Transportation Security Administration

TSA Acquisition Qualification Policy

Office of Acquisition Program Management (OAPM)

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TSA Acquisition Qualification Policy

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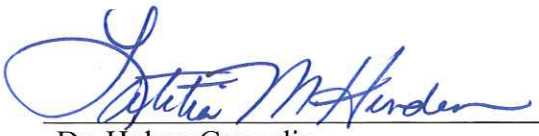
Approval:



1/9/18

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List of Changes

Version	Date	Changes
0.1	15 Jun 17	Original Submission
0.2	26 Jun 17	Program Manager comments
0.3	05 Jul 17	General updates to document and updated roles and responsibilities
0.4	20 Jul 17	Incorporating updates and comments from TED EQAB Lead and T&E Liaison Support
0.5	01 Aug 17	Comment Adjudication
1.0	16 Nov 17	Comment Adjudication
1.0	13 Dec 17	Comment Adjudication

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1 Qualification Process Overview

1.1 Purpose

The purpose of this policy is to standardize the qualification process used by the Transportation Security Administration (TSA) for acquisitions. This policy is applicable to all TSA acquisition projects or programs using a Qualified Products List (QPL). A qualification process is essential to ensure TSA is buying a mature, effective, and suitable system prior to making a significant investment. This policy standardizes industry engagement and the Transportation Security Equipment (TSE) qualification process across TSA programs and with the Transportation Security Laboratory (TSL). The TSA intends for this process to stimulate early engagement by TSA with industry on system requirements, analysis, and testing. Establishing early involvement with industry will facilitate a more mature system to meet TSA needs and supports a more expedient acquisition process. This policy establishes an acquisition approach compliant with the Department of Homeland Security (DHS) Instruction 102-01-001 Acquisition Management Instruction (series). Each Program will tailor this qualification process to meet its specific needs.

1.2 Establishment of a Qualification Requirement

The Program Manager (PM) will establish a qualification requirement in accordance with Federal Acquisition Regulation (FAR) 9.202. The Program Manager will prepare a written justification:

i. Stating the necessity for establishing the entrance criteria for the qualification process and specifying why the vendor must demonstrate compliance with the system requirements prior to contract award;
ii. Estimating the likely costs for testing and evaluation, which the potential vendor will incur to become qualified; and
iii. Specifying all system requirements, a potential vendor (or its product) must satisfy in order to become qualified.

The qualification process is where [1] products are obtained from manufacturers or distributors, examined and tested for compliance with system requirements, or [2] manufacturers or potential vendors are provided with an opportunity to demonstrate their abilities to meet the standards specified for qualification (FAR 9.203).

In creating the qualification process, the Program Manager [1] establishes the Qualified Product List (QPL) with the use of Functional Categories, and [2] owns, maintains, and updates each QPL in compliance with the corresponding Functional Category. The QPL is a consolidated list of products that have been examined, tested, and have satisfied all applicable system requirements (FAR 2.101). The Program Manager is responsible to actively update the QPL list, which is a living document that will reside on Federal Business Opportunities (FBO).

The processes and steps described in following sections of this policy document are also applicable to a sole source procurement by TSA upon completion of an Analysis of Alternatives (AoA) and

the downselect process conducted during the Analyze/Select phase of the AD-102. All Test and Evaluation (T&E) steps are to be executed during the Obtain phase (post ADE-2B) of the AD-102 through a tailorable strategy that will be agreed upon and documented before the assessment of technology/capability begins

All products proposed by vendors to meet the system requirements under a specific Functional Category will be required to pass tests as defined in the approved qualification process. The type of testing required to fulfill system qualification will be specified within the Request for Qualification Verification Package (RFQVP). Once qualified, the product will be added to the QPL by the Program Manager.

1.3 List of References

a. Federal Acquisition Regulation (FAR) 9.2 - Qualification Requirements
b. Department of Homeland Security (DHS) Instruction 102-01-001 Acquisition Management Instruction (series)
c. DHS Supplemental Guidance Test and Evaluation Management (series)
d. DHS Instruction 102-01-103 Systems Engineering Life Cycle (series)

2 Qualification Process

2.1 Qualification Process Introduction

The qualification process encompasses the majority of the acquisition lifecycle. The process, depicted in Figure 1, will consist of up to eight (8) steps.

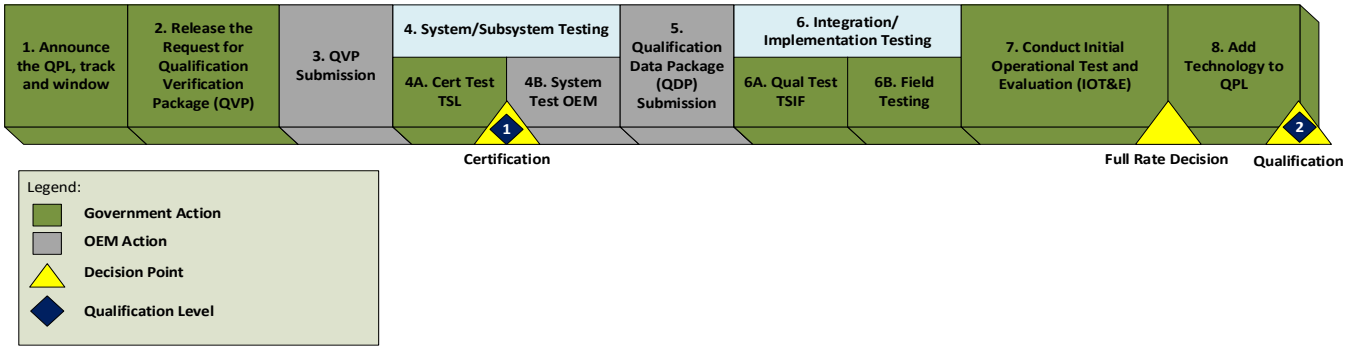

Figure 1. Qualification Process Overview

The PM may tailor the qualification process for a particular Functional Category and will define the process within the Qualification Management Plan (QMP). The PM will require that all proposed systems must meet the identified system requirements under a specific Functional Category, to pass the specific level of qualification defined.

At the completion of each step, the PM will provide the vendor with formal notification and government test results. Vendor test results will be provided in the QDP, and if deemed necessary, the PM may conduct verbal discussions of results.

The completion of each step and key decision points are informed by test results. The program test strategy will utilize two testing types, Developmental Test & Evaluation and Operational Test & Evaluation.

The DHS Supplemental Guidance Test and Evaluation Management (series) defines Developmental Test and Evaluation (Step 4 & Step 6) as the "disciplined process of generating and collecting engineering-type data from systems, subsystems, components, and material to inform optimum engineering solutions, acquisition decisions, and progress toward meeting design performance goals." Developmental Test and Evaluation (DT&E) is conducted in controlled environments "such as laboratories, test facilities, engineering centers, test beds, and test ranges. As the system becomes more mature, developmental testing may involve the user and be conducted in simulated or actual operational environments." All DT&E activities will be described in detail within the Test and Evaluation Master Plan (TEMP).

The DHS Supplemental Guidance Test and Evaluation Management (series) defines Operational Test and Evaluation (Step 7) as "a field test performed under realistic conditions, by actual users, against realistic threats, to determine the operational effectiveness, suitability, and cybersecurity (where applicable) of a system and the corresponding evaluation of the data resulting from such tests." Operational Test and Evaluation (OT&E) is typically conducted by an Operational Test Agent (OTA) that is independent of the manufacturer, government developer and user organizations and provides an assessment of whether production systems prove effective and suitable when operated by typical users in a field environment. OT&E is conducted to the system requirements as defined in the Operational Requirements Document (ORD).

A critical component throughout the qualification process is the Major Configuration Item List (MCIL). The MCIL establishes and maintains the definitive, current basis for control and status accounting of a system and its designated hardware, software, and firmware Configurable Items (CI) throughout its lifecycle. The initial MCIL will be submitted with the vendor's QVP (Step 3). The vendor shall provide an updated MCIL with the final QDP (Step 5) that accounts for any system redesigns required as a result of DT&Es (Step 4). The vendor must submit a final MCIL upon placement on the QPL (Section 3.1.3). The QMP will have more details for MCIL requirements.

2.1.1 QPL Process Stakeholders Roles and Responsibilities

The list below is not intended to include stakeholders that will be actively engaged throughout the QPL Process. It does include critical individuals that have key parts of the acquisition process.

2.1.1.1 **Component Acquisition Executive**

The Component Acquisition Executive (CAE) is responsible for implementation, management, and oversight of the Component's acquisition processes and as appropriate coordinating those processes with contracting and procurement processes established by the Head of Contracting Activity. The CAE has the:

1. Authority to report directly to the Department [Chief Acquisition Officer] CAO on acquisition matters;
2. Authority to establish and implement Acquisition Policy within their Component subject to Directive 102-01;
3. Authority to act as the [Acquisition Decision Authority] ADA for Level 3 programs;
4. Authority to act as the ADA for Level 2 programs when that authority is delegated from the CAO in writing;
5. Authorities to review, oversee, and direct acquisition program management activities for Level 1 and Level 2 programs between Acquisition Decision Event (ADE)s;
6. Authority to ensure the technical approach, contracting strategy, risk, financial management, and program execution are appropriate for acquisition programs within their Component. The CAE consults with the component [Chief Financial Officer] CFO, Chief Information Officer (CIO), and [Head of Contracting Activity] HCA in the execution of this authority; and
7. Authority to place a program into breach status, and to remove a Level 3 program from breach status

2.1.1.2 **Systems Engineering**

DHS Instruction 102-01-103 Systems Engineering Life Cycle (series), defines Systems Engineering (SE) as: responsible for the Component's overall Systems Engineering. Systems Engineering is defined as an interdisciplinary approach and means to enable the realization of successful systems. Systems Engineering considers both the business and the technical needs of all customers with the goal of providing a quality product that meets the user needs. If the Component does not have a dedicated Program/Project SE, then the organization (external to the Program Management Offices) with responsibilities closest to the definitions above should be substituted and so designated by the Component Acquisition Executive (CAE). For non-IT programs and projects, the Component SE is also the Lead Technical Authority (LTA) with responsibilities defined in the LTA within the approved DHS Systems Engineering Life Cycle document.

2.1.1.3 **Contracting Officers**

The Contracting Officer has the authority to enter into, administer, or terminate contracts and make related determinations and findings. No contract shall be entered into unless the contracting officer ensures that all requirements of law, executive orders, regulations, and all other applicable procedures, including clearances and approvals, have been met.

Per the FAR, contracting officers are responsible for ensuring performance of all necessary actions for effective contracting, ensuring compliance with the terms of the contract, and safeguarding the interests of the United States in its contractual relationships. In order to perform these responsibilities, contracting officers should be allowed wide latitude to exercise business judgment.

2.1.1.4 **Program Manager**

The DHS Supplemental Guidance Test and Evaluation Management (series) defines the Program Manager as responsible for bringing together all of the individual teams (T&E, SE, etc.) to develop the solution for the users. The PM ensures all of the Acquisition and SE decision milestones are satisfied and the identified risks are appropriately mitigated. Additionally, the PM:

- Plans and manages execution of the T&E strategy
- Identifies the T&E Manager
- With Sponsor concurrence, identifies and recommends an OTA for DOT&E approval, for the program to conduct independent OT&E
- For major acquisition programs, presents a T&E Strategy Briefing with the T&E Manager to the DOT&E
- Provides resources for T&E activities, including budgeting and funding; provisions test articles; and maintains Integrated Master Schedule (IMS) of T&E activities

The guidance provided by the DHS Supplemental Guidance Test and Evaluation Management (series) for Integrated T&E does not change the vendor's role in planning, executing, and reporting DT&E activities nor the role of the OTA for OT&E.

2.1.1.5 **Test & Evaluation Manager (Lead)**

The DHS Supplemental Guidance Test and Evaluation Management (series) state that the Test and Evaluation Manager shall be established within the program office, to act as the focal point for all T&E efforts; the PM designates this position early within the program. For Master Acquisition Oversight List (MAOL) programs under DOT&E oversight, the T&E Manager is required to be DHS Level III T&E-certified.

Identifying the T&E Manager during the initial phase of the program is critical to success. Early involvement with, and understanding of the needs, allows the T&E Manager to appropriately plan

for and resource the T&E effort. The T&E Manager supports the PM by developing an Integrated Testing (IT) strategy and communicating that strategy in the TEMP.

Responsibilities include:

- Coordinate the planning, management, and oversight of all T&E activities for the program
- Maintain insight into contractor activities under the program and oversee the T&E activities of other participating government activities under the program
- Help the PM make technically informed, objective judgments about contractor T&E results under the program

T&E Managers also:

- Chair the T&E IPT, as designated by the PM
- Develop the program T&E Integrated Evaluation Framework (IEF), in collaboration with the T&E IPT and subject matter experts (SMEs)
- In consort with the PM, provides a T&E Strategy Briefing to the DOT&E for major acquisition programs
- Develop and staff the TEMP, in collaboration with the T&E IPT and SMEs
- Review and approve vendor Test Plans supporting the program TEMP
- Review and analyze DT&E data
- Provide recommendation of OTA, for major acquisition programs, to the PM for nomination to DOT&E for approval
- Help develop the RFP and provide inputs that represent the program's T&E strategy
- Plan for and coordinate requisite T&E resources (facilities, funding, manpower, test beds, prototypes, and logistics) to support the T&E effort
- Review and develop acquisition documentation related to T&E
- Track and process Deficiency Reports
- Support SE on technical reviews

2.1.1.6 **Operational Test Agent**

The DHS Supplemental Guidance Test and Evaluation Management (series) and DHS Instruction 102-01-001 Acquisition Management Instruction (series) state that Program Manager recommends the Operational Test Agent (OTA). The DOT&E approves the OTA for major acquisition programs; for non-major acquisition programs, the CAE approves the OTA. The OTA should become involved early in the system's life cycle, during the Analyze/Select phase, to provide input to development of the Analysis of Alternatives Study Plan (AoASP), Concept of Operations (CONOPS), and the Operational Requirements Document (ORD).

Typically, an OTA is selected to coordinate all OT&E activities on a program. The use of an OTA is appropriate on all types of programs, whether the System Under Test (SUT) consists of hardware, software, or a combination of the two. The OTA is responsible for creating the OT&E

Report that validates whether the system is effective, suitable, and cyber-secure (where applicable) for deployment.

2.1.1.7 **Qualification Review Team**

The Program Manager shall establish a Qualification Review Team (QRT) for each Functional Area/Track to review and assess submitted QVP and QDPs, coordinate vendor/TSA communications during the review and approval of QVP and QDP documents, and provide a recommendation on QVP and QDP acceptance to the PM. QRT members must be empowered to make decisions on Qualification matters relating to their area of expertise, must allocate sufficient time to support Qualification review assignments and provide inputs in accordance with Qualification review timelines.

The PM, or designee, shall chair the QRT and identify and assign roles and responsibilities to all TSA stakeholders as needed to fully assess vendor Qualification submissions. Upon formation of the QRT, the QRT Chair shall develop a charter that outlines the Functional Area/Track QRT members, review process, and roles and responsibilities.

2.2 Step 1 – Announce QPL Functional Category/Track/Window

The PMO uses Functional Categories, Tracks, and Windows to announce various requirements of system needs and posts them as an announcement to FBO. If TSA identifies a capability gap that needs to be filled, has the need for advancement in technology, and/or makes significant changes to requirements, a new Functional Category, Track, and/or Window may be opened to allow for the qualification of a new or upgraded system. The PM may open a Window under an already established Functional Category/Track.

A new Functional Category/Track will be opened when the requirements or technology changes significantly. Significant changes are defined as any change to functional requirements that must be met for a system to be considered qualified under that Functional Category.

Should changes to the systems require additional testing to ensure the system is still qualified, vendors will follow the testing process as defined within the QPL Functional Category/Track/Window, specifically within the QMP.

The following sections provide definitions of Functional Categories, Tracks, and Windows; Figure 3 provides a notional overview.

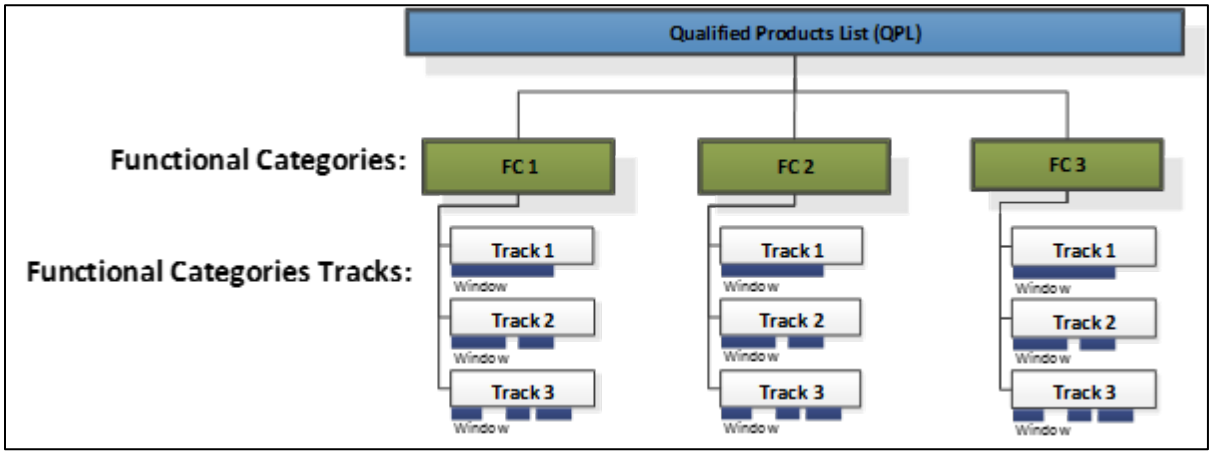

Figure 2. QPL Structure

2.2.1 Functional Category

Functional Categories represent the different categories of products sought for qualification under this QPL. TSA PMOs may keep Functional Categories open through the life of the QPL, or may close them if the PM determines that there is no longer a need for that equipment or system type.

A sample list of known and potential Functional Categories include the following:

a. Functional Category 1 – Stand-Alone Advanced Technology (AT) X-Ray
b. Functional Category 2 – AT Integrated with an Automatic Screening Lane

2.2.2 Tracks

Tracks represent the different versions of system requirements under a specific Functional Category. The TSA PMO will open a new Track when system requirements or capabilities change significantly. TSA defines significant changes as any change to functional requirements that must be met for a system to be considered qualified under that Functional Category. In these cases, the PM may close the previous version Track. An unlimited number of Tracks may be opened by the PM under a Functional Category.

For example, the Tracks under Functional Category 1 may look like the following (the following is only an example and the Government reserves the right to change the information):

a. Functional Category 1 – Stand-Alone Advanced Technology (AT) X-Ray
    i. Track 1 – Stand-Alone AT Functional Requirement Document v1.0
    ii. Track 2 – Stand-Alone AT Functional Requirement Document v1.5
    iii. Track 3 – Stand-Alone AT Functional Requirement Document v2.0

2.2.3 Windows

TSA will hold pre-solicitation vendor Industry Day events to introduce new Window requests and potential timeframes openings. These Industry Days will be held early enough to allow TSA to engage with vendors and for vendors to be provided ample time to develop technologies to apply to submit to a new window opening.

Windows are the periods of time during which the PM will accept submissions for entry into the qualification process. The PM will open windows under a Functional Category/Track to request QVP submissions, specifically through a RFQVP. The RFQVP and QVP will be discussed further in Sections 2.3 and 2.4.

TSA anticipates Windows will typically be open for 3-6 months to allow for QVP submissions, but the time frame will depend on the complexity of the requirement. TSA may open an unlimited number of Windows under a particular Track, and will open and close Windows based on specific program needs.

2.3 Step 2 – Release RFQVP

The RFQVP, as owned and generated by the PM, will provide instructions to request and access applicable documents that TSA cannot release on FBO due to the sensitivity of the information. The following provides a description of the RFQVP documents where access is likely to be restricted:

a. Qualification Management Plan – The QMP will provide, based on the Qualification level required, the following information:
    i. Functional Category/Track under which the Window is being opened
    ii. Time period in which the Window will be open
    iii. Instructions for QVP Submission
    iv. Instructions for Qualification Data Package (QDP) Submission
    v. Data Item Description (DID) for Approved Submission Forms
    vi. QVP Evaluation Process Overview
    vii. QDP Evaluation Process Overview
    viii. Overview for the Qualification Process
b. Applicable requirement documents, i.e. Functional Requirements Document (FRD), Functional Requirements Matrix (FRM), and Detection Standard

Most requirement documents and the QMP will either be designated as Sensitive Security Information (SSI) or For Official Use Only (FOUO). In addition, requirement documents may include portions that are designated as Classified. Specific instructions to request and receive the requirements will be provided within the RFQVP.

2.4 Step 3 – Qualification Verification Package Submission

The QVP is the initial vendor submission into the qualification process and establishes the system baseline for qualification testing. As stated above, submission instructions for the QVP will be detailed in each Window's RFQVP, and specifically within the QMP. Vendors can submit QVPs at any time during an open Window period.

The respective PM will evaluate QVPs, as noted within the RFQVP and the QMP. Anticipated evaluation of a QVP submission is expected to take a minimum of four (4) weeks, depending on the complexity of the QVP. The PM will provide evaluation results in writing and may conduct verbal discussions of evaluation results, if determined to be necessary.

Vendors will have the ability to make corrections and/or add additional information to the QVP prior to the closure of the related Window. Once the Window closes, vendors are required to wait until the next Window is opened to resubmit their QVP. It is in the vendor's best interest to submit a complete QVP as early as possible, within the Window to allow time for problem resolution.

If changes to a submitted QVP are necessary, vendors must coordinate with and gain approval from the Program Office before any vendor documentation resubmission will be evaluated by TSA. A TSA accepted QDP (Step 5) will require direct approval from the PM prior to any vendor updates, documentation resubmission, and evaluation by TSA.

All QVP/QDP documentation must be submitted in compliance with the QMP and the Data Item Description (DID). The DID will provide the approved documentation format(s), language, image quality, content, structure, etc. that must be followed. Any submission not in compliance with one or multiple requirements of the DID/QMP will be rejected by TSA.

2.5 Step 4 – System / Subsystem Testing

The evaluation methodologies identified below describe the maximum level of T&E a TSE can be subjected to, but can be tailored by the PM to meet cost, schedule, performance, etc. parameters for their program.

Step 4: System / Subsystem Testing is the stage of testing, which verifies the System Under Test (SUT) meets all technical requirements. System / Subsystem Testing is any testing used to assist in the development and maturation of products, product elements, manufacturing or support processes, any engineering-type test used to verify status of technical progress, verify that design risks are minimized, substantiate achievement of contract technical performance, or support readiness for Operational Test and Evaluation (OT&E). System / Subsystem Testing events require instrumentation and measurements and are accomplished by engineers, technicians, or operator-maintainer test personnel in a controlled environment to facilitate failure analysis. System / Subsystem Testing may be comprised of the two following test events and, if both events are required, are intended to be conducted in parallel.

2.5.1 Step 4A – Certification Testing

Certification Testing includes independent T&E of explosives and narcotics detection equipment. The results inform a PM certification the equipment has met the detection requirements. This testing event includes evaluating Probability of Detection (P_D) against defined threats, and system Probability of False Alarm (P_{FA}) in comparison to the detection standard. Certification Testing will be conducted at the Transportation Security Laboratory (TSL).

2.5.2 Step 4B – System/Subsystem Testing

System/Subsystem testing is conducted to verify that the system meets technical requirements defined in the QMP. This testing event will determine the maturity of the system design to meet the TSA FRD requirements and will be used to determine system readiness to proceed into the Qualification Testing. Testing will be performed at the vendor facilities and/or a third party test organization facility at the vendor's responsibility.

2.6 Step 5 – Qualification Data Package (QDP) Submission

The QDP is the second vendor submission in the Qualification Process and establishes the system baseline for Step 6: Integration / Implementation Testing based on the results and findings from Step 4. The QMP will define the submission instructions for the QDP in each Window's RFQVP, and specifically within the QMP.

The PM will evaluate QDPs as noted within the RFQVP and the QMP. Evaluation of a QDP submission is anticipated to take a minimum of four (4) weeks, depending on the complexity of the QDP. The PM will provide evaluation results in writing and may conduct verbal discussions of evaluation results, if determined to be necessary. The Government may limit the number of QDP revisions and period of time over which they may be submitted.

2.7 Step 6 – Integration / Implementation Testing

The goals of Step 6: Integration / Implementation Testing are to: 1) ensure the system is ready to proceed into the field for live operations, 2) assess and reduce the risk of an unsuccessful OT&E, and 3) confirm the system will not pose any operational or security risks. Integration / Implementation Testing will be tailored for each SUT in test documentation at the discretion of the PM and will include early user in the loop events, system endurance tests integrated at an operational field site, and an assessment of performance in full operations prior to the conduct of OT&E. Integration / Implementation Testing may be comprised of the two following test events which, if both events are required, are intended to be conducted in series.

2.7.1 Step 6A – Qualification Testing (QT)

Qualification testing verifies the design and manufacturing process. This testing event confirms the integrity of the system design over the specified operational and environmental range using

production hardware fabricated to the proposed production design specifications and drawings. QT is conducted by the Government or Government's Authorized Agent at the unit, subsystem, and system levels on production items and is completed before the production decision. The results of these tests are a critical factor in assessing the systems readiness for production or fielding. The PM may limit the number of Qualification Testing rounds. Examples of the tests measures used in this test event include:

a. Technical performance including effectiveness,
b. Reliability, Availability, Maintainability (RAM)
c. Compatibility
d. Interoperability
e. Cybersecurity
f. Safety
g. Supportability
h. Human Systems Integration (HSI) (early user in the loop)
i. Standard Operating Procedure (SOP) verification

2.7.2 Step 6B – Field Testing

Field Testing is conducted by the Government or Government's Authorized Agent in an operationally realistic environment prior to OT&E and is used to ensure the SUT is installed, integrated, and ready to proceed to OT&E. This testing event allows for one last test waypoint prior to OT&E to ensure a successful Operational Test outcome. Testing will be conducted at the operation field site identified by the TSA. The PM may limit the number of Field Testing rounds. Field Testing objectives may include but are not limited to:

a. Further system performance verification that cannot be fully verified in the operationally representative (TSIF) environment
b. Follow-on integration testing in an operationally realistic environment to ensure the system and system of systems is functioning properly
c. A dry run of the OT&E efforts to identify performance shortfalls and to ensure the highest chance of OT&E success
d. Completion of Hazards and Environmental Safety and Occupational Health trials in the operationally realistic environment to verify system safety analysis done during QT (Subset of Occupational Safety Health, and Environment testing from TSIF)
e. Evaluation of component SOP and training to include:
    i. SOP evaluations to ensure the SOP is correct for IOT&E
    ii. Training verification to reduce the "learning curve" and ensure adherence to the SOP during IOT&E
f. Inform the PM to determine if the SUT is ready to present to the OTA for OT&E.

2.8 Step 7 – Operational Test and Evaluation (OT&E)

OT&E is the type of testing that validates the SUT meets operational requirements and intended uses. OT&E is generally used to inform the acquisition decision for products, product elements,

system, and system of systems to validate that system and operational risks are minimized and certify that the system operationally is effective, suitable, and cyber secure (where applicable.) OT&E is conducted by the Operational Test Agent (OTA) using properly trained user operators in an uncontrolled operational environment.

2.8.1 Initial Operational Test and Evaluation (IOT&E)

IOT&E is the final dedicated phase of OT&E preceding a full-rate production decision. It is the final evaluation of production representative test articles in the operational environment. IOT&E is conducted by the OTA independent of the contractor, Program Management Office, or developing agency. IOT&E is conducted to:

a. Estimate system operational effectiveness, suitability, and cyber security (where applicable)
b. Identify operational deficiencies
c. Evaluate changes in production configuration
d. Evaluate system capability against currently deployed capability to validate system utility
e. Provide information for developing and refining logistics support requirements for the system, training, and SOP
f. Provide information to refine Operations and Support (O&S) cost estimates and identify system characteristics or deficiencies that can significantly impact O&S costs
g. Determine whether the technical publications and support equipment are adequate in the operational environment

2.8.1.1 OT&E Data from Other Sources

The OT process should be seen as a continuum supporting all phases of program development. Using the Integrated Test construct, operational testers may participate in DT&E in addition to stand-alone OT. The intent is to use every opportunity to gather relevant data in the most efficient and economical manner. All test communities have unique roles and responsibilities; however, there is generally a significant intersection of the data sets necessary to inform their respective evaluations. The TSA Operational Test Agent (OTA) is committed to use all qualified data, regardless of source, to make the best, informed evaluation. Regardless of when the data are collected, all data used in OT's independent evaluation must be qualified for use as OT data by the TSA OTA.

Test data qualified for use in IOT&E or FOT&E should have the following distinguishing characteristics:

- Representative test articles will be used whenever possible, and employ realistic conditions and threat characteristics as much as possible.
- Hardware and software configurations must be production representative.

Additionally, data qualification and approval will be based on a data source approval assessment, an understanding of the realism of the test scenario(s) used, and the pedigree (test conditions and

methodologies) of the data. The following needs to be provided to the OTA to establish the validity of the test data and approval for use in OT&E:

- Test plans that contain the test configuration and specific system/subsystem/component tests that will be tested, what is being tested (e.g. requirements to be assessed), the test methodology to be used, the criteria for passing the test, test location, and test limitations.
- All test data, evaluation tools (including simulations and results).
- Final test reports that provide the detailed results of the testing, documents the completion of all test events, and requirements verification defined in the test plan.
- Any additional information demonstrating the maturity and experience of the data provider (e.g., quality management and configuration control procedures, test facility and infrastructure, past experience performing similar testing).

If a data source cannot be qualified for use in OT&E, then additional testing will be required to provide the necessary data. The additional testing can be performed as a part of the stand-alone OT&E or during a more representative test event, subject to OTA qualification and approval.

2.9 Step 8 - Add Technology to QPL

Once a system passes testing as required by ‘qualification’ defined in the QMP and the system receives a favorable production decision, as defined in the DHS Instruction 102-01 Rev 01 Series Acquisition Management Instruction the Contracting Officer will provide a Qualification letter to the vendor and will post the QPL on FBO in writing. The addition to the QPL serves as the official record of system qualification. The QPL will detail the qualified systems under each specific Functional Category and each specific Track. No contract will be awarded as the direct result of system qualification. Section 3 provides the requirements to continue to remain on the QPL.

Only those vendors that successfully meet the requirements will be placed on the Qualified Products List (QPL). The PM develops and manages the QPL.

3 Competing Contracts

When a need is identified, Contracting Officers may solicit, compete, and award contracts under QPL Functional Categories/ Tracks. All qualified vendors under that Functional Category/Track, will be given the opportunity to compete unless a specific justification is provided. Per FAR 9.206-1, pre-solicitation notices will be released in appropriate cases to advise potential vendors before issuing solicitations. TSA will compete procurement requirements in accordance with FAR 12 – Commercial Items. The PM may solicit, under one contract procurement, the products and services that support the deployment of a system - such as Shipping, Installation, Training, Warranty/ Maintenance, Initial Set of Consumables, and necessary Deliverables. The Government is not required to delay a proposed award in order to provide a potential vendor with an opportunity to demonstrate its ability to meet the standards, even if the vendor has been accepted into the qualification testing process.

4 Maintaining Qualification

Vendors must maintain a production configuration, approved through the qualification process, to remain on the QPL. To remain qualified, and for the system to remain on the QPL, the qualified vendor shall complete the tasks identified in the following sections. Removal from the QPL will be in accordance with FAR 9.207 (b).

4.1 Deliverables

Qualified vendors, added to the QPL, shall submit the following deliverables (at a minimum – to be tailored for each Program or Project), in accordance with the duration listed below.

Table 1. Qualification Requirement Deliverables

Document Number	Deliverable Title	Description Reference	Duration
1	SSI Training Completion Deliverable	Paragraph 3.1.1	No Later Than (NLT) thirty (30) business days after being added to the QPL and NLT ten (10) business days for any new individual added per Paragraph 3.1.1.
2	SSI Compliance Deliverable	Paragraph 3.1.2	Every 60 days upon receipt of SSI Information
3	Master Component Items List (MCIL) with cost breakdown	Paragraph 3.1.3.	NLT ten (10) business days after being added to the QPL and NLT five (5) business days after approval of any change request

4.1.1 SSI Training Completion

No Later Than (NLT) thirty (30) business days after being added to the QPL, all individuals associated with the QPL, all individuals issued requirement documents under the QPL, and/or all individuals associated with the configuration management of the qualified system shall be required to be vetted (as stated within the applicable Window), and shall take TSA SSI training. This training will be provided by the CO, or designee, to the qualified vendor either electronically or via CD. The vendor shall submit a deliverable to the QPL Contracting Officer that includes a list of names of individuals who have completed the training and the date that the training was completed. Any individuals added after the initial deliverable is submitted will be required to be vetted in accordance with the process stated within the applicable Window. NLT ten (10) business days after vetting is completed, the individuals shall take the TSA SSI training and the vendor shall update the SSI training completion deliverable.

4.1.2 SSI Compliance Document

Under a particular Window, vendors will have designated a single Senior Corporate Official who will serve as the single point of contact for sensitive information. This individual must apply 5

USC 552, 49 CFR parts 15 and 1520, and must certify that all appropriate protections will be followed, only authorized individuals will have access to the sensitive information, and that those individuals adequately understand their responsibilities to protect the information.

While being on the QPL, this official must also certify to the Contracting Officer every 60 days that all appropriate protections have been followed, only authorized individuals have access to the sensitive information, and that those individuals with access adequately understand their responsibilities to protect the information. This official must also ensure that the Contracting Officer is notified of staffing changes or circumstances in which individuals no longer need access to the information.

4.1.3 Master Configuration Items List (MCIL)

Upon being added to the QPL, qualified vendors shall submit a MCIL with an associated cost breakdown to the PM.

The MCIL shall establish and maintain the definitive, current basis for control and status accounting of a system and its designated hardware, software, and firmware Configuration Items (CIs) throughout its lifecycle.

The MCIL shall identify all CIs. All system CIs shall be listed to the Line Replaceable Unit (LRU) level, and software to the version level and shall be uniquely identified. A LRU is the essential support item removed and replaced at field level to restore an end item to an operationally ready condition. The LRU is to be defined at the lowest level possible that can be troubleshot and corrected in the field.

Specifically, this document shall include the following information for each CI.

a. Part Number
b. Revision/Version
c. Description
d. Date/Time Added
e. Date/Time Removed
f. Part/vendor/manufacturer
g. Cost

The MCIL shall provide the definition of the approved product configuration. As a part is changed by an approved change request, the part number will be changed with a removal and add date and time and the revised MCIL shall be submitted within 5 business days of the change. A template will be provided to each qualified vendor upon being added to the QPL.

4.2 Configuration Change Management Overview

The PM is responsible for creating a Configuration Management Plan (CMP) in compliance with MIL-HDBL-61A Configuration Management Guidance. The following defines the three types of configuration changes that may occur under a QPL.

a. Configuration Change Management during Testing: If a change to the system is necessary during the testing process (i.e. a change to any CIs and/or software versions), the vendor shall follow the configuration management process defined within the Functional Category's applicable QMP. The QVP locks the initial design baseline for both Step 4: System / Subsystem Testing events. Changes may be made after Step 4: System / Subsystem Testing events and shall be included in the QDP for approval. Once the QDP is submitted the configuration is locked for the remainder of the testing cycle. Any changes needed at the close of testing will be presented in the Technical Data Package (TDP) after testing is complete.
b. Configuration Change Management After Qualification: Upon being added to the QPL, qualified vendors are subject to FAR 9.207. Therefore, if a change to the system is necessary after the system is added to the QPL, for example a change to any Configuration Items (CIs) due to discontinuation (see FAR 9.207(a)(4)), vendors will be required to follow the configuration change management process defined in the Program Configuration Management Plan (CMP). This document will be provided upon being placed on the QPL. At a minimum, the vendor will be responsible for developing Engineering Change Proposals (ECP) and coordinating them with the Government Configuration Control Board (CCB) as defined in the provided CMP.
c. Configuration Change Management After Contract Award/Deployment: The CMP shall define the change management process for deployed systems within its applicable Request for Proposal and subsequent award(s).

Vendors are responsible for managing/maintaining their QDP and their QPL status with the TSA. Vendors must reference the CMP and work through the respective program office's system engineering Integrated Product Team (IPT) to initially introduce system changes to TSA. Vendors will receive guidance and must submit the appropriate documentation through the CCB for review and approval. Once approved, vendors must work with the program office to coordinate the required level of T&E, deployment strategy, and contracting avenues.

APPENDIX A. Acronyms, Terms, Definitions, and Abbreviations

The following acronyms, terms, definitions, and abbreviations were used in creating this document.

Acronym or Abbreviation	Term or Definition
ADA	Acquisition Decision Authority
ADE	Acquisition Decision Event
AoASP	Analysis of Alternatives Study Plan
CAE	Component Acquisition Executive
CAO	Chief Administrative Officer
CCB	Configuration Control Board
CFO	Chief Financial Officer
CI	Configuration Item
CIO	Chief Information Officer
CMP	Configuration Management Plan
CONOPS	Concept of Operations
DHS	Department of Homeland Security
DID	Data Item Description
DOT&E	Department of Operational Test and Evaluation
DT&E	Developmental Test and Evaluation
ECP	Engineering Change Proposals
FAR	Federal Acquisition Regulation
FOUO	For Official Use Only
FRD	Functional Requirements Document
FRM	Functional Requirements Matrix
FRP	Full Rate Production
FBO	Federal Business Opportunities
HCA	Head of Contracting Activity
HSI	Human Systems Integration
IEF	Integrated Evaluation Framework
IOT&E	Initial Operational Test and Evaluation
IPT	Integrated Product Team
IT	Integrated Testing
LRU	Line Replaceable Unit
LTA	Lead Technical Authority

Acronym or Abbreviation	Term or Definition
MAOL	Master Acquisition Oversight List
MCIL	Major Configuration Item List
NLT	No Later Than
O&S	Operations and Support
OAPM	Office of Acquisition and Program Management
ORD	Operational Requirements Document
OTA	Operational Test Agent
OT&E	Operational Test and Evaluation
P_D	Probability of Detection
P_{FA}	Probability of False Alarm
PM	Program Manager
PMO	Program Management Office
QDP	Qualification Data Package
QMP	Qualification Management Plan
QPL	Qualified Product List
QT	Qualification Testing
QVP	Qualification Verification Package
RAM	Reliability, Availability, Maintainability
RFQVP	Request for Qualification Verification Package
SE	Systems Engineering
SOP	Standard Operating Procedure
SSI	Sensitive Security Information
SUT	System Under Test
TDP	Technical Data Package
TEMP	Test and Evaluation Master Plan
TSA	Transportation Security Administration
TSE	Transportation Security Equipment
TSIF	TSA System Integration Facility
TSL	Transportation Security Laboratory

Transportation Security Administration

TSA CLEARANCE SHEET

ORIGINATOR		
Zachary Greenbauer		
OFFICE	PHONE	DATE
OAPM	7-XXXX	11/16/2017

DOCUMENT FOR ACTION

☐ Action Memo ☐ Letter
☐ Info. Memo ☐ Other

SUBJECT: TSA Acquisition Qualification Policy

TSA CONTROL NUMBER: OAPM-17-195

ACTION REQUIRED

	REVIEWERS	Office	Phone Extension	Date Received	Date Approved	Initial	Correction Required
1.	CAE Staff	----	----				
2.	Scott Rooney	OAPM	7-1988	12/20	12/20	SMR	
3	Brad Anderson	OAPM	7-5038		12/20	BA	
4.	~~Cynthia Lee~~	~~OAPM~~	~~7-4197~~				Prior lead SIS
5	Andy Lee	OAPM	7-3688	12/20	12/20	TP	CAUGHEAN FOR ANDY LEE
6.	Walt Dickey	OAPM	7-5299	12/20	12/20	WBD	
7.	Mario Wilson	OAPM	7-2512	12/26	12/28	MNW	See edits

****PLEASE RETURN ALL FOLDERS TO OAPM COMMUNICATIONS AT W1-105S****

	OAPM FRONT OFFICE	INITIAL	DATE	CORRECTION REQUESTED
1.	Robyn Peters/Paul Ross	PPR	1/4/18	
2.	Ron Gallihugh	RA	1/9/18	
3.	Latetia Henderson	[illegible]	1/9/18	

Explanation, Special Instructions, Comments:

OAPM Communications level of review, per the originator's request:

☐ **Full Editorial Review** (grammar, formatting, acronyms)
☐ **Format Review Only** (alignment, title/signature lines, spacing)
☒ **Route Only** (no editorial or format review)

Purpose:
The purpose of this policy is to standardize the qualification process used by the Transportation Security Administration (TSA) for acquisitions.

Action Requested:
Please review and approve.

DUE DATE: November 22, 2017