SCREENING OF PASSENGERS BY OBSERVATION TECHNIQUES REFERRAL REPORT
USER GUIDE

BEHAVIOR DETECTION AND ANALYSIS PROGRAM OFFICE

December 2013
Version 1.0

For further information or questions, email BDA.mailbox@tsa.dhs.gov

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TSA 15-00014 - 007330
### Revision History

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<th>SUMMARY OF CHANGES</th>
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1 INTRODUCTION

This guidance is intended to provide the user with an overview of the Screening of Passengers by Observation Techniques (SPOT) Referral Report, instructions on how to complete the form, and definitions of terms used in the form. For a more detailed description of SPOT behaviors and other related parameters of this report, refer to the SPOT Standard Operating Procedures (SOP) and Behavioral Indicator Reference Guide.

2 OVERVIEW

2.1 PURPOSE

The SPOT Referral Report exists to ensure consistent and accurate data tracking on all SPOT referrals conducted in the field. Acting as a supplement to the Performance Measurement Information System (PMIS) data entry tool, this ensures that a local record of the details of each SPOT referral is maintained by the airport involved and in a national database. This information is then analyzed by the Behavior Detection and Analysis (BDA) Program Office to inform decision makers on the BDA Program and may also be used during audits, investigations, or as evidence in court. A BDA Transportation Security Manager (TSM), or designee, is responsible for reviewing SPOT Referral Reports prior to entry into the PMIS database, as outlined in this guidance and the SPOT SOP.

2.2 DEFINITIONS

Artfully Concealed Item – An item hidden on a person or in accessible property in order to evade detection.

BDO Activity – The specific job function being performed by the BDO at a given time, such as Checkpoint, Playbook, VIPR, etc.

Canine – Working as part of a Canine Screening of Individuals (CSOI) team.

Colorimetric Screening – A screening process certified by TSA for detecting certain possible explosive compounds in powders and granular materials.

Explosives – Military, commercial, or improvised compounds characterized by their ability to rapidly convert from a solid or liquid state into a hot gaseous compound with a much greater volume than the substances from which they are generated.

Explosive Trace Detection (ETD) – A device certified by TSA to detect explosive particles on objects intended to be carried into the sterile area or transported onboard an aircraft.

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**Firearm** – Any weapon, including a starter gun and antique firearm, that is designed to, or may readily be converted to, expel a projectile by action of an explosive; or the frame or receiver of any such firearm.

**Hazardous Materials (HAZMAT)** – Substances or materials that have been determined to be capable of posing an unreasonable risk to health, safety, and property when transported in commerce, and which have been so designated under the U.S. Department of Transportation (DOT) HAZMAT Regulations (HMR).

**Law Enforcement Officer (LEO)** – A sworn employee of a government entity (Federal, to include U.S. military police and U.S. Capitol police, State, Territorial, Tribal, and local, to include Rail Police Officers), with full power of arrest, who is trained and commissioned to enforce the public criminal laws of the jurisdiction(s) in which he or she is commissioned.

**Liquid Container Screening (LCS)** – A screening process using devices certified by TSA for detecting explosives in containers holding liquids or gels.

**Managed Inclusion** – A risk-based real-time threat assessment initiative performed by a team of BDOs and PSCs which directs passengers who have undergone some form of screening or risk mitigation procedures from the standard screening lane to the TSA Pre✓ lanes.

**National Special Security Event (NSSE)** – A domestic or international event, occurrence, contest, activity, or meeting which, by virtue of its profile or status, represents a significant target, and therefore, warrants additional preparation, planning, and mitigation efforts. The Department of Homeland Security (DHS) is responsible for designating an event as an NSSE.

**Plain Clothes Operations** – (PCO) Conducting SPOT covertly while on duty in plain clothes.

**Prohibited Items** – Items that cannot be transported in accessible property, on an individual’s person, or in checked baggage.

**Referral** – Performing SPOT Referral Screening on an individual who met the SPOT behavior threshold. This can be during resolution screening in the checkpoint, or casual conversation on someone who is not entering the screening process. Capture the time spent while performing any necessary responsibilities related to the referral, with the exception of reporting.

**Resolution Pat Down** – The act of passing the hands over the body of a clothed individual to detect prohibited items. A RESOLUTION PAT-DOWN is designed to detect prohibited items secreted on an individual’s body, as described in the Resolution Pat-Down SOP.

(b)(3) 49 U.S.C. § 114(r)
Sterile Area – A portion of an airport, defined in the airport security program, that provides passengers access to boarding aircraft and to which the access is generally controlled by TSA or by an aircraft operator under 49 CFR Part 1544 or an air carrier under 49 CFR Part 1546, through the screening of persons and property.

TSA Pre✓ – A risk-based initiative that allows passengers of participating airlines and members of U.S. Customs and Border Protection (CBP) Trusted Traveler programs who are flying on participating airlines, to receive expedited screening benefits during domestic travel including use of a dedicated lane and relaxed divestiture requirements.

2.3 ACRONYMS

AIT Advanced Imaging Technology
ATF Bureau of Alcohol, Tobacco, Firearms and Explosives
BDA Behavior Detection and Analysis Program Office
BDO Behavior Detection Officer
CBP United States Customs and Border Protection
CC Casual Conversation
CCTV Closed-Circuit Television
DEA Drug Enforcement Administration
ETD Explosives Trace Detection machine
FAM Federal Air Marshal
FBI Federal Bureau of Investigation
ICE U.S. Immigration and Customs Enforcement
LCS Liquid Container Screening
LEO Law Enforcement Officer
NSSE National Special Security Event
OD Operations Directive
PARIS Performance and Results Information System
PCO Plain Clothes Operations

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2.4 ACCESS AND STORAGE A copy of the SPOT Referral Report must be maintained by each airport that has been authorized to conduct SPOT and must be password protected. This report must not be left unprotected or stored on a SharePoint page accessible by those without a need to access the form such as Transportation Security Officers (TSO) or Transportation Security Managers (TSM). This SOP contains Sensitive Security Information (SSI) and must be handled, safeguarded, and audited in accordance with OD-400-18-6 series: Safeguarding Standard Operating Procedures.

If an SOP is lost or stolen, immediately send an e-mail to SSI@dhs.gov, and identify the item reported missing, include a thorough description, and provide information for a local point of contact.

Records of these reports are kept on file for the minimum amount of time allowed by the National Archives and Records Administration (NARA). At this time there is no disposition schedule and no records may be destroyed.

3 DATA ENTRY

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This section will provide users with an explanation of how to fill in each field within the SPOT Referral Report and its purpose or definition.

3.1 HEADER

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<td>Secondary BDO (Last, First):</td>
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(b)(3) 49 U.S.C. § 114(r)

This section records all pertinent historical information concerning the SPOT referral, including who was involved, the BDO Activity that initiated the referral, where the event took place, when the referral occurred, and which other reports, if any, were associated with this referral.

3.1.1 DATE: The date the referral was performed, using MM/DD/YYYY format. If the referral report is submitted on a different date than the referral was actually performed, ensure this section accurately reflects the date of the referral.

3.1.2 TIME: The time the referral was initiated, using local military time. Ensure the time in this section indicates the initiation of the referral, not the time the referral report was generated.

3.1.3 AIRPORT: The airport in which the referral occurred, using the International Civil Aviation Organization (ICAO) airport code. If the referral occurs during an off-site VIPR mission, NSSE, or Special Event, this section will be populated with the primary airport coordinating the effort.

3.1.4 FIRST OBSERVED BY: The BDO Activity that was performed when the first behavior or indicator was observed that lead to the referral. Ensure this field accurately reflects the role of the officer making the initial observation, regardless of the location at which the referral is conducted.

Example: A PCO BDO observes behavior(s) in the public area while conducting Playbook operations. The PCO BDO informs the BDO team assigned to the checkpoint that the individual is proceeding to the checkpoint queue. At the checkpoint the individual’s behaviors require he/she be referred. The “First Observed By” field should indicate “Playbook BDO” as the BDO Activity. The “Referenced Play” field in PMIS would indicate the applicable covert (COV) playbook activity.

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Example: A Playbook BDO is transiting past a checkpoint en route to perform a Play and relays observed behavior(s) to the checkpoint BDO team, which results in a SPOT Referral. This field will be marked “Checkpoint BDO” because the BDO Activity of the Playbook BDO at that time was “in transit” and not while actively conducting a Playbook Play.

3.1.5 LOCATION OF REFERRAL: The physical location within the airport that the referral was performed. This may be a checkpoint or public area. “VIPR location” should be indicated for any off-side VIPR missions, NSSEs, or Special Events.

3.1.6 PLAY OPERATION: The name of the Playbook play associated with the referral, if any. This section must be completed any time a referral is made as a result of, or in association with a Playbook play. This field only appears in PMIS when “Playbook BDO” is selected from the “First Observed By” field. If a Playbook BDO was involved but did not initiate the referral, indicate the play name in the Resolution Notes/Additional Information text box.

3.1.7 PILOT NAME: The full official name, without using abbreviations, of the pilot program, if any. This is a text field rather than a drop-down list, so it is important to maintain consistency and proper spelling. NOTE: This field is unrelated to flight crew.

3.1.8 PRIMARY BDO: The name of one of the BDOs associated with the referral, written in “Last. First” format. “Primary BDO” may or may not be the person who first observed behavior. Airport management may determine how to identify which BDO name is entered into this field and may develop a local system for designating what role will be considered the “Primary BDO” (e.g. BDO performing casual conversation, BDO who assessed the initial behavior, BDO conducting the bag search).

NOTE: The PMIS database stipulates “SPOT MEMBER 1,” which is synonymous with the SPOT Referral Report field “Primary BDO.”

3.1.9 SECONDARY BDO: The name of one of the BDOs associated with the referral, written in “Last. First” format. “Secondary BDO” may or may not be the person who first observed behavior. Airport management may determine how to identify which BDO name is entered into this field and may develop a local system for designating what role will be considered “Secondary BDO” (e.g. BDO performing casual conversation, BDO who assessed the initial behavior, BDO who conducted the bag search). This field is mandatory, even in situations in which a BDO performs a SPOT referral alone. When there is no secondary BDO associated with a referral, the option “No Partner” must be selected.

NOTE: The PMIS database stipulates “SPOT MEMBER 2,” which is synonymous with the SPOT Referral Report field “Secondary BDO.”
3.1.10 ADDITIONAL BDOS: The names of any additional BDOS associated with the referral, written in “Last, First” format. BDOS with any involvement in a referral must be listed, regardless of participation in referral screening procedures (e.g., checkpoint BDO who observes a behavior but does not participate in casual conversation or property search; or PCO BDO who reports a sign of surveillance). If more than four BDOS were involved in a single referral, indicate the additional BDO names in the Resolution Notes/Additional Information text box.

(b)(3) 49 U.S.C. § 114(r)

3.2 SECTION 1: ENVIRONMENTAL BASELINE

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This section captures the environmental baseline, described in SPOT SOP Section 3.3, as behaviors and appearances that are typical and expected at the time and location where SPOT is being conducted, at the time the SPOT referral was initiated. Considering at a minimum the factors set forth in SPOT SOP Section 3.3, provide a brief narrative overview of all aspects of the environmental baseline that pertain to the specific referral.

Example: \( b(3) 49 \text{ U.S.C} \ § 114(r) \)

3.3.1 Behavior: Under the “Reason for Referral” subsection, this field can only be...
3.4 SECTION 3: UNUSUAL ITEMS

WARNING: THE INFORMATION IS SENSITIVE SECURITY INFORMATION that is controlled under 49 CFR parts 15 and 1520. No part of this record may be disclosed to persons without a need to know. 49 CFR parts 15 and 1520, except with the written permission of the Administrator of the Transportation Security Administration or the Secretary of Transportation. Unlawful release may result in civil penalty or other action. For U.S. government agencies, public disclosure is governed by 5 U.S.C. 552 and 49 CFR parts 15 and 1520.
3.5 SECTION 4: SIGNS OF DECEPTION

This section records any signs of deception.

3.6 SECTION 5: POSSIBLE SUICIDE BOMBER INDICATORS

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3.7 SECTION 6: POSSIBLE SURVEILLANCE ACTIVITY

This section records the observation of any signs of possible surveillance activity.

3.8 SECTION 7: AUTOMATIC LEO NOTIFICATION

This section records the reason for LEO involvement during the SPOT screening process.

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Withheld pursuant to exemption
(b)(2) 49 U.S.C. § 114(r)
of the Freedom of Information and Privacy Act
Withheld pursuant to exemption

(b)(6) 49 U.S.C. § 114(r)

of the Freedom of Information and Privacy Act
3.9 SECTION 8: PASSENGER DATA

(b)(3): 49 U.S.C. § 114(r)

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### 3.10 SECTION 9: PROHIBITED ITEMS

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<td>(b)(3) 49 U.S.C. § 114(r)</td>
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This section records the discovery of any items listed as prohibited per the Screening Checkpoint SOP.

(b)(3) 49 U.S.C. § 114(r)

(b)(3) 49 U.S.C. § 114(r)

(b)(3) 49 U.S.C. § 114(r)

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### 3.12 SECTION II: RESOLUTION STATEMENT

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<th>Resolution</th>
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This section notes the type of resolution obtained during SPOT referral screening and captures all relevant details concerning the referral. All BDO reporting should capture only the facts, and the information should be in plain language and coherently organized. Any additional relevant information not recorded elsewhere in the SPOT Referral Report is captured in the “Resolution Notes/Additional Information” field. Any resolution involving LEO requires the completion of the “Automatic LEO Notification” and “LEO Resolution” sections, (b)(3):49 U.S.C § 114(r).

#### 3.12.1 RESOLVED BY TSA THROUGH SPOT REFERRAL SCREENING: Select this field when an individual who met the threshold for additional screening was successfully screened per SPOT SOP Section 3.6, (b)(3):49 U.S.C § 114(r).

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3.12.2 RESOLVED BY TSA THROUGH CASUAL CONVERSATION (NOT AT CHECKPOINT): This field should be selected when casual conversation was the only means of screening available to the BDO(s) for an individual who met the SPOT threshold but did not escalate to require LEO notification.

3.12.3 QUESTIONED AND RELEASED BY LEO: Selected when an LEO responds and interviews the individual. This applies when no other action in this section was taken by an LEO.

3.12.4 QUESTIONED AND ARRESTED BY LEO: Select this field when an LEO responds and confirms that the individual was arrested. If the BDO is informed at a later time or date that the final disposition of the individual was arrest, this field may be updated to include the most up to date information. If this occurs, indicate the previous resolution and date of change in the LEO Resolution Notes text box.

3.12.5 REFERRED FOR INVESTIGATION BY LEO: This field should be selected when the acting lead law enforcement agency either transfers the individual into the custody of another agency or sends the individual’s information to another agency for further investigation.

3.12.6 LEO RESPONDED/DID NOT QUESTION: This field should be selected when an LEO responds to a BDO call for an individual who met the threshold for LEO notification, but does not question the individual. In this circumstance, the LEO may or may not conduct a database check. If known, indicate in the LEO Resolution Notes text box any actions that the LEO did take, such as running an NCIC check.

3.12.7 LEO DID NOT RESPOND: Select this when an LEO is notified that a BDO requests assistance and does not respond to the incident. If known, indicate the reason for the LEO not responding in the LEO Resolution Notes text box.

3.12.8 CITED BY LEO (IF KNOWN): This field should be selected when an LEO responds, issues the individual a citation or summons to appear in court, and allows them to proceed. If known, indicate the reason for which the citation or summons was provided in the LEO Resolution Notes text box.

3.12.9 HELD BY LEO (IF KNOWN): This field should be selected when an LEO responds, and either detains or takes the individual into custody. This applies when the LEO escorts the individual away from where the incident took place and does not confirm if the individual was arrested or scheduled to be released. Provide any applicable details in the LEO Resolution Notes text box.

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3.12.10 DENIED BOARDING BY CARRIER: Select this field when the air carrier is notified of an individual who met the SPOT threshold and denies them access to their scheduled flight. This may apply regardless of the individual’s allowance into the sterile area. (b)(3); 49 U.S.C. § 114(r)

3.12.11 DENIED ACCESS TO STERILE AREA BY TSA: Select this field when the FSD, FSD Designee, or other TSA authority does not permit an individual who met the SPOT threshold to proceed into the sterile area. (b)(3); 49 U.S.C. § 114(r)

3.12.12 DENIED ACCESS TO THE STERILE AREA BY LEO (IF KNOWN): Select this field when an LEO does not permit an individual who met the SPOT threshold to proceed into the sterile area. (b)(3); 49 U.S.C. § 114(r) If known, indicate the agency or department of the officer who denied access in the LEO Resolution Notes text box.

3.12.13 ILLEGAL ALIEN: Under the “Identified by LEO or Passenger as” header, select this field when it is confirmed that the individual is an illegal alien. The field will only be selected when an LEO is notified. The illegal alien status may be confirmed by the individual admitting to being an illegal alien or if an LEO confirms the individual’s status. If this field is selected, an LEO should be notified and Section 7 should indicate Discovery of possible evidence of criminal activity.

3.12.14 SELF DEPORTING: Under the “Identified by LEO or Passenger as” header, select this when it is confirmed to the BDO that the individual is self-deporting. This may be confirmed by the individual admitting to self deport or an LEO confirms the individual is self-deporting. If this field is selected, an LEO should be notified and Section 7, Automatic LEO Notification, should indicate Discovery of possible evidence of criminal activity.

3.12.15 RESOLUTION NOTES/ADDITIONAL INFORMATION: (b)(3); 49 U.S.C. § 114(r)

3.13 SECTION 12: LEO RESOLUTION

WARNING: This record contains Sensitive Security Information that is controlled under 49 CFR parts 75 and 1520. No part of this record may be released, reproduced, or disclosed in any manner, except with the written permission of the Administrator of the Transportation Security Administration of the Department of Homeland Security, or a designee, by law or regulation, or under a duly executed memorandum of understanding or other action. For U.S. government agencies, public disclosure is governed by 5 U.S.C. § 552 and 49 CFR parts 75 and 1520.
This section records data regarding any LEO involvement associated with a SPOT referral. If any item in this section is selected, the “Automatic LEO Notification” section must be completed. If no LEO responds, this information must be filled out with information regarding the type of LEO contacted as well as the resolution achieved regarding the incident that met the LEO referral threshold.

3.13.1 PRIMARY LEO: The agency or department that is first called to respond to a SPOT referral that resulted in an LEO notification. This also applies if the first LEO called did not respond. Only one option can be selected. If the notified agency or department is not listed, select “Other” and type their affiliation in the text box provided.

3.13.2 SECONDARY LEO: Any additional agencies or departments that respond to a SPOT referral that resulted in an LEO notification. Multiple selections are allowed. If the agency or department of the LEO is not listed, type their affiliation in the “LEO Resolution Notes” field.

3.13.3 REASON FOR ARREST: The reason a referred individual is arrested by an LEO. Multiple options may be selected. If the reason is not listed, select “Other” and type the reason in the text box provided.

3.13.4 LEO RESOLUTION NOTES: Any information relating to the resolution and actions taken by an LEO during a SPOT referral. If any LEO Resolution is selected in section 11, this field is mandatory. **Do not enter any PII on this form, to include officer names and badge numbers.** Document as much information as possible about the steps the officer(s) took with the individual, such as running an NCIC check, and any details about the final disposition.

3.13.5 CURRENCY AMOUNT: Under the “Identified by LEO” subsection, type the amount of currency discovered as told by the individual or LEO during SPOT referral screening. Convert all foreign currency to USD. If the currency was foreign, please indicate the country and currency type in the Resolution Notes/Additional Information field, if known. **NOTE: A BDO must never**
personally count an individual’s currency, ask an individual to the count the currency, or ask an individual for the amount of currency in their possession.

3.13.6 ACTUAL AMOUNT (YES/NO): Under the “Identified by LEO” subsection, indicate whether the amount of currency discovered was counted and confirmed by an LEO. If it was, select “Yes.” Any other circumstance where the amount was not confirmed by a LEO will qualify as “No.” For example, if an individual tells the BDO the amount of currency they have but an LEO does not count and confirm the amount, select “No.”

3.13.7 CURRENCY CONFISCATED (YES/NO): Under the “Identified by LEO” subsection, indicate whether a Law Enforcement Agency took possession of the currency that was discovered during SPOT referral screening. If “Yes,” document the agency that confiscated the currency in the LEO Resolution Notes field.

3.13.6 LOCAL INCIDENT/CASE NUMBER: Any locally-generated identification number which pertains to an incident requiring automatic LEO notification. This number will be generated by the LEO, who is not required to share this information with the BDO. NOTE: This not the PARIS ID number.

3.14 FOOTER: NOTIFICATIONS

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<tr>
<td>SCREENING MANAGER NOTIFIED</td>
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<td>YES/NO</td>
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<tr>
<td>CCTV COPIED</td>
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3.14.1 SCREENING MANAGER NOTIFIED: Type the name of the screening manager who was called for the purpose of notification of the SPOT referral. This can be a BDA TSM or a TSM for screening operations. If multiple managers were notified, identify the first one called or the first one to respond.

3.14.2 TSOC NOTIFIED: Select “Yes” for this field when it has been confirmed that the TSOC was notified of the referral. All LEO referrals require TSOC notification. If the BDO is not responsible for notifying TSOC directly, the BDO or BDA TSM must follow up to verify that the responsible party made the proper notification. If unknown or confirmed that TSOC was not notified, select “No.”

3.14.3 CCTV COPIED: This field is to record if an individual who met the threshold for SPOT referral screening was captured on CCTV. Select “Yes” if the footage contains all or portions of the individual’s movements throughout the operational environment. Select “No” if CCTV did not capture the individual at all or if CCTV utilization is unknown.

WARNING: This document contains Sensitive Security Information that is controlled under 49 CFR parts 35 and 1520. No part of this record may be disclosed to persons without a need to know, except under 49 CFR parts 35 and 1520, except with the written permission of the Administrator of the Transportation Security Administration or the Secretary of Transportation. Unauthorized disclosure may result in a penalty or other action. For U.S. government agencies, public disclosure is governed by 5 USC 552 and 49 CFR parts 35 and 1520.