



IT Program Assessment CBP- Automated Export System (AES)

Review

The DHS Chief Information Officer conducted a comprehensive review of the CBP Automated Export System (AES) on May 6, 2010. AES is the primary export information gathering and processing system for CBP. AES assists in the enforcement of export laws, improves data collection for trade statistics, and facilitates export trade. The AES system electronically collects key export data from exporters/exporters' agents, and Outbound carriers.

Findings during the review are as follows:

- The Program contains Personally Identifiable Information (PII), such as name, address, SSN, and telephone number of exporters and other parties. The SSN requirement was eliminated in December 2009. As of April 19, 2010, the component Privacy Officer is reviewing AES Privacy Impact Assessment (PIA) for submission to DHS Privacy Office. The Program Manager will follow up with the DHS CIO to confirm CBP AES privacy compliance.
- Currently, the program manager is the only Federal employee on staff; CBP intends to hire an additional FTE for CBP AES.
- The program is in the Operations and Maintenance (O&M) phase of its lifecycle and the current O&M contract will be re-competed in the following fiscal year.
- AES is proposing a plan to do a complete technology refresh of the current architecture and system solution.
- The current system is built using AllFusion from Computer Associates (CA). CA continues to support AES with fixes and patches as needed; although they no longer have AllFusion as a currently support application package.

Assessment

AES appears to be well-managed, operating effectively and is considered a low risk program to the Department. A potentially significant risk exist with the proposed tehchnology refresh/overhaul of the current solution. The current solution is built using the AllFUision Gen language/generator from CA, and a significant amount of the solution is built in COBOL. This would not only be a technology refresh, but a completely new architecture using a new baseline infrastructure and software language. With a system that has this high a level of screen and code complexity (2,646 modules, 272 active screens and ~7 million lines of code) the re-architecture will present both a high level of risk and development complexity.

Score: 4