. **If the proposed total cost exceeds the funds available, the proposal will be rejected.**

All proposals become the property of the National Safe Skies Alliance. Final disposition will be made according to the policies thereof, including the right to reject all proposals.

Proposals (1 electronic and 10 individually-bound hard copies) are due not later than 5:00 p.m. EST on June 27, 2019. The electronic copy should be sent via email to Jessica.grizzle@sskies.org.

This is a firm deadline and extensions are not granted. **In order to be considered for award, the electronic copy, all 10 hard copies, and the executed, unmodified Liability Statement must be in PARAS' offices no later than the deadline shown, or the proposal will be rejected.** Proposers may choose any carrier or delivery service for their proposals. However, proposers assume the risk of proposal rejection if the carrier or delivery service does not deliver all of the required documents by the deadline.

Delivery Address:

Jessica Grizzle
National Safe Skies Alliance, Inc.
1725 Base Pointe Way
Louisville, TN 37777
jessica.grizzle@sskies.org

LIABILITY STATEMENT

The signature of an authorized representative of the proposer is required on the unaltered **Liability Statement** in order for PARAS to accept the organization's proposal for consideration. **Proposals submitted without this executed and unaltered statement by the proposal deadline will be summarily rejected.** An executed, unaltered statement indicates the organization's intent and ability to execute a contract that includes the provisions in the statement.

GENERAL NOTES

- According to the provisions of 49 CFR 21, which relates to nondiscrimination in federally assisted programs, all parties are hereby notified that the contract entered into pursuant to this announcement will be awarded without discrimination on the grounds of race, color, religion, sex, national origin, or disability.
- The contract type is cost reimbursement with a “not-to-exceed” limiting amount.