Data Privacy & Integrity Advisory Committee

Public Meeting
December 10, 2018
1 – 4PM
Web Conference Instructions

Please follow these instructions:

CONFERENCE LINE
• Dial 1-800-616-4018.
• Please mute your phone but don’t place it on hold.

QUESTIONS
• Hold questions until the end of each session when the operator will open the line. DPIAC members have priority.

HANDOUTS
• This presentation is also available on our website: www.dhs.gov/privacy. Search on Privacy Committees.
Opening Remarks

Sandra Taylor
Designated Federal Official
Data Privacy and Integrity Advisory Committee

Lisa Sotto
Designated Federal Official
Data Privacy and Integrity Advisory Committee
CPO Remarks

Sam Kaplan
Chief Privacy Officer and
Chief Freedom of Information Act Officer
DHS Privacy Office
DHS Privacy Incidents
Breach Response
PII Incident Strategy

Marilyn Powell
Director of Incidents
Privacy Office
The Road to Our Current PII Incident Strategy

TIMELINE:

- **2013** – MSM Security Services - Vulnerable Contractor System
- **2013** – KeyPoint (KGS) – Contractor Slow to Report Threat Intrusion.
- **2015** – OPM Breach – Actual Breach in May 2014.
- **2014** – USIS EEO & Background Check PII Breach – USIS Goes Out of Business
  - **JUN 2015** – DHS/OMB Cyber Sprint
- **OCT 2015** – OMP Cyber Security Implementation Plan (M 16-04)
- **SEPT 2015** – PRIV asks DPIAC for Victim Notification Recommendations
- **DEC 2016** – Government-wide BPA with IPS for Credit Monitoring and Identity Theft Services
The Road to Our Current PII Incident Strategy

TIMELINE (cont.)

☐ JAN 2017 – OMB M 17-12 Preparing for and Responding to a Breach of PII.

☐ FEB 2017 – DPIAC Recommendations for Notifying Affected Individuals

☐ MAY 2017 – DHS OIG Breach

☐ DEC 2017 – Privacy Incident Responsibilities and Breach Response Team
   DHS Instruction 047-01-008.

☐ DEC 2017 – DHS Privacy Incident Handling Guide

☐ 2017 – Equifax Breach.

☐ APR 2018 – DHS First Annual Breach Response Table Top Exercise

☐ MAY 2018 – DHS SOC Join Monthly Incident Practitioner Calls

☐ SEPT 2018 – Component Specific Table Top Exercises Begin
Cyber Strategy & PII Strategy

Cybersecurity Implementation Plan (CSIP)

1. Continuous Diagnostic Monitoring
2. Identify High Value Assets and Protect them
3. Detection and response
4. Recruit and train
5. Acquisition and deploy technology

A-130 – Managing Info as a Strategic Resource

1. ECOP Continuous Monitoring
2. DHS Compliance Document Oversight
3. Privacy Incident Response & Breach Response Team (BRT) Instruction 047-01-006 and PIHG encouraged to recognize a PII Spill & Report
4. Workforce Comm. – Targeted Recruiting; DHS PRIV Training and Outreach
5. HSAR clause use DHS-wide
The **NEW** Cybersecurity and Infrastructure Security Agency

**Matthew Travis**
Deputy Under Secretary
National Protection and Programs Directorate

**James Burd**
Acting Director, Privacy
National Protection and Programs Directorate
Please return by 2:15PM
## ENTRY EXIT | TIMELINE

<table>
<thead>
<tr>
<th>Year</th>
<th>Event</th>
</tr>
</thead>
<tbody>
<tr>
<td>1996</td>
<td>Illegal Immigration Reform and Immigrant Responsibility Act: Mandated biographic system</td>
</tr>
<tr>
<td>2004</td>
<td>Intelligence Reform and Terrorism Prevention Act: Mandated biometric system; Biometric collection begins for arriving non-immigrant travelers.</td>
</tr>
<tr>
<td>2007</td>
<td>Implementing Recommendations of the 9/11 Commission Act: Mandated biometric system</td>
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<tr>
<td>2008</td>
<td>NPRM proposing that stakeholders collect biometric data and submit to DHS. High opposition due to cost and feasibility.</td>
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<tr>
<td>2013</td>
<td>Congress transfers entry and exit operations to CBP.</td>
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<tr>
<td>2015</td>
<td>CBP conducts biometric pilots.</td>
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<tr>
<td>2016</td>
<td>Congressional funding for biometric exit program identified via H and L visas processing fees.</td>
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<tr>
<td>2016</td>
<td>CBP re-engineers biometric collection process and develops realistic biometric solution.</td>
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<tr>
<td>2017</td>
<td>Executive Order 13780 to expedite the completion of biometric entry/exit system; CBP expands demonstration of capability.</td>
</tr>
<tr>
<td>2018</td>
<td>Simplified travel capability scaled for biometric exit.</td>
</tr>
</tbody>
</table>
CBP’S INVESTMENT | A FACIAL MATCHING SERVICE

CBP designed a backend facial matching service, that leverages existing advanced passenger information, existing photographs from U.S. Government holdings, and is acceptable for all collection devices.

HOW IT WORKS:
• Uses biographic APIS manifest data and existing photographs (previous CBP encounters, U.S. Passport, U.S. Visa) to build a flight gallery
• Matches “live photograph” taken prior to boarding with image from the gallery associated with the manifest
• Creates exit record, confirmed departure in ADIS

WHY IT WORKS:
• Uses existing traveler biometrics
• No new data requirements
• Matches one to few utilizing cloud infrastructure
• Token-less processing
• Integrates into existing airport infrastructure
• Extends to land and sea environments
Using facial recognition, CBP will confirm identity of all travelers and create a streamlined travel experience.

**SIMPLIFIED TRAVEL | HOW IT WORKS**

**SIMPLIFIED ARRIVAL**
- Traveler checks in with airline
- CBP receives manifest from airlines
- CBP builds galleries using travel photos
- Matches traveler on arrival
- Officer performs admissibility interview

**SIMPLIFIED DEPARTURE**
- Traveler checks in with airline
- CBP receives manifest from airlines
- CBP builds galleries using travel photos
- CBP receives manifest from airlines
- Traveler checks in with airline

- Confirms face on boarding, CBP records departure
- Verifies face at security
- Checks bag with facial recognition
- CBP builds galleries using travel photos
- CBP receives manifest from airlines
Simplified Arrival decreases travel document scans and eliminates fingerprint capture for known travelers.

- Simplified Arrival transforms arriving into the United States by reducing complexity and improving inspectional efficiency and customer experience.

- Enables CBP Officers to focus on enforcement and admissibility
  - Three imposters have been identified.

- Currently deployed at 15 airports, including four preclearance locations.
SIMPLIFIED DEPARTURE | PARTNER SOLUTIONS IN ACTION

JetBlue – Paperless Boarding at BOS

Los Angeles – E-gates
**STAKEHOLDER EXPANSION | 2018 PROGRESS REPORT**

### APR - JUN
- Initiated demonstration projects with new partners
- Expanded entry to Abu Dhabi, Shannon preclearance locations
- Secured commitments to expand with Orlando, Delta, Houston and San Jose
- Continued planning with TSA for TVS/Secure Flight Integration

### JUL - SEPT
- Executed demonstration projects with new partners
- Expand entry and exit deployments
- Secured commitments with Dulles, Tampa, San Francisco, Los Angeles, Austin, Dallas Ft. Worth
- Performed Phase II TSA Pilot Monitor progress

### SEPT - DEC
- Prioritize stakeholders for ’19, continue demonstrations
- Monitor stakeholder commitments
- Continue working with TSA on Integration
- Secured commitment with new partners Las Vegas, BWI, Salt Lake City, Ontario and working finalize with other participating

**Airline Partnership:**
- BRITISH AIRWAYS
- jetBlue
- DELTA
By Partnering with CBP, our stakeholders will see benefits from entry to exit utilizing our matching service including:

- **Faster Flight Clearance Times on Arrival:**
  - CBP has measured an average of 11.8 minutes faster Flight Clearance Times across sites that have deployed facial recognition processing on Entry

- **Faster Boarding Times:**
  - Lufthansa reported boarding 350 passengers onto an A380 in 20 minutes at LAX
  - British Airways reports significantly faster boarding times vs. standard process at MCO

- **Enhanced Customer Experience:**
  - JetBlue reports biometric boarding meters passengers better, resulting in less waiting time in the jet way and passengers just walk to their seats

- **Better use of CBP Staffing:**
  - Elimination of fingerprinting and passport swipes increases throughput and allows CBP officers to focus on interview and inspection
BIOMETRIC PROCESS | OPERATIONAL PERFORMANCE

**EXIT**
- 6,000 flights processed
- 981,000 participating passengers

**ENTRY**
- 38,000 flights processed
- 3.6 million participating passengers

**PRECLEARANCE**
- 9,400 flights processed
- 1.3 million participating passengers
PARTNERSHIP WITH TSA | PROGRESS AND PLANS

TSA is evaluating the use of facial recognition utilizing CBP’s facial matching service. The integration of facial recognition for identity verification will enhance security and better utilize resources, while moving towards a frictionless travel experience.

• **Phase I:** October 2017 at JFK Terminal 7. Examined the viability of utilizing facial recognition to verify the identity of travelers at the TSA checkpoint.

• **Phase II:** August 2018 at Los Angeles International Airport’s Tom Bradley International Terminal.

• **Phase III:** 2019 - Full integration between CBP and TSA
SIMPLIFIED SEA & LAND TRAVEL | PROGRESS AND PLANS

Sea:
• CBP is pursuing partnerships with the cruise line industry to transform the embark and debark process.
• Early results indicate the use of biometrics enhances CBP enforcement activities while simultaneously streamlines traveler inspections.

Land:
• **Vehicle at Speed**
  • Capturing faces inside inbound and outbound vehicles traveling at speed in Anzalduas, Texas.
• **Pedestrian Technical Demonstrations**
  • Entry operations at San Luis and Nogales, Arizona.
  • At least 38 imposters already identified.
SIMPLIFIED TRAVEL | COMMITMENT TO PRIVACY

• Transparency Efforts:
  • Two Briefing Sessions for Privacy Advocates and Stakeholders in 2017-18 in Washington, DC and San Francisco, CA
  • DHS Data Privacy and Integrity Advisory Committee Meeting
    • September 19, 2017 in DC
    • May 11, 2018 (conference call)
    • July 10, 2018 (tour of Orlando airport and briefing)
    • December 10, 2018 (release of DPIAC Report)

• Notification to the Public:
  • Privacy Impact Assessments
    • 10 PIAs have been published relating to CBP facial recognition efforts, available at: www.dhs.gov/privacy
    • A new comprehensive TVS PIA was published November 14, 2018
  • Online Content at CBP.GOV
    • Fact Sheets
    • Frequently Asked Questions
  • Signage at Demonstration Sites, Tear Sheets and Gate Announcements in some locations
  • U.S. Citizens not wishing to have a photo taken may request an alternative identity verification process

CBP commitment to transparency builds public trust while enhancing security and facilitate travel.
PRIVACY BY DESIGN | COMMITMENT TO PRIVACY

- **Limited Retention of Facial Images:**
  - *CBP Systems:* Facial images of U.S. Citizens are securely stored for up to 12 hours after capture for COOP purposes.
  - *IDENT:* Photos of in-scope travelers are securely stored in DHS IDENT to meet the biometric exit requirement and to ensure the accuracy of future matching encounters at the border with the TVS.
  - *Airline/Airport Partners:* CBP has developed business requirements which do not allow approved partners to retain the photos they collect--for purposes of identity verification through the TVS--for their own business purposes. These partners must purge the photos, once they are transferred to CBP and must allow CBP to audit compliance.

- **Enhanced Security Measures:**
  - *Encryption:* Strong encryption is used for data, both in transit and at rest.
  - *Access Controls:* Access to the collection device is granted only to authorized CBP personnel and representatives.
  - *Security of Biometric Matching Service:* The TVS creates irreversible templates of the historic and newly-captured photos and uses a Unique identifier to connect travelers’ biographic information with their facial images. An audit trail is created. The TVS is walled off from the APIS biographic data, which has been required since 2005.

- **Minimizing and Mitigating Algorithm Bias:**
  - *Bias:* CBP continually monitors and tests the TVS for performance bias. To date, no significant bias has been found. The TVS was developed using diverse training sets and matches against a limited set of faces on the flight manifest.
  - *NIST:* A recent NIST vendor test found significant gains (i.e., 20 times) in accuracy in the past five years. NIST found that with high quality photos, the most accurate algorithm can identify matches with only a 0.2 percent error rate.
  - *CBP Partnerships on Testing and Evaluation:* CBP is collaborating with NIST, the DHS Science & Technology and Office of Biometric Identity Management to test technologies developed by specified vendors and to evaluate algorithms.
SIMPLIFIED TRAVEL | THANK YOU

Debra Danisek, CBP Privacy Officer
Ashley Ortiz, Management and Program Analyst

U.S. Customs and Border Protection

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Subcommittee Report
Biometric Facial Recognition

Chris Pierson
Chair, Policy Subcommittee
Data Privacy and Integrity Advisory Committee
Immigration Data Integration Initiative (IDII) Update

Marc R. Rosenblum
Deputy Assistant Secretary
Office of Immigration Statistics
Office of Policy, DHS
Overview & Scope

• The need: DHS immigration data are dispersed across four dozen data systems, creating fragmented data sets across the immigration domain
  – Congress and the Trump Administration—and essentially every data scientist in the world—recognize the need for enterprise standards and data integration

• IDII Vision: Centralize and validate an authoritative set of linked immigration data that stakeholders can rely on for operational research, reporting, and analysis
Overview & Scope

• Three lines of work to accomplish this goal:
  – Enterprise data standards
  – Person-level data linkages + data policies
  – Common IT environment + data tools

• Benefits:
  – Operational efficiencies
  – Faster, more comprehensive, more consistent reporting
  – Supports research and evidence-based policy-making
Background & Authority

DHS Memorandum 16-3048
Improving Immigration Data Analysis and Reporting, 09/06/2016

DHS Directive Number: 078-04
Standards Policy Governance and Coordination
Issue Date: 11/16/2017

DHS Immigration Data Executive Steering Committee Charter V 4.0
04/04/2017

Designation of Component Acquisition Executive for the Office of Policy
07/28/2017

DHS Appropriations Act, FY 2018
(03/23/2018)

Thanks.
Accomplishments to Date: Data Standards

<table>
<thead>
<tr>
<th>Available Standards</th>
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<tbody>
<tr>
<td>Class of Admission (COA)</td>
</tr>
<tr>
<td>Country</td>
</tr>
<tr>
<td>Department of State Consular / Post Codes</td>
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<tr>
<td>Employment Authorization Document (EAD)</td>
</tr>
<tr>
<td>EOIR Court Locations</td>
</tr>
<tr>
<td>Eye Color</td>
</tr>
<tr>
<td>Hair Color</td>
</tr>
<tr>
<td>ICE Detention Locations*</td>
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<tr>
<td>Marital Status</td>
</tr>
<tr>
<td>Occupation</td>
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<tr>
<td>Race</td>
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<tr>
<td>USCIS History Action Codes (HAC)</td>
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<td>Zip Codes</td>
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<table>
<thead>
<tr>
<th>Standards Under Development</th>
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<td>Language Type</td>
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</tr>
<tr>
<td>Religion Type</td>
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<tr>
<td>State</td>
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</tbody>
</table>
Accomplishments to Date: IT Implementation

- OIS staff serve as the beta-testers for the near-term, interim IDII solution
  - OIS can now pull USCIS data directly from USCIS eCISCOR and CBP ADIS
  - OIS staff transitioning to USCIS SAS Predictive Modeling Environment (PME) and Amazon Cloud storage capabilities
  - Use of sFTP to migrate historic data and for CBP and ICE to securely transfer new data requests
- In development: direct access to CBP’s BorderStat and TECS systems
Accomplishments to Date: Privacy Policies

- Finalized a Privacy Threshold Analysis covering OIS instance of IDII Interim Environment in USCIS SAS-PME
- Finalized a Privacy Impact Assessment covering OIS operations, including the IDII program
- In discussion with S&T Center for Accelerating Operational Efficiency (CAOE) to support IDII re-identification testing
Accomplishments to date: OIS/IDII Flow Dataset

- Person-centric dataset that uses smart matching algorithms to link people and events
- People and events from 19 different datasets from ICE, CBP, USCIS, and DOJ/EOIR
- Identifiers and data quality vary across sources and datasets
- People are assigned an OIS person-centric ID so that PII can be removed for data sharing
- Data are event-based, linking an individual’s experience of events across components
- Provides a complete picture of how people move through the immigration system
- OIS is working with the IDII Data Policy and Oversight Working Group to standardize a DHS “best practice” for creating person-centric datasets

OIS combined 19 datasets matched by person identifiers to create the current version of the Flow Dataset to support IDII – Re-matched each time new waves of data are added.
Datasets Currently in the Flow Dataset

U.S. Citizenship and Immigration Services (USCIS)
- Affirmative Asylum (RAPS)
- USCIS Applications and Defensive Asylum (APSS)
- Deferred Action for Childhood Arrivals (ELIS)
- Legal Permanent Residents (ELIS IV)
- Employment Authorization Documents (CLAIMS3)

Immigration and Customs Enforcement (ICE)
- Enforcement and Removal Operations (ERO)
  - ERO Charging Documents Issued
  - ERO Administrative Arrests
  - ICE Initial Book-Ins
  - ICE Releases/Final Book-Outs
  - ICE Removals and Returns

ICE Homeland Security Investigations (HSI)
- HSI Administrative and Criminal Arrests

Customs and Border Protection (CBP)
- Office of Field Operations (OFO)
  - OFO Inadmissibles

CBP U.S. Border Patrol (USBP)
- USBP Apprehensions

ICE Homeland Security Investigations (HSI)
- HSI Administrative and Criminal Arrests

DOJ Executive Office for Immigration Review (EOIR)
- EOIR Bonds
- EOIR Schedule
- EOIR Appeals
- EOIR Proceedings
- EOIR Case Information

The Flow Dataset encompasses 12.1 million unique individuals and 51 million events covering fiscal years 2013 through 2018 Q3
Accomplishments to Date: Data services

- August 2018, 2014 Southwest Border Encounters: Three-Year Cohort Outcomes Analysis
- Enforcement Lifecycle/Flow tables to support White House, S1/SAG, C1, DOJ/DAG, CBP/MCAT, ICE/Policy, ICE/SOA
2019 Priorities

- Firm up quarterly data refresh
- Continue processing high priority use cases
- Continue publishing new data standards supporting use cases
- Maintain data change requests supporting published data standards
- Establishing monthly data refresh for selected elements
- Initial data visualization tools (dashboard prototypes/wire frames)
- Initial work on long-term IDII environment
DHS IDII Structure

Office of Immigration Statistics (OIS)

Director, Office of Immigration Statistics (OIS)

Office of the Chief Information Officer (OCIO)

Director, Office of the Chief Information Officer

DHS Immigration Data Integration Governance Organization

Version 2
June 2017

Deputy Director, U.S. Citizenship and Immigration Services

Deputy Commissioner, U.S. Customs and Boarder Protection

Deputy Director, U.S. Immigration and Customs Enforcement

Vice Commandant, United States Coast Guard

Master Reference Data Working Group: Supports and provides guidance for enterprise data standards and stewardship.

Data Stewardship Tactical Working Group: Assists the Data Working Groups, Reference Data and Domain Stewards with the tactical solutions, services and technical implementation.

Data Governance

Policy & Oversight

Capability & Implementation

Data Stewardship Tactical Working Group:

Assistant Secretary of State for Consular Affairs, Department of State

Director, Department of State Bureau of Consular Affairs

Assistant Secretary, Department of Labor, Employment and Training Administration

Director, Department of Justice, Executive Office for Immigration Review*

Director, NPPD/Office of Biometric Identity Management

DHS Deputy General Council or designated representative

DHS Chief Privacy Officer

DHS Deputy Secretary for Policy

DHS Officer for Civil Rights and Civil Liberties

DHS Assistant Secretary for Policy

Under Secretary, Office of Intelligence & Analysis

Director, Department of Health and Human Services, Office of Refugee Resettlement*

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Master Reference Data Working Group: Supports and provides guidance for enterprise data standards and stewardship.

Data Stewardship Tactical Working Group: Assists the Data Working Groups, Reference Data and Domain Stewards with the tactical solutions, services and technical implementation.
DHS Lacks Enterprise Data Governance

Depiction of Headquarters-Level Governance of Data at DHS*

* All organizations identified have some level of Component representation.

Source: ISSGB

Legend:
- Person/Office
- Organization
IDII Collaborative Outcomes

Source Information
- ICE Systems
- CBP Systems
- USCIS Systems
- USCG Systems
- NPPD Systems
- DOS Systems
- DOJ Systems
- DOL Systems
- HHS Systems

Governance
- ENTERPRISE QUALITY:
  - Standards
  - Terminology
  - Information Sharing
  - Rules
  - Logic

Environment
- BUSINESS INTELLIGENCE ANALYTICS:
  - Predictive
  - Aggregate
  - Trend Analysis
  - Person Centric

Outputs

Outcomes

Enforcement & Benefit User Community

Security, Privacy, Access

Working Group Collaboration
Subcommittee Report
Immigration Data Statistics

Joanna Grama
Chair, Technology Subcommittee
Data Privacy and Integrity Advisory Committee