

US-VISIT Increment 2C Proof of Concept – Concept of Operations Phase 1

January 7, 2005

V1.1

Department of Homeland Security
US-VISIT Program Office
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Arlington, VA 22209

Executive Summary

The goals¹ of the United States Visitor and Immigrant Status Indicator Technology (US-VISIT) Program, within the Department of Homeland Security (DHS), is to enhance the security of United States (U.S.) citizens and travelers, to facilitate legitimate travel and trade, to ensure the integrity of the U.S. immigration system, and to protect the privacy of our visitors.

The Increment 2C Proof of Concept (POC) Concept of Operations (CONOPS) builds upon the framework that was developed in Increment 2B. Increment 2B redesigned the I-94 issuance process to enable the electronic capture of biographic, biometric (unless exempt) and related travel data for arriving non-immigrants at land border ports of entry (referred to as in-scope travelers in this document – see section 4.0 In-Scope Travelers). Increment 2B was deployed to meet the legislative mandate to record alien arrival information at the busiest 50 U.S. land border Ports of Entry (POEs) by December 31, 2004².

The Increment 2C POC CONOPS applies to the same in-scope traveler population as Increment 2B and builds upon the foundation of Increment 2B. Expanding upon Increment 2B capabilities, the Increment 2C POC CONOPS introduces the issuance of a unique automatic identifier (a-ID) that is capable of being read automatically, passively³ and remotely. Initially, these a-IDs will be issued to the same population of in-scope travelers subject to Increment 2B.

The Increment 2C POC CONOPS introduces new technology and business processes that will be deployed in such a manner that will not impede cross border movement of persons and commerce. Increment 2C POC capabilities are broken down into four components:

1. a-ID Issuance and Verification

The first time an in-scope traveler crosses at a land POE under the Increment 2C POC, the in-scope traveler will be referred to Secondary to determine admissibility per current standard operating procedures. Biographic and/or biometric (unless exempt) information collected on the in-scope traveler under the Increment 2B process will be verified. If no data exists biographic and biometric (unless exempt) data will be collected. In-scope travelers meeting admissibility requirements will be issued an a-ID that is associated with the photo, biographic and biometric information on record for the in-scope traveler.

2. Pedestrian Entry

Upon subsequent entry of the in-scope traveler, the system will automatically read and record the in-scope traveler's a-ID, execute real-time biographic watch list checks and

¹ Executive Summary, Mission Needs Statement v3.0, November 2003.

² See attachment E, Increment 2B Implementation at the 50 Busiest Land Border Ports of Entry (POEs) by December 31, 2004.

³ "Passive" means that the a-ID will be read by the Increment 2C system without requiring the traveler to take any active or concerted effort to enable the read.

display to the CBP Primary Officer the in-scope traveler's name, photograph⁴, biographic watch list results, biometric watch list status and a-ID status (e.g., lost or stolen).

3. Vehicle Entry

Upon subsequent entry of the in-scope traveler, or multiple in-scope travelers, in a vehicle, the system will automatically read and record the a-ID as an entry event.

4. Pedestrian and Vehicle Exit

As in-scope travelers depart the U.S. on foot or by vehicle, the system will automatically read and record all a-IDs as an exit event.

The Increment 2C POC CONOPS schedule is comprised of three stages that will be used as a foundation for the Increment 2C CONOPS. These stages are:

- **Radio Frequency (RF) Feasibility Study:** The study will provide direction for 2C technical requirements concerning RF technology (e.g., configuration, connectivity, security, read rates, etc.).
- **Establishment of a Simulated POE:** The Simulated POE will replicate the current land border environment. The Simulated POE will be designed to test a variety of technology products and will simulate integration with existing land border POE processes and technology.
- **POC Implementation (Phase 1):** Phase 1 implementation will encompass seven business processes; a-ID issuance, pedestrian entry, vehicle entry, a-ID verification, pedestrian exit, vehicle exit and reporting.
- **POC Implementation (Phase 2):** Phase 2 implementation will encompass the desired end state functionality for Increment 2C and will integrate a-ID with current land border technology, linking traveler data to vehicle entry/exit data.

This document focuses on the Increment 2C POC Phase 1 implementation, and is predicated on the viability and success of current (or future technology), as determined by the RF Feasibility Study and tested in a simulated environment (Simulated POE). These two stages must be successful prior to Phase 1, POC implementation at select POEs. Based upon successful completion of the Phase 1 Increment 2C POC, full operating capability to the same select Phase 1 POEs will be implemented in Phase 2.

Upon completion of Phase 2, a thorough evaluation will be conducted. Based upon the results of this evaluation further deployment will be determined. Phase 2, testing, evaluation and deployment will be further expanded upon in the Increment 2C CONOPS.

⁴ The system should present the Department of State (DOS) photograph for all visa holders (if available). For non-visa holders or where a DOS photograph is not available, the system will present the US-VISIT photograph.

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Revision History

| Version No. | Date | Brief Description of Change | A=Add M=Modify D=Delete | Source |
|--------------------|-------------|---|--|--|
| V1.1 | 01/07/2005 | Clarification of key issues | M | Executive Management comments incorporated |
| V1.0 | 01/06/2005 | Final version provided for comment | M | US-VISIT Implementation Management |
| V0.5 | 12/29/2004 | Clarification of key issues and changes to in-scope travelers | M | Information Technology and Facilities comments incorporated |
| V0.4 | 12/27/2004 | Editorial changes | M | Implementation Management comments incorporated |
| V0.3 | 12/17/2004 | Second revision | M | Increment 2C IPT Sub-Working Group |
| V0.2 | 12/7/2004 | First revision | M | Increment 2C IPT Sub-Working Group |
| V0.1 | 11/24/2004 | Document creation | A | US-VISIT Mission Operations Office & SBA Increment 2C Business Architecture Team |

Increment 2C Proof of Concept - Concept of Operations Approvals

| US-VISIT Program Approvals | | | | |
|--------------------------------------|-----------------|---------|---------|------|
| Organization | Name | Comment | Approve | Date |
| Director | Jim Williams | | | |
| Deputy Director | Bob Mocny | | | |
| Implementation Management | Shonnie Lyon | | | |
| Office of Facilities and Engineering | Manny Rodriguez | | | |
| Acquisition & Program Management | Dana Schmitt | | | |
| Office of the Chief Strategist | Patty Cogswell | | | |
| Mission Operations Management | P.T. Wright | | | |
| Outreach Management | Anna Hinken | | | |
| Budget & Financial Management | Keith Roemeling | | | |
| Information Technology Management | Scott Hastings | | | |
| Administration and Training | JaNelle East | | | |

Approved _____
Director, US-VISIT

Date

Comments:

1.0 Introduction

The goals⁵ of the United States Visitor and Immigrant Status Indicator Technology (US-VISIT) Program, within the Department of Homeland Security (DHS), is to enhance the security of United States (U.S.) citizens and travelers, to facilitate legitimate travel and trade, to ensure the integrity of the U.S. immigration system, and to protect the privacy of our visitors.

The Increment 2C Proof of Concept (POC) Concept of Operations (CONOPS) builds upon the framework that was developed in Increment 2B. Increment 2B redesigned the I-94 issuance process to enable the electronic capture of biographic, biometric (unless exempt) and related travel data for arriving non-immigrants at land border ports of entry (referred to as ‘in-scope travelers’ or ‘travelers’ in this document – see section 4.0 In-Scope Travelers). Increment 2B was deployed to meet the legislative mandate to record alien arrival information at the busiest 50 U.S. land border Ports of Entry (POEs) by December 31, 2004⁶.

The Increment 2C POC CONOPS applies to the same traveler population as Increment 2B and builds upon the foundation of Increment 2B. Expanding upon Increment 2B capabilities, the Increment 2C POC CONOPS introduces the issuance of a unique automatic identifier (a-ID) that is capable of being read automatically, passively⁷ and remotely. Initially, these a-IDs will be issued to the same population of in-scope travelers subject to Increment 2B.

As the a-ID enters or exits the U.S., an arrival or departure record will automatically be created. In addition, upon entry at pedestrian primary the CBP Officer will be able to visually verify an in-scope traveler’s identity and review the results of automated watch list queries associated with the a-ID.

The Increment 2C POC CONOPS is comprised of three stages that will be used as a foundation for the Increment 2C CONOPS. These stages are:

- **Radio Frequency (RF) Feasibility Study:** The study will provide direction for 2C technical requirements concerning RF technology (e.g., configuration, connectivity, security, read rates, etc.).
- **Establishment of a Simulated POE:** The Simulated POE will replicate the current land border environment. The Simulated POE will be designed to test a variety of technology products and will simulate integration with existing land border POE processes and technology.
- **POC Implementation (Phase 1):** Phase 1 implementation will encompass seven business processes; a-ID issuance, pedestrian entry, vehicle entry, a-ID verification, pedestrian exit, vehicle exit and reporting.

⁵ Executive Summary, Mission Needs Statement v3.0, November 2003

⁶ See attachment E, Increment 2B Implementation at the 50 Busiest Land Border Ports of Entry (POEs) by December 31, 2004.

⁷ “Passive” means that the a-ID will be read by the Increment 2C system without requiring the traveler to take any active or concerted effort to enable the read.

- **POC Implementation (Phase 2):** Phase 2 implementation will encompass the desired end state functionality for Increment 2C and will integrate a-ID with current land border technology, linking traveler data to vehicle entry/exit data.⁸

This document focuses on the Increment 2C POC Phase 1 implementation, and is predicated on the viability and success of current (or future) technology, as determined by the RF Feasibility Study and tested in a simulated environment (Simulated POE). These two stages must be successful prior to Phase 1, POC implementation at select POEs. Based upon successful completion of the Phase 1 Increment 2C POC, full operating capability to the same select Phase 1 POEs will be implemented in Phase 2.

Upon completion of Phase 2, a thorough evaluation will be conducted. Based upon the results of this evaluation further deployment will be determined. Phase 2, testing, evaluation and deployment will be further expanded upon in the Increment 2C CONOPS. See Figure 1-1, POC Implementation Schedule, below.

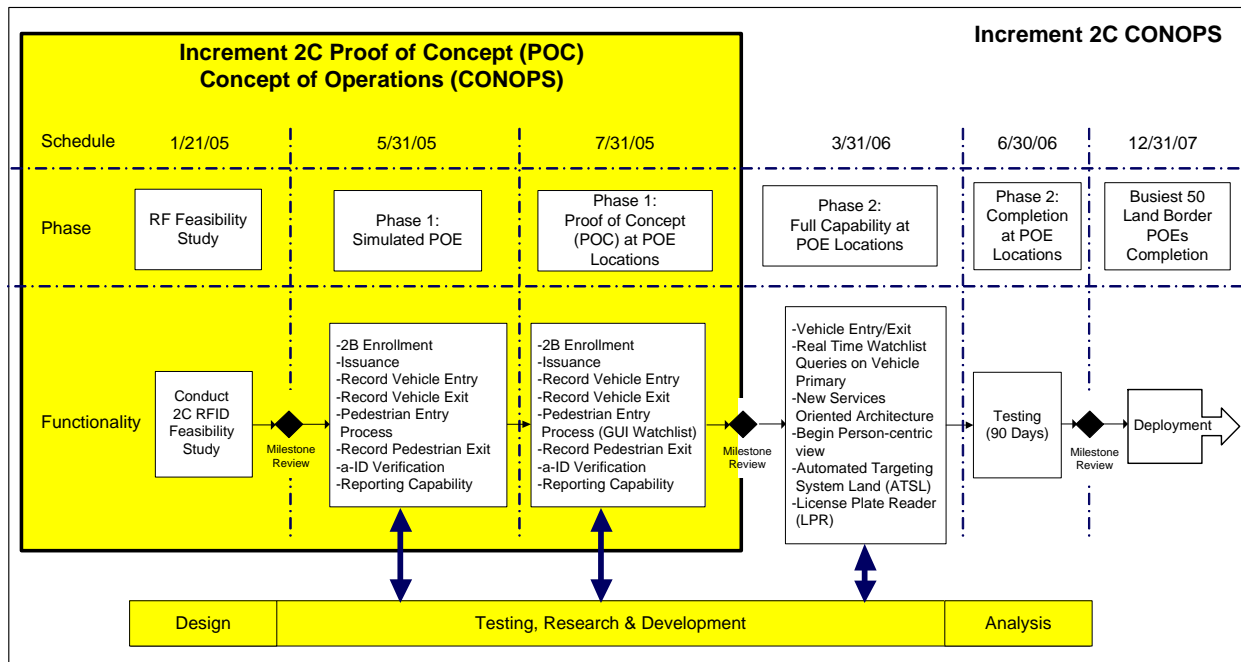


Figure 1-1: POC Implementation Schedule

⁸ See attachment F, US-VISIT Increment 2C Proof of Concept Business Requirements

1.1 Purpose

A CONOPS document is used to communicate the high-level conceptual design for future business operations to the planning and design teams, program sponsors, end-users, and other stakeholders. The US-VISIT Increment 2C POC CONOPS document provides an overview of the proposed business process and the operational changes that will be required to implement the Increment 2C POC capability. Specifically, the Increment 2C POC will:

- Provide framework for the Functional Requirements Document for system development;
- Provide framework for the development of Standard Operating Procedures (SOPs);
- Identify requirements for change management and the promulgation of regulations;
- Identify areas where policy decisions are required.
- Provide the foundation for the Increment 2C CONOPS (Phase 2)

This document, along with detailed business requirements will be used to define the Increment 2C POC functional requirements.

1.2 Scope

The Increment 2C POC CONOPS document builds upon the Increment 2B business process by introducing the following capabilities:

A-ID Issuance and Verification

- Record the issuance of an a-ID.

Pedestrian Primary

- Record a-ID entry and perform real-time biographic watch list checks.
- Present enrollment information (photograph⁹ and biographic data) to the CBP Primary Officer upon entry.
- Present biographic watch list results, biometric watch list status and a-ID status (e.g., lost, stolen, etc) to CBP Primary Officer upon entry.

Vehicle Primary

- Record the entry of each a-ID, automatically, passively and remotely.

Pedestrian and Vehicle Exit

- Record exit of each a-ID, automatically, passively and remotely.

1.3 US-VISIT Background

The US-VISIT Program was chartered within the DHS to enhance national security and the integrity of the immigration system, facilitate legitimate travel and trade, and protect the privacy of our visitors. Through a dynamic and interoperable program, US-VISIT will collect, maintain, and share information including biometrics and photographs on individuals who:

⁹ The system should present the Department of State (DOS) photograph for all visa holders (if available). For non-visa holders or where a DOS photograph is not available, the system will present the US-VISIT photograph.

- Should be prohibited from entering the U.S.
- Extend or adjust their immigrations status
- Have overstayed or otherwise violated the terms of their admission
- Should be apprehended or detained for law enforcement purposes
- Need special protection/attention

Table 1-1 provides a high-level summary of the initial Increments in the US-VISIT program.

| Increment | Process Scope | Schedule | Functionality |
|------------------|---------------------------------|--|--|
| 1A | Entry at Air and Sea Ports | January 5, 2004 | Delivered the initial operating capability of using biometrics for identity verification to 115 air and 15 sea ports |
| 1B | Exit Pilot at Air and Sea Ports | August – December 2004 | Evaluates the exit pilot alternatives at air and sea ports |
| 2A | Entry at Air/Land/Sea Ports | October 26, 2005* | Delivers the initial operating capability to read biometrically enabled travel documents at all POEs |
| 2B | Entry at 50 busiest land Ports | December 31, 2004* | Electronically captures arrival and biometric data in the Passport Control Area and automates the Form I-94 issuance process |
| 2C | Entry and exit at land POEs | July 31, 2005 (POC), December 31, 2007 (Busiest 50 POEs) | Automates recording of in-scope traveler entry and exit |
| 3 | Remaining land POEs | December 31, 2005* | Provides Increment 2B capability at remaining land POEs |

* Indicates a legislative mandate

Table 1-1: US-VISIT Program Increments

1.4 Increment 2C Leadership

Key personnel involved with the Increment 2C initiative include, but are not limited to, the individuals identified in Table 1-2.

| US-VISIT Increment 2C Leadership | | | |
|---|-----------------------------------|------------------|---------------------|
| Organization | Title/Office | Name | Role |
| DHS | Secretary | Tom Ridge | Business Sponsor |
| BTS | Undersecretary | Asa Hutchinson | Business Sponsor |
| US-VISIT | Director | Jim Williams | Approving Authority |
| US-VISIT | Deputy Director | Bob Mocny | Approving Authority |
| DOS | Department Representative | John Cook | IPT member |
| DOT | Department Representative | Jim Zok | IPT member |
| ICE | Agency Representative | Kevin Merkel | IPT member |
| TSA | Agency Representative | Tom Freed | IPT member |
| CBP | Agency Representative | Elizabeth Tritt | IPT member |
| US-VISIT | Implementation Management | Shonnie Lyon | Approving Director |
| US-VISIT | Implementation Management | Colleen Manaher | Project Manager |
| US-VISIT | Office of Facilities Management | Manny Rodriguez | Approving Director |
| US-VISIT | Office of Chief Strategist | Patty Cogswell | Approving Director |
| US-VISIT | Mission Operations Management | P.T. Wright | Approving Director |
| US-VISIT | Outreach Management | Anna Hinken | Approving Director |
| US-VISIT | Budget & Financial Management | Keith Roemeling | Approving Director |
| US-VISIT | Information Technology Management | Scott Hastings | Approving Director |
| US-VISIT | Information Technology Management | Michael Westray | Project Manager |
| US-VISIT | Acquisition & Program Management | Dana Schmitt | Approving Director |
| US-VISIT | Administration and Training | JaNelle East | Approving Director |
| SBA | Increment 2C | Kimberly Deshong | Project Manager |

Table 1-2: Increment 2C Key Personnel

1.5 Approach

Representatives from the US-VISIT Officers, Customs and Border Protection (CBP), and the Smart Border Alliance (SBA) Integrated Project Team (IPT) provided input to the Increment 2C POC CONOPS. Additionally, CBP Officers from northern and southern land border POEs helped refine the requirements during two one-week User Requirements Working Group sessions. It was important to include representatives from both southern and northern land POEs to facilitate discussions and provide a full representation of the land border POE environment to help shape the Increment 2C business processes. Representatives from the following POEs attended these sessions:

- Calexico, California (First Session Only)
- Calais, Maine (First Session Only)
- Port Huron, Michigan
- Laredo, Texas
- Douglas, Texas
- El Paso, Texas
- Blaine, Washington
- Buffalo, New York (Second Session Only)
- San Ysidro, California (Second Session Only)

The Increment 2C POC CONOPS is based upon the collected feedback and recommendations of the Integrated Project Team and was developed as a result of the work done to create the Increment 2C CONOPS. The Increment 2C POC CONOPS is the first step in achieving the overall Increment 2C capabilities as outlined in the Increment 2C CONOPS.

1.6 Document References

The following materials were reviewed during the development of this document:

- Immigration and Nationality Act (INA) of 1952, As Amended
- Immigration and Naturalization Service Data Management Improvement Act of 2000 (DMIA) Pub. L. No. 106-215
- Visa Waiver Permanent Program Act of 2000 (VWPPA); Pub. L. No. 106-396
- The National Intelligence Reform and Terrorism Prevention Act (NIRTPA) of 2004
- Uniting and Safeguarding America Providing Appropriate Tools Required to Intercept and Obstruct Terrorism (USA PATRIOT) Act, Pub. L. No. 107-56
- US-VISIT Initial Land Border Solution, SBA, US-VISIT-APMO-CONTHSSCHQ04D0096T001-BRIEF0010-F
- US-VISIT Increment 2C Concept of Operations (DRAFT), SBA, US-VISIT-APMO-CONTHSSCHQ04D0096T001-DESC040010-D
- Enhanced Border Security and Visa Entry Reform Act of 2002 Pub. L. No. 107-173 (“Border Security Act”)
- National Commission on Terrorist Attacks Upon the United States, The 9/11 Commission Report
- Office of Homeland Security, Executive Summary, Mission Needs Statement v3.0, November 2003
- Office of Homeland Security. US-VISIT, Increment 2B Concept of Operations, v2.5, August 23, 2004
- Office of Homeland Security. US-VISIT, Increment 2B Business Requirements, v3.1, August 3, 2004

2.0 Legislative Mandates

The DHS has established the US-VISIT program in accordance with several Congressional mandates requiring that the Department create an integrated, automated entry exit system that records and matches available information on arrivals and departures of aliens. In support of this system, DHS is required to deploy equipment at all POEs allowing for the biometric verification of the identity of covered aliens and the authentication of their travel documents through the comparison of biometric identifiers.

The DHS requirements are included in various provisions of The DMIA, The VWPPA, The NIRTPA, USA PATRIOT Act, and the Enhanced Border Security and Visa Entry Reform Act (“EBSVRA”). See Attachment C, Legislative Mandates.

- **Electronic, Automated and Integrated Arrival/Departure System.** DHS is required to implement an integrated entry and exit system at air and sea POEs by December 31, 2003, at the 50 busiest land border POEs by December 31, 2004, and at remaining land POEs by December 31, 2005. This system must contain all arrival/departure data that exists on aliens in any of the former Department of Justice (DOJ) systems that have been transferred to DHS or Department of State (DOS) systems or databases.
- **High-Traffic Land Border POEs.** Not later than December 31, 2004, the Secretary, Department of Homeland Security shall implement the integrated entry and exit data system using the data described in paragraph (1) and available alien arrival and departure data described in subsection (b) (1) pertaining to aliens arriving in, or departing from, the U.S. at the 50 land border POEs determined by the Secretary to serve the highest numbers of arriving and departing aliens. Such implementation shall include ensuring that such data, when collected or created by a CBP Officer at such a port of entry, are entered into the system and can be accessed by CBP Officers at airports, seaports, and land border POEs.
- **Reporting Requirements.** DHS is required to provide a detailed, annual report to Congress by December 31 each year containing the specific information on arriving and departing aliens, including VWP aliens. The reports are to include the numbers of departing aliens with their nationalities; successful arrival/departure matches; classifications by immigrant or nonimmigrant, VWP and other non-immigrants. The reports are also required to identify aliens for whom no departure data is available at end of their authorized period of stay.
- **Document Authentication Requirements.** In parallel to the deployment of Increment 2C, US-VISIT must meet the legislative mandates requiring the installation of equipment and software at all POEs that allows biometric comparison and authentication of US visas and other travel and entry documents, and machine-readable, biometric passports required to be issued to VWP nationals. Under the extension granted by Congress, this requirement must be met by October 26, 2005 (Increment 2A). Although these requirements are distinct, US-VISIT’s efforts to meet both legislative timelines and ensure system interoperability will require close coordination between the respective initiatives. The US-VISIT Office will work between the Increments to ensure that 2A and 2C solutions are fully integrated. Consequently, the rollout of Increment 2A will impact the same POEs at which Increment 2C will be deployed.

The DHS strategy to satisfy the legislative requirements at the 50 busiest land border POEs was met through biometric collection of in-scope travelers seeking entry via the land border POEs by December 31, 2004, using the Form I-94 and Form I-94W issuance process (Increment 2B). It is the intention of US-VISIT to provide the Increment 2B functionality at the remaining land border POEs (Increment 3) based on the same strategy used for satisfying the mandates for the remaining land border POEs by December 31, 2005.

Increment 2C POC expands upon the functionality provided by Increment 2B through the deployment of an automated system to record both entry and exit events. Specifically, Increment 2C POC will introduce new technology to automatically record in-scope traveler's arrivals and departures through the issuance of an a-ID that retrieves the associated traveler's biographic and biometric data. The Increment 2C POC at select POEs will serve as the first step towards the collection of departure data.

3.0 Current Operations

One of the specific challenges facing CBP Officers at land border POEs is volume. More than 85% of all persons entering the U.S. each year apply for admission at land border POEs. There are several individual land border POEs where the number of persons processed annually exceeds the total for all sea and air POEs combined.

There is a marked difference in intensity between an inspection conducted at an air or sea POE and one conducted at a land border POE. Because of the varied status, divergent points of origin, unfamiliarity with requirements and regulations, and the increased risk to the U.S., most applicants for admission at air or sea POEs receive a comprehensive examination. In contrast, the great majority of persons arriving at land border POEs are residents of the border area who cross frequently and who are familiar with requirements concerning their entry into the U.S. Consequently, at land border POEs, a screening procedure has been established to rapidly inspect applicants for admission, permitting entry for those found readily admissible, and referring for further action those requiring a more detailed secondary inspection.

Travelers can enter land border POEs on foot, by car, bus, truck, or other form of transportation (e.g. snowmobile, rail). Vehicle lanes are often segregated for the different transportation modes (e.g. pre-screened in-scope travelers enrolled in trusted traveler programs, vehicles, buses, and truck/cargo).

3.1 Entry Process at Land Border POEs

The entry process takes place at designated entry points; specifically, inspection booths located at land border POEs. Inspections are composed of primary inspection (commercial, vehicular and pedestrian traffic) and secondary inspection. The following section provides an overview of the current vehicle and pedestrian processes at land border POEs.

3.1.1 Vehicle Entry

At vehicle primary entry, vehicle license plate information is captured, recorded and queried using the Treasury Enforcement Communication System (TECS). License Plate Readers (LPRs) are installed at the majority of the land border POEs and designed to automatically capture and

transmit license plate data to TECS. In the event that a land border POE is not equipped with LPRs, or an LPR misread the license plate, the CBP Officer must manually enter license plate information.

Travelers in vehicles are required to identify themselves, state, or present documents showing, citizenship, declare their intent and purpose of travel and make an oral customs declaration. CBP Officers must then review travel documents if presented, determine citizenship, conduct a rapid interview of each traveler, and perform a cursory inspection of the vehicle. A quick determination must be made by CBP Officers as to whether the vehicle and its occupants should be admitted or referred.

The current bus entry process varies across land border POEs. Some land border POEs have designated bus lanes, others commingle vehicle and bus traffic. Upon arrival, passengers may be offloaded to proceed through the pedestrian primary process, alternatively, processing may occur within secondary. Trucks with cargo are often processed through separate facilities.

3.1.2 Pedestrian Entry

At pedestrian primary entry, travelers are required to identify themselves, state, or present documents showing, citizenship, declare their intent and purpose of travel and make an oral customs declaration. CBP Primary Officers must then review travel documents if presented, determine citizenship, and conduct a rapid interview of the traveler. A quick determination must be made by the CBP Primary Officer as to whether the traveler is to be admitted or referred.

Currently, Border Crossing Card (BCC) holders may be subject to Biometric Verification System (BVS) processing for verification of identity. In addition, at the discretion of the CBP Officer, travelers may be subject to biographic TECS checks.

During periods of heightened alert (e.g., threat level orange) CBP Officers are typically instructed to perform biographic TECS checks on all travelers at pedestrian primary. As with vehicle primary entry, a rapid determination must be made by the CBP Officers as to whether the traveler requires further inspection in secondary.

For those travelers holding a fully functional a-ID, the technology must ensure 100% a-ID read rates.

3.1.3 Secondary Processing

Under increment 2B, the following high-level process steps are currently performed in the secondary area:

- Capture of biographic information needed to complete Form I-94 or Form I-94W
- Capture of two fingerprints and a photograph as determined by policy
- Issuance of Form I-94

3.2 Exit Process at Land Border POEs

To date, limited resources have been allocated to focus on travelers leaving the U.S. Consequently, few exit facilities are in place and there is no consistent processing of vehicles or travelers upon

exit. While the requirement exists for travelers in possession of a single entry Form I-94, a multiple entry Form I-94 whose period of validity has expired, or a Form I-94W to surrender the departure record upon exit, the mechanism to do so is limited or nonexistent. The following sections provide an overview of the vehicle and pedestrian exit processes at land border POEs.

3.2.1 Vehicle Exit

At those land border POEs equipped with outbound LPRs, a license plate read is conducted upon vehicle exit. A record of the departing license plate is stored and a watch list query is automatically conducted. Travelers in possession of single entry Form I-94 or Form I-94W are required to surrender the forms upon exit. As resources allow, outbound enforcement operations may be conducted by CBP Officers.

3.2.2 Pedestrian Exit

Travelers exiting the U.S. on foot do not typically undergo any CBP processing. Travelers in possession of a single entry Form I-94 or Form I-94W are required to surrender the forms upon exit. As resources allow, outbound enforcement operations may be conducted by CBP Officers.

3.3 Current Systems Support Environment

The systems and technology in use at the land border POEs for the processing of vehicles and in-scope travelers are:

- Treasury Enforcement Communication System (TECS)
- License Plate Reader (LPR)
- US-Arrival/US-VISIT
- Global Enrollment System (GES)
- Canadian Border Dedicated Commuter Lane (NEXUS)
- Secure Electronic Network for Travelers Rapid Inspection (SENTRI)
- Free and Secure Trade (FAST)
- Biometric Verification System (BVS)
- Automated Biometric Identification System (IDENT)
- Automated Targeting System/Land (ATS/L)
- CBP Prime

Detailed descriptions of these systems may be found in Attachment D.

3.4 Current Land Border POE Operational Challenges

Current operational challenges for CBP Officers include:

- Must perform a thorough inspection at primary without the benefit of advanced electronic information (excluding trusted traveler programs).
- Must process a volume of travelers and trade through the land border POEs that is nearly five times greater than air and sea POEs.
- Must perform both traveler and cursory vehicle primary inspections and process multiple travelers entering the U.S. in a single vehicle in a timely fashion.
- Are limited to the use of the Form I-94/W as a means to record traveler's entries and exits. The Form I-94/W is issued only to a subset of the traveler population and typically allows

for multiple subsequently (unrecorded) entries during the period of validity. Consequently, CBP Officers have a limited knowledge of the crossing history of travelers.

- Limited resources permit only a small number of outbound operations to be conducted by CBP Officers in facilities that are often inadequate or non-existent. Verification of traveler departures is therefore limited.

4.0 In-Scope Travelers

Non-immigrants (herein referred to as ‘in-scope travelers’ or ‘travelers’) arriving at Increment 2C POC land border POEs include the same population of in-scope travelers for Increment 2B.

Currently, in-scope travelers for Increment 2B are, unless exempt, arriving non-immigrant aliens required to complete a Form I-94 or Form I-94W. These travelers will be issued an a-ID even if exempt from the biometric collection portion of US-VISIT. Currently this population includes:

- Applicants for admission with a non-immigrant visa
- Applicants for admission under the Visa Waiver Program (VWP)
- Mexican citizens who apply for admission using a BCC in lieu of a B-1/B-2 non-immigrant visa traveling beyond 25 miles of the border in Texas, California and New Mexico or 75 miles beyond the border in Arizona (if entering through the ports of San Luis, Nogales East, Douglas, Mariposa - Nogales West, and Lukeville) or who plan to stay more than 30 days¹⁰.

It is anticipated that the population for Increment 2C will include additional travelers, for example, border crossers who are currently not required to be in receipt of a Form I-94, as well as participants in the NEXUS, Secure Electronic Network For Travelers Rapid Inspection (SENTRI), and Free and Secure Trade (FAST) programs. All in-scope travelers, no matter the length of stay within the U.S., will be issued an a-ID to automatically record entry and subsequent exit.

5.0 Justification for Needed Changes in Operations

Existing land border POE processes do not routinely record when a traveler has entered or exited the U.S. Upon the expiration of the Form I-94 departure record, or if the traveler no longer intends to re-enter the U.S., current exit procedures rely on the travelers to manually deposit the Form I-94 departure record in a drop box at the land border POE upon departure, surrender the record to Canadian / Mexican Officials once outside the U.S., mail the record in, or surrender the record upon subsequent reentry. At land borders, even when the traveler is required to do so by regulation, this requirement is rarely observed, nor are there many facilities or processes in-place to allow the traveler to conform.

In addition, travelers issued a multiple entry Form I-94 (or one that is annotated for limited number of entries), can use the departure record for subsequent reentry without the need to be referred to secondary. Subsequent reentry is not recorded.

As a result of the lack of recorded exit and reentry information on travelers, it is difficult to determine with any degree of accuracy whether the traveler has left the U.S. In addition, the lack

¹⁰ “Processing United States Visitor and Immigrant Status Indicator Technology Program (US-VISIT) Biometrics Enrollment and CBP Form I-94/I-94W” dated September 27, 2004.

of advanced information and automated watch list queries of travelers and the rapid primary inspection constraint, it is difficult for CBP Officers to determine the inadmissibility of travelers from entering the U.S. upon reentry when presented with a multiple entry Form I-94.

The issuance of an a-ID to in-scope travelers that is capable of being read automatically, passively and remotely upon initial entry, reentry and exit is the first step towards improving the quality of traveler crossing data at land border POEs. Being able to record an a-ID event upon each arrival and record an a-ID exit event associated with the traveler's biographic and biometric data, will help establish a clearer picture of traveler's compliance with the terms and conditions of entry. Furthermore, conducting automatic biographic watch list checks upon pedestrian primary entry will help CBP Officers determine more effectively who is inadmissible to enter the U.S.

6.0 Assumptions

The Increment 2C POC CONOPS is based on the following assumptions:

- The Increment 2C POC functionality as described by this CONOPS will be delivered to multiple locations for evaluation and validation of requirements by July 31, 2005.
- Adequate resources will be provided for the successful implementation of the Increment 2C POC.
- Necessary policy decisions and modifications will be made to support the Increment 2C POC solution.
- New Standard Operating Procedures (SOP) for users will be developed in advance of implementation.
- The Increment 2C POC capabilities will not constrain the future operating vision identified in the US-VISIT Strategic Plan, Information Technology Strategic Plan, and the Facilities Strategic Plan.
- The Increment 2C POC solution will leverage existing technology and systems, as appropriate.
- The Increment 2C POC capabilities will be implemented at all entry and exit lanes at select POE locations.
- US-VISIT will complete the National Environmental Policy Act (NEPA) assessment process for the Increment 2C POC land border POEs.
- DHS will provide direction, such as timeline and scope, regarding the environmental assessment process for the Increment 2C POC locations and will coordinate as needed to assess the impacts to the schedule.
- A proactive, effective, and ongoing community outreach program will be initiated well in advance of implementation (program to include internal and external government outreach as well as outreach to industry). This program must also be coordinated with the outreach requirements as stated in the NEPA process.
- Training on new systems will be conducted prior to or in conjunction with implementation.
- The Increment 2B functionality will be implemented at the Increment 2C POC land border POEs prior to the Increment 2C POC implementation.
- The Increment 2C POC solution will be compatible with all currently deployed land border POE systems.
- The Increment 2C POC solution will not hinder current land border POE operations.

- During the Increment 2C POC there will be no fee associated with the receipt of an a-ID.
- Only one active a-ID will be issued to an in-scope traveler at any given time.

7.0 Constraints

There are several constraints imposed on the design, development, and operation of Increment 2C POC due to conditions beyond the control of the Increment 2C Project. These constraints are imperatives that over-ride all other decision factors regarding the Increment 2C POC and cannot be violated. Constraints include existing and new government regulations, standards to which the US-VISIT Office must adhere, strategic decisions that impact the US-VISIT Program, and the limitations of existing management network resources. In defining the Increment 2C POC CONOPS, the following constraints were noted:

- All appropriate environmental analyses for inclusion into the NEPA documentation must be completed prior to the deployment of the Increment 2C POC. These include, but are not limited to, an evaluation of potential impacts on air quality, historic structures, and cultural resources, traffic patterns, and environmental justice.
- The NEPA process may occur in parallel with the Increment 2C POC design process. However, only 35% of the Increment 2C POC design can be completed prior to obtaining the results of environmental assessment. It is imperative that sufficient time (at least 3 months) is allocated to the environmental assessment so that the development of the Increment 2C POC solution can proceed on schedule
- No irretrievable commitment of resources is permitted until the requirements of NEPA have been met.
- Increment 2C POC solution cannot be implemented until the completion of a Privacy Impact Analysis.
- Additional land cannot be acquired due to cost, lack of adjacent undeveloped land and the limited time available prior to Increment 2C POC deployment.
- No new operational staffing will be available to support of Increment 2C POC.

8.0 Implementation Guidelines

A number of implementation guidelines have been identified to help guide the decisions made during the design, development, and operation of the US-VISIT solution. The Increment 2C POC will strive to adhere to these guidelines; however these conditions may be overridden if a greater benefit can be realized. In defining the CONOPS for Increment 2C POC, the following implementation guidelines were noted:

- No increase in queue length or vehicle/pedestrian wait time as a result of implementation of Increment 2C POC.
- No decrease in Level Of Service (LOS) for exit lanes.
- No adverse change in predictable traffic patterns.
- Maintain awareness of the scalability of facility requirements for follow-on increments.
- Guidance will be derived from the Radio Frequency (RF) Feasibility Study and RF technology read rates and performance requirements.

9.0 Policy Issues

Implementation of the Increment 2C POC will require resolution of a number of policy issues at the DHS and CBP level. Required policy decisions include, but are not limited to:

- Travelers who arrive at the border with an a-ID associated with an in-scope traveler who is not present (e.g. if parents arrive in a car with the a-IDs in the glove compartment for children not present).
- How long a-ID read data should be retained.
- A traveler in possession of an a-ID that was reported lost, stolen, or damaged. In addition, travelers who have lost multiple a-IDs.

10.0 Proposed Proof of Concept

The Increment 2C POC enhances the Increment 2B capabilities through the issuance of an a-ID to travelers that is capable of being read automatically, passively and remotely. The Increment 2C POC also adds the new capabilities of automated biographic watch list result and biometric watch list status checks on arriving in-scope travelers in pedestrian primary. The Increment 2C POC capabilities are broken down into seven processes:

- a-ID Issuance
- Pedestrian Entry
- Vehicle Entry
- a-ID Verification
- Pedestrian Exit
- Vehicle Exit
- Reporting

If the traveler has been previously been issued a Form I-94 or Form I-94W under the Increment 2B process, the biographic and biometric (if available) data will be verified and an a-ID will be issued to admissible travelers. This a-ID will contain a unique identifier (e.g., number) that is associated with the traveler's biographic (including 'class of admission' and 'admit until date') and biometric (unless exempt) data and will be read automatically, passively and remotely at land border POEs and recorded as an entry or exit event. The first time a traveler crosses at a land border POE under the Increment 2C POC, the traveler will be referred to secondary. Biographic and biometric (unless exempt) information will be collected, and biographic and biometric watch list checks will be performed in pedestrian primary under the current Increment 2B process. An a-ID will then be issued to travelers who are admissible.

Within 2-5 seconds of a successful a-ID read at pedestrian entry, the following information associated with the a-ID will be presented to the CBP Primary Officer for review: traveler name, photograph, biographic watch list results, class of admission, admit until date, biometric watch list status (if available) and a-ID status (e.g., lost/stolen).

When an a-ID is read at vehicle entry and vehicle and pedestrian exit, the entry/exit event will be recorded.

10.1 Proposed Process at Land Border POEs

The following sections provide an overview of the proposed a-ID issuance, entry, a-ID verification and exit processes at land border POEs.

10.1.1 a-ID Issuance

The first time a traveler enters at a land border POE under the Increment 2C POC, the traveler will be referred to secondary. In secondary the CBP Officer will capture the traveler's biographic and biometric (unless exempt) information and print the Form I-94 (or issue a Form I-94W) departure record under the Increment 2B process. In addition the traveler will be issued a unique a-ID associated to the traveler's biographic and biometric data.

If the traveler has previously been issued a Form I-94 or Form I-94W departure record under the Increment 2B process, the biographic and biometric (if available) data will be verified and an a-ID will be issued to the traveler, if admissible.

If the traveler has previously been issued an a-ID and it is not in the traveler's possession, the CBP Officer must conduct an interview to determine the current status of the a-ID. If the a-ID was reported as lost/stolen the CBP Officer will update the status of the a-ID accordingly thereby inactivating the a-ID. A new unique a-ID will then be issued. If the a-ID is neither lost nor stolen, the traveler will have the option of retrieving it or having it inactivated and receiving a new one. Only one active a-ID may be issued to a traveler at any given time. The CBP Officer may determine that reissuance of an a-ID is not appropriate based on an interview with the traveler or other information uncovered or researched.

After issuing an a-ID to the traveler, the CBP Officer will conduct an a-ID scan to verify that a read can be made and that the biographic and biometric information associated with the a-ID is correct. Once the required information is verified as accurate, the a-ID is activated and a confirmed arrival record for that traveler is recorded. Regardless of whether or not the traveler physically enters the U.S. after being issued an a-ID, the system will record the traveler's a-ID as an 'unconfirmed' entry record in the system. In the event that the CBP Officer cannot obtain a successful read from the a-ID, the a-ID will be destroyed. A new a-ID will then be issued.

Figure 10-1 provides an illustration of the Increment 2C POC a-ID issuance process.

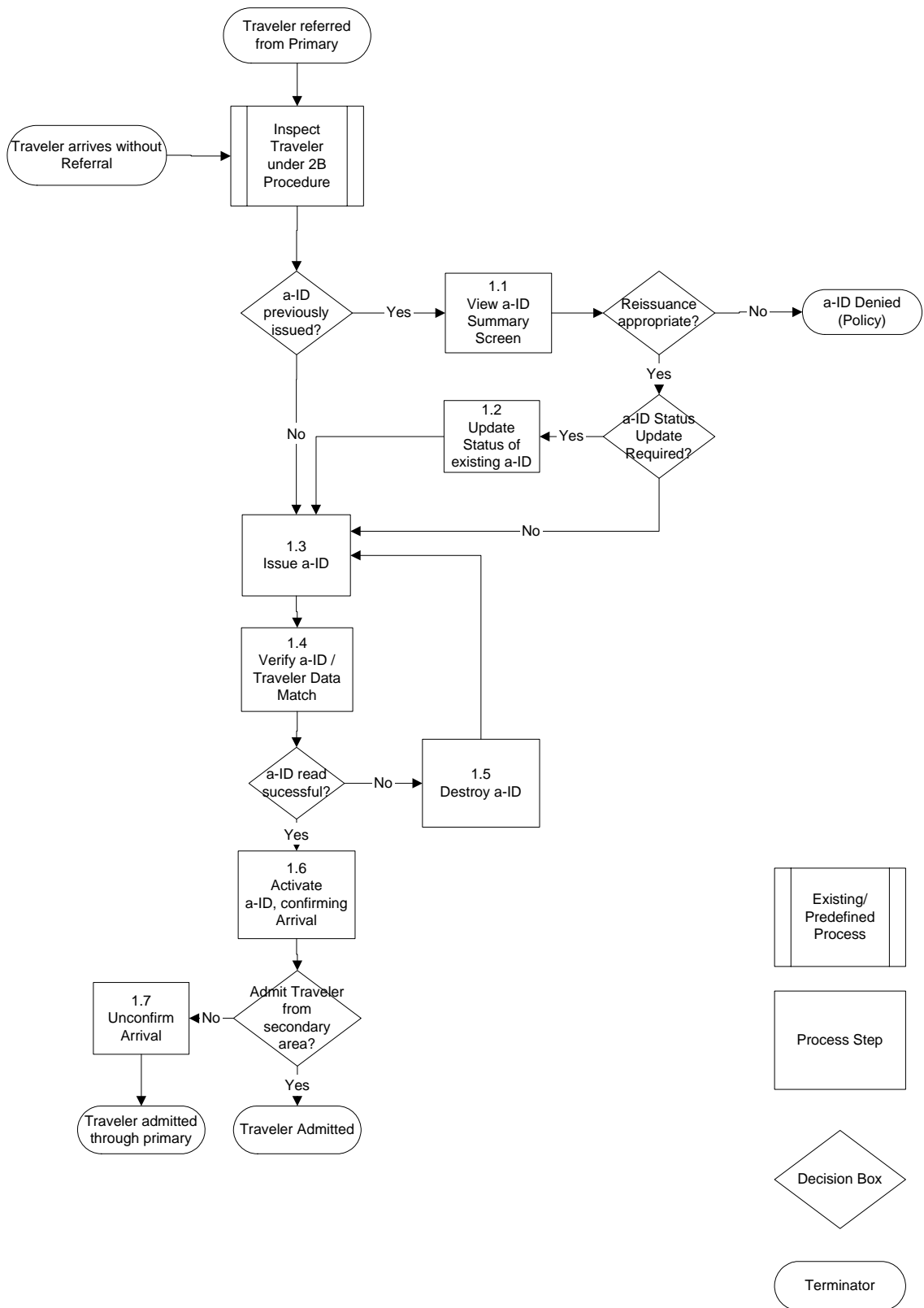


Figure 10-1. a-ID Issuance

10.1.2 Entry

The Increment 2C POC will provide the capability to automatically record the entry of an a-ID associated with a traveler's information at vehicle and pedestrian entry. The following describes the Increment 2C POC entry process for travelers in possession of an a-ID.

10.1.2.1 Vehicle Entry

At vehicle primary entry, a-IDs will be read automatically, passively and remotely as a vehicle approaches primary inspection. Successful a-ID reads are recorded as a reported arrival (identity of traveler is not confirmed).

Figure 10-2 provides an illustration of the Increment 2C POC vehicle entry process.

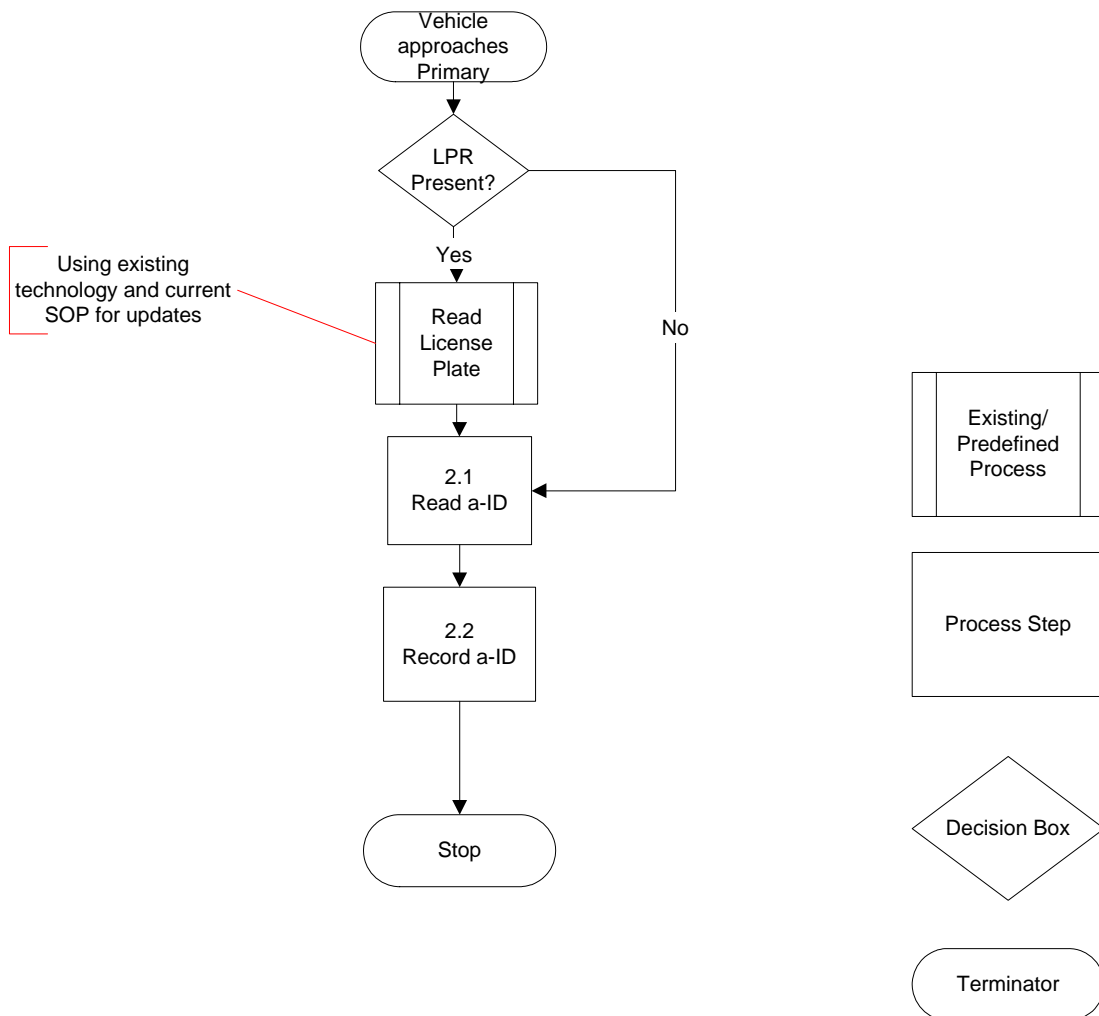


Figure 10-2. Vehicle Entry Process

10.1.2.2 Pedestrian Entry

At pedestrian primary entry, an a-ID will automatically be read as a traveler approaches primary inspection. Upon initial a-ID read, the data associated with the a-ID is retrieved and a biographic watch list check and biometric watch list status is performed. The results of the biographic watch list check and the data associated with the a-ID are pre-positioned on a Pending Traveler List. Traveler information associated with the a-ID will then be recorded as a ‘reported’ entry, since the entry has not been confirmed or unconfirmed.

The CBP Officer will conduct a second a-ID scan when the traveler applies for admission at the pedestrian primary lane. Upon the second read, the pre-positioned data stored on the Pending Traveler List will be displayed to the CBP Officer. In the event the traveler’s data is not pre-positioned on the Pending Traveler List, the system will retrieve the data associated with the a-ID and conduct the biographic watch list check at this time. In either event, the following data associated with the a-ID will be displayed to the CBP Officer: traveler’s name, photograph, biographic watch list results, biometric watch list status (status shows results of a check against the biometric watch list conducted periodically – not real time), and a-ID status. At this point an entry status of ‘confirmed’ is automatically recorded for the traveler record associated with the a-ID.

If a traveler is not associated with the a-ID, the CBP Officer reviews the data presented and determines whether the traveler is referred to secondary.

If the traveler is not in possession of an a-ID or is in possession of a malfunctioning a-ID the traveler is referred to secondary inspection for reissuance.

Primary queries should allow CBP Officers the ability to process travelers quickly and efficiently. If the CBP Officer requires more information on the traveler than is initially presented, the CBP Officer can easily navigate to the “Details” screen to view additional traveler data such as traveler’s name, date of birth, Form I-94 status, US-VISIT status, crossing history, citizenship, etc.

Pedestrian primary lanes will be configured in a manner to accommodate all travelers. Travelers will not be required to enter or exit through designated lanes.

Figure 10-3 provides an illustration of the Increment 2C POC pedestrian entry process.

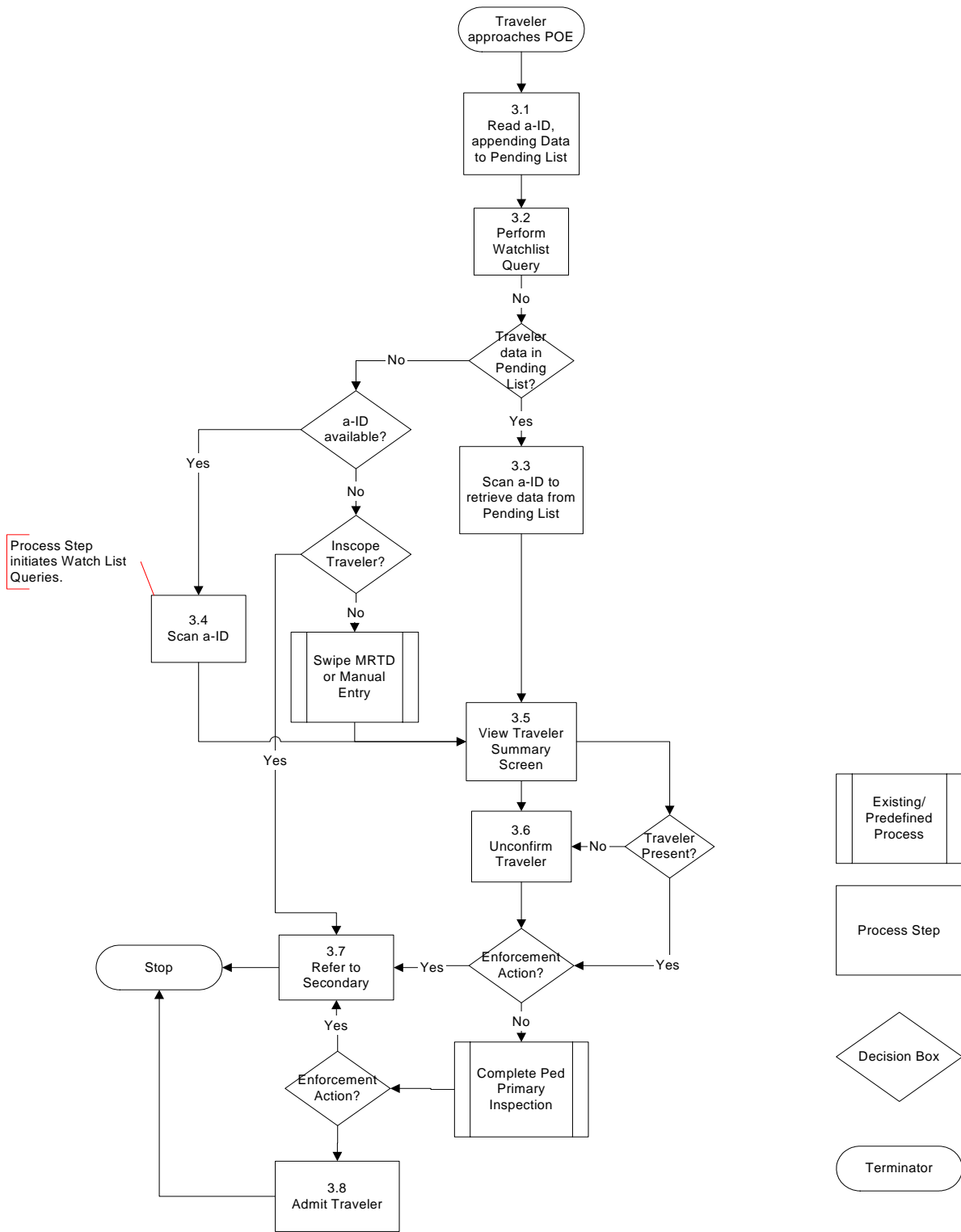


Figure 10-3: Pedestrian Entry Process

10.1.3 a-ID Verification

The CBP Officer will, on occasion, refer travelers to secondary to verify the accuracy of the traveler's biographic and biometric data. Referrals will be either automatically generated as part of the compliance measurement initiative or manually initiated by a CBP Officer at his/her discretion. A traveler who needs to update biographic data will also be referred to secondary for verification prior to associating new data to the a-ID.

In secondary, the CBP Officer scans the traveler's a-ID and the system retrieves the data associated with the a-ID and conducts a biographic watch list check. The CBP Officer reviews the information associated with the a-ID, travel documents presented, and conducts an interview with the traveler to determine if the a-ID is associated with the traveler.

If the CBP Officer determines the traveler is attempting to use an a-ID that is not associated with the traveler's biographic and biometric data, the a-ID will be seized and inactivated. The traveler will then be referred for enforcement/adverse action as appropriate.

During verification, the CBP Officer will have the capability to confirm or unconfirm a traveler's entry as warranted.

Figure 10-4 provides an illustration of the Increment 2C POC verification process.

Figure 10-4: a-ID Verification Process

10.1.4 Exit Operations

Increment 2C POC introduces the initial exit capability for the land border POEs. This is the first time land border POEs will have the capability to record traveler data associated with an a-ID as an exit event. This will provide the foundation for a future, more robust exit capability.

10.1.4.1 Vehicle Exit

When an a-ID is read within a vehicle departing the U.S. at an Increment 2C POC land border POE, the a-ID and its associated traveler's biographic and biometric data will be automatically recorded as a reported exit event.

Figure 10-5 provides an illustration of the Increment 2C POC vehicle exit process.

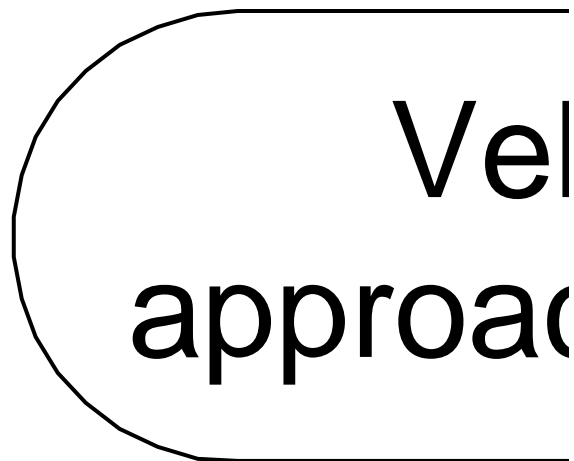


Figure 10-5: Vehicle Exit Process

10.1.4.2 Pedestrian Exit

When a pedestrian in possession of an a-ID departs the U.S. at an Increment 2C POC land border POE, the a-ID will be automatically read and recorded and associated traveler biographic and biometric data will be reported as an exit event.

Figure 10-6 provides an illustration of the Increment 2C POC pedestrian exit process.

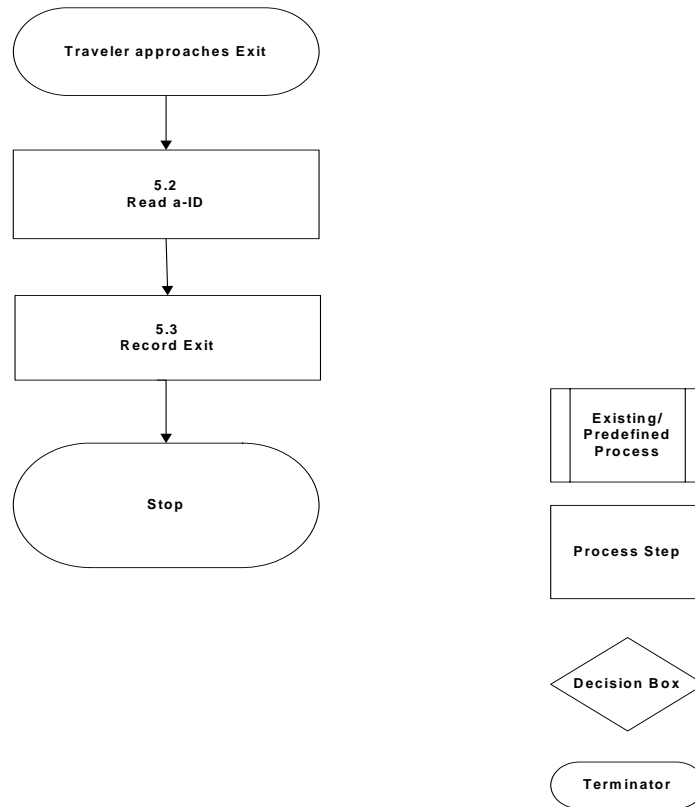


Figure 10-6: Pedestrian Exit Process

10.2 Reporting

The Increment 2C POC will provide the capability to generate management and analytical reports at both the local and national level. These reports will identify the number of a-IDs reads within a specified time period, match arrival and departure reads, provide the number of watch list hits and verified watch list hits associated with an a-ID, identify a-ID issuance history associated with travelers, and provide a-ID status reports.

11.0 Summary of Potential Impacts

The following section discusses the potential Increment 2C POC impacts to the following areas:

- Traveler
- Operational
- Organizational
- Facilities
- System Development and Deployment Impacts

The Environmental impacts will be documented under NEPA.

11.1 Potential In-Scope Traveler Impacts

Traveler impacts may include (but are not limited to):

- Travelers will initially be required to proceed to secondary for the issuance of an a-ID. This issuance process should result in a minimal increase in processing time, as it will be integrated with the Increment 2B Form I-94 issuance process.
- Travelers that are not in possession of their issued a-ID at pedestrian entry will be referred to secondary to undergo the a-ID issuance process and will experience a minimal delay while a determination is made on the status of their a-ID (e.g. lost/stolen).
- Travelers in possession of an a-ID that has not been issued to them may experience a delay at pedestrian entry while the CBP Officer attempts to determine the reason the traveler is in possession of another a-ID.
- The Increment 2C POC should have no impact on traveler entry and exit in a vehicle.
- The Increment 2C POC may raise concerns among travelers that their movements may be tracked. However, a concerted outreach and traveler education program should help minimize these concerns.

11.2 Potential Operational Impacts

At a high level, Increment 2C POC will have impacts on several aspects of traveler processing at land border POEs. The following processes have been specifically identified as being impacted:

Secondary Inspection:

- a-ID Issuance: The a-ID Issuance process requires additional processing steps in Passport Control.
- a-ID Verification: The a-ID Verification process requires additional processing steps in Passport Control.

Pedestrian Entry (Primary Inspection):

- CBP Officers will be required to scan a-IDs to retrieve traveler information. However, the automated retrieval of this data to the CBP Officer will assist in determining whether the traveler should be referred to secondary.

Vehicle Entry (Primary Inspection):

- Current vehicle entry processes will not be impacted.

Vehicle and Pedestrian Exit:

- Current vehicle and pedestrian exit processes will not be impacted.
- Traveler active participation is required on exit.

11.3 Potential Organizational Impacts

The Increment 2C POC implementation will have many potential organizational impacts. These include, but are not limited to:

- The deployment of new technologies (e.g., a-ID, a-ID readers) and display of information during pedestrian primary entry processing will require the development of CBP Officer training materials.
- The issuance of a-IDs to traveler's will require the development of Standard Operating Procedures (SOPs) regarding a-ID issuance, verification, and pedestrian primary processing.
- The recording of land border crossing data in the form of biographic and biometric data associated with a-IDs will require education and training on the Increment 2C POC to other CBP personnel (such as staff assigned to the National Targeting Center) as well as personnel from other agencies such as Immigration and Customs Enforcement (ICE).
- Responsibilities regarding the operations and management of new technologies and systems (e.g., maintenance, help desk support, etc.) will have to be clearly delineated.

In addition to the internal organization impacts, education and training will need to be provided to external organizations such as the Department of State, the Department of Transportation, the Social Security Administration, and border community stakeholders prior to implementation of the full Increment 2C operating capability. Many non-immigrant visa classifications authorize travelers to work in the U.S. In order to do so, Form I-94 serves as evidence of the terms and conditions of entry and is provided to the Social Security Administration to obtain a social security number.

11.4 Potential Facilities Impacts

Deployment of the Increment 2C POC will require facility modifications to accommodate the a-ID read technology. The Increment 2C POC system will require the deployment of a new workstation client to pedestrian primary entry. Limited workspace and potential power limitations must be taken into consideration. Prior to deployment, appropriate site surveys and NEPA analyses will be prepared to evaluate required infrastructure modifications and the potential impacts to the natural, physical, and human environments as a result of the Increment 2C POC.

11.5 Potential System Development and Deployment Impacts

The Increment 2C POC capitalizes on the success of the Increment 2B deployment by using the existing application architecture to build new capabilities intended to improve information availability to CBP Officers. In addition, the record of an entry and exit event with associated checks should allow a more efficient primary inspection.

System Development and Deployment Impacts will be detailed in the Technical Architecture, Application Architecture, and Functional Requirements documents.

12.0 Traveler Privacy

A Privacy Impact Assessment will be conducted as Increment 2C POC is developed and will:

- Identify appropriate measures for mitigating identified risks;
- Discuss the rationale for the final design and business processes;
- Discuss the alternatives to the designed information collection and handling;
- Ensure that privacy issues are discussed in systems development documentation.

13.0 Analysis of the Proposed Concept

This section discusses the benefits, limitations, and risks associated with the Increment 2C POC.

13.1 Summary of POC Benefits

Potential advantages and benefits of deploying Increment 2C POC include:

- Recording the a-ID as an entry or exit event will be used as a means to provide a more complete picture of border crossing activity and provide the foundation to develop more robust means of recording non-immigrant arrival and departure data.
- Providing an additional enforcement tool to the CBP Officer that includes an automated watch list check upon a-ID read at pedestrian primary.
- Providing initial results on the performance of a-ID read accuracy.
- Identifying key areas to be enhanced or expanded upon completion of the Increment 2C POC.

13.2 Summary of POC Limitations

Potential limitations of deploying the Increment 2C POC include:

- The Increment 2C POC process does not confirm the exit of travelers, only that an a-ID associated with a traveler was read as an exit event.
- The Increment 2C POC process does not confirm the entry of travelers upon vehicle entry, only that an a-ID associated with a traveler was read as an entry event.
- No traveler information will be displayed to the CBP Officer at vehicle entry or exit.
- No traveler information will be displayed to the CBP Officer at pedestrian exit.

13.3 Risks

Increment 2C POC risks and associated mitigation strategies include, but are not limited to:

- There is a potential for increased referrals to secondary based on automated watch list checks conducted on travelers at pedestrian entry. During the Increment 2C POC, the accuracy of the watch list matches and impact on secondary must be closely calibrated and monitored.
- The retrieval, presentation, and analysis of additional data at pedestrian entry may delay the process and increase traveler wait times. During the Increment 2C POC, closely review pedestrian entry operations to determine if additional CBP Officer training or system modifications are needed.
- A perception that Increment 2C POC ‘tracks’ the movement of individuals may result in strong resistance from border communities to accept new processes and may slow implementation. An outreach program must educate and raise public awareness on the Increment 2C POC current and future benefits.
- Potential for increased CBP Officer reliance upon technology negatively impacting the quality of the inspection process. Design, develop, and implement a comprehensive training program for all CBP Officers.
- There is a potential that the technology deployed to conduct a-ID reads does not perform well under certain conditions (e.g., vehicle exits at high speed). Information obtained from the RF Feasibility Study and analysis of Simulated POE tests should help identify ways to mitigate this risk.

Attachment A: Acronyms and Abbreviations

| Table of Acronyms and Abbreviations | |
|--|--|
| Acronym | Definition |
| a-ID | Automatic Identification |
| ATS/L | Automated Targeting System/Land |
| BCC | Border Crossing Card |
| BVS | Biometric Verification System |
| CBP | Customs and Border Protection |
| CONOPS | Concept of Operations |
| DHS | Department of Homeland Security |
| DMIA | Data Management Improvement Act of 2000 |
| DOS | Department of State |
| FAST | Free and Secure Trade |
| GES | Global Enrollment System |
| IDENT | Automated Biometric Identification System |
| LPR | License Plate Reader |
| NEPA | National Environmental Policy Act |
| NEXUS | Canadian Border Trusted Traveler Program |
| POE | Port of Entry |
| SBA | Smart Border Alliance |
| SENTRI | Secure Electronic Network For Travelers Rapid Inspection |
| TECS | Treasury Enforcement Communication System |
| US-VISIT | United States Traveler and Immigrant Status Indicator Technology |

Attachment B: Glossary

The terms and definitions contained in this Glossary are preliminary and are in the process of being reviewed by US-VISIT Outreach. The Glossary will be updated and refined once all feedback has been received.

| Increment 2C Glossary of Terms | |
|---------------------------------------|---|
| Term | Definition |
| A | |
| ADIS | Arrival / Departure Information System. The system that serves as a central repository for storing, reconciling, and reporting on immigrant and non-immigrant traveler arrivals and departures across air, sea and land ports of entry. ADIS matches arrivals with departures to identify illegal overstays and provides a wide range of ad-hoc queries and reporting capabilities for arrival and departure information. |
| a-ID | Automatic Identification. An identification tag that stores a unique serial. This number can be linked to a traveler profile, including biometric and biographic data. |
| a-ID Issuance | The process of assigning a unique, automatic identification (a-ID) to in-scope travelers at Secondary Inspection. |
| ATS/L | Automated Targeting System/Land. The system that automatically cross-references TECS crossing data and other information to provide a weighted rules-based score for a vehicle to the Primary Officer. This score determines whether the vehicle needs to be referred to Secondary. |
| B | |
| Blast | An alarm consisting of audible and visual components to alert CBP Officer workstations. |
| BCC | Border Crossing Card: I-186 (oldest form) and (I-586 (old form). Laser Visa (Form DPS-150) has replaced the BCC. A travel document Mexican citizens to travel within the “border zone” (defined as 25 miles from the border in Texas, California, or New Mexico and 75 miles of the border in some parts of Arizona), and planning to stay for up to 30 days. |
| Biographics | In the context of US-VISIT: biographical information of a traveler, such as name and date of birth. |
| Biometrics | Are automated methods of recognizing a person based on a physiological or behavioral characteristic that are unique to an individual. Physical biometrics includes fingerprints, hand geometry, facial patterns, and iris and retinal scans. Behavioral biometrics includes voice patterns, written signatures, and keyboard typing techniques. |
| C | |
| CBP | U.S. Customs and Border Protection. The unified border agency within the Department of Homeland Security (DHS). CBP combined the inspectional workforces and broad border authorities of U.S. Customs, U.S. Immigration, Animal and Plant Health Inspection Service and the U.S. Border Patrol. Source: DHS website. |

| Increment 2C Glossary of Terms | |
|---------------------------------------|--|
| Term | Definition |
| D | |
| DHS | Department of Homeland Security. In January of 2003, the United States government established the Department of Homeland Security to focus America’s efforts to thwart those who seek to do us harm. Department has an overriding and urgent mission: secure the American homeland and protect the American people. |
| E | |
| Enforcement Action | Resulting action of a violation. |
| F | |
| FAST | Free and Secure Trade. The program that provides dedicated commercial lanes for expedited processing to qualifying commercial participants. Sensory system for FAST is based on RFID technology. |
| FIN | Fingerprint Identification Number. A unique number assigned to a set of fingerscans in IDENT. |
| G | |
| GES | Global Enrollment System. The system that collects biographic and biometric data about applicants (US and non-US citizens) for pay-for-use trusted traveler programs, including NEXUS and SENTRI. Collected biographic and biometric information is used to run criminal background and terrorist lookout checks on applicants. |
| I | |
| I-94/I-94W | Unless otherwise exempted, each arriving nonimmigrant that is admitted to the U.S. shall be issued a Form I-94 as evidence of the terms of admission. Eligible applicants seeking admission under the Visa Waiver Program (VWP) are issued a Form I-94W. |
| ICE | Immigration and Customs Enforcement. The investigative bureau of DHS. ICE consolidated the investigative and intelligence resources of the United States Customs Service, the Immigration and Naturalization Service, the Federal Protective Service and the Federal Air Marshals Service. |
| IDENT | Automated Biometric Identification System. The IDENT system is a biometric (two index-finger fingerprints and front facial photograph) identity management system utilized by US-VISIT and ENFORCE to support biometric identity authentication and biometric lookout list identification of eligible aliens. |
| Identity Management | The unification of an individual’s biographic, biometric and credentialing information to provides “one identity,” across all DHS business processes. |
| In-Scope Traveler | The following traveler population is identified to be in scope for Increment 2B and 2C and is subject to US-VISIT processes at designated land POEs: Applicants for admission with a non-immigrant visa, Applicants for admission under the Visa Waiver Program (VWP), and Mexican citizens applying for admission using a Border Crossing Card (Laser Visa) traveling beyond the “border zone” or planning to stay longer than 30 days. |

| Increment 2C Glossary of Terms | |
|---------------------------------------|---|
| Term | Definition |
| L | |
| Laser Visa | See BCC definition. |
| Land Border Port of Entry | Facility at a land border that provides for the controlled entry into or departure from the United States for persons and materials arriving as commercial, non-commercial, pedestrian, or rail traffic. |
| LPR | License Plate Reader. The system that reads license plates in the proximity of the POE where the system is deployed. The LPR read is sent to, recorded and queried in TECS. |
| M | |
| MRTD | Machine Readable Travel Document – a travel document that contains encoded, machine readable traveler information, such as biographic and biometric data. |
| N | |
| NCIC | National Crime Information Center - one of the sources of watch list information for TECS |
| NEPA | The National Environmental Policy Act of 1969. NEPA requires federal agencies to integrate environmental considerations into their decision-making processes by considering the environmental impacts of their proposed actions and reasonable alternatives to those actions. |
| NEXUS | Canadian Border Dedicated Commuter Lane. The project of the Canada-United States Shared Border Accord, designed to facilitate pre-enrolled, low risk, vehicular traffic across the Canadian and United States border. |
| NIV | Non-Immigrant Visa. A permission to apply to enter the United States for a limited period of time. |
| NSEERS | The National Security Entry-Exit Registration System (NSEERS) is a program developed by the Department of Justice and implemented in NSEERS, also known as "special registration," established a national registry for travelers coming from 25 designated countries and others who met a combination of intelligence-based criteria that identified them as a potential security risk. |
| P | |
| Pedestrian Entry | A Primary inspection lane dedicated to pedestrians at certain land POEs |
| Pedestrian Exit | An exit lane dedicated to pedestrians at certain land POEs. |
| Pedestrian Primary | The turnstile and counter area where the initial inspection of pedestrians is performed. |
| POE | Port of Entry. The facility that provides for the controlled entry into or departure from the United States for persons and materials |
| Port Runner | An individual that failed to complete inspection and departed the POE. |
| Primary | The initial inspection area at a POE, either of noncommercial (vehicular primary), pedestrians, or bus traffic. |
| R | |
| RFID | Radio Frequency Identification. A method of identifying unique items using radio waves. Typically, a reader communicates with a tag, which holds digital information in a microchip. |

| Increment 2C Glossary of Terms | |
|---------------------------------------|---|
| Term | Definition |
| RFID Reader | The device that communicates with the RFID tag via radio waves and (Interrogator) passes the information in digital form to a computer system. |
| RFID Tag | A microchip attached to an antenna that is packaged in a way that it can be applied to an object. The tag picks up signals from and sends signals to a reader. The tag contains information ranging from serial numbers to more complex data such as detailed parts information. |
| S | |
| SBA | Smart Border Alliance. Accenture LLP serves as the Prime Contractor for US-VISIT to help strengthen security at America’s borders and modernize the border management process. Source: DHS News Release June 1, 2004. |
| Secondary | Area where detailed inspections are performed (Passport Control and Baggage Control). |
| SENTRI | Secure Electronic Network for Travelers Rapid Inspection. The system that provides an electronic, dedicated commuter lane that expedites the flow of low-risk, frequent border crossers across the southern border. Sensory system is based on RFID technology. |
| T | |
| TECS | Treasury Enforcement Communication System. The system supporting key business processes across DHS including investigations, enforcement and US-VISIT. TECS maintains databases on biographic terrorist lookout lists, vehicle lookout lists, alien addresses, Secondary inspection results and alien crossing histories. |
| U | |
| US-ARRIVAL | The system being deployed as part of Increment 2B. The system provides an integrated process for issuing the I-94/I-94W and collecting US-VISIT biometric data for in-scope visitors. |
| US-VISIT | United States Visitor and Immigrant Status Indicator Technology. US-VISIT is a top priority for the U.S. Department of Homeland Security because it enhances security for our citizens and visitors while facilitating legitimate travel and trade across our borders. US-VISIT helps to secure our borders, facilitates the entry and exit process, and enhances the integrity of our immigration system while respecting the privacy of our visitors. US-VISIT is part of a continuum of security measures that begins overseas and continues through a visitor’s arrival and departure from the United States. It incorporates eligibility determinations made by both the Departments of Homeland Security and State. |
| V | |
| Vehicle Entry | An entry lane dedicated to non-commercial vehicles at land POEs. |
| Vehicle Exit | An exit lane dedicated to non-commercial vehicles at land POEs. |
| Vehicle Primary | Booth where the initial inspection of non-commercial vehicle traffic entering the US is performed. |
| Verification | The process defined in Increment 2C Business Requirements. The Primary Officer will on occasion refer visitors to Secondary to verify that their unique a-ID information is accurate. These referrals will be either automatically generated |

| Increment 2C Glossary of Terms | |
|---------------------------------------|--|
| Term | Definition |
| | as part of a compliance measurement initiative or Officer generated. A visitor who needs to update biometric or biographic data will also be referred to Secondary for verification prior to associating new data to their a-ID. |
| VWP | The Visa Waiver Program permits nationals from designated countries (listed in 8CFR 217.2(a)) to apply for admission to the U.S. for ninety days or less as non-immigrant visitors for business or pleasure without first obtaining a U.S. non-immigrant visa. |
| W | |
| Watch list | In the context of Increment 2C: data queried from a biographic database (TECS) and/or biometric database (IDENT). |

Attachment C: Legislative Mandates

| Requirement | Source |
|---|--|
| By October, 26, 2004, all POEs must have equipment and software installed to allow biometric comparison and authentication of U.S. visas and other travel and entry documents issued to aliens and also machine readable, biometric passports required to be issued to their nationals by VWP countries. | EBSVRA, §303(b)(2)(A-B) |
| The systems employed must use the technology standard established in the PATRIOT Act, § 403(c)(as amended) | EBSVRA, § 303(b)(3) |
| Must make interoperable all security databases relevant to determinations of admissibility under INA, § 212. | EBSVRA, § 302(a)(3) |
| Not later than December 31, 2004, DHS shall implement the integrated entry and exit data system using available alien arrival and departure data pertaining to aliens arriving in, or departing from, the United States at the 50 land border ports of entry determined by DHS to serve the highest numbers of arriving and departing aliens. Such implementation shall include ensuring that such data, when collected or created by an immigration officer at such a port of entry, are entered into the system and can be accessed by immigration officers at airports, seaports, and other such land border ports of entry. | DMIA, § 2(a) |
| Entry/Exit system must have database containing alien arrival/departure data from machine-readable visas, passports, and other travel and entry documents. | EBSVRA, § 302(a)(2) |
| Entry/Exit system uses “available data” to match an alien’s arrival and departure. | DMIA, § 2(a) |
| Entry/Exit System integrates all authorized or required alien arrival/departure data that are in electronic format in DOJ and DOS databases. (Note: Provision is focused on integration of existing arr/dep data) | DMIA, § 2(a)(codified, as amended, at 8 U.S.C. § 1365a |
| Entry/Exit system assists the Attorney General and the Secretary of State to identify lawfully admitted non-immigrants who have overstayed periods of admission. | DMIA, § 2(a) |
| Cannot impose new documentary or data collection requirements on any alien for purposes of implementing DMIA, including imposing document or data collection requirements on aliens who have received document waivers under INA, § 212(d)(4)(B) or any requirements inconsistent with North America Free Trade Act (NAFTA). Section 604 of the EBSVRA also states that nothing in that Act shall be construed to impose requirements inconsistent with NAFTA or to require additional documents for aliens possessing such documentary waivers. | DMIA, § 2(a)(codified, as amended, at 8 U.S.C. § 1365a |
| The Entry/Exit system shall utilize technologies that facilitate lawful and efficient cross-border movement of commerce and persons without compromising safety and security of the U.S.; and shall consider | EBSVRA, § 302(b) |

| Requirement | Source |
|--|------------------------|
| implementing the North American National Security Program described in § 401 of EBSVRA. | |
| Entry/Exit System must be able to interface with law enforcement databases for use by federal law enforcement to identify and detain individuals who are threats to U.S. national security. | PATRIOT Act, § 414(c) |
| Entry/Exit system will need to be integrated into a broader Immigration and Naturalization Data System that fully integrates all INS databases and data systems that process or contain alien information. | See EBSVRA, § 202(a) |
| Documentary requirements for non-immigrants. A valid unexpired visa and an unexpired passport, valid for the period set forth in section 212(a)(7) of the Act, shall be presented by each arriving nonimmigrant alien except that the passport validity period for an applicant for admission who is a member of a class described in section 102 of the Act is not required to extend beyond the date of his application for admission if so admitted, and except as otherwise provided in the Act, this chapter, and for the following classes: (a) Citizens of Canada or Bermuda, Bahamian nationals or British subjects resident in certain islands. (Paragraph (a) revised effective 3/17/03; | 8 CFR Part 212.1 |
| (1) A visa and a passport are not required of a Mexican national who: (i) Is in possession of a Form DSP-150, B-1/B-2 Visa and Border Crossing Card, containing a machine-readable biometric identifier, issued by the DOS and is applying for admission as a temporary traveler for business or pleasure from contiguous territory. (ii) Is a Mexican national entering solely for the purpose of applying for a Mexican passport or other official Mexican document at a Mexican consular office on the United States side of the border. (2) A visa shall not be required of a Mexican national who: (i) Is in possession of a Form DSP-150, with a biometric identifier, issued by the DOS, and a passport, and is applying for admission as a temporary traveler for business or pleasure from other than contiguous territory; (ii) Is a crew member employed on an aircraft belonging to a Mexican company owned carrier authorized to engage in commercial transportation into the United States; or (iii) Bears a Mexican diplomatic or official passport and who is a military or civilian official of the Federal Government of Mexico entering the United States for 6 months or less for a purpose other than on assignment as a permanent employee to an office of the Mexican Federal Government in the United States, and the official's spouse or any of the official's dependent family members under 19 years of age, bearing diplomatic or official passports, who are in the actual company of such official at the time of admission into the United States. This provision does not apply to the spouse or any of the official's family members classifiable under section 101(a)(15)(F) or (M) of the Act. | 8 CFR Part 212.1.(c) 2 |

| Requirement | Source |
|--|------------------------|
| (3) A Mexican national who presents a BCC at a POE must present the DOS-issued DSP-150 containing a machine-readable biometric identifier. The alien will not be permitted to cross the border into the United States unless the biometric identifier contained on the card matches the appropriate biometric characteristic of the alien. | 8 CFR Part 212.1.(c) 3 |
| (4) Mexican nationals presenting a combination B-1/B-2 nonimmigrant visa and border crossing card (or similar stamp in a passport), issued by DOS prior to April 1, 1998, that does not contain a machine-readable biometric identifier, may be admitted on the basis of the nonimmigrant visa only, provided it has not expired and the alien remains admissible. A passport is also required. | 8 CFR Part 212.1.(c) 4 |
| (a) No alien shall depart, or attempt to depart, from the United States if his departure would be prejudicial to the interests of the United States under the provisions of Sec. 215.3. Any departure-control officer who knows or has reason to believe that the case of an alien in the United States comes within the provisions of Sec. 215.3 shall temporarily prevent the departure of such alien from the United States and shall serve him with a written temporary order directing him not to depart, or attempt to depart, from the United States until notified of the revocation of the order. | 8 CFR Part 215.2 |
| 2) Applicants arriving at land border ports-of-entry. Any Visa Waiver Pilot Program applicant arriving at a land border port-of-entry must provide evidence to the immigration officer of financial solvency and a domicile abroad to which the applicant intends to return. An applicant arriving at a land-border port-of-entry will be charged a fee as prescribed in § 103.7(b)(1) of this chapter for issuance of Form I-94W, Nonimmigrant Visa Waiver Arrival/Departure Form. A round-trip transportation ticket is not required of applicants at land border ports-of-entry. | 8 CFR Part 217.2 |
| (f) Form I-94, Arrival Departure Record. (1) Unless otherwise exempted, each arriving nonimmigrant who is admitted to the United States shall be issued, upon payment of a fee prescribed in §103.7(b)(1) of this chapter for land border admissions, a Form I-94 as evidence of the terms of admission. A Form I-94 issued at a land border port-of-entry shall be considered issued for multiple entries unless specifically annotated for a limited number of entries. A Form I-94 issued at other than a land border port-of-entry, unless issued for multiple entries, must be surrendered upon departure from the United States in accordance with the instructions on the form. Form I-94 is not required by: (i) Any nonimmigrant alien described in § 212.1(a) of this chapter and 22 CFR 41.33 who is admitted as a traveler for business or pleasure or admitted to proceed in direct transit through the United States; (ii) Any nonimmigrant alien residing in the British Virgin Islands who was admitted only to the U.S. Virgin Islands as a traveler for business | 8 CFR Part 235.1 (f) |

| Requirement | Source |
|--|---|
| <p>or pleasure under § 212.1(b) of this chapter;</p> <p>(iii) Except as provided in paragraph (f)(1)(v) of this section, any Mexican national who is exempt from a visa and passport pursuant to §212.1(c)(1) of this chapter, or who is in possession of a passport and valid visa who is admitted as a nonimmigrant traveler for a period not to exceed 72 hours to visit within 25 miles of the border; (Revised 12/8/99; 64 FR 68616)</p> <p>(iv) Bearers of Mexican diplomatic or official passports described in §212.1(c) of this chapter; or (Amended effective 10/1/02; 67 FR 71443)</p> <p>(Amended 12/8/99; 64 FR 68616)</p> <p>(v) Any Mexican national who is exempt from a visa and passport pursuant to § 212.1(c)(1) of this chapter, or is in possession of a passport and valid visa who is admitted as a nonimmigrant traveler at the Mexican border POEs in the State of Arizona at Sasabe, Nogales, Mariposa, Naco, or Douglas for a period not to exceed 72 hours to visit within the State of Arizona and within 75 miles of the border. (Added 12/8/99; 64 FR 68616)</p> | |
| <p>Uses “available data” to produce a report of arriving and departing aliens by nationality, classification as immigrant or nonimmigrant, and dates of arrival in and departure from the U.S.</p> | <p>DMIA, § 2(a)</p> |
| <p>Uses available data to produce detailed, annual report to Congress by December 31 each year containing the specific information on arriving and departing aliens requested in DMIA, § 2(a) and the information on VWP aliens and program countries requested in INA, § 217(h)(1)(C), including numbers of departing aliens with their nationalities; successful arrival/departure matches; classifications by immigrant or nonimmigrant, VWP and other non-immigrants for whom no departure data is available at end of these aliens’ authorized period of stay, among other specific information required for the report.</p> | <p>DMIA, § 2(a); INA, §217(h)(1)(C)(from VWPPA)</p> |

Attachment D: Primary Systems Used at the Land Border POEs for Processing Travelers

Treasury Enforcement Communication System (TECS)

TECS is a large mainframe system supporting key business processes across DHS including investigations, enforcement and US-VISIT. TECS maintains databases on biographic terrorist and other violator lookout lists, vehicle lookout lists, I-94 information (including destination address), Secondary inspection results and alien crossing histories. TECS maintains specific databases supporting US-VISIT inspections including a US-VISIT FIN repository (FIN ID's for enrolled US-VISIT travelers) and U.S. visa information from the DOS (including visa document information, biographic information on the traveler and the photograph). TECS interfaces with many systems, including IDENT

License Plate Reader (Perceptics)

License Plate Readers use a COTS program developed by Perceptics to read license plate information. The LPR is programmed to read license plates issued in the proximity of the POE where the system is deployed. The LPR read is sent to and recorded in TECS, from where it is accessed by the Officer during Primary inspections.

US-Arrival

The US-Arrival system is being deployed as part of Increment 2B. The system provides an integrated process for issuing the I-94/I-94W and the collecting US-VISIT biometric (photograph) data for eligible aliens.

Global Enrollment System (GES)

The GES system collects biographic and biometric (photograph) data about applicants (U.S. and non-U.S. citizens) for pay-for-use trusted traveler programs, including NEXUS, Secure Electronic Network for Travelers' Rapid Inspection (SENTRI), Remote Ports of Entry Project (RPEP), and Pre-enrolled Access Lane (PAL). Collected biographic and biometric (photograph) information is utilized to run criminal background and terrorist lookout checks on applicants.

Automated Biometric Identification System (IDENT)

The IDENT system is a biometric (two index-finger fingerprints and front facial photograph) identity management system utilized by US-VISIT and ENFORCE to support biometric identity authentication and biometric lookout list identification of eligible aliens.

Automated Targeting System-Land (ATS/Land)

The Automated Targeting System Land-Border (ATS/L) system will automatically cross-reference the TECS crossing data and other information to provide a weighted rules-based score for the vehicle to the Primary Officer to determine whether the vehicle traveler needs to be referred to Secondary. Initial deployment of the ATS/L system is scheduled to be completed at select ports by September 2004.

CBP Prime

A Microsoft Windows application that provides access to TECS.

Attachment E: Increment 2B Implementation at the Busiest 50 U.S. Land Border Ports of Entry (POEs) by December 31, 2004

| LAND BORDER POE | STATE | LAND BORDER POE | STATE |
|----------------------------|-------|---|-------|
| Douglas | AZ | Peace Bridge | NY |
| Port Huron - Blue Water | MI | Lewiston-Queenston Bridge | NY |
| Lincoln - Juarez Bridge | TX | Rainbow Bridge | NY |
| Convent Street | TX | Presidio | TX |
| Columbia Solidarity Bridge | TX | Ysleta | TX |
| World Trade Bridge | TX | Paso Del Norte (PDN) | TX |
| Nogales West (Mariposa) | AZ | Bridge of the Americas (BOTA) | TX |
| Nogales East | AZ | Thousand Island | NY |
| Calexico East | CA | Champlain | NY |
| Calexico West | CA | Massena | NY |
| Andrade | CA | Ferry Point | ME |
| San Luis | AZ | Sault Ste. Marie | MI |
| Lukeville | AZ | Pharr | TX |
| Tecate | CA | Brownsville and Matamoros | TX |
| Lynden | WA | Hidalgo | TX |
| Pacific Highway | WA | Brownsville - Gateway International | TX |
| Point Roberts | WA | Los Tomates - Veterans International Bridge | TX |
| Otay Mesa | CA | International Falls | MN |
| San Ysidro | CA | Eagle Pass I - Piedras Negras Bridge | TX |
| Sumas | WA | Eagle Pass II | TX |
| Peace Arch - Blaine | WA | Del Rio International Bridge | TX |
| Detroit Ambassador Bridge | MI | Rio Grande City | TX |
| Detroit - Windsor Tunnel | MI | Los Indios Free Trade Bridge | TX |
| Whirlpool Rapids | NY | Progreso | TX |
| Fabens | TX | Roma | TX |
| Santa Teresa | NM | Derby Line (I-91) | VT |

Attachment F: US-VISIT Increment 2C Proof of Concept Business Requirements**Issuance**

| Requirement ID | Issuance Requirement ID | Requirement | Priority | Process Step # | Note / Follow-Up Question |
|----------------|-------------------------|---|----------|----------------|---------------------------|
| | 1 | The System shall provide to the capability to retrieve and display the following data based upon an MRTD swipe or manual biographic (name/DOB) entry: <ul style="list-style-type: none"> • a-ID number for each a-ID issued • a-ID status (Lost/Stolen, Destroyed, etc.) for each a-ID issued | P | 1.1 | |
| | 2 | The System shall allow authorized persons to manually update the status of an a-ID as: <ul style="list-style-type: none"> • Lost/Stolen • Seized • Destroyed • Damaged • Active | P | 1.2 1.5 | |
| | 3 | The system shall capture and record the following upon update of an a-ID: <ul style="list-style-type: none"> •Port of Entry •Officer •Date •Time •a-ID # a-ID status | P | 1.2 | |
| | 4 | The system shall be capable of capturing a unique ID number for each a-ID assigned. | P | 1.3 | |

Issuance

| Issuance | | | | | |
|----------------|-------------------------|--|----------|----------------|---------------------------|
| Requirement ID | Issuance Requirement ID | Requirement | Priority | Process Step # | Note / Follow-Up Question |
| | 5 | Upon issuance, the system will associate the a-ID to the traveler's biographic and biometric information and current I-94 data. | P | 1.3 | |
| | 6 | Upon issuance the a-ID will automatically be designated with the status of "assigned" | P | 1.3 | |
| | 7 | The system shall capture and record the following upon the issuance of an a-ID: <ul style="list-style-type: none"> •Port of Entry •Officer •Date •Time •a-ID # a-ID status = assigned | P | 1.3 | |
| | 8 | The System shall provide to the capability to retrieve and display the following data based upon an a-ID scan: <ul style="list-style-type: none"> • Traveler's Photograph • First Name • Last Name • Date of Birth • Travel Document Number • Travel Document Type • a-ID status (Lost/Stolen, Destroyed, etc.) • a-ID number | P | 1.4 | |
| | 9 | The system shall provide the capability to manually activate an a-ID | | 1.6 | |

Issuance

| Issuance | | | | | |
|----------------|-------------------------|--|----------|----------------|---------------------------|
| Requirement ID | Issuance Requirement ID | Requirement | Priority | Process Step # | Note / Follow-Up Question |
| | 10 | The system shall capture and record the following upon activation of an a-ID: <ul style="list-style-type: none"> •Port of Entry •Officer •Date •Time •a-ID # •a-ID status = active | P | 1.6 | |
| | 11 | Upon initial activation, the system shall mark each traveler arrival as confirmed upon a-ID read. (traveler associated with a-ID is present) | P | 1.6 | |
| | 12 | The system shall provide the capability to manually unconfirm the arrival of each traveler | P | 1.7 | |

Vehicle Entry

| Vehicle Entry | | | | | |
|----------------------|------------------------|--|----------|----------------|---------------------------|
| Requirement ID | Vehicle Requirement ID | Requirement | Priority | Process Step # | Note / Follow-Up Question |
| | 1 | The System shall read the a-ID automatically, "passively," and remotely upon an a-ID approaching the vehicle entry lane. | P | 2.1 | |
| | 2 | Upon reading the a-ID the system shall automatically record the a-ID with an arrival status of reported. | P | 2.2 | |

Pedestrian Entry

| Pedestrian Entry | | | | | |
|-------------------------|---------------------------|--|----------|----------------|---------------------------|
| Requirement ID | Pedestrian Requirement ID | Requirement | Priority | Process Step # | Note / Follow-Up Question |
| | 1 | The System shall read the a-ID automatically, "passively," and remotely, upon an a-ID approaching the pedestrian lane. | P | 3.1 | |
| | 2 | The System shall record the a-ID status as "reported" upon initial a-ID read. | P | 3.1 | |
| | 3 | The System shall populate a pending traveler list with each a-ID recorded as "reported". | P | 3.1 | |
| | 4 | The System shall retrieve and pre-position biographic information associated with the a-ID upon automatic read. | P | 3.1 | |
| | 5 | The System shall retrieve and pre-position the US-VISIT biometric watchlist status of the traveler associated with the a-ID upon automatic read. | P | 3.1 | |
| | 6 | The System shall retrieve and pre-position biometric (Photo) data of the traveler associated to the a-ID upon automatic read. | P | 3.1 | |
| | 7 | Upon read of the a-ID, the System shall perform an exact match biographic watchlist query (Last Name, First Name, DOB). | P | 3.2, 3.3 | |

Pedestrian Entry

| Pedestrian Entry | | | | | |
|-------------------------|---------------------------|--|----------|----------------|---------------------------|
| Requirement ID | Pedestrian Requirement ID | Requirement | Priority | Process Step # | Note / Follow-Up Question |
| | 8 | <p>Upon a-ID scan at Pedestrian Primary the System shall retrieve and display the following prepositioned data from the pending traveler list:</p> <ul style="list-style-type: none"> • Traveler's Photograph • First Name • Last Name • Positive watch list hits • US-VISIT biometric watchlist status • Negative a-ID status (e.g. lost/stolen) | P | 3.3 3.5 | |
| | 9 | The System shall automatically confirm the traveler arrival when the a-ID is scanned at pedestrian primary. | P | 3.3 3.4 | |
| | 10 | <p>If no prepositioned traveler data exists in the pending traveler list, the system conduct all necessary queries upon a-ID scan at pedestrian primary and display the following data:</p> <ul style="list-style-type: none"> • Traveler's Photograph • First Name • Last Name • Positive watch list hits • US-VISIT biometric watchlist status • Negative a-ID status (e.g. lost/stolen) | P | 3.4 3.5 | |
| | 11 | The System shall provide the capability to unconfirm traveler arrival. | P | 3.6 | |

Pedestrian Entry

| Pedestrian Entry | | | | | |
|-------------------------|---------------------------|---|----------|----------------|---------------------------|
| Requirement ID | Pedestrian Requirement ID | Requirement | Priority | Process Step # | Note / Follow-Up Question |
| | 12 | The System shall provide the capability for an officer to manually refer a traveler to secondary. | P | 3.7 | |
| | 13 | Upon completion of inspection at primary, the System shall provide the capability for the officer to retrieve and display the information on the next traveler. | P | 3.7 3.8 | |

Verification

| Verification | | | | | |
|---------------------|-----------------------------|--|----------|----------------|---------------------------|
| Requirement ID | Verification Requirement ID | Requirement | Priority | Process Step # | Note / Follow-Up Question |
| | 1 | The System shall provide the ability to retrieve and display a traveler data based on an a-ID scan | P | 4.1 | |
| | 2 | The System shall perform an exact match biographic watchlist query (Last Name, First Name, DOB) based on an a-ID scan | P | 4.2 | |
| | 3 | The System must be capable of displaying the following traveler data upon a-ID scan: <ul style="list-style-type: none"> • Traveler's Photograph • First Name • Last Name • Date of Birth • Positive watch list hits • US-VISIT biometric watchlist status • a-ID status (Lost/Stolen, Destroyed, etc.) for each a-ID issued | P | 4.3 | |
| | 4 | The System shall allow authorized persons (role-based) to update the status of an a-ID to: <ul style="list-style-type: none"> • Lost/Stolen • Seized • Destroyed • Damaged • Active • Expired | P | 4.4 | |

Verification

| Verification | | | | | |
|---------------------|-----------------------------|---|----------|----------------|---------------------------|
| Requirement ID | Verification Requirement ID | Requirement | Priority | Process Step # | Note / Follow-Up Question |
| | 5 | The System shall allow authorized persons (role-based) to confirm/unconfirm arrival status of traveler. | P | 4.5 | |

Pedestrian Exit

| Pedestrian Exit | | | | | |
|-----------------|---------------------|--|----------|----------------|---------------------------|
| Requirement ID | Exit Requirement ID | Requirement | Priority | Process Step # | Note / Follow-Up Question |
| | 1 | To the extent possible, the a-ID reader shall be placed at optimum distance from the US border to allow enforcement response prior to traveler exit. | P | 5.1 | |
| | 2 | The System shall be capable of reading an a-ID automatically, "passively," and remotely as the a-ID approaches the exit lane | P | 5.1 | |
| | 3 | As an a-ID approaches an exit lane the system shall automatically record the a-ID with a departure status of reported. | P | 5.2 | |

Vehicle Exit

| Vehicle Exit | | | | | |
|---------------------|---------------------|--|----------|----------------|---------------------------|
| Requirement ID | Exit Requirement ID | Requirement | Priority | Process Step # | Note / Follow-Up Question |
| | 1 | To the extent possible, the a-ID reader shall be placed at optimum distance from the US border to allow enforcement response prior to traveler exit. | P | 5.1 | |
| | 2 | The System shall be capable of reading an a-ID automatically, "passively," and remotely as the a-ID approaches the exit lane | P | 5.1 | |
| | 3 | As an a-ID approaches an exit lane the system shall automatically record the a-ID with a departure status of reported. | P | 5.2 | |

System

| Requirement ID | System Requirement ID | Requirement | Priority | Process Step # | Note / Follow-Up Question |
|----------------|-----------------------|---|----------|----------------|---------------------------|
| | 1 | The System shall be implemented in conformance with National Environmental Policy Act (NEPA) requirements. | P | N/A | |
| | 2 | The System shall address Americans with Disabilities Act (ADA) requirements. | P | N/A | |
| | 3 | The System shall be Section 508 compliant. | P | N/A | |
| | 4 | The System shall comply with DHS security requirements, including: physical security, network, application, data, data encryption, and operating System security. | P | N/A | |
| | 5 | A DHS approved warning banner shall be displayed on the first screen prior to accessing the System. | P | N/A | |
| | 6 | The system shall provide role-based system access privileges in accordance with DHS policy | P | N/A | |
| | 7 | An audit trail capability shall be defined to track the actions of all users identified by logon ID | P | N/A | |
| | 8 | The system will associate the a-ID to the traveler's biographic and biometric information, current I-94 data. | P | N/A | |

System

| Requirement ID | System Requirement ID | Requirement | Priority | Process Step # | Note / Follow-Up Question |
|----------------|-----------------------|---|----------|----------------|---------------------------|
| | 9 | The system shall provide the capability to record the status of the a-ID as: <ul style="list-style-type: none"> • Lost/Stolen • Seized • Destroyed • Damaged • Active • Expired | P | N/A | |
| | 10 | The System shall maintain a historical record of all a-IDs issued to a traveler. | P | N/A | |
| | 11 | The System shall provide the ability to retrieve all a-IDs issued to a traveler. | P | N/A | |
| | 12 | The System shall be available 24 x 7. | P | N/A | |
| | 13 | The query response time upon a-ID read shall be 3-5 seconds. | P | N/A | |

Report

| Report | | | | | |
|----------------|---------------------|--|----------|----------------|---------------------------|
| Requirement ID | Exit Requirement ID | Requirement | Priority | Process Step # | Note / Follow-Up Question |
| | 1 | The system shall provide a daily report on the following criteria: For each Location: # A-IDs issued # A-IDs read by vehicle entry lanes # A-IDs read by pedestrian entry lanes # A-IDs read by vehicle exit lanes # A-IDs read by pedestrian exit lanes # Enforcement hits from A-ID reads # Adverse actions resulting from A-ID hit | P | N/A | |
| | 2 | The system shall provide an ad hoc report capability to generate a report by the following criteria: Begin Date End Date Location (If none is selected, a National report will be generated) Report output shall contain the following information: # A-IDs issued # A-IDs read by vehicle entry lanes # A-IDs read by pedestrian entry lanes # A-IDs read by vehicle exit lanes # A-IDs read by pedestrian exit lanes # Enforcement hits from A-ID reads # Adverse actions resulting from A-ID hit | P | N/A | |

Report

| Report | | | | | |
|----------------|---------------------|---|----------|----------------|---------------------------|
| Requirement ID | Exit Requirement ID | Requirement | Priority | Process Step # | Note / Follow-Up Question |
| | 3 | The system shall provide a monthly summary report at the national level on the following criteria: # A-IDs issued # A-IDs read by vehicle entry lanes # A-IDs read by pedestrian entry lanes # A-IDs read by vehicle exit lanes # A-IDs read by pedestrian exit lanes # Enforcement hits from A-ID reads # Adverse actions resulting from A-ID hit | P | N/A | |
| | 4 | The system shall provide an ad hoc capability to generate a detailed analysis report by location by the following criteria: Location (mandatory) Begin Date End Date Lane Report output shall contain the following information: A-ID Read Date/Time of A-ID crossing Lane of crossing Result of A-ID read (no hit, TECS, NCIC, IDENT) | P | N/A | |

Report

| Requirement ID | Exit Requirement ID | Requirement | Priority | Process Step # | Note / Follow-Up Question |
|----------------|---------------------|---|----------|----------------|---------------------------|
| | 5 | The system shall provide a monthly summary report at the Field Office level for all ports of entry within each field office on the following criteria: Field Office (Summary of all POEs within the field office) # A-IDs issued # A-IDs read by vehicle entry lanes # A-IDs read by pedestrian entry lanes # A-IDs read by vehicle exit lanes # A-IDs read by pedestrian exit lanes # Enforcement hits from A-ID reads # Adverse actions resulting from A-ID hit | P | N/A | |
| | 6 | The system shall provide a monthly summary report at the port of entry level on the following criteria: Port of Entry: Entry Location: # A-IDs issued # A-IDs read by vehicle entry lanes # A-IDs read by pedestrian entry lanes # A-IDs read by vehicle exit lanes # A-IDs read by pedestrian exit lanes # Enforcement hits from A-ID reads # Adverse actions resulting from A-ID hit | P | N/A | |