

U.S. Coast Guard

Biometric Enabled Identity Program



“Provide consistent and repeatable maritime safety and security throughout our nation.”

Unclassified
17 July 2012





Agenda



- Understanding the maritime domain
- Verifying authorities
- Performance outcomes to date
- Privacy analysis
- Expanding capability to improve mission performance



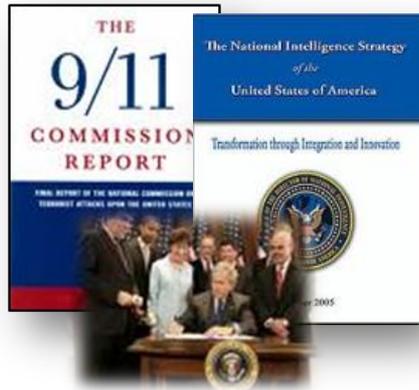
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National Need for Identity Certitude



The use of Biometrics enhances national security by providing tools to support the identification of Known & Suspected Terrorists and National Security Threats, while enabling law enforcement.



National Requirements

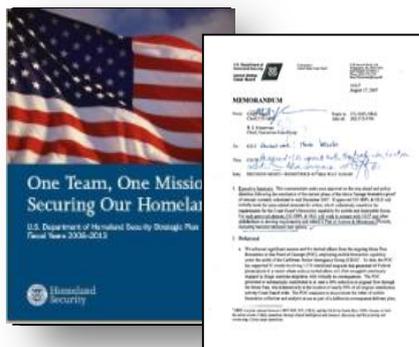
- Defeat Terrorists at Home and Abroad
- Preempt Threats to National Security
- “Connect the Dots” – e.g. LE-INTEL Fusion
- Enhance Screening Using Core Identity (Biometric)
- Methods (HSPD-24/N5PD-59)

9/11 Commission Report
HSPD-6/12/24

Coast Guard Requirements

- Protect Nation From Dangerous People
- Improve Maritime Safety, Security and Stewardship
- Utilize Law Enforcement and Intelligence Authorities to Provide Actionable Intelligence on the Full Range of Individual Threats

HSPD-13
DHS Strategic Plan
Coast Guard Auth Act



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Annual Coast Guard Interactions



| Coast Guard Interaction | Volume (average annual) |
|--|--|
| Boardings | 64,483 vessels boarded |
| Alien Migrant Interdiction Operations (AMIO) | 5,752 migrants interdicted |
| Transportation Worker Verifications | 73,409 individuals encountered |
| Commercial Vessel Arrivals | 130,158 vessel arrivals (> 300 Gross tons) |
| Drug Detainees | 251 individuals encountered |
| Fishing Vessel Boarding | 6161 U.S. and foreign vessels boarded |

Source: CGBI 2000 - 2010



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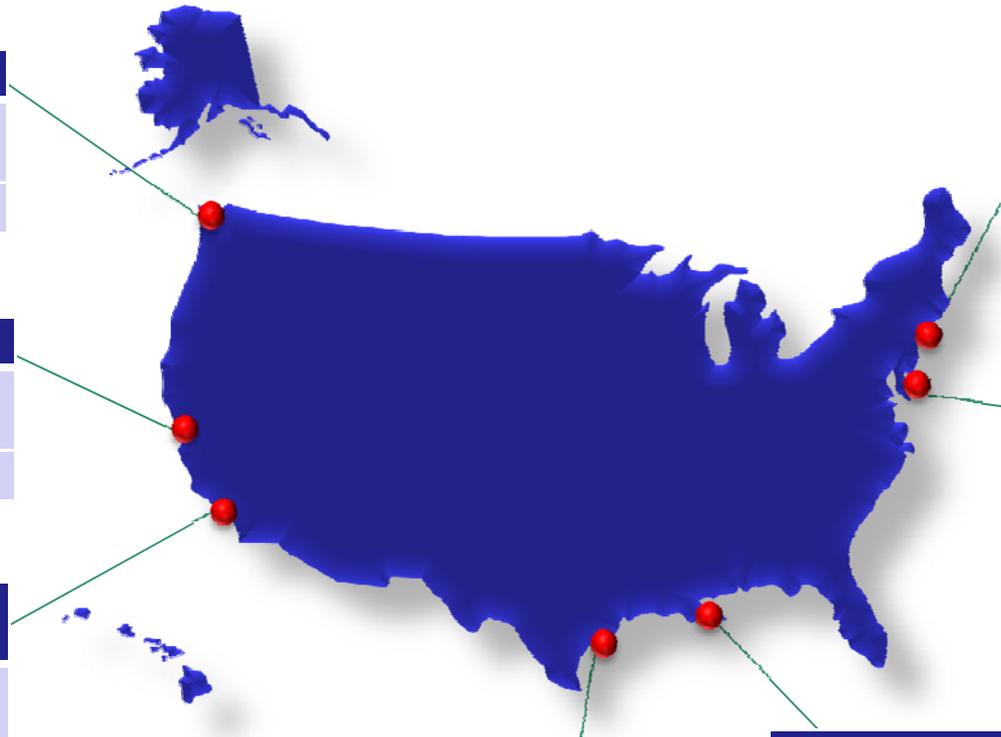
Critical Port Arrivals and High Interest Vessels (HIV) (>300 Gross Tons)



| Sector Puget Sound | |
|----------------------------|-------------|
| Commercial Vessel Arrivals | 5,469/ year |
| HIV Arrivals | 39/ year |

| Sector San Francisco | |
|----------------------------|-------------|
| Commercial Vessel Arrivals | 3,925/ year |
| HIV Arrivals | 40/ year |

| Sector Los Angeles/ Long Beach | |
|--------------------------------|-------------|
| Commercial Vessel Arrivals | 6,429/ year |
| HIV Arrivals | 73/ year |



| Sector New York | |
|----------------------------|-------------|
| Commercial Vessel Arrivals | 7,208/ year |
| HIV Arrivals | 95/ year |

| Sector Delaware Bay | |
|----------------------------|-------------|
| Commercial Vessel Arrivals | 3,071/ year |
| HIV Arrivals | 56/ year |

| Sector Houston-Galveston | |
|----------------------------|--------------|
| Commercial Vessel Arrivals | 13,743/ year |
| HIV Arrivals | 214/ year |

| Sector New Orleans | |
|----------------------------|--------------|
| Commercial Vessel Arrivals | 11,946/ year |
| HIV Arrivals | 191/ year |

Source: CGBI 2004 -2011
Tier I Port Security Grant Program

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Coast Guard Authorities



| CG Mission Area | Authorities/ Policy |
|---|--|
| Ports, Waterways, and Coastal Security | <ul style="list-style-type: none"> • Maritime Transportation Security Act (46 U.S.C. §§ 70101-70121) • Ports and Waterways Safety Act (33 U.S.C. §§ 1221 et seq.) • Espionage Act/Magnuson Act (50 U.S.C. § 191) |
| Drug Interdiction | <ul style="list-style-type: none"> • 14 U.S.C. §§ 2, 89 • Maritime Drug Law Enforcement Act (46 U.S.C. § 70501, 18 U.S.C. § 2237) |
| Aids to Navigation | |
| Search and Rescue | <ul style="list-style-type: none"> • 14 U.S.C. § 88 |
| Living Marine Resources | <ul style="list-style-type: none"> • 14 U.S.C. § 89 • Endangered Species Act (16 U.S.C. §§ 1540, 1543) • Marine Mammal Protection Act (16 U.S.C. § 1377) • Magnuson-Stevens Fisheries Conservation & Management Act (16 U.S.C. §§ 1851-1881) • National Marine Sanctuary Act (16 U.S.C. §§ 1431-1443) |
| Marine Safety | <ul style="list-style-type: none"> • Titles 33 and 46 U.S.C. (See commercial vessel safety, § 2103; recreational boating safety, chapter 43.) |

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Coast Guard Authorities



| CG Mission Area | Authorities/ Policy |
|--|---|
| Defense Readiness | <ul style="list-style-type: none"> • 14 U.S.C. §§ 1, 2, 141 • 10 U.S.C. § 101 • 2004 DOD-DHS MOA for Maritime Homeland Defense • 2008 DOD-DHS MOA on use of CG capabilities/resources in support of National Military Strategy |
| Migrant Interdiction | <ul style="list-style-type: none"> • 14 U.S.C. §§ 88, 89 • Title 8, U.S.C. (see § 1324) • Illegal Immigration Reform & Immigration Responsibility Act of 1996 • EO 12807, EO 13276 • Presidential Decision Directive 9 |
| Marine Environmental Protection | <ul style="list-style-type: none"> • 14 U.S.C. § 89 • Oil Pollution Act of 1990 (33 U.S.C. §§ 2701-2720) • CERCLA (42 U.S.C. § 9601 et seq.) • Federal Water Pollution Control Act – Clean Water Act (33 U.S.C. §§ 1321-1330) • Ocean Dumping Act (33 U.S.C. § 1401 et seq.) • MARPOL Implementation (33 U.S.C. §§ 1901-1915) |
| Ice Operations | |
| Other Law Enforcement | <ul style="list-style-type: none"> • 14 U.S.C. § 89 • 14 U.S.C. § 143, 19 U.S.C. § 1401 (Customs Authority) |

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Mission Need for Maritime Biometrics



Identify and Evaluate Risk & Intent of Unknown Individuals Encountered via a Maritime Nexus In Support of Law Enforcement, Intelligence, and Force Protection



Pressurize the Maritime Environment to Deny Criminal and Terrorist Activities



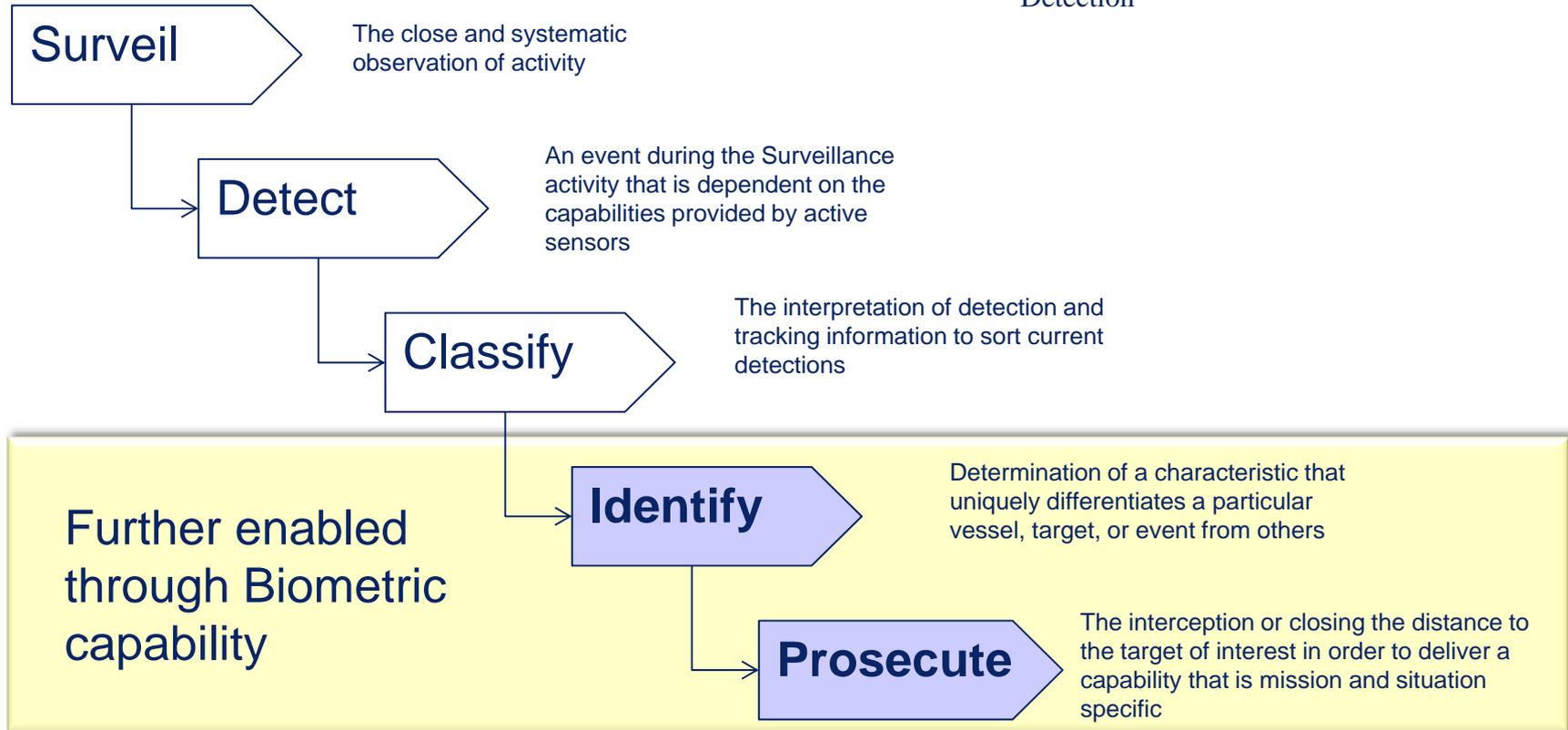
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Process flow on the Border

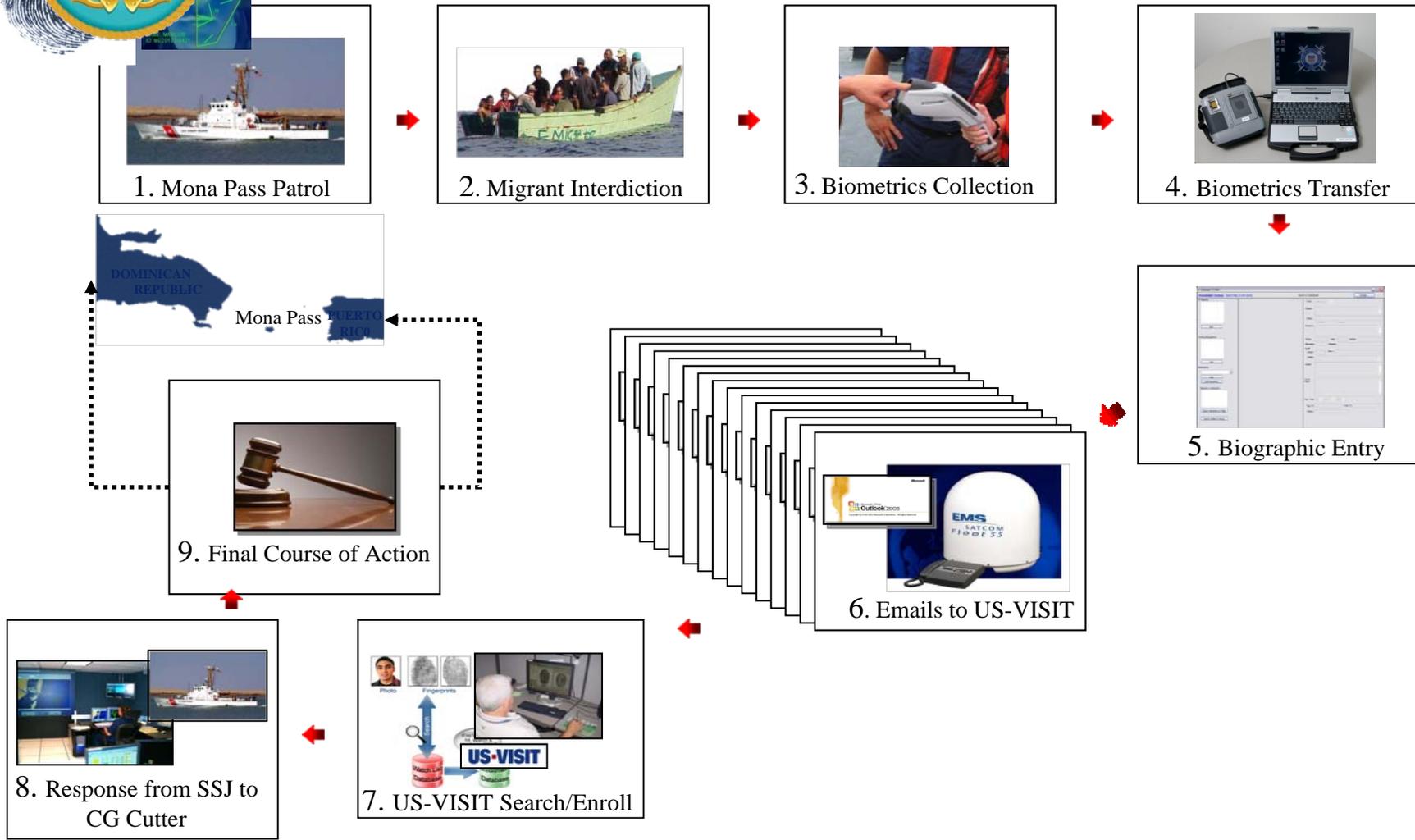


Source: Improved Mission Execution –
New Techniques for Environmental Crimes
Detection



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Current: Biometrics At-Sea



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Operational Policy



Maritime Law Enforcement Manual (MLEM): Chapter 3.C.2.f states, “Coast Guard personnel involved in law enforcement operations may only collect biometrics as part of a nationally-approved program, or when approved on a case-by-case basis by Commandant (CG-531/OLG).”

Currently, the subject must be:

1. Crossing or attempting to cross the border or its equivalent;
2. Reasonably suspected of criminal conduct; or
3. Consenting voluntarily to the collection.

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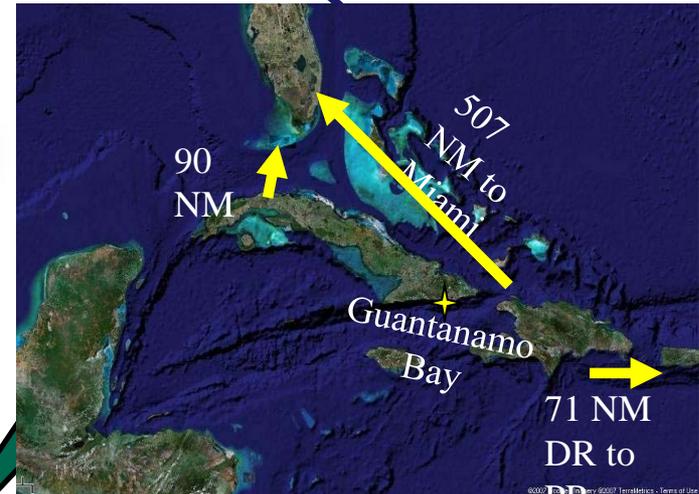
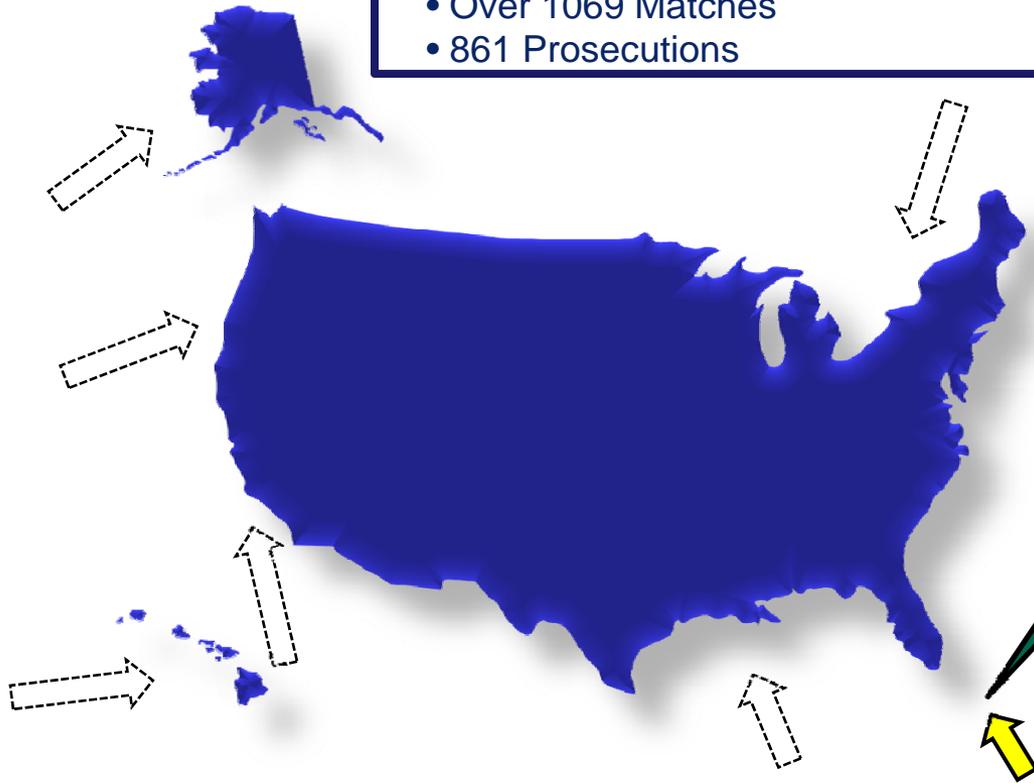


Maritime Smuggling & Performance Outcomes



Program Successes (as of Jan 2012)

- 80% Reduction in Maritime Migrant Flow Through the Mona Pass (since FY-06)
- Over 4197 Biometric Signatures Collected in Primary Threat Vectors
- Over 1069 Matches
- 861 Prosecutions



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Daily DHS Encounters Leveraging Biometrics



- CBP Office of Field Operations (OFO)

- 80-140,000 travelers per day at 327 POE's
- ~1000 per day referred to Secondary Inspection due to biometrics mismatch or watchlist hit

- USCIS Refugee, Asylum, and Int'l Operations

- 10,000 asylum, refugee, lawful permanent residence and naturalization applicants per day

- CBP Border Patrol Enforcement

- 3-5,000 stopped per day between POE's
- 80% are repeat offenders

- ICE Enforcement and Removal Operations

- 1,075 removals per day (50% criminals)

- CG, DoJ, DoD, OPM, State/local

- 23,000 various fingerprint cross-checks per day

- Department of State (DoS)

- 20-40,000 visas/day at 220 consulates & embassies (~100 hits/day returned)

CG Operations

- 21% prosecution rate since 2006
- 80% reduction in illegal migration in Mona Passage
- Over 80k TWIC verifications in 2011 with 15% growth projected

Biometrics capability proven operationally throughout DHS, DOJ and DOD

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Privacy Analysis



- **Characterization of Information:** Information collected (i.e., digital fingerprints & photographs) is minimally intrusive and collected while the person is on board a USCG cutter during routine processing following an at-sea encounter. PIA 1.6.
- **Uses of Information:** Collected biometrics will help determine if the persons interdicted at sea have an encounter history in IDENT “or DHS accessible databases.” PIA 2.1. Specific guidance on data control will be provided to USCG personnel in a localized CONOPS to ensure consistency in data handling. PIA 2.4.
- **Retention:** Biometric information is retained only until appropriate information is confirmed as searched against the other databases and successfully enrolled into the IDENT system. PIA 3.3.
- **Internal Sharing & Disclosure:** Any privacy risks are mitigated through data-sharing agreements that require such things as auditing, access controls, re-sharing limits, and other controls. PIA 4.4.
- **External Sharing & Disclosure:** Any external sharing of the information collected will be through IDENT. PIA 5.1 The information collected by the USCG will be maintained in the recidivist portion of IDENT and externally shared in accordance with existing data-sharing agreements. PIA 5.4.

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Privacy Analysis



- **Notice:** Only the minimum amount of information necessary is collected, reviewed and maintained to support the USCG's law enforcement and homeland security missions. PIA 6.4
- **Access, Redress and Correction:** Redress procedures established and operated by US-VISIT will adequately and appropriately deal with requests for redress. PIA 7.5
- **Technical Access and Security:** IDENT is the only system of records to which the USCG will submit data for enrollment; furthermore, DHS has a robust security program that employs physical, technical, and administrative controls to protect data. PIA 8.9
- **Technology:** All portable storage devices that contain biometric data are encrypted and access to equipment and data is strictly limited to a need-to-know/need-to-use basis for mission performance. PIA 9.4

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Pilot Project to Improve Capability



The 10-Print/Multi-modal Project will:

- Advance current 2-print collection to 10-print
- Examine iris collection in the cutter environment
- Extend the search function from IDENT to IAFIS and ABIS databases
- Evaluate the usability of the SEEK II handheld biometric device for collection of modalities in the cutter environment

Project scheduled to evaluate capability and collect data thru Spring 2013.



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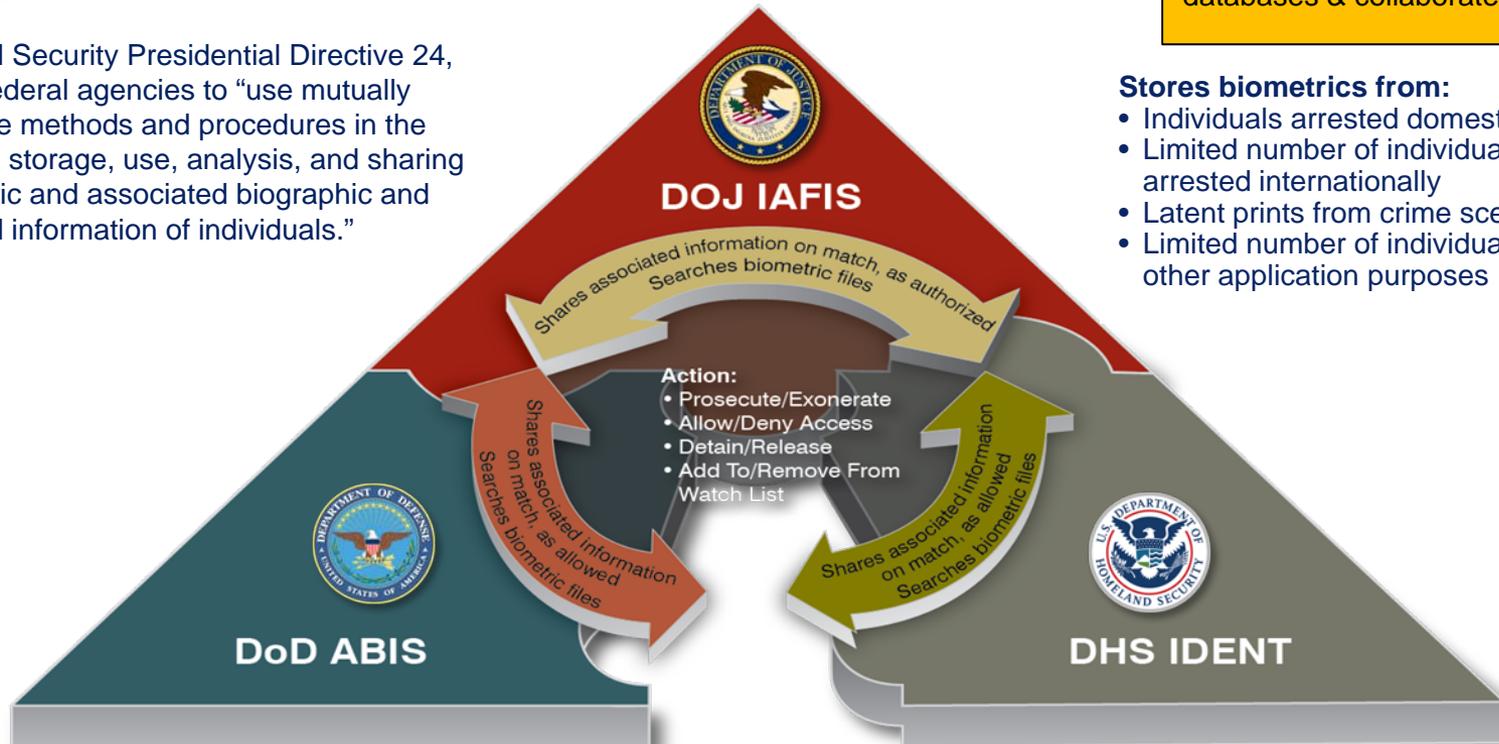
Existing National Databases



Current State

CG plans to leverage existing national databases & collaborate to improve services

Homeland Security Presidential Directive 24, calls for federal agencies to “use mutually compatible methods and procedures in the collection, storage, use, analysis, and sharing of biometric and associated biographic and contextual information of individuals.”



Stores biometrics from:

- Individuals arrested domestically
- Limited number of individuals arrested internationally
- Latent prints from crime scenes
- Limited number of individuals and other application purposes

Stores biometrics from:

- Credential applicants requesting access to U.S. installations overseas
- Latent prints from IEDs and other hostile actions
- Enemy combatants
- Detainees

Stores biometrics from:

- Visa applicants, travelers to the U.S.
- Immigration violators
- Other immigration and border management benefits and credential applicants
- Latent prints from DoD, DoJ, and DHS

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Vision for Integrated Capability



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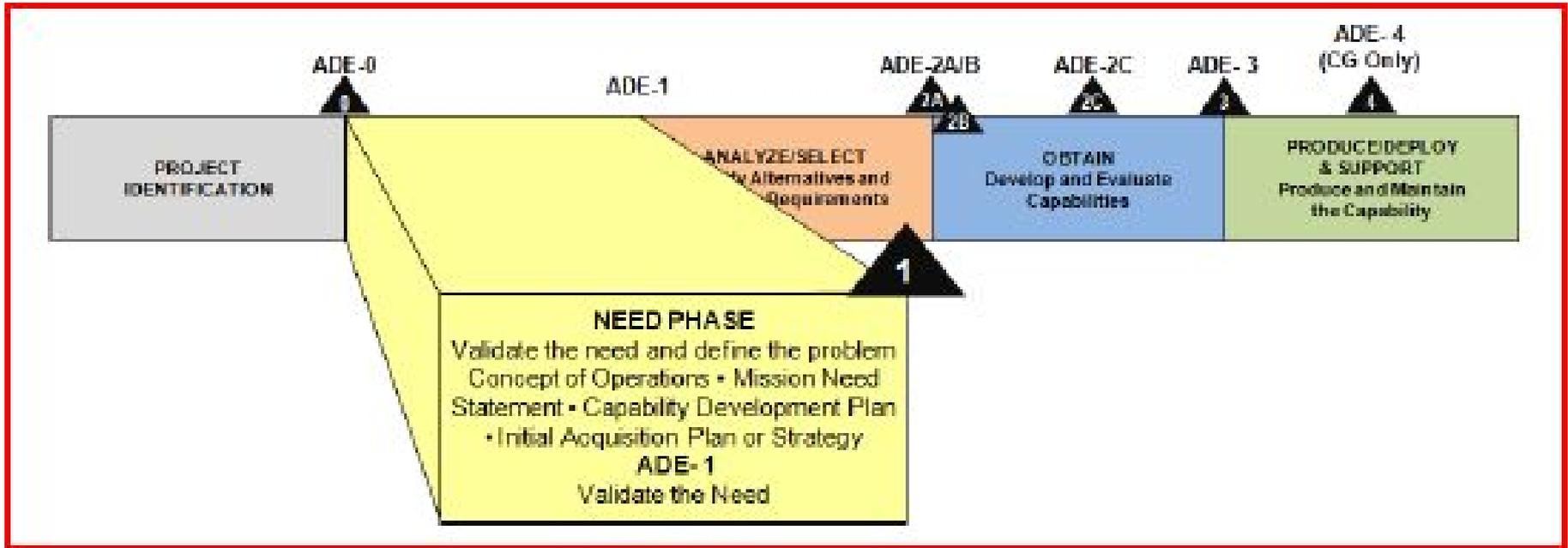




Planning for Future Capability



Program planning progressing



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Risk of Inaction



- Missed opportunity to identify dangerous individuals (i.e. KST/NST) along 95,000 mile maritime border
- Missed opportunities to identify and apprehend recidivists, absconders and stowaways
- Extending trust (access) to wrong persons **or** Denying trust (access) to right persons
- Increased duration of operations, delays to commerce and International Trade
- Lack of threat awareness to CG forces, Public Safety and National Security
- Non-compliance with Coast Guard Authorization Act



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Questions?



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