



NATIONAL SAFE SKIES ALLIANCE

Program for Applied Research in Airport Security

PARAS 0027 Project Summary

Project Title:	Guidance for Root Cause Analysis in Aviation Security
Program Officer:	Jessica Grizzle 865-738-2080 Jessica.Grizzle@sskies.org
Research Agency:	Analytic Services, Inc. (ANSER)
Principal Investigator:	Dr. Sibel McGee
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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.