



US-VISIT Expenditure Plan

Fiscal Year 2010 Report to Congress

May 12, 2010



Homeland
Security

National Protection and Programs Directorate

Message from the Secretary

May 12, 2010

Attached for your review is the Fiscal Year (FY) 2010 Expenditure Plan for the U.S. Visitor and Immigrant Status Indicator Technology (US-VISIT) program.

In compliance with language set forth in the *FY 2010 Department of Homeland Security Appropriations Act* (P.L. 111-83), this report has been prepared by the Secretary in conjunction with US-VISIT and the National Protection and Programs Directorate.

Pursuant to congressional requirements, this report is being provided to the following Members of Congress:



- The Honorable David E. Price
Chairman, House Appropriations Subcommittee on Homeland Security
- The Honorable Harold Rogers
Ranking Member, House Appropriations Subcommittee on Homeland Security
- The Honorable Robert C. Byrd
Chairman, Senate Appropriations Subcommittee on Homeland Security
- The Honorable George V. Voinovich
Ranking Member, Senate Appropriations Subcommittee on Homeland Security

I would be pleased to respond to any inquiries that you may have. Please do not hesitate to contact me at (202) 282-8203 or the Department's Deputy Chief Financial Officer, Peggy Sherry, at (202) 447-5751.

Yours very truly,


Janet Napolitano

Executive Summary

The National Protection and Programs Directorate (NPPD) and the U.S. Visitor and Immigrant Status Indicator Technology program (US-VISIT) present the fiscal year (FY) 2010 planned use of appropriated FY 2010 funds and prior-year accomplishments. Costs are organized into current services and program investments. Costs associated with current services funds the operations and maintenance of mission critical systems, identity management, and screening services using skilled fingerprint examiners and analysts and ongoing program support. Program investment funds are utilized to implement new capabilities that improve the identity management and screening services US-VISIT provides to users. The program management section has been revised with the intent to clarify the nature and scope of program management budget line items and tie resources directly to mission accomplishments. Accomplishments and plans are presented in a tabular format to reduce narrative and facilitate performance tracking. Table 1 provides a breakdown of US-VISIT's FY 2010 summary of costs.

FY 2009 Accomplishment Highlights

US-VISIT continues to play an integral role in helping DHS stop dangerous people from entering the United States. Since its foundation in FY 2004, US-VISIT has helped stop more than 8,800 known or suspected terrorists (KSTs), criminals and immigration violators from entering the country on the basis of biometrics alone. During FY 2009, US-VISIT:

Progressed in establishing critical capabilities responsive to congressional and DHS direction

- US-VISIT's Unique Identity program laid the groundwork for achieving the long-desired interoperability with the Federal Bureau of Investigation (FBI) by deploying 10-print capture to 97 percent of travelers subject to US-VISIT and providing an initial Automated Biometric Identification System (IDENT) data response to positive matches identified by Integrated Automated Fingerprint Identification System (IAFIS) submissions to IDENT. US-VISIT provides near real-time hit notifications and automated updates to the DHS shared data component to increase value to users. IAFIS interoperability allows US-VISIT to promote individuals with criminal histories, who may be inadmissible for a subsequent encounter with DHS, to the IDENT watchlist.
- Two air exit pilots were conducted, as directed by Congress in the *2009 Appropriations Act*, and a formal evaluation has been delivered to Congress. A land exit planning report was developed and currently under review within DHS.
- US-VISIT supported the expansion of the U.S. Immigration and Customs Enforcement (ICE) Secure Communities program to 80 law enforcement agencies in eight states, helping to streamline the way that ICE identifies and removes immigration violators who are arrested by state and local law enforcement officers.
- US-VISIT laid the foundation for moving its operations to two DHS data centers by initiating the DHS data center consolidation, addressing continuity of operations issues surrounding IDENT and Arrival and Departure Information System (ADIS) and ending reliance on Department of Justice (DOJ) data centers.

Maintained service levels of the growing user base while developing plans to maintain or improve service levels as demand for US-VISIT services grow

- Adhered to key performance targets relating to quality, timeliness and systems availability to users.
- Deployed the local service bus (LSB) within the Unique Identity target architecture, which provides standard messaging between the transaction manager and the master subsystem. The LSB eliminates the proprietary matcher interface and allows flexibility for introducing additional biometric matching hardware.
- Met surging demands for latent fingerprint examinations by implementing improved methodologies, including enhanced latent search methodologies, which provide more accurate latent candidate lists to latent fingerprint examiners. This enhancement, which dynamically selects the most probable candidates from the database on the basis of a number of criteria, including latent print quality, significantly reduced the number of print comparisons required by examiners for each print searched.
- Examination of overstay records by US-VISIT led to increased ICE overstay arrests and port/visa refusals while processing efficiency improved, including the elimination of the backlog of visa waiver participant overstay violators four months ahead of schedule.
- Sharing of biometric data with Australia, Canada and the United Kingdom identified significant patterns of illegal immigration and resulted in matching over 150 absconder records for ICE, demonstrating the usefulness of cooperation with international partners.

Continued to mature program operations

- Exceeded the goal of converting contractor positions to Federal full-time equivalents (FTEs) by completing 57 conversions through the end of FY 2009 to ensure the retention of the institutional knowledge required to maintain effective program operations. This achievement, along with numerous human capital and training process improvements, were pursued to establish US-VISIT as a workplace of choice in line with the US-VISIT Human Capital Strategic Plan.
- Developed a program management strategic implementation plan which provides a framework for integrating, prioritizing and tracking program management improvements.
- Improved investment accountability and transparency with transition from one consolidated program-level Office of Management and Budget Exhibit 300 to seven Exhibit 300s capturing all major investment areas.
- Revised the governance plan allowing for effective input from US-VISIT stakeholders.
- Aligned the US-VISIT life-cycle processes to respond to DHS investment review guidance (DHS Directive 102-01).
- Established an alternate operating facility to prepare US-VISIT to continue mission operations in an emergency and participated in DHS national level exercises to evaluate performance during emergencies.
- Adhered to IT security best practices, maintaining an “A” rating under the *Federal Information Security Management Act*.

FY 2010 Planned Accomplishment Priorities

Major priorities in this expenditure plan include:

Deploying new capabilities

- **Unique Identity/10-Print Interoperability**
 - Deploy recurrent vetting functionality notifying all authorized agencies of subsequent criminal and/or civil data to an existing biometric record.
 - Fully deploy IDENT data response, which provides state and local law enforcement with biometrically verified identities and notification to ICE Law Enforcement Support Center for further analysis and potential action.
 - Continue collaboration with ICE to coordinate additional Secure Communities jurisdictions.
 - Implement long-term latent solution—provide the capability to compare partial sets of prints captured at crime scenes or other locations and compare them to the biometrics retained in IDENT. This capability will further automate latent prints processing, as well as increase capacity to permit larger volumes of latent print transactions.
 - Develop initial design for the interface between IDENT and the Department of Defense's (DOD) Automated Biometric Identification System (ABIS) that will permit communication of transactions from one system to the other, searching the other system for matches against stored biometric data, and then returning a message with the search results. These requirements will include the development of capabilities to conduct latent searches.
- **Data Center Mirror and Migration**
 - Complete the Clarksville Data Center 10-print migration and processing cut-over from the DOJ data center in Dallas, Texas.
 - Build and test the Stennis Data Center core infrastructure.
 - Decommission the Dallas Data Center for US-VISIT processing.

Maintaining service levels with growing user base while developing plans to maintain or improve service levels as demand for US-VISIT services grow

- Expand the analytical capabilities of US-VISIT's Law Enforcement and Intelligence (LE&I) section to support the initial phase of 24/7 capability implementation, support of DOD initiatives and formalize processes and procedures with DHS Components for additional information sharing projects such as Secure Communities. LE&I anticipates achieving the ability to adjudicate approximately 153,000 records in FY 2010, a fivefold increase in watchlist encounter adjudications over FY 2009. These efforts will help maintain the watchlist accuracy and reduce the adjudication backlog created by interoperability efforts.
- Sustain IDENT and ADIS production operations and achieve service level targets through monitoring, system administration and technology refresh activities. Subsequent phases of the Operations Roadmap will focus on optimization strategies such as enhanced monitoring, server virtualization and consolidation, and maturation of the Information Technology Service Management (ITSM) processes and tools.

- Address ADIS workload growth expected from the U.S. Customs and Border Protection (CBP) Border Crossing Card¹ pilot and possible expansion as well as an estimated 50,000-transactions-per-day service increase from the Department of State (DOS).
- Reduce the backlog of all non-immigrant overstays by 50 percent in the second quarter with the remainder completed by the fourth quarter in the face of an increasing Data Integrity Group (DIG) workload. Expand coverage from solely reviewing traveler records from ICE priority countries of interest to include all non-immigrant visitors to the United States.
- Test and evaluate iris and facial recognition capabilities in an operational environment under the Multi-Biometric Technology Evaluation Project to ensure US-VISIT maintains the ability to interoperate with other investigative, intelligence and immigration agencies as they deploy multi-modal capabilities.

Continuing to mature program operations

- Implement plans developed in FY 2009 for improving acquisition practices and complying with DHS Directive 102-01 guidance on investment management practices.
- Maintain an “A” rating under the Federal Information Security Act by adhering to Information Technology (IT) security best practices.
- Implement a business initiation process to better serve customers and clarify US-VISIT roles and responsibilities.

¹ A nonimmigrant visa which is issued to citizens of Mexico entering the United States as visitors for business or pleasure that identifies the bearer.

Table 1, FY 2010 Summary of Costs

FY 2010 Expenditures (\$ in millions)		Carryover Funds	FY 2010
Current Services			
Operations and Maintenance	IDENT	-	101.2
	ADIS	-	18.8
	Corporate Systems	-	8.1
	<i>Subtotal</i>	-	128.1
Identity Management and Screening Services	Biometric Support	-	15.7
	Data Integrity	2.2	8.5
	Law Enforcement & Intelligence	-	6.1
	Information Sharing and Technical Assistance	-	0.7
	<i>Subtotal</i>	2.2	31.0
Program Management	<i>Federal Salaries and Expenses</i>		
	Federal Salaries and Expenses	-	34.1
	Program Contractor Support Services	1.2	31.3
	<i>Prime Integrator Expenses</i>		
	Prime Integrator Program Level Management	-	5.9
	Prime Integrator Facilities and Infrastructure	-	8.6
	<i>Rent, Logistics and Services</i>		
	Rent	-	4.1
	Logistics - Continuity of Operations Planning	-	2.5
	Working Capital Fund	-	18.0
	<i>Biometric Standards</i>	-	1.0
	<i>Systems Engineering and Security</i>	-	10.0
	<i>Policy, Planning and Privacy</i>	-	1.4
	<i>Capability Maturity Model Integrated and Independent Verification and Validation</i>	-	0.8
	<i>Communications and Public Liaison</i>	-	1.0
	<i>Subtotal</i>	1.2	118.7
Program Investments			
10-print Interoperability	Wrap-back functionality	-	14.4
	Full Deployment of IDENT data response	-	14.3
	Interoperability with DOD	6.7	-
	<i>Subtotal</i>	6.7	28.7
Comprehensive Exit	Air/Sea Exit	28.0	22.0
	Land/Exit	5.2	-
	<i>Subtotal</i>	33.2	22.0
Data Center Mirror and Migration	Hardware	-	21.5
	Software	0.6	1.7
	Labor	-	22.0
	<i>Subtotal</i>	0.6	45.2
TOTALS		43.9	373.7



US-VISIT FY 2010 Expenditure Plan

Table of Contents

I. Legislative Language	1
II. Current Services.....	3
A. Operations and Maintenance.....	3
B. Identity Management and Screening Services.....	13
C. Program Management Services	25
D. Program Investments	39
A. Unique Identity/10-Print Interoperability	39
B. Comprehensive Biometric Exit.....	42
C. Data Center Mirror and Migration.....	44
Appendix A: Certifications	47
Appendix B: GAO/OIG Recommendations and Observations	62
Appendix C: Schedule of Milestones	70
Appendix D: Abbreviations and Acronyms.....	72
Appendix E: Notable US-VISIT FY 2009 Cases	74

Tables

Table 1, FY 2010 Summary of Costs.....	vii
Table 2, Summary of Costs – Operations and Maintenance.....	5
Table 3, IDENT Biometric Transactions.....	7
Table 4, FY 2009 Significant Accomplishments - IDENT.....	7
Table 5, FY 2010 Planned Accomplishments - IDENT.....	9
Table 6, FY 2009 Significant Accomplishments - ADIS.....	11
Table 7, FY 2010 Planned Accomplishments - ADIS.....	12
Table 8, FY 2009 Significant Accomplishments – Corporate Systems.....	13
Table 9, FY 2010 Planned Accomplishments – Corporate Systems.....	13
Table 10, Summary of Costs – Identity Management and Screening.....	14
Table 11, FY 2009 Significant Accomplishments – BSC.....	16
Table 12, FY 2010 Planned Accomplishments - BSC.....	17
Table 13, DIG Operational Enforcement Outcomes.....	18
Table 14, FY 2009 Significant Accomplishments - DIG.....	19
Table 15, FY 2010 Planned Accomplishments - DIG.....	20
Table 16, Key Workload Statistics – LE&I.....	21
Table 17, FY 2009 Significant Accomplishments – LE&I.....	22
Table 18, FY 2010 Planned Accomplishments – LE&I.....	23
Table 19, FY 2009 Significant Accomplishments - ISTA.....	24
Table 20, FY 2010 Planned Accomplishments - ISTA.....	25
Table 21, Summary of Costs – Program Management Services.....	25
Table 22, FY 2010 Allocation of Federal and Program Support Contractor Personnel.....	27
Table 23, FY 2010 Program Level Management Reallocations.....	29
Table 24, FY 2009 Significant Accomplishments – Program Management Services.....	30
Table 25, FY 2010 Planned Accomplishments – Program Management Services.....	35
Table 26, Summary of Costs – Unique Identity.....	39
Table 27, FY 2009 Significant Accomplishments – Unique Identity.....	39
Table 28, FY 2010 Planned Accomplishments – Unique Identity.....	41
Table 29, Summary of Costs – Comprehensive Biometric Exit.....	43
Table 30, FY 2009 Significant Accomplishments – Comprehensive Biometric Exit.....	43
Table 31, Significant Accomplishments – Comprehensive Biometric Exit.....	44
Table 32, Summary of Costs – Data Center Mirror and Migration.....	45
Table 33, FY 2009 Significant Accomplishments – Data Center Mirror and Migration.....	45
Table 34, FY 2010 Planned Accomplishments – Data Center Mirror and Migration.....	46

Figures

Figure 1, FY 2003-2012 IDENT Fingerprint Gallery Growth by Enrollment Type.....	4
Figure 2, IDENT System Capacity Utilization.....	5
Figure 3, FY 2009 US-VISIT Transactions by Customer.....	7
Figure 4, FY 2009 Biometric Matches to US-VISIT Watchlist.....	8
Figure 5, FY 2007–2009 BSC Key Workload Statistics.....	15
Figure 6, Number of Records Processed by DIG.....	19

I. Legislative Language

This Expenditure Plan for the US-VISIT program is submitted pursuant to the *FY 2010 DHS Appropriations Act* (P.L. 111-83), which states:

For necessary expenses for the development of the United States Visitor and Immigrant Status Indicator Technology project, as authorized by section 110 of the Illegal Immigration Reform and Immigrant Responsibility Act of 1996 (8 U.S.C. 1365a), \$373,762,000, to remain available until expended: *Provided*, That of the total amount made available under this heading, \$75,000,000 may not be obligated for the United States Visitor Immigrant Status Indicator Technology project until the Committees on Appropriations of the Senate and the House of Representatives receive a plan for expenditure, prepared by the Secretary of Homeland Security, not later than 90 days after the date of enactment of this Act that meets the statutory conditions specified under this heading in Public Law 110-329; *Provided further*, That not less than \$28,000,000 of unobligated balance of prior year appropriations shall remain available and be obligated solely for implementation of a biometric air exit capability.

Expenditure Plan requirements under the *FY 2009 DHS Appropriations Act* (P.L. 110-329) are:

For necessary expenses for the development of the United States Visitor Immigrant Status Indicator Technology project...until the Committees on Appropriations of the Senate and the House of Representatives a plan for expenditure prepared by the Secretary of Homeland Security that includes—

- (1) a detailed accounting of the program's progress to date relative to system capabilities or services, system performance levels, mission benefits and outcomes, milestones, cost targets, and program management capabilities;
- (2) an explicit plan of action defining how all funds are to be obligated to meet future program commitments, with the planned expenditure of funds linked to the milestone-based delivery of specific capabilities, services, performance levels, mission benefits and outcomes, and program management capabilities;
- (3) a listing of all open Government Accountability Office and Office of Inspector General recommendations related to the program and the status of Department of Homeland Security actions to address the recommendations, including milestones for fully addressing such recommendations;
- (4)(a) a certification by the Chief Procurement Officer of the Department that (1) the program has been reviewed and approved in accordance with the investment management process of the Department; (2) the process fulfills all capital planning and investment control requirements and reviews established by the Office of Management and Budget, including as provided in Circular A-11, part 7; and (3) the plans for the program comply with the Federal acquisition rules, requirements, guidelines, and practices; and (b) a description by the Chief Procurement Officer of the actions being taken to address areas of noncompliance, the risks associated with such areas as well as any plans for addressing such risks, and the status of the implementation of such actions;
- (5)(a) a certification by the Chief Information Officer of the Department that (1) an independent verification and validation agent is currently under contract for

the project; (2) the system architecture of the program is sufficiently aligned with the information systems enterprise architecture of the Department to minimize future rework, including a description of all aspects of the architecture that were or were not assessed in making the alignment determination, the date of the alignment determination, and any known areas of misalignment along with the associated risks and corrective actions to address any such areas; and (3) the program has a risk management process that regularly identifies, evaluates, mitigates, and monitors risks throughout the system life cycle, and communicates high-risk conditions to agency and Department investment decision makers; and (b) a listing by the Chief Information Officer of all the program's high risks and the status of efforts to address them;

(6) a certification by the Chief Human Capital Officer of the Department that the human capital needs of the program are being strategically and proactively managed, and that current human capital capabilities are sufficient to execute the plans discussed in the report;

(7) a complete schedule for the full implementation of a biometric exit program or a certification that such program is not possible within five years; and

(8) a detailed accounting of operation and maintenance, contractor services, and program costs associated with the management of identity services.

II. Current Services

A. Operations and Maintenance

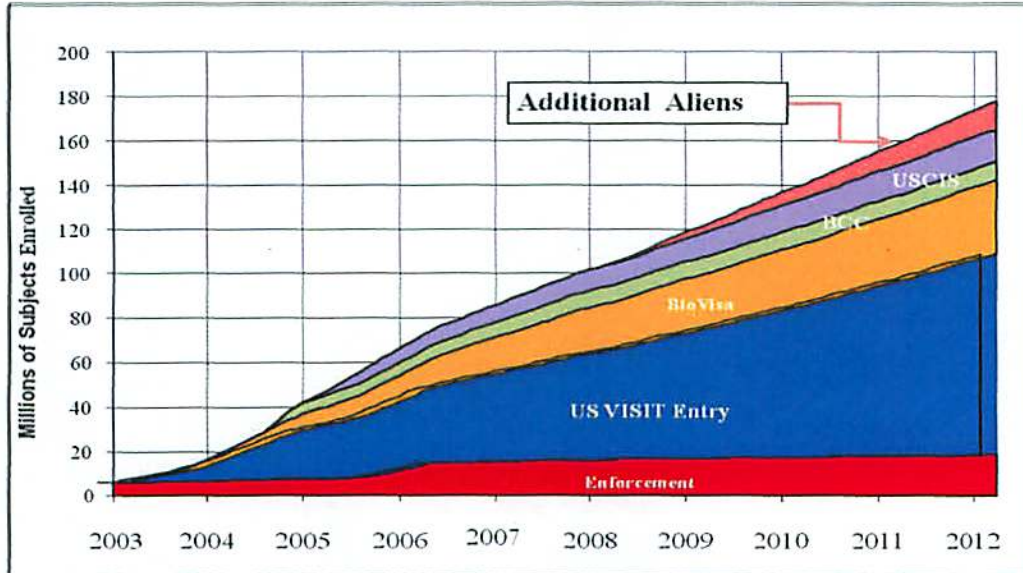
Operations and Maintenance (O&M) of US-VISIT systems is critical to the overall immigration and border management enterprise as well as to users in Federal, state, local, and international governments. US-VISIT technologies support the missions of all operational Components of DHS. Without adequate maintenance of US-VISIT capabilities, the critical missions of stakeholders will be impacted. IDENT and ADIS provide essential biometric and identity management services in a reliable and timely fashion. Maintaining these systems to ensure they can meet significant annual increases in transactions and gallery size (fingerprints stored within IDENT) is an ongoing challenge.

O&M includes application support for adaptive, preventative, and perfective maintenance, release management, architecture support, interface support, configuration management security certification and accreditation, software licenses, and hardware refresh. The primary applications are IDENT, ADIS, and US-VISIT equipment and internal use systems. IT services are delivered in compliance with the DHS Enterprise Architecture standards and include platforms for users, program interfaces, data center operations, network communications integration, and support and technical IT support services.

US-VISIT operations are a large and complex undertaking that requires uninterrupted operations, maintenance and application support. US-VISIT currently maintains operations and application support at two DOJ data centers (Dallas, Texas, and Rockville, Maryland) providing logistical support for the deployment of identity verification services. IDENT operation requires approximately 500 servers, more than 100 highly specialized matchers, and 45 terabytes of data storage. US-VISIT is experiencing growth at the rate of four terabytes per month in the operation of IDENT, which is driven by the capture of 10-print records. ADIS operations require 16 high-end servers across two data centers to process more than one million transactions a day within a five terabyte database that is growing by nearly one terabyte per year.

There are two primary factors driving growth in gallery size and transaction volume associated with the O&M of the IDENT and ADIS systems: 1) the normal growth attributable to servicing existing customers and 2) the growth arising from new capabilities and new customers. Since IDENT is the primary driver of O&M costs, representing 79 percent of the whole (versus 14.7 percent for ADIS and 6.3 percent for Corporate Systems), the discussion of growth factors focuses on it. Figure 1 illustrates the growth in gallery size over time and the specific types of enrollment transactions that support US-VISIT stakeholders and workstreams.

Figure 1, FY 2003-2012 IDENT Fingerprint Gallery Growth by Enrollment Type²



The second primary workload driver is the continuing investment in expanded and improved capabilities for IDENT. Since IDENT was transferred to US-VISIT it has never operated in a true steady-state environment. Additional investments in O&M are necessary to support new requirements such as added 10-print capture capability and IDENT/IAFIS interoperability, which ensures interoperability between US-VISIT's IDENT system and the FBI Criminal Justice Information Systems (CJIS) Division's IAFIS, and to enable continuing adherence to required service levels for US-VISIT customers.

The following figure combines impacts on IDENT resulting from the two primary drivers. This figure indicates how close to 100-percent system capacity IDENT has operated. Continuing investments in O&M have been, and continue to be, necessary to ensure no degradation in IDENT service. When the Data Center Mirror and Migration (DCMM) initiative is completed, the additional capacity will allow for the maximum number of transactions that can be processed.

² Enforce transactions include enrollments to CBP enforcement actions.

Figure 2, IDENT System Capacity Utilization³

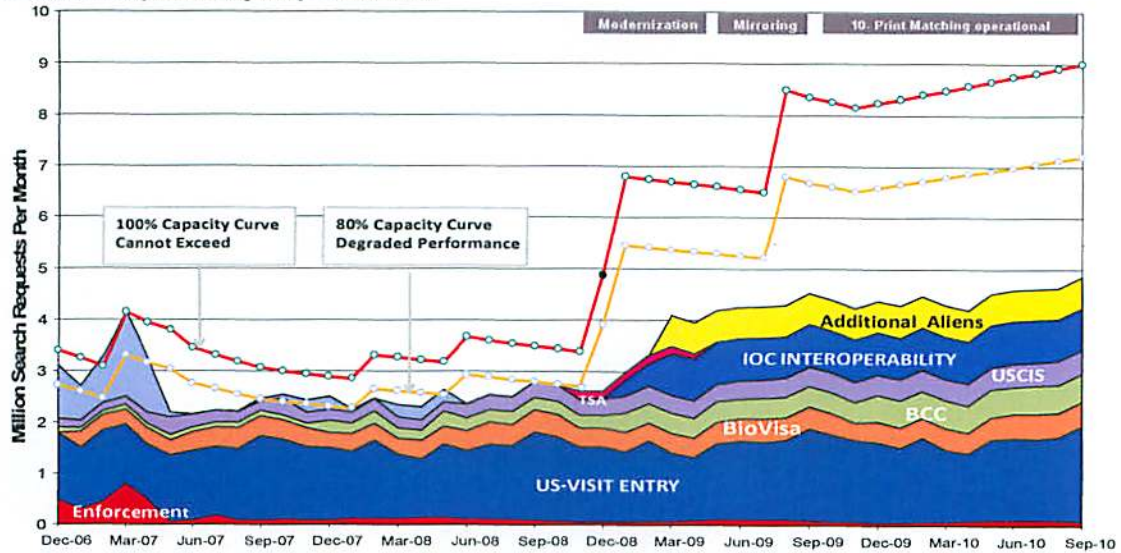


Table 2, Summary of Costs – Operations and Maintenance

Operations and Maintenance (\$ in millions)	Carryover Funds	FY 2010	Total Funds
<p>IDENT: Funding supports the operations and maintenance of IDENT, the largest fingerprint repository in the world. FY 2010 funding will be used on hardware: online storage (memory), spares and storage for FY 2010 growth, and maintenance agreements. Software costs include maintenance and licensing agreements for applications and matchers. The remainder of the funding is for labor support to three data centers as well as anticipated growth based on new biometric populations and continuing increases in existing biometric populations.</p> <p>Hardware Costs = \$36.6 Software Costs = \$.7 Labor Costs = \$63.9</p>	-	101.2	101.2

³ Enforcement transactions include enrollments attributable to CBP enforcement actions.

Operations and Maintenance (\$ in millions)	Carryover Funds	FY 2010	Total Funds
<p>ADIS: Funding supports the operations and maintenance of the ADIS. This biographic system contains arrivals, departures, and information affecting immigration status about non-U.S. citizens. FY 2010 funding will be used for hardware maintenance agreements, software maintenance and licensing agreements, and labor to support quarterly releases. Quarterly releases include system updates, migration to JAVA architecture for the web environment, enterprise reporting, and Oracle migration. In addition, funding will be used to support lease costs for DOJ data centers.</p> <p>Hardware Cost = \$.9 Software Cost = \$2.1 Labor Cost = \$15.8</p>	-	18.8	18.8
<p>Corporate Systems: Funding supports hardware, software, and infrastructure used by the US-VISIT Program Office. Hardware costs include laptops, work stations, peripherals, air cards, Secure ID to facilitate remote computer access and mobile, secure communications, and blackberry support. Software costs include software maintenance and licensing agreements. Labor costs provide IT support services to US-VISIT, such as local area network administration and end user support.</p> <p>Hardware Cost = \$1.3 Software Cost = \$3.4 Labor Cost = \$3.4</p>	-	8.1	8.1
Total Operations and Maintenance	-	128.1	128.1

IDENT

FY 2009 Accomplishments

Since 2004, US-VISIT has provided automated biometric matching and enrollment services through IDENT. IDENT processes more than 135,000 transactions per day and currently stores more than 106 million fingerprint records. The IDENT system processed 51 million

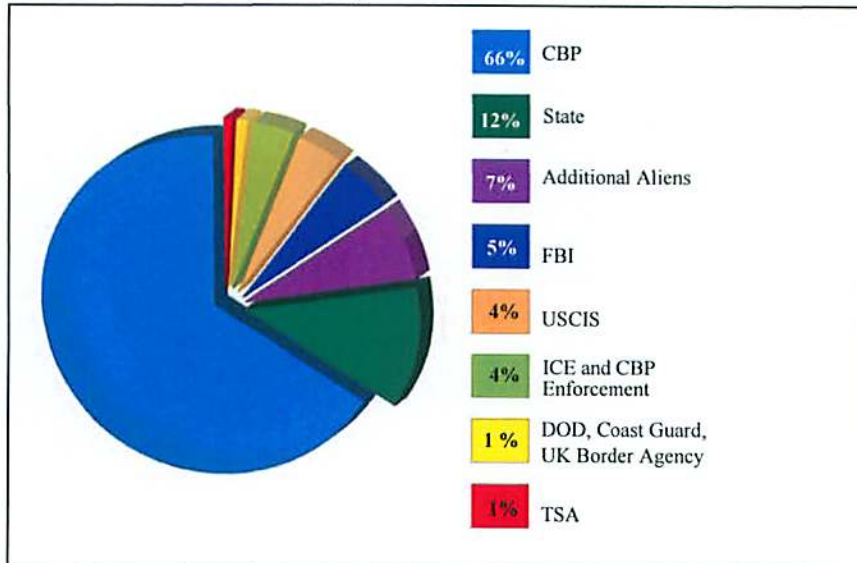
transactions, four million more than in FY 2008. Also, more than 302,553 individuals were biometrically matched against the US-VISIT watchlist.

Table 3, IDENT Biometric Transactions

Activity	FY 2007	FY 2008	FY 2009
Biometric transactions for US-VISIT stakeholders processed.	45 Million	47 Million	51 Million
Individuals biometrically matched against the US-VISIT watchlist.	160,000	277,302	302,553

Figures 3 and 4 provide information on the volume of IDENT requests by users and where watchlist matches occurred.

Figure 3, FY 2009 US-VISIT Transactions by Customer



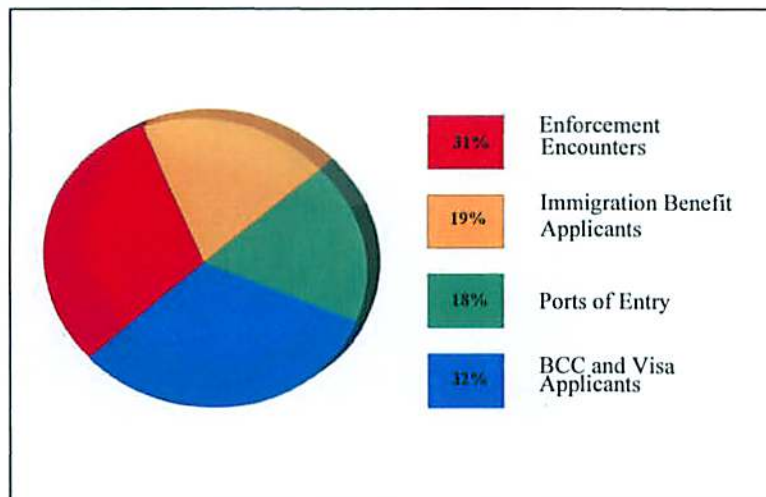
In FY 2009, US-VISIT adhered to service level agreements (SLAs) in supporting its customers while experiencing a 15-percent growth in transaction volume over FY 2008 levels and a five million record increase in gallery size. The growth in gallery size, in particular, challenges the accuracy and timeliness of IDENT responses.

Table 4, FY 2009 Significant Accomplishments - IDENT

FY 2009 Accomplishments	FY 2009 Status
Port of Entry (POE) Average IDENT Biometric Watchlist Search Time—average number of seconds it takes the IDENT system to return a response about a traveler at any POE is 10 seconds or less. This measure is calculated monthly.	8.713 seconds
BioVisa (DOS) IDENT Biometric Watchlist Average Search Time—average number of minutes it takes the IDENT system, when initially queried, to return a response about a visa applicant at any consular office is five minutes or less. This measure is calculated monthly.	2.57 minutes
Law Enforcement Average IDENT Biometric Watchlist Search Time—average number of minutes it takes the IDENT system to complete a search of all of IDENT when CBP and ICE agents make an enforcement request is two minutes or less. This	0.96 minutes

FY 2009 Accomplishments	FY 2009 Status
measure is calculated monthly.	
Biometric Interoperability Average IDENT Biometric Watchlist Search Time—average number of minutes it takes the IDENT system to return a response for a Federal/state/local/tribal user is 15 minutes or less.	7.67 minutes
IDENT Operational Availability—ratio of the time that the IDENT system is available to process end-user transactions during the period divided by the total scheduled up-time for that period is 99.7 percent or greater.	99.72 percent
Watchlist False Accept Rate—the probability that a traveler is erroneously identified as being on the watchlist is 0.04 percent or less.	0.038 percent
Enterprise Reporting Service Phase One—implemented 33 detailed business reports for enterprise-wide reporting and implemented the hardware infrastructure to support the enterprise-wide service.	Completed May 2009

Figure 4, FY 2009 Biometric Matches to US-VISIT Watchlist



During FY 2009, US-VISIT established the Enterprise Reporting Service which provided secure, enterprise-wide operational reporting. This reporting service provided efficient generation of required performance measures along with analytical, person-centric results from law enforcement and immigration queries. US-VISIT established this capability to manage new services to be placed in production and provide on-going support.

FY 2010 Planned Accomplishments

In FY 2010, IDENT O&M funds enable continued adherence to performance targets and stakeholder SLAs in the face of increasing gallery size and transaction volumes. Increased IDENT workload is anticipated as a result of rolling-out of additional 10-Print/IDENT/IAFIS Interoperability, expanding state and local requests, support for the Secure Communities initiative, and growth in credentialing transactions supporting DHS compliance with Homeland Security Presidential Directive 12.

O&M will focus on actions necessary to sustain production operations and achieve service level targets. This includes monitoring, system administration and technology refresh activities. Subsequent phases of the Operations Roadmap will focus on optimization strategies, such as

enhanced monitoring, server virtualization, and consolidation and maturation of ITSM processes and tools. The recurring expenses are for database administration, data center rent, leased line costs, contractor labor support, independent verification, and validation testing support, and software maintenance agreements. Beyond these recurring operational activities, IDENT O&M funds are mapped to discrete deliverables including hardware (matcher) refresh and implementation of IT system management software suites.

Table 5, FY 2010 Planned Accomplishments - IDENT

FY 2010 Planned Accomplishments	Target
POE Average IDENT Biometric Watchlist Search Time—average number of seconds it takes the IDENT system to return a response about a traveler at any POE is 10 seconds or less. This measure is calculated monthly.	10 seconds or less
BioVisa (DOS) IDENT Biometric Watchlist Average Search Time—average number of minutes it takes the IDENT system, when initially queried, to return a response about a visa applicant at any consular office is five minutes or less. This measure is calculated monthly.	5 minutes or less
Law Enforcement Average IDENT Biometric Watchlist Search Time—average number of minutes it takes the IDENT system to complete a search of all of IDENT when CBP and ICE agents make an enforcement request is two minutes or less. This measure is calculated monthly.	2 minutes or less
Biometric Interoperability Average IDENT Biometric Watchlist Search Time—average number of minutes it takes the IDENT system to return a response for a federal/state/local/tribal user is 15 minutes or less.	15 minutes or less
IDENT Operational Availability—ratio of the time that the IDENT system is available to process end-user transactions during the period divided by the total scheduled up-time for that period is 99.7 percent or greater.	99.7 percent or greater
<p>Watchlist False Accept Rate—the probability that a traveler is erroneously identified as being on the watchlist.</p> <p>Analysis determined that variations in the performance of the False Acceptance Rate (FAR) metric have proved difficult to explain. Current year IDENT watchlist target rates have exceeded targets in the DHS Future Year Homeland Security Plan and quantitative analysis determined that this rise will continue. The FAR growth results from the natural dynamics associated with watchlist gallery growth, driven by user agency actions, and are inconsistent with setting flat out-year targets.</p>	FAR accuracy metric should remain with-in the limit of plus or minus 1.0
The revised methodology for reporting US-VISIT FAR performance will employ process control methodologies applied in other US-VISIT program performance measures. The new FAR metric will be projected via a statistical model that adjusts to levels of gallery size therefore exceeding targets only when extraordinary occurrences drive the FAR beyond the expected tolerances. US-VISIT will implement this updated measurement and target starting in FY 2010.	
IDENT hardware refresh including matchers, database, and storage hardware (Year 1 of a 5-year refresh cycle targeting 20 percent of the IDENT matcher subsystem annually).	Second Quarter
Implementation of a modernized data storage and tape backup/recovery solution for production IDENT and ADIS database systems.	First Quarter
Implementation of the IT asset management and IT configuration management pilot	Second

FY 2010 Planned Accomplishments	Target
processes.	Quarter
Planning and analysis of the IT service desk pilot processes and ITSM software management toolset.	Third Quarter
Planning and analysis for the Phase I Operations Roadmap (stabilization objectives).	Third Quarter
Development of an enterprise monitoring strategy for US-VISIT information technology management production systems.	Second Quarter
Initial deployment and integration of the enterprise monitoring tools and the ITSM software management toolset.	Third Quarter

ADIS

ADIS was deployed in 2002 as a system to track the entries and exits of aliens from visa waiver program (VWP) countries. US-VISIT began operating ADIS in 2003. In 2004, as part of the stand up of US-VISIT, all countries were added.

Overstays⁴ can result in prosecutions by ICE, in denial at visa issuance, or in denial of entry at POEs. ADIS currently contains travel histories on over 200 million alien travelers. On a typical day, US-VISIT receives one million ADIS transactions from airline manifests, CBP officer confirmed arrivals, Student and Exchange Visitor Information System student updates, departure I-94 records, and updates from the U.S. Citizenship and Immigration Services (USCIS) Computer Linked Application Information Management System. These transactions contain arrival, departure and immigration status information which includes biographic and IDENT biometric indicator (a fingerprint identification number).

FY 2009 Accomplishments

In FY 2009, US-VISIT experienced a 22-percent user increase as compared to FY 2008. ADIS is currently being upgraded with enhanced interfaces with CBP for Western Hemisphere Travel Initiative (WHTI) and the Electronic System for Travel Authorization.

⁴ Overstays are nonimmigrants for which the authorized period-of-admission has expired without an apparent subsequent arrival or departure from the United States.

Table 6, FY 2009 Significant Accomplishments - ADIS

FY 2009 Accomplishments	FY 2009 Status
Maintain ADIS Operational Availability at 97 percent or better. This is the ratio of the time that the ADIS system is available to process end-user transactions during the period divided by the total scheduled up-time for that period. This measure does not include scheduled downtime outages.	99.91 percent
Complete ADIS assessment to identify challenges.	Completed in April 2009
Upgrade ADIS database upgrade from Oracle 9i to Oracle 10g.	Rescheduled for FY 2010 to utilize Oracle 11g enhancements
Implement ADIS Release 3.2 deployed to a limited user base to evaluate new JAVA web interface which minimized user learning curves and eases enhancements and modifications.	July 2009
Deploy ADIS Release 3.3 to field users to provide JAVA web interface and capabilities to tailor and save ad-hoc search results; receive and process WHTI Vehicle Primary Client interface messages; ability to perform drill-down within ad-hoc details; web user administrator functions; and program changes to increase data accuracy with additional information.	July 2009

An assessment to identify the challenges facing ADIS was completed in Third Quarter FY 2009. The ADIS Technical Assessment confirmed that the ADIS system contains functionality that is of great benefit to US-VISIT. This functionality can potentially be used in combination with IDENT to provide more effective and efficient searches and more complete verification of an individual identity. To realize these benefits, US-VISIT will need to better integrate ADIS into the US-VISIT target architecture and US-VISIT system processes. Subsequent reporting will provide an independent technical assessment of production system architecture and system revision recommendations.

FY 2010 Planned Accomplishments

In FY 2010, ADIS funds will enable ADIS adherence to performance targets in the face of increasing transaction volumes. ADIS plans a data sharing upgrade with DOS in March 2010, with USCIS in July 2010, and a potential interface data sharing enhancement with ICE in FY 2010. All these upgrades will enable more efficient and automated information sharing with the US-VISIT stakeholder agencies. The interface with DOS will provide additional information, as well as automate a previously manual process. The interface with USCIS will be enhanced to improve the ability to match unique individuals. The interface with ICE will provide a daily extract that will be used to better identify unique individuals who warrant enforcement actions.

Table 7, FY 2010 Planned Accomplishments - ADIS

FY 2010 Planned Accomplishments	Target
Maintain ADIS operational availability at 97 percent or better. This is the ratio of the time that the ADIS system is available to process end-user transactions during the period divided by the total scheduled up-time for that period. This measure does not include scheduled outages.	Maintain throughout FY 2010
Migrate ADIS to Enterprise Service Bus Phase 2.	Fourth Quarter
Implement US-VISIT tools for configuration management and IT asset management removing the dependency on ICE.	First Quarter
Deploy ADIS Release 3.4, which includes an interface to the Secondary Inspection Tool, an updated interface to the FBI's Foreign Terrorist Tracking Task Force and additional functionality to allow users to reconcile an individual's travel history. This release will also provide the user with additional capability to receive and process I-94 arrivals and departures, update messages from the I-94 automated air/sea records and provide more accurate information.	First Quarter
Deploy ADIS Release 3.5 to include the migration of ADIS to an Oracle 11g environment. This change in environments will allow the partitioning of database tables to improve performance on the new IBM 595 platform. Because Oracle 10g is approaching the end of its lifecycle, ADIS is moving directly from 9i to 11g, bypassing 10g. This will save maintenance costs in FY 2010 and beyond, as well as enable the use of the latest capabilities provided by Oracle.	Second Quarter
Deploy ADIS Release 3.6 which will include an automated interface with DOS and other enhanced system change requests to provide more accurate information.	Second Quarter
Review, analyze, prioritize and schedule recommendation to be implemented from the ADIS Technical Assessment and the Lawrence Livermore National Laboratory Assessment.	First Quarter

Corporate Systems

Corporate Systems includes hardware, software and infrastructure used by the US-VISIT program office. Costs for US-VISIT corporate IT systems represents 6.3 percent of the total O&M budget for US-VISIT. These expenditures include workstations/laptops, BlackBerry hardware, service and associated support, Help Desk, and General Support Systems (GSS). The GSS elements include US-VISIT On-line Integrated Collaboration Environment (US-VOICE), which is the central data repository and collaboration tool for US-VISIT, as well as DOORS (the US-VISIT's requirements definition and management tool) and ProSight, a portfolio management tool. All program software requirements are also funded under this budget area, including software from Oracle and Microsoft. Finally, a small percentage of network connectivity and local area network support (hardware, software, and labor) is included in corporate systems.

FY 2009 Accomplishments

In FY 2009, ICE transitioned help desk support to US-VISIT with full deployment beginning in FY 2010. US-VISIT is working with the NPPD Chief Information Officer to refine the migration plan for network services and program office IT help desk support. The plan is incremental and expected to allow for a full migration from ICE support in FY 2010. In order to

assure continuity of operations, US-VISIT has entered into a FY 2010 support services agreement for continuation of services.

Table 8, FY 2009 Significant Accomplishments – Corporate Systems

FY 2009 Accomplishments	Status
Enable data center operations and general office communications through support and network agreements with DOJ and ICE. US-VISIT will begin migrating to DHS headquarters supported infrastructure.	Continued through FY 2009
Deploy laptops and aircards to all government employees to enable telework in the event of a disruptive scenario, i.e. novel influenza A virus infection (H1N1).	Completed
Support the US-VISIT Alternate Operating Facility (AOF) build out in Baltimore, Maryland.	Hardware and software procured

FY 2010 Planned Accomplishments

In FY 2010, Corporate System O&M funds will support many of the same recurring expenses and initiatives that were funded in FY 2009, which are required to support the growing US-VISIT Federal workforce. Other recurring expenditures include payment of all annual software and advisory licenses as well as the payments to ICE for network connectivity, IT support services and IT help desk support. There are several discrete planned accomplishments with specific milestones and timeframes that will be supported out of Corporate Systems O&M for FY 2010.

Table 9, FY 2010 Planned Accomplishments – Corporate Systems

FY 2010 Planned Accomplishments	Target
Complete the final IT phases of the AOF allowing back-up and recovery through a storage area network solution.	Second Quarter
Plan, analyze, and implement GSS upgrades enabling the fulfillment of newly developed requirements by business users.	Third Quarter
Migrate the US-VISIT Program Office IT Infrastructure from ICE to DHS headquarters infrastructure (DHS Onenet).	Fourth Quarter

B. Identity Management and Screening Services

US-VISIT provides biometric-identity management services to DHS, Federal, state, local, tribal, and foreign government stakeholders to improve the identification of known and unknown individuals. By matching biometric records against a watchlist that includes known or suspected terrorists, criminals and immigration violators; US-VISIT strengthens national security and facilitates legitimate travel and trade.

US-VISIT meets its mission requirements through efforts in four areas: (1) positively confirming biometric identity by operating IDENT, supplemented with fingerprint analyses conducted by examiners; (2) operating ADIS by enhancing biometric identification through biographic, overstay, and data integrity analysis; (3) coordinating law enforcement and

intelligence operational activities to improve US-VISIT data systems accuracy and usefulness; and (4) sharing information and providing technical assistance to foreign governments engaged in developing biometric capabilities. These efforts will ensure the government adopts advanced and coordinated research and standards on biometric applications. Collectively, these services uniquely identify individuals by providing person-centric, actionable information to US-VISIT operational customers.

Identity management and screening services provides funding for contractors who offer the specialized identity management services described below. Funding for government FTEs and program office support contractors is included in Program Management Services. Automated fingerprint matching and enrollment is a function of the IDENT system and is funded by US-VISIT O&M.

Table 10, Summary of Costs – Identity Management and Screening

Identity Management and Screening (S in millions)	Carryover Funds	FY 2010	Total Funds
Biometric Support Center - Provides real-time biometric fingerprint verification services for non-automated matches from IDENT and screening of latent prints.	-	15.7	15.7
Data Integrity Group - vets and analyzes records of interest generated by ADIS and provides validated overstay information to DHS operational units (e.g., CBP, ICE) utilizing US-VISIT entry, exit, and status data including data integrity issues for subsequent adjudication (e.g., benefit applications, law enforcement actions).	2.2	8.5	10.7
Law Enforcement and Intelligence - reviews biometric watchlist entries and authorizes promotions and demotions for all stakeholders, with the exception of those biometric watchlist matches reviewed by CBP and provides research and contextual data to law enforcement, the intelligence community, external agencies, and foreign partners.	-	6.1	6.1
Information Sharing and Technical Assistance - facilitates the information sharing and technical assistance with other governments to strengthen cooperative relationships and evaluates potential technical solutions (i.e., multi-biometric technology, facial recognition) to broaden biometric data opportunities.	-	0.7	0.7
Total Identity Management and Screening Services	2.2	31.0	33.2

Biometric Support Center

The Biometric Support Center (BSC) provides expert fingerprint identification services to various DHS Components and Federal, state, local, tribal, and international law enforcement agencies, intelligence agencies, and foreign governments. The primary mission is to provide expert fingerprint identification services where automated means are insufficient. The BSC provides enrollment services where information is captured, entered into IDENT, and provides subsequent automated watchlist services to end users. Additionally, the BSC offers latent print processing and analysis in support of Federal, state, local, and international law enforcement and

national security efforts. The BSC's highly trained latent and 10-print examiners verify biometrics 24/7, supporting immigration and border management missions, terrorist and crime investigations, and identification of potential persons of interest.

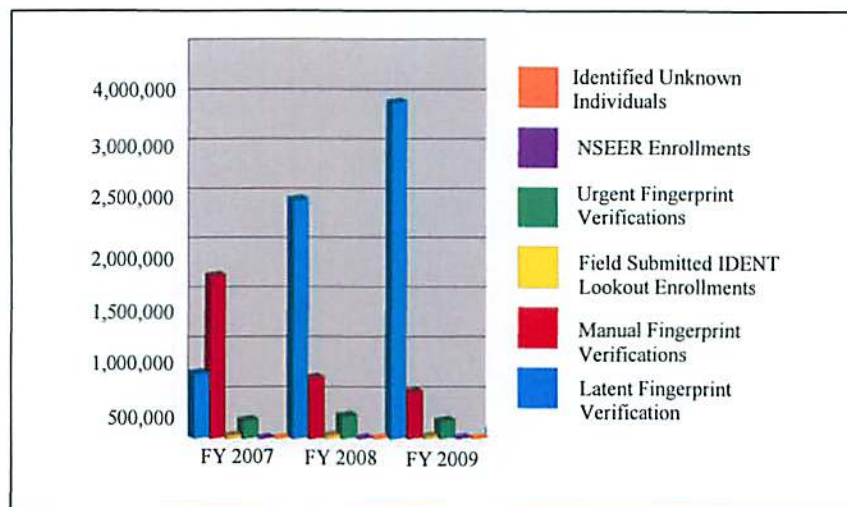
The BSC provides three primary services that include 10-print verification that two sets of prints are a match, latent print processing involving the comparison of known 10 prints with previously unidentified latent fingerprints (e.g., prints found at a crime site or a terrorist safe house), and enrollment services of lookout candidates submitted by enforcement users for inclusion on the watchlist or in recidivist databases.

On an average day, the BSC verifies over 1,700 fingerprints resulting from unresolved automated system comparisons and completes over 12,800 latent fingerprint comparisons between known individuals in the US-VISIT IDENT database and fingerprints left behind at crime scenes and terrorist incidents, enrolling over 70 individuals' fingerprints onto the US-VISIT biometric watchlist.

The BSC workloads have increased over the last three years because of the migration to 10-print capture at DOS and POEs, the addition of new populations, such as Lawful Permanent Residents, immigrant visa holders, and aliens paroled into the United States to the US-VISIT database. With the transition to 10-print capture, US-VISIT is able to expand latent screening efforts beyond just the 2-print records captured since the inception of the IDENT. This increase began in FY 2008 and continues to grow. The increase in latent work was partially offset by a decrease in manual fingerprint verifications from FY 2007 and FY 2008, which is attributable to enhanced IDENT matching algorithms deployed in November 2007.

Figure 5 depicts the key workload statistics for the BSC for FY 2007 through FY 2009, highlighting the continued growth in latent verifications:

Figure 5, FY 2007–2009 BSC Key Workload Statistics⁵



⁵ There were 4,098 National Security Entry/Exit Registration System enrollments in FY 2009.

FY 2009 Accomplishments

In FY 2009, the BSC continued to support users at the FY 2008 service levels even as demand for services increased. Because of enhanced data sharing efforts between DHS, DOD, and DOJ in FY 2009, the BSC processed and enrolled more than 20,000 latent prints into its unsolved latent database for screening against the over 100 million subject prints in IDENT, more than doubling the 9,606 latent prints processed in FY 2008. These efforts resulted in 139 identifications, which have aided significantly in terrorism and criminal investigations, including several sensitive national security related cases, a Chicago drug trafficking case, and a 2006 homicide cold case in California. The DHS latent program has benefited significantly with the transition to 10-print capture for visa applicants, visitors, and lawful permanent residents entering the United States. Latent matches on fingers other than the traditionally captured two index prints have risen significantly and now contribute to the majority of latent hits. Other agencies benefit greatly from having their latent prints searched in IDENT since approximately 60 percent of latent matches by the BSC are against prints that are not available in any other government biometric repository.

During FY 2009, US-VISIT made improvements to latent processing, including enhanced latent search methodologies that provide more accurate latent candidate lists to latent fingerprint examiners. This enhancement, which dynamically selects the most probable candidates from the database on the basis of a number of criteria including latent print quality, significantly reduced the number of print comparisons required by examiners for each print searched. In FY 2009, manual fingerprint verifications (urgent and non-urgent requests) and field submitted lookout enrollments were commensurate with FY 2008 levels. These efforts are critical to ensuring that DHS officers are quickly notified of watchlist hits, that legitimate travel is not adversely impacted, officers are notified of DHS encounters, and the integrity of biometric identity is maintained. In certain cases as a result of these verifications, the BSC provides expert fingerprint testimony in support of DHS prosecutions (e.g., re-entry after deportation). In FY 2009, BSC examiners were subpoenaed seven times to provide testimony in related cases.

In FY 2009, identifications of unknown individuals (typically deceased) rose from FY 2008, mainly attributable to increased awareness among the law enforcement community of the benefits of US-VISIT data. Although not a traditional mission of DHS, these efforts led to the January 2009 identification for the New Jersey State Police Missing Persons Unit of a deceased individual who had been murdered by his children, the closure of many cold cases nationwide, including a 19-year-old unsolved homicide in Washington, DC, and the June 2009 identification of a deceased individual who was a top-10 wanted subject from a southern border state.

Table 11, FY 2009 Significant Accomplishments – BSC

FY 2009 Accomplishments	Status/ Average Response
Provide fingerprint verification decisions on urgent requests in 10 minutes or less.	4.2 minutes
Provide fingerprint verification decisions on non-urgent requests within 24 hours.	3.3 hours
Provide enrollment and verification of terrorism related prints in 2 hours or less.	51.8 minutes

FY 2010 Planned Accomplishments

Anticipated organic volume increases and incremental volumes coming from US-VISIT investments will continue to increase workloads in FY 2010. These increases include future enhanced interoperability with other agencies, such as DOJ, other DHS Components, foreign government partners, and significant increases in latent print workloads. In addition, the BSC resources will support improving IDENT data integrity by correcting instances of multiple travel documents associated with multiple fingerprint identification numbers. The BSC will adhere to the service levels achieved in FY 2009 as it contends with the increased workload.

Table 12, FY 2010 Planned Accomplishments - BSC

FY 2010 Planned Accomplishments	Target/ Average Time
Provide fingerprint verification decisions on urgent requests in 10 minutes or less.	10 minutes or less
Provide fingerprint verification decisions on non urgent requests within 24 hours.	24 hours or less
Provide enrollment and verification of terrorism related prints in 2 hours or less.	2 hours or less

Data Integrity Group

The ADIS database was designed to match arrival and departure, extension, change, or adjustment of status to identify individuals who have overstayed the terms of their admission. This information supports determinations of whether nonimmigrant visitors have remained beyond their authorized periods of admission, on the basis of “admit until” dates, and provides the “status indicator” for US-VISIT. Those records are manually validated by the DIG prior to initiating law enforcement action or adverse actions (e.g., benefit or visa refusal). Overstays fall into two categories: out-of-country and in-country.

Out-of-country overstays identify individuals who have already left the United States, but stayed over the authorized period of admission by more than seven days for VWP participants and 180 days for all other authorized periods of admission. These individuals are added to the “overstay lookout” list, which is checked by CBP officers when an individual attempts to enter at a POE or by DOS when an individual attempts to obtain a visa at a consulate office overseas. When a traveler is denied admission at a POE or denied a visa, the event is recorded as an “adverse action.”

In-country overstays identify individuals who have exceeded their period of admission and remain in the United States. These identifications result in referrals to ICE as “lead recommendations.” ICE then undertakes an investigation to arrest and deport the overstay violator.

The DIG analyzes cases where the class of admission (certain visa classes are exempt, such as ambassadors) or the individual’s age (under 14 or over 79) indicates that the person should not have been fingerprinted and a biometric encounter record should not have been created in IDENT. If an error is found, the DIG deletes and corrects the data. The DIG also analyzes cases of multiple identities, where multiple fingerprint identification numbers are associated with one person, or vice versa for either potential fraud or system error. Additionally, the DIG informs USCIS when subjects with pending immigration benefit applications appear to have violated the

terms of their admission or who have left the country without authorization and with a benefit application pending, thereby abandoning that application.

FY 2009 Accomplishments

In FY 2009, US-VISIT continued advances in the efforts to identify potential overstays. All production measures, shown in Table 13, have increased from FY 2008 with the exception of arrests based on referrals. This increase continued the emphasis on establishing lookouts to identify persons seeking re-entry or obtaining new visas who have previously overstayed their prior term of admission. This new lookout focus led to a significant increase in adverse actions at POEs and at consular offices. The following table shows the number of cases in which out-of-country lookouts and in-country referrals to ICE have resulted in arrests or denials of visas or admissibility. Over the past three years, the work of the DIG resulted in an arrest or denial of entry of over 4,000 individuals. In addition, the DIG achieved operating efficiencies through FY 2009 as a result of improving productivity using a stable and more experienced workforce.

Table 13, DIG Operational Enforcement Outcomes

Fiscal Year	Referred to ICE	Arrests Based on Referrals⁶	Out-of-Country Lookouts	Port/Visa Refusals Based on Lookouts
2009	16,379	568	16,691	2,502
2008	13,343	715	13,276	1,441
2007	12,372	338	7,357	451
2006	4,155	139	457	5

In FY 2009, the DIG met or exceeded all of its planned accomplishments. Two noteworthy successes were the accomplishments achieved in maintaining the average cost per in- and out-of-country lead. Because of the implementation of an additional automated vetting process through the Computer-Linked Application Management Information System, the DIG was able to further reduce the average cost per in-country lead from \$123 at the end of FY 2008 to \$87 at the end of FY 2009. The average cost per out-of-country overstays lead declined from a low of \$114 in FY 2008 to \$107 in FY 2009. Additionally, the backlog of in-country visa waiver participant overstay violators was eliminated four months ahead of schedule because of a more stable workforce and improvements implemented in overstay record processing (such as adding another automated review). VWP records constituted a large number of records not being vetted. Elimination of the backlog provides assurance that US-VISIT is able to identify foreign nationals that are traveling to the United States, whether or not they have violated their terms of admission and their (and their countries) eligibility for the VWP.

⁶ Actual arrests based on referrals provided by ICE/CEU.

Figure 6, Number of Records Processed by DIG

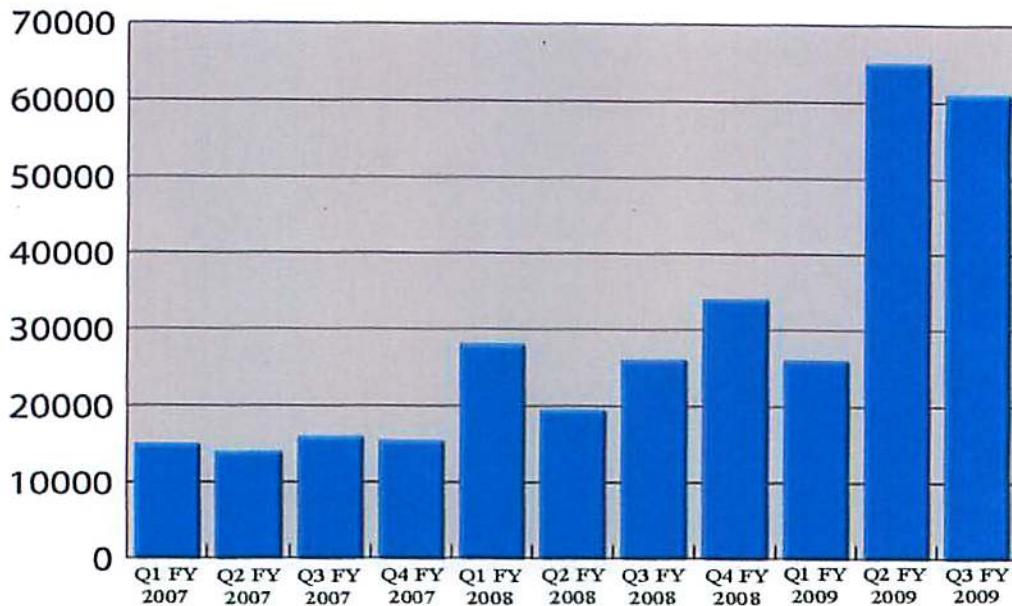


Table 14, FY 2009 Significant Accomplishments - DIG

FY 2009 Accomplishments	Status
Eliminate Backlog of VWP countries.	Completed four months ahead of schedule in June 2009.
Achieve in-country overstay lead credibility rate of 25 percent or greater. The probability that leads submitted by the DIG to ICE/Compliance Enforcement Unit (CEU) represent travelers who are currently in the United States and have overstayed their authorized periods of admission.	In-country overstays lead credibility increased to 42 percent.
Achieve out-of-country overstay lead credibility rate of 98 percent or greater. The probability that vetted overstay leads are correctly promoted to the lookout list and actually represent travelers who are overstaying their authorized periods of admission by more than 180 days.	Out-of-country overstay lead credibility rate increased to 99 percent.
Achieve cost per in-country overstay lead of \$166 or less. Average cost to vet an in-country overstay and prepare for the submission to ICE/CEU: \$166 or less (targets are subject to change resulting from a possible revision to the methodology initiated to adjust for changes in the composition of ICE target countries).	Average cost per in-country overstays lead decreased to \$87.
Achieve cost per out-of-country overstay lead of \$136 or less. Average cost to vet an out-of-country overstay lead by the DIG and to prepare it for promotion to lookout status: \$136 or less (targets are subject to change resulting from a possible revision to the methodology initiated to adjust for changes in the composition of ICE target countries).	Average cost per out-of-country overstays lead decreased to \$107.

FY 2010 Planned Accomplishments

The DIG will prioritize its workload according to criteria provided by ICE. The DIG workload will increase in FY 2010 as the DIG expands its coverage from solely reviewing traveler records from ICE priority countries of interest to include all non-immigrant visitors to the United States. It is likely this will double the FY 2010 workload. The current plan, based on increased staffing, is to reduce the backlog of all nonimmigrant overstays by 50 percent by the fourth quarter.

In FY 2010, in keeping with the quarterly reports to Congress, the DIG will focus attention on improving ADIS records integrity to achieve a goal of 95-percent exit-to-entry match rate and accurate overstay identification of VWP participants. Efforts to identify and deploy new algorithms improving record-matching performance will serve as the prime means to improve exit-to-entry matching rates.

Table 15, FY 2010 Planned Accomplishments - DIG

FY 2010 Planned Accomplishments	Status
Reduce backlog of all un-vetted overstays by 50 percent.	Fourth Quarter
Maintain ADIS records integrity. Improve ADIS records integrity to improve the exit-to-entry match rate to 95 percent or greater.	Third Quarter
Maintain in-country overstay lead credibility rate of 98 percent or greater. The probability that leads submitted by the DIG to ICE/CEU represent travelers who are currently in the United States and have overstayed their authorized periods of admission. Analysis determined that the prior formulation for this performance measure was randomly affected by external factors outside of US-VISIT's control in areas such as policy, changes from external stakeholder's priorities and mixes of the traveling population. The updated measurement will measure the internal quality control of the DIG production and have a new credibility target of 98 percent.	Greater than or equal to 98 percent
Maintain out-of-country overstay lead credibility rate of 98 percent or greater. The probability that vetted overstay leads are correctly promoted to the lookout list and actually represent travelers who have overstayed their authorized periods of admission by more than 180 days.	Greater than or equal to 98 percent
Maintain cost per overstay records processed of \$52 or less. Average cost to vet in-country and out-of-country records. US-VISIT is revising its method for analyzing DIG efficiency to address weaknesses detected in its efficiency measures (cost per in-country overstay lead and out-of-country overstay lead) which failed to capture operational realities, masked important performance trends, and introduced data distortions from outside factors. The new consolidated efficiency measure reflects that analysts work both in-country and out-of-country overstays records.	Less than or equal to \$52

Law Enforcement and Intelligence Section

LE&I reviews biometric watchlist encounters and adjudicates (authorizes) the promotion or demotion of persons to/from the watchlist on the basis of the most current information associated with the individual. These adjudications are conducted to ensure that the watchlist continues to be accurate and actionable for all US-VISIT stakeholders. Beginning later in FY 2010, CBP is

planning to adjudicate and be responsible for their own watchlist encounters in the field, however, many IDENT customers will not be using this capability requiring LE&I services to adjudicate the watchlist encounters for those other customers. In addition, LE&I provides research and contextual data to law enforcement, intelligence, external agencies, and foreign partners who do not maintain access or who do not have the expertise to interpret the information.

In addition to authorizing watchlist promotions and demotions, LE&I keeps current and accurate information on persons subject to the watchlist through collaboration with other agencies, including the Terrorist Screening Center and DOD. By exchanging data with DOD on high-threat subjects encountered by the United States, primarily in Iraq and Afghanistan, the IDENT watchlist has prevented entry into the United States of individuals who have been detained by DOD, attacked U.S. troops or civilian targets or who are connected to insurgent activities.

US-VISIT's collaboration with this screening center has resulted in the identification of biographic data for KSTs within the Terrorist Screening Data Base. This data corresponded to biometrics in the IDENT database, enabling the further consolidation of the biographic and biometric KST watchlists.

FY 2009 Accomplishments

In FY 2009, LE&I provided value-added identity management services with a focus on biometrics in support of analytical, investigative, and operational needs. LE&I encountered an additional workload in FY 2009 because of increased reviews of IDENT watchlist hits, which stemmed from the further deployment of 10-print capture, IDENT/IAFIS interoperability, support of DOD initiatives, and the formalization of processes and procedures with DHS Components for assorted projects. Expanded deployment of 10-print capture and interoperability with IAFIS tripled the number of hits LE&I analyzed in FY 2009 from 42,035 to 116,213. Improved interoperability with IAFIS has allowed US-VISIT to watchlist individuals with criminal histories who may be inadmissible. An additional, 29,003 watchlist entry hits were analyzed and adjudicated by CBP detailees in FY 2009.

Table 16, Key Workload Statistics – LE&I

Activity	FY 2007	FY 2008	FY 2009
Air Entry Watchlist Encounters Received	10,447	42,035	155,216
Air Entry Watchlist Encounters Adjudicated	9,404	27,554	61,934 ⁷
LE&I IDENT Watchlist Demotions	-	24,273	81,671 ⁸

Because of the increased populations now subject to biometric screening, LE&I reviewed and demoted twice the number of records from the watchlist in FY 2009 than in FY 2008. LE&I ensures the watchlist is accurate and actionable so that stakeholder action can be made with the highest degree of reliability and efficiency. Removing unnecessary records from the watchlist,

⁷ Air entry IDENT watchlist encounters adjudicated includes 39,003 air entry watchlist encounters adjudicated by CBP detailees and 22,931 encounters adjudicated by US-VISIT LE&I.

⁸ LE&I IDENT watchlist demotions includes 30,711 air entry watchlist encounters demoted by CBP detailees and 50,960 demotions by US-VISIT LE&I.

allows valuable stakeholder resources to be concentrated on those individuals requiring additional scrutiny. In FY 2009, US-VISIT worked closely with CBP to design and develop more efficient and effective processes including technical changes for adjudication of watchlist encounters through a new IDENT “local demote” capability. This capability provides CBP officers the ability to demote or promote watchlist matches encountered by CBP in the field with training jointly between US-VISIT and CBP. US-VISIT has also coordinated and developed joint processes with ICE, who began to provide resources in FY 2009 to adjudicate CMF encounters promoted to the watchlist from CBP searches of IAFIS as match results are not available until 24 to 72 hours after the traveler has entered the United States.

In addition, US-VISIT was involved in several global projects with foreign partners to detect and deter aliens with certain criminal convictions or aliens who have engaged in fraudulent conduct from entering the United States and applying for immigration benefits. In the second quarter of FY 2009, US-VISIT exchanged biometric data among the United States, Australia, Canada, and the United Kingdom on a test basis to identify cases and trends in immigration fraud. These exchanges enabled US-VISIT to identify significant patterns of legal and illegal immigration as well as match more 150 absconder records for ICE, allowing DHS to close many of these outstanding absconder records.

Table 17, FY 2009 Significant Accomplishments – LE&I

FY 2009 Accomplishments	Status
Exchange biometric data with Australia, Canada and the United Kingdom on a test basis.	Completed 75 percent of the business requirement development phase
Begin developing requirements for initiatives to exchange data to detect and deter aliens with certain criminal convictions or aliens who have engaged in fraudulent conduct from entering the United States.	Developed initiatives and projects to increase throughput of adjudications of entry watchlist matches.

FY 2010 Planned Accomplishments

US-VISIT anticipates additional workload growth stemming from the increased review of watchlist hits resulting from further 10-print capture and interoperability deployments and establishment of a full-time stakeholder support capability. This capability will consist of LE&I analysts researching biometrically verified hits against IDENT data submitted by the FBI, DHS entities, and other contributing agencies. Beginning in FY 2010, US-VISIT will implement technical capabilities so CBP can begin to demote or promote watchlist matches encountered by CBP officers in the field with training jointly developed between US-VISIT and CBP. Therefore, LE&I will focus watchlist adjudication services for other customers that will not be using this capability for demotion and promotion decisions. As part of the IDENT/IAFIS interoperability, any set of 10-prints collected through IDENT is checked against the FBI Criminal Master File database, which requires analytical support to determine if the identity should remain on the IDENT watchlist. US-VISIT will continue to support ICE in reviewing and adjudicating FBI criminal master file watchlist records.

US-VISIT will increase its support services and, as an initial phase, will establish a centralized decision center, providing one source of information for operational and tactical support—all linked to a biometric. Consolidating and expanding resources to compile overstay and watchlist encounter research allows US-VISIT to provide more effective analysis, which includes trending, fraud detection, and risk-based decision support.

LE&I will add researchers/analysts to support an initial phase of the implementation of a 24/7 capability, support of DOD initiatives, and formalization of processes and procedures with DHS Components for additional information sharing projects, such as ICE's Secure Communities. LE&I anticipates the ability to adjudicate approximately 153,000 records in FY 2010, a fivefold increase over FY 2009 watchlist encounter adjudications. These efforts will help maintain the watchlist accuracy and reduce the adjudication backlog created by interoperability efforts. Analysis of hits and performing watchlist demotions is a key to maintaining an actionable watchlist and providing decisionmakers the most accurate information available.

Table 18, FY 2010 Planned Accomplishments – LE&I

FY 2010 Planned Accomplishments	Target
Formalize LE&I exchange of biometric data with Australia, Canada and the United Kingdom.	First Quarter
Remain current on research and coordination of UK Visa project.	First Quarter
Prepare for and initiate the pilot exchange of biometric prints with the Germany.	Second Quarter

Information Sharing and Technical Assistance

Fostering biometric information sharing with foreign governments supports efforts by DHS to achieve its mission of protecting our Nation from those who seek to do us harm. US-VISIT serves as the Department's platform for the collection of biometrics along the travel continuum with foreign stakeholders.⁹ Information sharing and technical assistance (ISTA) promotes the adoption of compatible standards to ensure interoperability with foreign partners and the foundation for potential biometric data sharing.

By optimizing our relationships with other countries and our leadership in biometric technology and identity management, US-VISIT stands to enrich IDENT and increase the information included in ADIS through data-sharing agreements. Ultimately, the measure of success is the acquisition and exchange of valuable information to expand the detection and prevention of potential threats to our border and immigration security.

⁹ This continuum consists of the issuance of a travel document, the issuance of a visa, the admission to date, the status of the individual while in the country and the enforcement of that individual's status, including departure, from the country.

FY 2009 Accomplishments

In FY 2009, four new countries launched plans or adopted the collection of fingerprints for identity management purposes in their border and immigration operations: Canada, Korea, the Dominican Republic, and Mexico. US-VISIT provided subject matter expertise to support efforts by these countries to implement biometric systems compatible with our identity management model. US-VISIT also contributed technical information in support of efforts by these countries to implement biometric uses compatible with our model of identity management. These countries join the United States, United Kingdom, and Japan in actively using fingerprints at points along the travel continuum.

US-VISIT began collecting requirements to implement biometric data exchanges with Germany and Korea under the VWP agreements on enhancing cooperation in preventing and combating serious crime.

US-VISIT is in the process of preparing data-sharing agreements with the United Kingdom and New Zealand and has signed data-sharing agreements with Australia and Canada. US-VISIT created an Integrated Project Team in FY 2009 to manage the implementation of Phase 2 of the Hunter Valley Accord which sets the conditions governing the automated exchange of biometric data among the five countries.

Table 19, FY 2009 Significant Accomplishments - ISTA

FY 2009 Accomplishments	Status
Finalize report of the Multi-Biometric Technology Evaluation (MBTE) in First Quarter FY 2009, which will inform land exit planning. Evaluation results will be incorporated into the Land Exit Planning document to be delivered by December 2008. The evaluation will incorporate input from independent sources as to the feasibility of potential technical solutions for a land exit capability.	Completed January 31, 2009. Provided preliminary findings that were included in the final report.
Deliver report on Face Quality Improvement Study in Second Quarter FY 2009. This study seeks to improve facial image quality while minimizing CBP officer processing time.	Completed March 2009. Assisted in the CBP adoption of the current camera usage on primary inspections.
Deliver final report in Second Quarter FY 2009, which will provide recommendations concerning biometrics capture on exit, drawing upon the results from a proof of concept demonstration using iris technology, with a series of evaluations conducted with input from partner agencies and in multiple phases.	Completed March 2009. This report was given to interested parties in DHS, DOD and National Institute of Standards and Technology. This document serves as one of the building blocks for the MBTE project that will involve operational field testing.
Develop an action plan in Fourth Quarter FY 2009 that identifies short and long term goals for biometric implementation activities with Mexico as part of DHS efforts to broaden biometric data exchange opportunities with contiguous nations.	Completed June 2009. This document guides on-going cooperation with the Government of Mexico regarding biometric capabilities at the border.
Expand information sharing and technical assistance through the secondment of a US-VISIT technical expert to Australia's Department of Immigration and Citizenship.	Completed October 2009. Australia is using the plan developed by the technical expert to inform its biometrics program.

FY 2010 Planned Accomplishments

The FY 2010 funds will continue and expand the use of temporary onsite technical experts (secondments) overseas. The technical experts posted to the United Kingdom and Australia will assist with planning of biometric processes and systems within each government in relation to POEs and provide recommendations or suggestions for improvements. The experts will provide guidance on biometric standards, methods, and products, as well as solution development, design, build, and roll-out quality assurance for biometric implementations.

Table 20, FY 2010 Planned Accomplishments - ISTA

FY 2010 Planned Accomplishments	Target
Engage international partners under the Agreements for Preventing and Combating Serious Crime data sharing (e.g., Germany, Korea, Czech Republic, Latvia, Lithuania, Hungary, Slovakia, Estonia, Malta, Italy, Spain and Portugal).	Fourth Quarter
Provide Mexico's National Institute for Migration with technical information relating to biometric standards and specifications enabling it incorporate biometrics in to its biographically based border and immigration management information system know as the Integrated System for Migration Operations.	Fourth Quarter

C. Program Management Services

Program Management is composed of an array of budget expenditures that are fundamental to the US-VISIT program success. These costs include the staff that operate the program and perform the mission; the costs associated with the prime integrator's program management functions and the facilities and infrastructure costs incurred by the integrator to operate mission critical systems and manage capability development projects. These costs also incorporate the associated rent, logistics and services costs to support federal and program contractor personnel and contributions to the DHS working capital fund, as well as costs to implement best practices in regard to DHS enterprise architecture, IT security, privacy, and program management maturity. The components of these broad categories are summarized in Table 21. Salaries and Expenses, Prime Integrator Expenses, and Systems Engineering components are described in more detail in the following narrative.

Table 21, Summary of Costs – Program Management Services

Program Management Services (\$ in millions)	Carryover Funds	FY 2010	Total Funds
Salaries and Expenses			
<i>Federal Salaries and Expenses</i> - Salaries, expenses, benefits, and support required for the operation of the US-VISIT program office.	-	34.1	34.1
<i>Program Contractor Support Services</i> - Contractor personnel to implement and support requirements for the program.	1.2	31.3	32.5

Program Management Services (S in millions)	Carryover Funds	FY 2010	Total Funds
Prime Integrator Expenses			
<i>Prime Integrator Program Level Management</i> - Overall management effort for the prime integrator's support to the US-VISIT program to execute contract requirements, support for the definition and implementation of standard management practices for US-VISIT, including enterprise life cycle methodology, configuration management, and program control activities to ensure efficient and timely program execution for those activities under contract with the prime integrator.	-	5.9	5.9
<i>Prime Integrator Facilities and Infrastructure</i> - Facilities, workstations and furniture, telecommunications infrastructure, and graphics and production staff costs of the prime integrator to support US-VISIT.	-	8.6	8.6
Rent, Logistics, and Services			
<i>Rent</i> - Physical facilities for government personnel and on-site contractor personnel.	-	4.1	4.1
<i>Logistics - Continuity of Operations Planning</i> - Building management services, equipment maintenance, communications support, and physical facilities security.	-	2.5	2.5
<i>Working Capital Fund</i> - Contribution to the DHS working capital fund.	-	18.0	18.0
Biometric Standards - facilitates information sharing and technical assistance with other governments to strengthen cooperative relationships and evaluation of potential solutions (i.e., multi-technology, facial recognition, etc.) to broaden biometric data exchange opportunities.	-	1.0	1.0
Systems Engineering and Security - Contract vehicle with the US-VISIT	-	10.0	10.0
Policy, Planning and Privacy - Policy and rule development, strategic planning, implementation planning, and privacy program oversight.	-	1.4	1.4
Capability Maturity Model Integrated and Independent Verification and Validation - Leverage of critical processes, procedures, and techniques to reduce risks, increase accountability, and produce work that is right the first time (US-VISIT has been fully engaged in this process since 2006).	-	0.8	0.8
Communications and Public Liaison - Educates and informs the international traveling public, international and domestic media, and external stakeholders (both international and domestic), as well as internal stakeholders, interagency partners, and Congress about US-VISIT policies, procedures, and benefits.	-	1.0	1.0
Total Program Management Services	1.2	118.7	119.9

Salaries and Expenses

Salaries and expenses, including program contractor support services, are funded and allocated across the US-VISIT program. These expenditures encompass Federal and contractor staff resources that are directly involved operations, capability development, identity management, screening services, and IT support. Table 22 shows the allocation of Federal personnel and program contractor support.

Table 22, FY 2010 Allocation of Federal and Program Support Contractor Personnel

	US-VISIT Staff	
	Federal	Contractor
Program Integration and Mission Services - Defines and deploys US-VISIT capabilities, provides biometric and biographic analytic services, and coordinates within and outside DHS in the sharing and use of biometric data and services, through four branches:	88	42
Program Integration and Mission Services Division	3	-
Business Policy and Planning Branch	22	10
Identity Services Branch	38	17
Information Sharing and Technical Assistance Branch	9	11
Project Management Branch	16	4
Program Management Services - Provides program and support services in acquisition and program management, administration and logistics, budget and financial management, and human capital and training through four branches:	75	82
Program Management Division	6	1
Acquisition and Program Management Branch	23	29
Administration and Logistics Branch	17	13
Budget and Financial Management Branch	13	22
Human Capital and Training Branch	16	17
Information Technology Management Division - Delivers automated systems support through detailed technical design, development, testing, implementation, and operations and maintenance.	37	10
Communications and Public Liaison	7	3
Office of the Director	8	8
Total	215	145

* Identity Services Branch has an additional 92 contractors supporting the BSC and 33 contractors supporting DIG and LE&I. These contractors are not shown in this chart since they are funded with the \$31 million provided for Identity Management and Screening Services.

An FY 2008 workforce analysis determined that US-VISIT requires approximately 360 FTEs to provide the managerial, operational and support functions necessary to develop, implement and maintain mission capabilities. Since program inception, the majority of the workforce has consisted of contractors and the government staff has historically accounted for approximately one-third of the workforce. US-VISIT has undertaken steps necessary to augment the government staff via workforce realignment. This conversion effort has been effective, meeting its stated objective of converting 57 contractor positions to government FTE through FY 2009. US-VISIT plans to continue efforts to increase Federal staffing by realigning the workforce within the available funding level.

Prime Integrator Implementation Support Services

US-VISIT reports prime integrator implementation support services within the Program Management Services. The Prime Integrator Expenses consist of program level management and facilities, systems and solutions engineering and prime integrator facilities.

Prime integrator program level management provides US-VISIT with a consolidated program control function for the contract management aspects of active acquisition projects and steady-state systems support. This support provides such functions as prime integrator financial management including invoicing, contract and acquisition management, integrated master plan and integrated master schedule, program and project management processes, program and task order control, and risk management.

The prime integrator systems and solutions engineering provides IT systems modeling, frameworks, tools, standards and reusable assets. The solutions support provides technical recommendations to promote more consistent and efficient planning, design, development, testing, and deployment efforts for US-VISIT projects. Engineering support includes enterprise architecture, information systems security, solutions engineering, systems assurance, and solution alignment and integration.

The prime integrator facilities and infrastructure provides office space, supplies, furniture, printing services, property management and accountability, telephone services and physical security for the prime integrator staff.

Through FY 2008, US-VISIT pursued a contracting strategy of awarding prime integrator implementation support functions in consolidated task orders for the areas listed above. This strategy ensured maximum integration across the US-VISIT projects to achieve the economies of scale made possible by grouping similar functions. The rationale was to avoid the proliferation of duplicative support services that could result from managing multiple, simultaneous task orders.

In FY 2009, US-VISIT began taking steps to reduce the Program Management Services profile. Accordingly, US-VISIT identified direct costs within the prime integrator program level management and reallocated these costs to the investments that they directly support. Reallocating these costs enabled US-VISIT to better demonstrate the true cost of each investment and improves transparency of investment reporting. This change promotes fair and open competition to future vendors as all bids must include these overhead costs in their quotes.

Of the total FY 2010 requirement of \$16.5 million for program level management, (i.e., prime integrator program control services), approximately \$10.6 million has been allocated to the two major acquisition investments that are they support as shown in Table 23.

Table 23, FY 2010 Program Level Management Reallocations

US-VISIT Budget Changes (\$ in millions)	FY 2010 Reallocations		
	Before	After	Variance
Decreases - Program Management Services			
Prime Integrator Program Level Management (Task Order 1)	16.5	5.9	(10.6)
Increases - Investments and Implementation			
Unique Identity/10-Print Interoperability	38.5	45.2	6.7
Data Center Mirror and Migration	24.8	28.7	3.9
Net Changes			-

The DCMM and Unique Identity/10-Print Interoperability projects will manage their respective shares of the prime integrator program management support services that are attributable to each investment's budget.

Approximately \$5.9 million was not allocated as it represents the indirect program management costs (e.g., senior management support labor, administrative support labor) that need to be managed at an aggregate level. The prime integrator program level system and solution engineering functions and facilities were assessed as indirect costs and not reallocated. In the case of the prime integrator facilities and infrastructure costs, US-VISIT determined that a better business decision was to manage and control leased office space and associated support costs at a consolidated level rather than reallocate these indirect costs to specific investments.

US-VISIT, along with NPPD, is exploring cost effective alternatives to the systems and solutions engineering function. These alternatives will provide an enterprise level function that is intended to enable processes and technologies that will benefit all projects rather than any one specific project.

Systems Engineering and Security

Program-level Systems and Solutions Engineering provides models, frameworks, tools, standards and reusable assets, and makes more technical recommendations to promote more consistent and efficient planning, design, development, testing, and deployment efforts for US-VISIT projects. Specific functions are:

- Architecture provides architecture planning, solution alignment, and integration
- Engineering provides technical and specialty engineering for US-VISIT solutions
- Information Security promotes compliance with Federal security requirements and design principles across solution planning, engineering, delivery, and program operations activities
- Systems Assurance promotes system assurance processes and procedures with validation of project adherence to DHS engineering lifecycle requirements, as well as systems assurance, testing for US-VISIT requirements development and configuration management activities
- Solution Alignment and Integration assures alignment with DHS systems architecture per DHS requirements

FY 2009 Accomplishments

In FY 2009, US-VISIT Program Management Services assisted in achieving DHS goals by charting progress in many areas that are described throughout the expenditure plan. Progress toward maturing program support operations is specifically captured here in the table below. Highlights of FY 2009 accomplishments include ensuring proper staffing by hiring 85 employees, 49 of which were contractor conversions to ensure the retention of the institutional knowledge required to maintain effective program operations. An alternate operating facility was established enabling continued mission operations in an emergency.

Notable process improvements include the development of a US-VISIT strategic implementation plan enabling the establishment of a framework for integrating, prioritizing, and tracking program management improvements; improved investment accountability and transparency with transition from one consolidated program-level Office of Management and Budget Exhibit 300 to seven Exhibit 300s capturing all major investment areas; alignment of the US-VISIT life cycle processes to respond to DHS investment review guidance (DHS Directive 102-01); and improved the contractor performance reviews enabling closer control of projects' cost, scope, and schedule performance because the earned value management is more accurate and relevant. US-VISIT also completed a major refinement of its life cycle cost estimates, enabling it to develop consistent and credible cost estimates of all current and proposed capabilities, which has been applied to the budget formulation and investment review process. This refinement provides support to funding plans and estimates, specifically the US-VISIT expenditure plan, resource allocation plans, and the Exhibit 300s.

All these significant efforts and others, listed in the following table, have resulted in measurable improvements. US-VISIT intends to carry that momentum forward and continue its improvement initiatives in FY 2010. The planned accomplishments are organized by US-VISIT branches responsible for the work.

Table 24, FY 2009 Significant Accomplishments – Program Management Services

FY 2009 Accomplishments	Status
Business Policy and Planning	
Finalize the strategic implementation plan (SIP), building upon the program strategic plan developed in FY 2008. This will ensure budgets and projects are aligned with strategic goals. Completion is expected in Fourth Quarter FY 2009.	Completed. Updating the SIP to reflect changes as the FY 2011–2015 Resource Allocation Plan advances through the budget cycle.
Continue to develop the concept that allows for the efficient intake, assessment, prioritization and initiation of new US-VISIT projects. This will ensure new projects are developed and managed in accordance with best business practices, as identified in the Enterprise Life Cycle Methodology (ELCM) and US-VISIT Delivery Methodology (UDM). US-VISIT plans to complete development of this in Second Quarter FY 2009.	Completed. Concept planning is complete and developing standard operating procedures are being developed.
Develop a governance system that will allow effective input from Departmental stakeholders. The initial meeting of this external governance board will focus on finalizing the governance mechanisms and validating US-VISIT's direction in the 3-5-year timeframe.	Completed. US-VISIT Executive Stakeholder Board meeting was convened in March 2009. Meetings were held quarterly.

FY 2009 Accomplishments	Status
Acquisition and Program Management	
Align US-VISIT life-cycle processes with newly issued guidance from DHS for the investment review process (Directive 102-01) and the standard DHS System Engineering Life Cycle.	Completed September 30, 2009 and conducted targeted briefings and formal training.
Charter an Acquisition Management Alignment Process Action Team by Second Quarter FY 2009 with the purpose of analyzing the most effective steps to transition US-VISIT to align with the new directives.	Completed providing the impact analysis of DHS Acquisition Directive 102 and serving as the basis for implementation.
Establish a Quality Management function within the organization by the end of FY 2009 to implement the Process Improvement Plan developed in FY 2008. Quality Management will ensure process improvements are institutionalized across the organization.	At the end of FY 2009, a quality management function had been established within US-VISIT to institutionalize process improvements.
Obtain final approval of the Process Improvement Plan in First Quarter FY 2009 for addressing the February, 2008 Standard CMM Assessment Method for Process Improvement B Method appraisal issues as well as defining organizational process improvements necessary to implement DHS Directive 102-01.	In order to implement the Process Improvement Plan and DHS Directive 102-01, the US-VISIT quality management and process improvement activities has been elevated to the Office of the Director for oversight and reporting.
Re-compete fingerprint examiner contract for the BSC and a new contract to incorporate all identity services requirements currently supplied under several contractors. Requests for Quotations for the two procurement actions are planned for First Quarter FY 2009. Orders are planned for Second Quarter FY 2009.	Contract awarded in August 2009 for fingerprint examiners and in September 2009 for remaining identity services requirements. This award meets the mission requirements through 2014.
Complete a major acquisition for matchers that will support the transition to 10-print deployment	The major matcher acquisition was completed in the fourth quarter.
Budget and Financial Management	
Complete cost estimates for land exit planning and analysis phases and land exit pilots for pedestrian and low-volume POEs. These estimates will be completed in First Quarter FY 2009.	Completed December 2008.
Complete cost estimates for two Air/Sea Exit pilots that include airline collection of data and CBP collection of data. These estimates will be completed in First Quarter FY 2009.	Cost estimates completed January 2009.
Conduct analysis of program performance measures as part of a continuing effort to improve management information and customer service.	Analysis resulted in changes to three program measures reported to DHS on the basis of improved methodologies.

FY 2009 Accomplishments	Status
Enhance the internal and external consistency of costing standards by incorporating the Government Accountability Office (GAO) Cost Assessment Guide (CAG) into program cost estimating practices contained in the US-VISIT Cost Estimating and Analysis Process (CEAP). This process has been implemented into cost estimated practices and procedures will be revised by Fourth Quarter FY 2009.	A gap analysis identifying shortfalls between the US-VISIT CEAP draft and the GAO CAG was completed in Fourth Quarter 2009. A cost policy document that establishes GAO CAG as guidance will be produced and US-VISIT staff will be trained before the end of Second Quarter FY 2010
Achieve quarterly obligation targets and carry over of not more than 10 percent of available FY 2009 dollars.	Target achieved at less than 10 percent.
Human Capital and Training	
Complete training governance for federal partners in support of 10-print capture technology to ensure compliance with training best practices by Second Quarter FY 2009.	Training governance completed on September 30, 2009.
<p>Continue documentation, analysis and improvement of processes supporting security, on-boarding, recruiting and other human capital activities</p> <p><i>New Employee Program</i> – (1) develop the new hire entry process to welcome and support new employees; (2) develop productivity tracker to measure on-boarding activities including employee access to computer, local area network, email, telephone, workplace location.</p> <p><i>Premium Pay Policy</i> – Develop policy governing coverage, application, procedure, responsibility, and procedures for overtime and compensatory pay.</p> <p><i>Student Loan Repayment Program</i> – Develop policy governing application, requirements, and responsibilities.</p>	<p>Process improvements for the new employee program were implemented on September 30, 2009.</p> <p>Premium pay policy was developed on September 30, 2009.</p> <p>Program was developed on September 30, 2009. Implementation is delayed due to new guidance received from NPPD.</p>
<i>Recruiting and Hiring</i> – Hire an additional 35 Federal employees.	US-VISIT hired 85 employees with an entry on duty status at the end of FY 2009, 49 of these were conversion positions.
Continue documentation, analysis and improvement of processes supporting recruiting and hiring.	Completed the following on September 30, 2009, documented and improved the US-VISIT selection, certification, and hiring processes; guidance enabled US-VISIT to maintain an 85-percent ratio of the 212 authorized FTEs.

FY 2009 Accomplishments	Status
Complete an assessment that aligns the human capital strategy, mission, goals, initiatives and management metrics to the approved US-VISIT strategic plan. This assessment will be utilized in developing and revising the US-VISIT Human Capital Strategic Plan (HCSP).	Completed the following on September 30, 2009: developed structure and content for the US-VISIT HCSP and supporting implementation plan to ensure alignment with the US-VISIT and Human Capital and Training strategic plans, initiatives and status reporting.
Ensure that 90 percent of project managers are certified at the appropriate DHS level to positively impact individuals' effectiveness and program performance by Fourth Quarter FY 2009.	Completed September 30, 2009.
Update the 2008 work force analysis to develop and report additional data on hiring and retention of a diverse workforce in Third Quarter FY 2009.	Identified data requirements and assessed the capability for supporting data analysis in the work force planning efforts on September 30, 2009.
Participate in three job fairs focused on attracting diverse candidates by Fourth Quarter FY 2009.	Completed September 30, 2009.
Administration and Logistics	
Complete technical and logistical groundwork required for Telework operations. Start Telework Policy Phase II - Full Deployment.	Completed the telework policy. Pilot tests have been initiated and technical improvements identified to achieve full development of a telework program.
Participate in Second Quarter FY 2009 DHS National Level Exercise to test and refine Continuity of Operations Plan (COOP) response capabilities and maintain critical operations in the event of a major incident.	US-VISIT was an active participant in June Eagle Horizon National Continuity Exercise. COOP was developed and management structure established to support mission operations.
Prepare for participation in Top Officials 5 (TOPOFF 5) National Level Exercise per management directives in third quarter of FY 2009. The TOPOFF 5 Exercise Series is a required exercise program to test and assess the ability of DHS to prevent, prepare for, respond to and recover from a terrorist attack. US-VISIT will prepare and participate in this exercise to ensure the ability to support the wider DHS mission and test US-VISIT's ability to respond to national level incidents.	TOPOFF 5 Exercise was replaced by the National Level Exercise that took place in July 2009. COOP will be updated to reflect lessons learned.
Procure an alternate operating facility for US-VISIT mission essential personnel and functions for use during a COOP event by end of Third Quarter FY 2009. Prepare for and conduct internal incident management test and tabletop exercises in Fourth Quarter FY 2009 to include testing of new alternate operating facility.	US-VISIT AOF in Baltimore, Maryland, is fully operational as of August 2009. Facility is available as a telework location for US-VISIT staff during non-emergency operations.

FY 2009 Accomplishments	Status
Communications and Public Liaison	
Educate stakeholders and partners about the program's identity management services, particularly the expectations for 10 fingerprint collection at all airports, seaports and land border POEs, and deployment of biometric exit in airports and seaports.	Promoted awareness among stakeholders and partners of US-VISIT's transition to a 10 fingerprint collection standard and testing of biometric exit procedures.
Position US-VISIT as a biometrics leader, communicating effectively with key audiences that are important to US-VISIT's strategy within the U.S. Government (executive and legislative branches), state and local governments, foreign governments, and the private sector about the benefits of US-VISIT biometric services, possibilities of collaboration, and further technical development (e.g., multimodal biometrics).	Updated the government and private sector stakeholders through written reports and key speaking opportunities to explain biometric developments and advances in government cooperation.
Generate worldwide awareness about the deployment of biometrics technology and procedures among travelers and external stakeholders.	Offered comprehensive information about U.S. travel procedures to foreign visitors through varied communication methods.
Support implementation of the next phase of IDENT/IAFIS interoperability by developing public education materials that communicate the benefits of the interoperability for local law enforcement and demonstrate the success of the program to date.	Coordinated with ICE and CJIS on the production and distribution of educational and press materials for Security Communities deployment.
Generate awareness about the implementation of new airport exit pilots and subsequent deployment of an air exit solution among stakeholders and travelers.	Developed a comprehensive communications outreach program for the air exit pilots that included briefings to Congress, stakeholders and media, as well as informational materials and signage in multiple languages to educate travelers at the air exit pilots.
Systems Engineering	
Complete an enterprise security risk assessment plan.	Completed May 13, 2009.
Update the US-VISIT security policy and incident response plan.	Completed and provided security inputs to the US-VISIT Privacy Incident Response plan; updated security policies and the security control and requirements catalog.
Promote compliance with Federal security requirements and design principles across planning, engineering, and program operations activities.	Completed July 9, 2009 and updated the US-VISIT Application Architecture Guidance, Release 3.2.
Maintain the US-VISIT Federal Information Security Management Act score of "A".	Completed July 31, 2009.

FY 2009 Accomplishments	Status
<p>Complete certifications and accreditations necessary to maintain authority to operate for the following systems:</p> <ul style="list-style-type: none"> • Initial data center migration in the fourth quarter • US-VISIT local area network in the second quarter • US-VOICE (a document management system) in the second quarter • SERENA (a technical document management system) in the first quarter • ADIS in the fourth quarter • Smart Border Alliance Metropolitan Network in first quarter. 	<p>Completed March 23, 2009.</p> <p>Completed March 23, 2009.</p> <p>Completed June 26, 2009.</p> <p>Completed July 2, 2009.</p> <p>To be completed First Quarter FY 2010.</p> <p>Completed March 9, 2009, and June 18, 2009.</p>
Implement and align target architecture to the US-VISIT ELCM and UDM life cycles.	Architectural process was integrated into UDM Release 6.1.
Provide support to the systems assurance function which includes UDM development, creation of processes and procedures to ensure adherence to UDM, and creation of test and evaluation processes and procedures. System assurance also supports US-VISIT requirements development and management activities. A detailed approach for these configuration and requirement development activities support will be in a future UDM release at the end of Second Quarter FY 2009.	Completed September 30, 2009 and included within UDM Release 6.1.

FY 2010 Planned Accomplishments

In FY 2010, US-VISIT Program Management Services has aggressive plans for further maturing program management processes. Areas of emphasis include implementing plans developed in FY 2009 for improving acquisition practices through implementation of the recommendations of a contract process action team and complying with DHS Directive 102-01 guidance on investment management practices; implementing a business initiation process to better serve customers and clarify US-VISIT roles and responsibilities; and maintaining an "A" rating under the Federal Information Security Act by adhering to IT information security best practices. In addition to the above, the table below provides additional planned accomplishments for FY 2010.

Table 25, FY 2010 Planned Accomplishments – Program Management Services

FY 2010 Planned Accomplishments	Target
Business Policy and Planning	
Complete US-VISIT Data Governance Planning and Implementation documentation. A formal strategy and implementation plan for the handling, quality, and use of US-VISIT data will increase the reliability and value of data to stakeholders.	Fourth Quarter
Update Privacy Impact Assessments for IDENT and ADIS.	Second Quarter
Develop Business Initiation policy and process. A consistent and formal business initiation process will ensure all new initiatives receive the same level of visibility and review, and will improve interactions with new stakeholders.	Second Quarter
FY 2010 Planned Accomplishments	Target

FY 2010 Planned Accomplishments	Target
Develop a business services catalog. This catalog will more clearly communicate US-VISIT's capabilities and services, thus facilitating new users and initiatives	Third Quarter
Develop a requirements development and management policy in accordance with DHS Acquisition Directive 102. This policy will ensure US-VISIT project development is in alignment with department standards.	Second Quarter
Establish a consolidated operational and functional requirements database accessible by the US-VISIT requirements tool (DOORS). This database will allow all elements of US-VISIT to identify business needs and document when needs are addressed.	Fourth Quarter
Acquisition and Program Management	
Develop a long range plan to implement the various recommendations from the Contract Process Action Team that reported out in late FY 2009. The high-level initiatives will result in additional competitive efforts for some of the work currently being performed by the prime integrator; most notably the work for critical mission areas such as O&M and Systems Engineering Support.	Fourth Quarter
Prepare for a DHS Acquisition Review conducted by the Acquisition Program Management Division (DHS Office of Procurement Operations).	Third Quarter
Process Improvement, Independent Validation and Verification and Quality Management	
Implement the Process Improvement Plan to continue to address process improvements necessary to obtain Level 2 Capability Maturity Model Integration (CMMI), deficiencies identified by program quality assurance (QA)/independent verification and validation assessments, and improvements necessary to implement DHS Directive 102-01.	First Quarter
Budget and Financial Management	
Refine the US-VISIT Life Cycle Cost Model.	First Quarter
Provide training to US-VISIT senior management, program, and project personnel by a cost estimating firm to facilitate an understanding of the GAO CAG practices.	Second Quarter
Implement a performance management repository for storage of US-VISIT measurement data.	First Quarter
Train program staff to comply with the standards and utilize the procedures of the GAO CAG in the areas of program management and cost estimation.	Fourth Quarter
Achieve quarterly obligation targets and carry over of not more than 10 percent of available FY 2010 dollars.	10 percent or less
Assess US-VISIT performance measurement practices against Software Engineering Institute CMMI Level 2 measurement and analysis criteria and draft an improvement plan to assist the program in attaining Level 2 Certification.	Second Quarter
Enhance the internal and external consistency of costing standards by incorporating the GAO CAG into program cost estimating practices contained in the US-VISIT CEAP. This process has been implemented into cost estimating practices.	Fourth Quarter
Analyze and recommend appropriate improvements to US-VISIT program performance measures and submit to NPPD for vetting, approval, and elevation to DHS headquarters.	Third Quarter
Human Capital and Training	
Design and develop methodology for tracking and maintaining human capital and training data.	Through Fourth Quarter

FY 2010 Planned Accomplishments	Target
Ensure that 75 percent of identified project managers are certified at the appropriate DHS Acquisition Program Management level to positively impact individuals' effectiveness and program performance. Completion of these certifications will assist US-VISIT in complying with the Management Directive 064-04 Acquisition Professional Career Information.	Through Fourth Quarter
Ensure that 75 percent of all new supervisors receive required leadership and management training. This training will provide supervisors with the skills and knowledge needed to more effectively manage the workforce.	Through Fourth Quarter
Develop and implement quarterly supervisor forums, building the skills and capabilities of managers and supervisors.	First Quarter
Develop and implement enhancements for the following strategic human capital and training activities to include: <ul style="list-style-type: none"> • Develop an annual plan to target the skill sets required with a focus on maintaining a diverse working environment • Attend two career fairs targeted to underrepresented populations • Document and implement the employee exit processes phase of the employee lifecycle. 	Through Fourth Quarter
Complete the following strategic planning activities as agreed to with the Office of the Chief Human Capital Officer: <ul style="list-style-type: none"> • Execute against goals and milestones identified within the US-VISIT HCSP, Appendix A. Implementation Plan throughout FY 2010 • Complete an assessment and validation of the HCT SIP and alignment to the HCSP for FY 2010 to 2013 Implement metrics and reporting to demonstrate progress against the HCSP Implementation Plan.	Through Fourth Quarter
Develop and implement a plan to continue the workforce realignment efforts to increase Federal staff within current funding levels through organizational design, recruitment, selection, and on-boarding.	Through Fourth Quarter
Implement the revised workforce planning process (built upon DHS workforce planning guidance) to provide basic data on forecasted workforce needs by occupational series to support US-VISIT planning efforts.	First and Second Quarter
Administration and Logistics	
Establish a record management capability in accordance with a DHS Chief Administrative Officer strategic objective: US-VISIT will complete an inventory of records, develop and implement records management policies and procedures.	Fourth Quarter
Participate in FY 2010 DHS National Level Exercise to test and refine US-VISIT biometric mission operations in response to a major incident. Deploy to the AOF under a simulated emergency environment to perform mission essential functions such as test emergency capabilities, refine COOP response capabilities and maintain critical operations in the event of a major incident.	Third Quarter
Procure a replacement facility for US-VISIT BSC West by completing actions to achieve full operational capability.	Third Quarter
Continue roll-out and implementation of Environmental Management System action. Complete actions to achieve full compliance with Executive Order 13423 and conduct a management review to assess extending the system beyond the Arlington, Virginia facility.	Second Quarter

FY 2010 Planned Accomplishments	Target
Communications and Public Liaison	
Implement a global public education program to maintain and expand awareness, understanding, and acceptance of US-VISIT and the value of biometric technology to enhance immigration and border management among travelers, the news media, and stakeholders, domestically and abroad.	Fourth Quarter
Generate awareness of the air-sea biometric final rule and implementation of new biometric exit procedures among stakeholders and the traveling public to ensure travelers understand new requirements upon departing the United States.	Fourth Quarter
Systems Engineering and Security	
Complete certification and accreditation for IDENT, a security requirement for continued systems operations and integrity.	Third Quarter
Transition UDM to Systems Engineering Life Cycle in support of the US-VISIT transition to DHS Directive 102-01.	Third Quarter
Update US-VISIT security policy and incident response plan.	First Quarter
Maintain the US-VISIT Federal Information Security Management Act score of "A".	Fourth Quarter

D. Program Investments

Program investments provide funding for contractual services to plan, develop, and deploy capabilities to strengthen biometric identity and screening missions as described in this section. Funding for government FTEs and program office support contractors who plan and oversee the contractual work is included in Program Management Services.

A. Unique Identity/10-Print Interoperability

The 10-Print/Interoperability initiative, referred to as “Unique Identity,” includes integrated work streams for developing 10-print capture and achieving interoperability between IDENT, IAFIS, and ABIS biometric databases; the sharing of the data with state, local, and tribal law enforcement organizations; the sharing of data with the international stakeholders; and additional capabilities to expand the use of biometrics. The objective is to facilitate travel by reducing the number of travelers sent to secondary processing by providing more data and reducing the likelihood of misidentifying a traveler on a US-VISIT watchlist.

Table 26, Summary of Costs – Unique Identity

Unique Identity/10-Print Interoperability (S in millions)	Carryover Funds	FY 2010	Total Funds
Wrap-back functionality - Deploy capability that notifies authorized agencies of subsequent criminal and civil data to an existing biometric record.	-	14.4	14.4
Full deployment of IDENT data response - Enables the full IDENT data response functionality.	-	14.3	14.3
Interoperability with DOD - Development communications and biometric data sharing capabilities.	6.7	-	6.7
Total Unique Identity/10-Print Interoperability	6.7	28.7	35.4

FY 2009 Accomplishments

The opportunities to identify persons of interest has increased with 10-Print deployment as 10 prints are more likely to be matched to latent fingerprints that are maintained in criminal and intelligence biometric data stores. Interoperability initiatives with both foreign and domestic partners enrich the databases used by border management, intelligence, and law enforcement agencies, and increase the probability of identifying persons of interest.

Table 27, FY 2009 Significant Accomplishments – Unique Identity

FY 2009 Accomplishments	Status
Deploy 10-print capability to 2,600 air, sea, and land inspection lanes.	Capability to capture 10 fingerprints from over 97 percent of in scope travelers achieved by December 31, 2008.
Deploy interoperability Initial Operating Capability.	Completed two months ahead of schedule on October 27, 2008.

FY 2009 Accomplishments	Status
Deploy 10-print capability to the remaining 700 inspection lanes within the POEs that cover the final 3 percent of in-scope travelers.	US-VISIT shipped all 10-print devices required to support the planned deployment in March 31, 2009. Deployment to some locations is delayed until December 31, 2009 due to delays in CBP network and hardware upgrades.
Plan, analyze and deploy hardware and systems enhancements to support increased capacities resulting from larger Secure Communities Deployment.	This initial deployment was completed March 2009. The original goal of supporting 52 sites was achieved on June 9, 2009, due to delays beyond the control of US-VISIT, including the signing of the Memorandum of Agreement between ICE and the California DOJ and technical issues at the California department., A decrease in matcher technology costs and bulk purchasing discounts lead to efficiencies, thus enabling US-VISIT to support ICE in expanding Secure Communities deployment. As of August 31, 2009 a total of 80 sites were supported.
Develop requirements for automated hit notifications.	US-VISIT completed the requirements effort on September 30, 2009. CJIS still developing requirements.
Develop requirements for record linking.	US-VISIT completed the requirements effort on September 30, 2009. CJIS still developing requirements.
Develop requirements for wrap-back.	US-VISIT completed the requirements effort on September 30, 2009. CJIS still developing requirements.
Develop requirements for Composite Model Separate Image Repository.	US-VISIT has completed requirements for this effort. CJIS still developing requirements.
Begin discussions with CJIS to allow for more sharing of IAFIS datasets.	Discussions have begun. Two data sets have been identified for sharing and are under DOJ Legal Counsel review for privacy impacts.
Develop interoperability with DOD.	Began planning stage and convened the Integrated Project Team.
Develop capability that permits selective searching of the IDENT watchlist database.	This capability is no longer required due to a change in CJIS policy which allows for limited selective searching

FY 2009 Accomplishments	Status
	<p>which can be done with a modest front end filter modification. The cost avoidance related to this capability has been reallocated to other capability enhancements. Approximately \$23 million of the funding originally scheduled for Selective Search is being used to support other Unique Identity needs such as multi-modal, enterprise services business and Technical Reconciliation Analysis Classification System (TRACS). These activities are outlined in the FY 2010 Planned Accomplishments for Unique Identity.</p>

FY 2010 Planned Accomplishments

In FY 2010, US-VISIT plans to complete the 10-print matcher deployment, establish data sharing agreements with Germany, deploy wrap-back functionality, and complete the IDENT data response deployment.

In addition to the previous, the following table provides additional FY 2010 planned accomplishments.

Table 28, FY 2010 Planned Accomplishments – Unique Identity

FY 2010 Planned Accomplishments	Target
Initiate the development of the capability to compare partial sets of prints captured at crime scenes or other locations and compare them to the biometrics retained in IDENT. This capability will provide a more automated approach for processing latent prints as well as increase capacity to permit large volumes of latent print transactions.	First Quarter
Deploy Phase 2 of TRACS to establish the necessary base level of automated support required for execution of LE&I's critical business functions, i.e., review and update of the IDENT watchlist and the analysis of watchlist matches and the associated identity information.	Second Quarter
Deploy multi-modal pilot, including development of an architecture and design of capabilities that can support identity services using multiple biometrics. The pilot will be conducted at five airport locations in conjunction with the CBP Global Enrollment System activities and utilize one or two biometrics in addition to fingerprints. The pilot will operate for an initial period and will support activities leading to the deployment of a limited production pilot.	Second Quarter
Deploy Phase 1 and begin planning for Phase 2 of the full enterprise service bus: integrate and collapse three external point to point interfaces, re-factor the IDENT eXchange Messaging component, implement monitoring capabilities at the	Second Quarter

FY 2010 Planned Accomplishments	Target
messaging layer, provide high availability messaging in one data center and deliver the associated security layer.	
Deploy 10-print matching capability: enhance matching capability from current 2-print standard to the ability to match based on 10 prints. This capability will enhance verification of an individual's biometrics.	Third Quarter
Develop requirements for Phase 3 of TRACS: complete requirements allowing for development of TRACS Phase 3. Phase 3 will further increase process efficiencies by establishing automated input and output of work products, particularly regarding other automated systems both within and outside the US-VISIT Program.	Fourth Quarter
Deploy wrap-back functionality which notifies authorized agencies of subsequent criminal or civil data to an existing biometric record.	Fourth Quarter
Complete the deployment of IDENT data response, which provides state and local law enforcement biometrically, verified identities and notification to ICE Law Enforcement Support Center for further analysis and potential action.	Fourth Quarter
Plan, analyze and initially design the interface between IDENT and ABIS that will permit communication of transactions between the two systems, allow searching each system for matches against stored biometric data, and return a message with the search results. These efforts will include requirements development of capabilities to conduct latent searches.	Fourth Quarter
Deploy US-VIEWER Phase 2 to enhance ad hoc reporting capabilities and administrative tools in addition to the development of additional standardized reports to the US-VISIT enterprise reporting capability.	Fourth Quarter
Develop data sharing agreements with Germany enriching IDENT/ADIS with new biometric and biographic actionable information and deploy mechanisms enabling Germany's use of US-VISIT services.	Fourth Quarter

B. Comprehensive Biometric Exit

The Comprehensive Biometric Exit initiative includes the initiation, development, and implementation of a comprehensive solution to capture biometric information from travelers subject to US-VISIT as they exit the United States. This initiative supports requirements of the *Intelligence Reform and Terrorism Prevention Act of 2004*, and enhances the integrity of the immigration system. US-VISIT previously deployed capabilities to capture traveler biometric information (inkless fingerscans and digital photographs) during entry.

Deployment of a comprehensive biometric exit solution enables the matching of exit records to entry records to determine which travelers have left the country based on their biometric data. This capability provides several benefits. First, the use of biometrics confirms the identity of the person leaving the country, indicating the traveler's compliance with immigration laws, and addressing the problem of travelers using multiple identities, which is more likely to be successful when only biographic information is used. Second, this solution maximizes investigative resources by preventing searches for travelers who have already left the country. Furthermore, at a policy level, this capability provides the ability to identify overstays by country and visa category to inform decision makers on overall compliance with and effectiveness of immigration laws. Identification of overstays also assists DHS in the determination of the extension or denial of VWP privileges to countries.

Once a decision is reached on the best solution, US-VISIT will use no less than \$28 million from the unobligated balance of prior year appropriations and \$22 million in the FY 2010 appropriation to begin the implementation of a biometric air/sea solution. When a final rule is issued, US-VISIT will have implementation milestones available.

Table 29, Summary of Costs – Comprehensive Biometric Exit

Comprehensive Exit (S in millions)	Carryover Funds	FY 2010	Total Funds
Air/Sea Exit - Design, development, test, deployment and implementation of a comprehensive biometric solution to capture biometric information from travelers exiting the United States through air and sea POEs.	28.0	22.0	50.0
Land Exit - Design and piloting of a biometric solution to capture biometric data from travelers exiting the United States through land POEs.	5.2	-	5.2
Total Comprehensive Biometric Exit	33.2	22.0	55.2

FY 2009 Accomplishments

US-VISIT and partners successfully completed two air exit pilots. Results were evaluated and distributed in an evaluation report that was delivered to Congress in October 2009. This evaluation report, in conjunction with an economic analysis, will provide the framework for policy decision makers, DHS, and other government stakeholders to determine future tasks and endeavors associated with air exit.

Table 30, FY 2009 Significant Accomplishments – Comprehensive Biometric Exit

FY 2009 Accomplishments	Status
Complete Land Exit Planning Report and deliver to DHS.	Report was delivered.
Begin Land Exit National Environmental Policy Act Compliance Analysis.	The <i>National Environmental Policy Act</i> compliance analysis is on hold pending DHS approval of the land planning document.
Develop kiosk and assist CBP in the implementation of H-2 land temporary worker pilot.	The kiosks have been developed and tested. US-VISIT is on track to complete testing and ship the kiosks to CBP by November 14, 2009. Revised deployment date is December 2009.
Test at least two scenarios to assess alternative approaches for collecting biometric information from in-scope travelers departing the United States from air POEs and deploy associated reporting capabilities to support analysis.	Pilot was conducted and two scenarios were tested in June 2009. Results were documented in an evaluation

FY 2009 Accomplishments	Status
	report, which was delivered in first quarter FY 2010.

FY 2010 Accomplishments

US-VISIT will use the H2-Land Exit carry over funds for operations and maintenance. This exit capability is currently at San Luis and Douglas, Arizona. During FY 2010, CBP will be evaluating the pilot.

Table 31, Significant Accomplishments – Comprehensive Biometric Exit

FY 2010 Planned Accomplishments	Target
Develop kiosk and assist CBP in the implementation of H2 land temporary worker pilot.	First Quarter

C. Data Center Mirror and Migration

The DCMM initiative ensures 100-percent availability for IDENT and ADIS and will provide continuity of operations in the event of an unplanned outage of services. At the same time, this initiative will provide a modernized architecture for IDENT and ADIS and is consistent with the DHS Data Center consolidation objective. This project involves the migration of IDENT and ADIS from the DOJ data centers in Rockville, Maryland, and Dallas, Texas, to the two DHS consolidated data centers. Each DHS data center will contain identical IDENT and ADIS systems resulting in mirrored systems and 100-percent redundancy.

The project involves moving hardware, software, and related equipment and services from the current DOJ data centers to the DHS consolidated data centers in Stennis, Mississippi, and Clarksville, Virginia. At the conclusion of this project, US-VISIT will have fully operational facilities with disaster recovery capabilities to ensure continuity of operations in the event of a systems outage or hardware failure.

This project will be accomplished in three phases. In the initial phase, a new data center environment built on a modernized architecture will be deployed in Clarksville. This data center will be sufficient to meet or exceed the performance, capacity and application functionality of the configuration in the Dallas Data Center and will allow a migration of service activities from the Dallas Data Center. To maintain US-VISIT SLAs, both the old and new data centers will be operational simultaneously until the new center can be fully established and tested. Once full service handover has occurred, which is anticipated in FY 2010, it will be possible to decommission the Dallas Data Center.

In the second phase, a similar process will be undertaken for the Rockville Data Center, during which the Stennis Data Center will be brought online and services will be migrated from Rockville. As with Clarksville, technological capabilities for disaster recovery and failover in Stennis will be implemented, allowing Rockville to be decommissioned.

The third phase of the project involves the final configuration high-confidence validation of disaster recovery and failover systems between Stennis and Clarksville.

Table 32, Summary of Costs – Data Center Mirror and Migration

Data Center Mirror and Migration (\$ in millions)	Carryover Funds	FY 2010	Total Funds
Hardware - Servers, database, switches, and related items needed to build the modernized IDENT and ADIS in Clarksville, Virginia and Stennis, Mississippi as well as facilitating disaster recovery.	-	21.5	21.5
Software - Application items needed to build the modernized IDENT in Clarksville, Virginia and Stennis, Mississippi.	0.6	1.7	2.3
Labor - Support services to implement the modernized IDENT in Clarksville, Virginia and Stennis, Mississippi as well as the costs for managed services.	-	22.0	22.0
Total Data Center Mirror and Migration	0.6	45.2	45.8

FY 2009 Accomplishments

In FY 2009, the initiative preceded as planned, though complex dependencies and the need to follow a data migration plan that minimized risk related to continuity of operations impacted the schedule in the latter half of the fiscal year.

In terms of operational results related to the initiative, the true test during the migration is simply whether US-VISIT continually maintains its SLAs for IDENT and ADIS. In FY 2009, the US-VISIT DCMM team was successful in working towards planned accomplishments with no perceivable impact to core system SLAs.

The DCMM initiative has a finite timeframe with discrete planned milestones. US-VISIT's goal is to complete the initiative on time and within budget with respect to the ultimate goal of migrating US-VISIT core systems from Dallas and Rockville to the new DHS data centers, while maintaining continuity of operations and data integrity.

Table 33, FY 2009 Significant Accomplishments – Data Center Mirror and Migration

FY 2009 Accomplishments	Status
Build and test Clarksville Core Infrastructure.	Completed.
Add majority of matchers to Clarksville.	Partial completion. Final configuration moved to FY 2010.
Add database to Clarksville in Fourth Quarter FY 2009.	Partial completion. Final configuration moved to FY 2010.
Add remaining matchers to Clarksville in First Quarter FY 2010.	Moved to FY 2010.

As reflected here, US-VISIT completed the Clarksville core infrastructure installation of the two-print matcher subsystem infrastructure, including the hardware and additional capacity to the matcher cluster for connecting the new DHS enterprise platform in Clarksville to legacy DOJ production platforms. The DCMM team established monitoring capabilities for the expanded US-VISIT processing infrastructure regarding connectivity, transactions, and applications.

The matcher addition in Clarksville that was slated for Third Quarter FY 2009 was delayed. Firewall and remote connectivity, as well as establishing DHS Clarksville change request procedures were contributing factors. US-VISIT has taken steps to improve processes and expects to complete the work in First Quarter FY 2010.

The IDENT and ADIS database, storage, and backup infrastructure were installed in FY 2009 with the final configuration and implementation targeted for first quarter of FY 2010. The Oracle database upgrade from 9i to 11g will improve database backup processes and security controls.

Finally, in addition to the planned activities noted above, the DCMM team also initiated the planning and engineering process in order to build the core infrastructure and establish required processes and procedures in Stennis to position this data center for forthcoming production deployment of US-VISIT systems and data in order to achieve performance-balancing objectives.

FY 2010 Planned Accomplishments

The FY 2010 funding for US-VISIT will be used to achieve IDENT and ADIS system capacities from the organic growth of data capture, implement system and processing reliabilities and to meet critical deficiencies within the current IT infrastructure regarding transition from two to ten print capture as initiated in FY 2009. US-VISIT will execute a high-priority mirror and migration effort to overcome limited physical data storage growth within the existing data centers and to establish critical IDENT redundancies for workload leveling and disaster recovery during the first phase of mirroring and migration to the DHS enterprise data centers.

Table 34, FY 2010 Planned Accomplishments – Data Center Mirror and Migration

FY 2010 Planned Accomplishments	Target
Add remaining matchers to Clarksville in First Quarter 2010.	First Quarter
Complete the deployment of the US-VISIT matcher cluster to Clarksville, including the establishment of connectivity between DHS data center in Clarksville and the legacy DOJ data center in Rockville, Maryland.	First Quarter
Complete final configuration and installation of database in Clarksville in tandem with DOJ Rockville Data Center technical refresh and the Oracle 11 migration.	Second Quarter
Establish data replication to legacy databases in the DOJ Rockville Data Center, including the establishment of monitoring capabilities for the expanded US-VISIT processing infrastructure regarding connectivity, transactions and applications.	Second Quarter
Complete the Clarksville Data Center migration and processing cut-over from the DOJ data center in Dallas, Texas.	Third Quarter
Build and test the Stennis Data Center core infrastructure.	Third Quarter
Decommission Dallas Data Center for US-VISIT processing. Equipment at this DOJ data center will be redeployed to Clarksville to complete the data center activities and US-VISIT data-mirroring requirements.	Third Quarter
Redeploy matchers from the Dallas Data Center to Stennis Data Center.	Fourth Quarter

Appendix A: Certifications

These pages provide the certifications relating to the FY 2010 Expenditure Plan for US-VISIT.


Office of the Chief Human Capital Officer
U.S. Department of Homeland Security
Washington, DC 20528



**Homeland
Security**

SEP 30 2009

MEMORANDUM FOR: Dallas C. Brown, III
Chief Operating Officer
NPPD

FROM: Jeffrey R. Neal 
Chief Human Capital Officer

SUBJECT: Chief Human Capital Officer Certification for
US-VISIT 2010 Spend Plan

I certify that the United States Visitor and Immigrant Status Indicator Technology (US-VISIT) program's human capital activities demonstrate a coherent framework for managing its workforce. This certification is based on a review of US-VISIT documents and on discussions with US-VISIT Human Capital personnel.

During FY 2009 US-VISIT made great strides in attaining various goals, which resulted in numerous accomplishments. US-VISIT filled 79 percent (or 168 on board) of their 212 authorized positions. They currently have 19 selectees with Tentative Job Offers who are in process, and they are averaging 55 work days from the date of hire request to the Tentative job Offer being presented. Finally, US_VISIT will have 7 of 8 project managers with certification by the end of FY09 (2 of the certifications are pending in the Office of the Chief Procurement Officer), and they have completed individual development plan training for more than 90 percent of staff members.

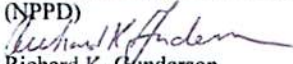
To ensure continued compliance, DHS Office of the Chief Human Capital Officer will continue to work with US-VISIT to enhance its Human Capital Strategic Plan (HCSP). We will meet semi-annually with US-VISIT staff (March 2010) to track progress of their efforts and ensure that action plans and metrics show the results of Human Capital initiatives and how they align with DHS strategic human capital initiatives.

Any questions concerning this certification should be addressed to Ms. Erin Hayes, Deputy Director for Workforce Planning and Strategic Staffing Policy at erin.hayes@dhs.gov or on 202-357-8355.

NOV 18 2009



**Homeland
Security**

MEMORANDUM FOR: Rand Beers
Under Secretary, National Protection and Programs Directorate
(NPPD)
FROM: 
Richard K. Gunderson
Department of Homeland Security, Acting Chief Procurement Officer
(CPO)
Subject: CPO Certification for the United States Visitor and Immigrant Status
Indicator Technology (US-VISIT) Program

As required by the Department of Homeland Security's (DHS) FY 2010 appropriations, I certify that the US-VISIT program:

- Was reviewed by the Department's Acquisition Review Board (ARB) on 17 November 2008 resulting in a favorable Acquisition Decision Memorandum (ADM) dated 11 February 2009. Furthermore, US-VISIT is scheduled to be reviewed in the 2nd quarter of FY10 in accordance with DHS' acquisition management process.
- Has fulfilled all capital planning and investment control requirements and reviews established by the Office of Management and Budget, including those detailed in Circular A-11, part 7. Exhibits supporting US-VISIT projects were transmitted to OMB on 18 September 2009: Arrival and Departure Information System (ADIS), Automated Biometric Identification System (IDENT), and Unique Identity/10-Print Interoperability. All three exhibits received a passing score of 37 from an internal DHS investment review.
- Complies with Federal and DHS acquisition rules, requirements, guidelines and practices.

Furthermore, DHS' Office of Procurement Operations (OPO) performed an internal assessment of a subset of USVISIT contracts in May 2009 to ensure the appropriate Federal and internal procurement regulations and policies were being followed. This assessment indicated that US-VISIT contracts were being administered appropriately and did not identify any areas of non-compliance. In addition, my office is scheduled to conduct a triennial review of OPO contracting activities, which will include US-VISIT contracts, during the first quarter of FY10.

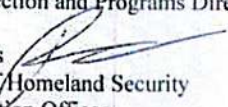
The Department will continue to oversee the efforts of the US-VISIT program through capital planning and investment control procedures with continued emphasis on compliance with Departmental investment review policies, management directives, and acquisition policies and procedures.



**Homeland
Security**

DATE: January 26, 2010

MEMORANDUM FOR: Chase Garwood
Chief Information Officer
National Protection and Programs Directorate

FROM: Richard Spires 
Department of Homeland Security
Chief Information Officer

SUBJECT: Certification of US-VISIT Program
FY10 Expenditure Plan

The Department of Homeland Security Appropriations Act of 2010 (Pub. L. 111-83) signed into law on October 28, 2009 requires the United States Visitor and Immigrant Status Indicator Technology (US-VISIT) Program to provide an expenditure plan that meets the statutory conditions specified under this heading in Public Law 110-329.

Public Law 110-329, Sec 2, Div. D, Title III includes the condition that the spend plan include (5) (A) "a certification by the Chief Information Officer of the Department that 1) an independent verification and validation agent is currently under contract for the project; 2) the system architecture of the program is sufficiently aligned with the information systems enterprise architecture of the Department to minimize future rework, a) including a description of all aspects of the architecture that were or were not assessed in making the alignment determination, b) the date of the alignment determination, and any known areas of misalignment along with the associated risks and corrective actions to address any such areas; and 3) the program has a risk management process that regularly identifies, evaluates, mitigates, and monitors risks throughout the system life cycle, and communicates high-risk conditions to agency and Department investment decision makers; and (b) a listing by the Chief Information Officer of all the program's high risks and the status of efforts to address them."

Subsequent to my staff's review of the artifacts provided by US-VISIT, and as a follow up to my November 18, 2009 program review and January 20, 2010 discussion, I provide the requested certification for the FY10 Expenditure Plan. To ensure continued enterprise architecture alignment, and a robust risk management process, the US-VISIT program shall take the attached tasks for action. Questions may be directed to Deborah Gallagher at 202-282-9259.

Attachment:
FY 2010 US-VISIT Required Actions - CIO Certification

FY 2010 US-VISIT Required Actions - CIO Certification

- 1) As agreed in the January 20, 2010 meeting, US-VISIT agrees to be fully migrated to the DHS data centers, including the decommissioning of their current centers, no later than March 25, 2011.
- 2) As requested in my November 17, 2009 program review, and the subsequent review associated with the FY 2010 Appropriations Act Certification, I have asked US-VISIT to submit an efficiency plan to me no later than June 30, 2010.
 - Sub-paragraph 2) addresses the certification for Enterprise Architecture (EA) alignment to determine whether the program is being run efficiently "to ensure the minimization of future work."
 - The plan will be developed from an overall program lifecycle review and contain, at a minimum, a methodology from the gathering of new requirements, incorporating the requirements into the system design, testing (functional and system), to a plan to more efficiently operate and maintain the existing systems.
 - Overall the plan will provide a roadmap to allow better decision making, increase productivity, show a faster turnaround time to integrate new requirements, and enhance program planning.
- 3) Risk Management (RM) criteria from the Appropriations Act and DHS require the RM process to "regularly identify, evaluate, mitigate, and monitor risks throughout the system life cycle, and communicates high-risk conditions to agency and Department investment decision makers." The review team recognized several areas of concern in the process. To ensure the RM process better meets the criteria, the below actions are requested.
 - Update the Risk Management Plan with provisions for:
 - Communicating high risk conditions to agency and Department investment decision makers
 - Acceleration of critical and unforeseen issues
 - Random auditing
 - Changes in the risk impact scale (as noted in artifacts)
 - Analyze and modify risk reports
 - Show the probability and impact of high priority risks
 - Distinguish between risks, issues and the status of each
 - Distinguish between realized risks and unforeseen issues
 - Add an impact score for each project and activity so decision makers can quickly focus on risks and issues of high importance to US-VISIT
 - Evaluate the Risk Management Tool for update or replacement.

Please see the attached evaluations for more detailed information. Questions may be directed to Deborah Gallagher at 202-282-9259.

Attachments:

US-VISIT Enterprise Architecture Certification Assessment
US-VISIT Risk Management Certification Assessment
US-VISIT IV&V Certification Assessment

**United States Visitor and Immigrant Status Indicator Technology (US-VISIT)
DHS CIO Enterprise Architecture Certification Documentation
FY10 Expenditure Plan
January 8, 2010**

Background

The Department of Homeland Security Appropriations Act of 2010 (PL 111-83) signed into law on October 28, 2009 contains the following requirement for United States Visitor and Immigrant Status Indicator Technology (USVISIT).

“For necessary expenses for the development of the United States Visitor and Immigrant Status Indicator Technology project, as authorized by section 110 of the Illegal Immigration Reform and Immigrant Responsibility Act of 1996 (8 U.S.C. 1365a), \$373,762,000, to remain available until expended: *Provided*, That of the total amount made available under this heading, \$75,000,000 may not be obligated for the United States Visitor and Immigrant Status Indicator Technology project until the Committees on Appropriations of the Senate and the House of Representatives receive a plan for expenditure, prepared by the Secretary of Homeland Security, not later than 90 days after the date of enactment of this Act that meets the statutory conditions specified under this heading in Public Law 110-329: *Provided further*, That not less than \$28,000,000 of unobligated balances of prior year appropriations shall remain available and be obligated solely for implementation of a biometric air exit capability.”

Public Law 110-329, the FY2009 Department of Homeland Security’s appropriation act, Congress inserted several certification requirements for the US-VISIT program. Sub-paragraph (5) (2) of the appropriation, states “a certification by the Chief Information Officer of the Department that the system architecture of the program is sufficiently aligned with the information systems enterprise architecture of the Department to minimize future rework, including a description of all aspects of the architectures that were and were not assessed in making the alignment determination, the date of the alignment determination, and any known areas of misalignment along with the associated risks and corrective actions to address any such areas.”

Documents Reviewed

1. US Visit DHS CIO Enterprise Architecture Certification Documentation FY 09 Expenditure Plan
2. US VISIT MDP-3 EAB Disposition 5222009
3. IT Program Review – NPPD – USVISIT – Action Tracker dated Nov. 17, 2009
4. Email dated August 3, 2008, “New Tasker FY 2010 Spend Plan”

Assessment

The DHS Enterprise Architecture Board (EAB) Governance process conducts Milestone Decision Point (MDP) reviews of investment initiatives to help manage architectural

DHS CIO Enterprise Architecture Certification Document

alignment within the Department, and to serve as the conduit for receiving, analyzing and disseminating information pertaining to architecture alignment.

During the EAB review the Enterprise Architecture Center of Excellence (EACOE) Members and Subject Matter Experts (SMEs) review key System Life Cycle (SLC) program documents and assess a program's ability to support its business functions and strategic goals; benefit-to-cost; privacy impact; compliance with information security, Section 508, and screening coordination; and alignment to:

1. Homeland Security Enterprise Architecture (HLS EA) (latest version);
2. DHS OCIO Portfolios;
3. data, data objects, and data entity that encompass the investment; and
4. technology leveraged to deliver capabilities and functions by the program.

Additionally, the program's concept and technology development are validated.

The United States Visitor and Immigrant Status Indicator Technology (US-VISIT) program was reviewed by the EAB in FY07 using the 2007 HLS EA and in FY08 using the 2008 HLS EA. The architecture evaluated included the Automated Biometric Identification System (IDENT) and Arrival Departure Information System (ADIS). The US-VISIT program also leverages key component IT systems:

- Advance Passenger Information System (APIS)
- Consolidated Consular Database (CCD)
- Computer-Linked Application Information System (CLAIMS)
- Global Enrollment System (GES), including SENTRI, NEXUS & FAST
- Integrated Automated Fingerprint Information System (IAFIS)
- Interagency Border Inspection System (IBIS)/TECS
- Student Exchange Visitor Information System (SEVIS)

However, US-VISIT does not own or manage these systems, therefore, their architecture was not evaluated.

The EAB conditionally approved the US-VISIT program at MDP-1 on February 7, 2007 (date of alignment determination). At MDP-1 programs are reviewed to validate business alignment to the architecture and prevention of duplicate business functions.

The US-VISIT MDP-1 review identified two areas of misalignment - HLS EA business functions and portfolios applicable to US-VISIT were not clearly defined; and the omission of Section 508 requirements. Corrective action included updates to key documents (Mission Needs Statement, Strategic Plan, and Exhibit 300) to reflect business priorities and Section 508 compliance; and an MDP-2 review within 60 days to ensure the program remained aligned and is expected to meet mission priorities. All required documents were updated to clarify alignment of the business functions and portfolios; and the inclusion of Section 508 requirements. Additionally, the MDP-2 Program Alignment package was submitted within 60 days (April 7, 2007) of the EAB disposition. There are no outstanding actions for US-VISIT at MDP-1.

The EAB conditionally approved the US-VISIT program at MDP-2 on September 27, 2007 (date of alignment determination). At MDP-2 programs are validated on concept

DHS CIO Enterprise Architecture Certification Document

and technology development; and alternative selection. Additionally, decisions are made to determine the technologies the investment will employ to achieve the business functions identified in MDP-1.

The US-VISIT MDP-2 review identified the following areas of misalignment:

1. requirements and products to support the 10-Print solution were not defined and submitted for inclusion in the DHS TRM.
2. data standards were not vetted with the DHS Enterprise Data Management Office (EDMO) for compliance;
3. Acquisition Program Baseline (APB) and Operation Requirements Document (ORD) did not provide sufficient detail to address project costs and capabilities; and
4. the current pilots under the US-VISIT program had not been evaluated to ensure development meets the requirements of the program.

As steward of biometric capabilities, US-VISIT is required to define the target solution, standards, and Unique Identity data sharing model for the Department. The misalignment issues identified during the MDP-2 review placed the program at risk of cost overruns, schedule slippage, and ensuring data is shared in a secure environment. Mitigation of the alignment issues identified above increases the synergies of the multiple Components working independently. The program must continue to implement enterprise capabilities that align with the HLS EA to improve data interoperability across the immigration and border management community. All corrective actions were successfully mitigated in FY2008. There are no outstanding actions for US-VISIT at MDP-2.

The EAB conditionally approved the following US-VISIT projects on September 30, 2008 (date of alignment determination): 10-Print at MDP-3; Interoperability at MDP-2; and Air/Sea Exit at MDP-2. At MDP-3 programs are validated on the feasibility of the preferred alternative selection and refining the solution prior to a full production commitment. Additionally, a program is evaluated as to whether it includes all of the capability, components, and data as planned.

The US-VISIT MDP-3 review identified the following areas of misalignment:

1. lack of sufficient test documents for 10-Print;
2. technology testing resulted in Section 508 compliancy failure; and
3. secondary portfolio mapping to information sharing/intelligence was not incorporated.

Although testing had been completed, the documentation to support the testing process lacked the detail to ensure there were no gaps in the required capabilities and ensure interoperability with Section 508 required technology. Additionally, to reduce the risk of duplicate functionality, portfolios must be clearly defined to ensure the program is leveraging existing capabilities of the Department. The risk of future rework of the system requirements will be minimized once the misalignment issues are mitigated.

DHS CIO Enterprise Architecture Certification Document

US-VISIT conducted the Air Exit pilots in the summer of 2009 and submitted an evaluation report to Congress and GAO. Once DHS decides upon an air exit solution, DHS will issue a final rule. Until that time, US-VISIT does not plan to initiate development of a deployable Exit solution. Therefore, an MDP-3 (now referred to as Enterprise Architecture Decisions (EAD)) review is not warranted.

Summary of Findings

The system architecture of the US-VISIT program is sufficiently aligned with the information systems enterprise architecture of the Department. US-VISIT is integrating capabilities with existing systems and operational processes for immigration and border management. The program is successfully coordinating systems development methodologies and governance processes that encourage data sharing, system integration, and risk management, ultimately reducing future rework.

Recommendation

The DHS CIO certifies the system architecture of the US-VISIT program is sufficiently aligned with the information systems enterprise architecture of the Department. However, to support the requirement of minimizing future rework, and as follow up to the November 17, 2009 program review, require the submission of an efficiency plan no later than June 30, 2010.

**United States Visitor and Immigrant Status Indicator Technology (US-VISIT)
DHS CIO Risk Management Certification Documentation
January 11, 2010**

Background

The Department of Homeland Security Appropriations Act of 2010 (PL 111-83) signed into law on October 28, 2009 contains the following requirement for United States Visitor and Immigrant Status Indicator Technology (USVISIT).

"For necessary expenses for the development of the United States Visitor and Immigrant Status Indicator Technology project, as authorized by section 110 of the Illegal Immigration Reform and Immigrant Responsibility Act of 1996 (8 U.S.C. 1365a), \$373,762,000, to remain available until expended: *Provided*, That of the total amount made available under this heading, \$75,000,000 may not be obligated for the United States Visitor and Immigrant Status Indicator Technology project until the Committees on Appropriations of the Senate and the House of Representatives receive a plan for expenditure, prepared by the Secretary of Homeland Security, not later than 90 days after the date of enactment of this Act that meets the statutory conditions specified under this heading in Public Law 110-329: *Provided further*, That not less than \$28,000,000 of unobligated balances of prior year appropriations shall remain available and be obligated solely for implementation of a biometric air exit capability."

Public Law 110-329, the FY2009 Department of Homeland Security's appropriation act, Congress inserted several certification requirements for the US-VISIT program. Sub-paragraph (5) (3) of the appropriation, it states that "a certification by the Chief Information Officer of the Department that (a) the program has a risk management process that regularly identifies, evaluates, mitigates, and monitors risks throughout the system life cycle, and communicates high risk conditions to agency and Department of Homeland Security investment decision makers; and (b) a listing by the Chief Information Officer of all the program's high risks and the status of efforts to address them."

Documents Reviewed

1. US-VISIT Risk Management Policy dated January 2008
2. US VISIT Risk Management Plan dated September 18, 2008
3. US-VISIT High Priority Risk Listing (as of 8/1/2009)
4. US-VISIT Risk Review Council Minutes, 6/23/09, 7/14/09, 7/28/09 and 8/11/09
5. US-VISIT / SBA Risk Management Team weekly status meeting minutes, 6/4/09, 6/16/09, 6/23/09, 7/9/09
6. DHS CIO Risk Management Certification – US Visit, Feb. 25, 2008
7. US-VISIT Expenditure Plan Fiscal Year 2010, November 20, 2009
8. IT Program Review – NPPD – US-VISIT – Action Tracker, November 17, 2009

DHS CIO Risk Management Certification Document

9. Data Center Risks, 12/23/09
10. Copy of ITM High level Risk count 5 January 2010
11. US-VISIT High Priority Risk Listing 2010 1 04.ppt
12. FY10 DHS CIO USV IT Prog Rev 11172009.ppt

Assessment:

The DHS Risk Management (RM) Review Team developed a risk management review process to determine if DHS Component activities comply with the following DHS RM criteria:

1. **Risk Management Plan**— deciding how to approach and plan the project's risk management activities.
2. **Risk Identification**—determining the risks that might affect the project and documenting their characteristics.
3. **Qualitative Risk Analysis**—analyzing conditions and risks qualitatively to determine and prioritize their impact on project objectives.
4. **Quantitative Risk Analysis**—determining the probability and consequences of risks and estimating their impact on objectives.
5. **Risk Response Planning**— determining how to enhance opportunities and minimize threats to objectives.
6. **Risk Monitoring and Control**— executing risk response plans, monitoring risks, identifying new risks, evaluating the effectiveness of responses, and ensuring DHS Component's management active participation in risk management.

The RM Review team conducted a review of the US-VISIT provided documents to confirm the criteria stated in the 2010 Appropriations Act and the DHS Risk criteria are being adhered to. Specifically addressed is: does the program have a risk management process that regularly identifies, evaluates, mitigates, and monitors risks throughout the system life cycle, and communicates high risk conditions to agency and Department of Homeland Security investment decision makers?

The documentation shows US-VISIT is following a process that is generally aligned with the guidelines of the DHS OCIO Interim Risk Management Review Process. However, there are indications of weaknesses and inconsistency in policy, procedure, communication and execution of the process. Recognizing no process is perfect, the review team presents examples of misalignment between the Risk Management (RM) Plan and indications that the RM Plan is not being used to its full potential.

There is an inconsistency between the risk management process implementation and the Risk Management Plan regarding the definitions of "risks" and "issues".

While the status report says,

- *Members of the RRC were reminded that realized risks should have a probability documented between one and ninety-nine while issues should have a probability of one hundred.*

DHS CIO Risk Management Certification Document

the Risk Management Plan states (section 3.4 Definition of Risk and Issue, page 4),

- *Risk – An uncertain event or condition that, if it occurs, has a negative effect on a project's objectives.*
- *Issue – An event or condition that has occurred and has negative consequences to a project, operation, or program. A realized risk is an issue.*

A realized risk, by definition, cannot have a probability of less than one hundred. Procedures should reflect the Risk Management Plan. The reports provided for review did not clearly identify issues or assign an appropriate probability to unknown risks that became issues.

Risk 40961 shows up twice on the ITM High Level Risk Count 5 January 2010.xls with two different risk owners and no impact, probability, mitigation plan, or opened date designated. The risk is missing for two report dates (12-15-09 and 1-5-10), then reappears on the US-VISIT High Priority Risks & Issues – 04 Jan 2010 with a third risk owner, a revised description, and an indicated impact date of 12/06/2009. There may be sound reasons and solid explanations, however, items such as this raise questions as to the efficiency of the risk management process.

In the above instance, it is unclear to the reviewers whether there is a process for evaluating a risk that is identified at a project or activity against the risks to the overall US-VISIT program. US-VISIT might benefit from the addition of an impact score for projects to assist decision makers in quickly focusing on risks and issues of highest importance to US-VISIT.

Other risks are entered for several reporting dates again with no Risk Priority, Impact, Probability, or Mitigation Plan until being considered "REALIZED" and were then assigned as "High" Risk Priority and a Probability of 100. It is unclear if, on a regular basis, actions are taken to mitigate known risks, or whether identified risks are monitored.

There is indication that the Risk Impact Scale is being changed in US-VOICE to a reduced scale from what is specified in the Risk Management Plan (Table 5-3 Risk Probability Scale, page 23). Presumably, there is documentation (not submitted for review) that an appropriate authority approved this change.

As part of section 4.2 Policy Compliance, there is provision for the Management Steering Group (MSG) to direct risk management compliance verification. This is a good provision; however, there is no requirement for verifications or any process for implementing these on a random basis. Random audits generally increase overall compliance and can provide early exposure of unrealized problems. The Risk Management Plan does not state a requirement for verification or random audits.

There is no provision for accelerating the handling of critical issues. In the accompanying minutes for the RMT and RRC the Risk Manager unilaterally accelerated an issue dealing with a security violation and work stoppage (Risk #40850). However, due to the lack of a quorum of the Executive Council the matter was delayed. Further,

DHS CIO Risk Management Certification Document

there is no provision for dealing with time sensitive high impact events. When a system is under attack, there is little time to submit through committees and convene boards for decision making. Perhaps some thought on the topic and some additions to the Risk Management Plan would be of benefit in preparing managers for the critically unforeseen.

Summary of Findings

The US-VISIT risk management methodology meets the congressional criteria for risk management for the FY10 Expenditure Plan. However, the implementation of the risk management methodology has areas of concern which can be addressed by a few actions and contribute realizing the action from the DHS CIO US-VISIT program review action to develop an efficiency plan.

1. Update the Risk Management Plan to include provisions for:
 - a) Accelerating critical and unforeseen issues
 - b) Random auditing
 - c) Changes in the risk impact scale to support the capabilities of USVOICE
2. Analyze the risk reports and modify the reporting template to clearly show:
 - a. The probability and impact of high priority risks
 - b. A distinction between risks, issues and the status of each
 - c. A distinction between realized risks and unforeseen issues
3. US-VISIT should consider the addition of an impact score for projects so decision makers are able to quickly focus on risks and issues of highest importance to US-VISIT.
4. Evaluate the US-Voice risk management tool for update or replacement.
 - a. The RM tool should have the ability to efficiently track changes in risks.
 - b. Indications of a lack of rigor in the execution of risk management may be attributable to the risk management tools in use.
 - c. Reports from the US-Voice database are inconsistent and could benefit from some analysis and redesign.

Recommendation

The DHS CIO certifies for the FY10 Expenditure Plan that the program has a risk management process that identifies, evaluates, mitigates, and monitors risks throughout the system life cycle, and communicates high risk conditions to agency and Department of Homeland Security investment decision makers

However, to make the risk management process more consistent and robust, US-VISIT is required to complete the listed four actions no later than June 30, 2010.

**United States Visitor and Immigrant Status Indicator Technology (US-VISIT)
DHS CIO Independent Verification and Validation (IV&V)
Certification of the FY10 Expenditure Plan
January 8, 2010**

Background

The Department of Homeland Security Appropriations Act of 2010 (PL 111-83) signed into law on October 28, 2009 contains the following requirement for United States Visitor and Immigrant Status Indicator Technology (USVISIT).

“For necessary expenses for the development of the United States Visitor and Immigrant Status Indicator Technology project, as authorized by section 110 of the Illegal Immigration Reform and Immigrant Responsibility Act of 1996 (8 U.S.C. 1365a), \$373,762,000, to remain available until expended: *Provided*, That of the total amount made available under this heading, \$75,000,000 may not be obligated for the United States Visitor and Immigrant Status Indicator Technology project until the Committees on Appropriations of the Senate and the House of Representatives receive a plan for expenditure, prepared by the Secretary of Homeland Security, not later than 90 days after the date of enactment of this Act that meets the statutory conditions specified under this heading in Public Law 110-329: *Provided further*, That not less than \$28,000,000 of unobligated balances of prior year appropriations shall remain available and be obligated solely for implementation of a biometric air exit capability.”

Public Law 110-329, the FY2009 Department of Homeland Security’s appropriation act, Congress inserted several certification requirements for the US-VISIT program. Sub-paragraph (5) (1) of the appropriation, states that “a certification by the Chief Information Officer of the Department of Homeland Security that an independent verification and validation agent is currently under contract for the project.”

Documents Reviewed for IV&V Certification

1. US-VISIT FY10 Expenditure Plan, v3.17; Nov 20, 2009
2. US-VISIT Quality Assurance Statement of Work (SOW) (program-level)
3. Program-Level Quality Assurance Independent Government Cost Estimate (IGCE)
4. Access Systems, Inc. Technical Statement of Work
5. Blanket Purchase Agreement HSHQPA-06-A-00018/HSHQVT -06-J- 00007 modification No. P00006; task for US-VISIT application-level independent verification and validation service.
6. US-VISIT IT Testing and Evaluation Support Services (ITESS) SOW (application-level)
7. US-VISIT ITESS IGCE
8. US-VISIT ITESS RFQ, June 12, 2006

DHS CIO IV&V Certification Document

9. Science Applications International Corporation (SAIC) Technical Proposal
10. US-VISIT Program Level Independent Verification and Validation Charter, June 4, 2009
11. US-VISIT Program Level Independent Verification and Validation Plan, June 10, 2009
12. US-VISIT Program Level Independent Verification and Validation Policy, June 9, 2009
13. US-VISIT IV&V Obligation document
14. US VISIT Unique Identity Objective 2.6 IDENT Modernization Release 4 IV&V Test Closure Memo, May 29, 2009
15. USVISIT Unique Identity (objective 2.6) Enterprise Reporting Service Phase 1 Document Assessment, March 18, 2009
16. IV&V Consolidated Document Assessment Arrival Departure Information System (ADIS) Release 3.2 April 17, 2009
17. IV&V Arrival Departure Information System (ADIS) Release 3.2 IV&V Test Closure Memo, April 17, 2009
18. IV&V Consolidated Document Assessment Unique Identity Objective 2.6 IDENT Modernization Release 4, April 17, 2009
19. Arrival Departure Information System (ADIS) 3.2 Software Verification and Validation Plan (SVVP), August 14, 2009
20. Unique Identity Objective 2.6 Automated Biometric Identification System (IDENT) Modernization SVVP, June 12, 2009
21. Application Level Software Verification & Validation Plan (SVVP), July 31, 2009
22. Status of US VISIT IV&V memorandum, dated June 23, 2009
23. QA IV&V Contracting monthly reports, February, March and April 2009
24. US-VISIT DHS CIO FY 2009 IV&V Certification
25. IT Program Review – NPPD – US-VISIT – Action Tracker, November 17, 2009

Compliance with DHS IV&V Criteria

US-VISIT provided the above submissions for the annual re-certification of the IV&V agent requirement. The DHS review team analyzed the available documents; and based on the published five DHS IV&V criteria, the findings indicate verification and validation requirements were incorporated in the US-VISIT Task Order. The IV&V artifacts were also assessed for compliance with DHS criteria.

- An IV&V contract is in place that includes the subject program within the scope.
- The contractor's IV&V approach meets IEEE 1012 standards.
- The contractor's IV&V approach ensures items are completed, are of sufficient quality, and that all outcomes will meet the needs of the user.
- The contractor's IV&V technical approach is developed for all the necessary IV&V activities.

DHS CIO IV&V Certification Document

- The contractor's IV&V Technical Approach identifies a strategy/method for determining which activities will need to be conducted, how those activities are performed and when those activities will be conducted.

Findings:

The scope of the program and application level SOWs includes IV&V for the US-VISIT program. The option years have been exercised to continue IV&V support. The two contract awards are compliant with the DHS IV&V criteria.

The provided documentation was also assessed to determine the incorporation of the recommendations from the FY 09 certification. The following recommendations were made in the FY 09 IV&V certification.

To ensure continued program-level compliance, the US-VISIT program shall take the following task for action:

- The US-VISIT program shall submit the following artifacts to ensure the program-level agent of record is executing an IV&V process that is compliant with DHS IV&V standards:
 - Quality Assurance Charter
 - Quality Assurance Policy Documents
 - Quality Assurance Needs Assessment
 - Quality Assurance Plan
 - Quality Assurance Product and Process Assets
 - Monthly Status Reports

Findings:

The artifacts submitted for review included either updated or newly developed requested documentation.

Summary of Findings

An IV&V agent is in place at the program and application levels for the US-VISIT program. Both the application-level IV&V agent and program-level IV&V agent are compliant with DHS IV&V standards for the FY10 Expenditure Plan.

Recommendation

The DHS OCIO certifies that an independent verification and validation agent is under contract for the US-VISIT program at the program and application levels, for the FY10 Expenditure Plan.

Appendix B: GAO/OIG Recommendations and Observations

US-VISIT has provided a listing of all the open GAO/OIG recommendations in order to address the legislative condition for a listing of all open GAO/OIG recommendations related to the program and the status of DHS actions to address these recommendations. The listing includes milestones for fully addressing such recommendations.

This listing includes the recommendation language, GAO/OIG report number, GAO/OIG recommendation status, DHS mitigation actions, and completed and planned milestones. This listing includes the 15 open recommendations and status related as of September 30, 2009.

GAO # 13 Track # 24

Recommendation: Given the US-VISIT program's mission importance, size, and heavy reliance on contractor assistance, the Secretary of Homeland Security, to strengthen contract management and oversight, including financial management, should direct the US-VISIT Program Director to require DHS and non-DHS agencies that manage contracts on behalf of the program to (1) clearly define and delineate US-VISIT work from non-US-VISIT work as performed by contractors; (2) record, at the contract level, amounts being billed and expended on US-VISIT-related work so that these can be tracked and reported separately from amounts not for US-VISIT purposes; and (3) determine if they have received reimbursement from the program for payments not related to US-VISIT work by contractors, and if so, refund to the program any amount received in error.

Report: GAO-06-404

Status: Not Implemented. US-VISIT has completed actions to address this recommendation and provided GAO with evidence of implementation. US-VISIT is awaiting GAO's response.

Milestone: GAO is currently reviewing submitted documentation in support of closure recommendation. US-VISIT plans a comprehensive open recommendation resolution meeting/conference the first quarter of FY 2010 to discuss all remaining open recommendations and final requirements and closure criteria to meet implemented status.

GAO # 14 Track # 25

Recommendation: Given the US-VISIT program's mission importance, size, and heavy reliance on contractor assistance, the Secretary of Homeland Security, to strengthen contract management and oversight, including financial management, should direct the US-VISIT Program Director to ensure that payments to contractors are timely and in accordance with the *Prompt Payment Act*.

Report: GAO-06-404

Status: Not Implemented. US-VISIT has completed actions to address this recommendation, provided GAO with evidence of implementation and is awaiting GAO's response.

Milestone: GAO is currently reviewing submitted documentation in support of closure

recommendation. US-VISIT plans a comprehensive open recommendation resolution meeting/conference the first quarter of FY 2010 to discuss all remaining open recommendations and final requirements and closure criteria to meet implemented status.

GAO # 16 Track # 29

Recommendation: To help DHS achieve benefits commensurate with its investment in US-VISIT at land POEs and security goals and objectives, the Secretary of Homeland Security should direct the US-VISIT Program Director, in collaboration with the Commissioner of CBP to develop performance measures for assessing the impact of US-VISIT operations specifically at land POEs.

Report: GAO-07-248

Status: Not Implemented. US-VISIT provided GAO with a copy of its evaluation of 10-print land deployment as further evidence of its efforts to assess the impact of US-VISIT capabilities on CBP traveler processing.

Milestone: GAO is currently reviewing submitted documentation in support of closure recommendation. US-VISIT plans a comprehensive open recommendation resolution meeting/conference the first quarter of FY 2010 to discuss all remaining open recommendations and final requirements and closure criteria to meet implemented status.

GAO # 17 Track # 30

Recommendation: As DHS finalized the statutorily mandated report describing a comprehensive biometric entry and exit system for US-VISIT, the Secretary of Homeland Security should take steps to ensure that the report include, among other things, information on the costs, benefits, and feasibility of deploying biometric and non-biometric exit capabilities at land POEs.

Report: GAO-07-248

Status: Not Implemented. US-VISIT provided a briefing on the Land Exit Report to the NPPD Under Secretary on September 17, 2009. After this report has been reviewed, it will be forwarded to GAO.

Milestone: GAO is currently reviewing submitted documentation in support of closure recommendation. US-VISIT plans a comprehensive open recommendation resolution meeting/conference the first quarter of FY 2010 to discuss all remaining open recommendations and final requirements and closure criteria to meet implemented status.

GAO # 18 Track # 39

Recommendation: As DHS finalized the statutorily mandated report describing a comprehensive biometric entry and exit system for US-VISIT, the Secretary of Homeland Security should take steps to ensure that the report include, among other things, a discussion of how DHS intends to move from a non-biometric exit capability, such as the technology currently

being tested, to a reliable biometric exit capability that meets statutory requirements.

Report: GAO-07-248

Status: Not Implemented. US-VISIT provided a briefing on the Land Exit Report to Under Secretary Beers on September 17, 2009 and will forward the report to GAO as soon as NPPD clears the document for submission.

Milestone: GAO is currently reviewing submitted documentation in support of closure recommendation. US-VISIT plans a comprehensive open recommendation resolution meeting/conference the first quarter of FY 2010 to discuss all remaining open recommendations and final requirements and closure criteria to meet implemented status.

GAO # 19 Track # 40

Recommendation: As DHS finalized the statutorily mandated report describing a comprehensive biometric entry and exit system for US-VISIT, the Secretary of Homeland Security should take steps to ensure that the report include, among other things, a description of how DHS expects to align emerging land border security initiatives with US-VISIT and what facility or facility modifications would be needed at land POEs to ensure that technology and process work in harmony.

Report: GAO-07-248

Status: Not Implemented. US-VISIT provided GAO with the Screening Coordination Office's Credentialing Framework on February 6, 2009. US-VISIT will provide the Land Exit report to GAO upon completion of NPPD review. US-VISIT has provided a briefing on the Land Exit Report to the NPPD Under Secretary on September 17, 2009 and will forward the report to GAO.

Milestone: GAO is currently reviewing submitted documentation in support of closure recommendation. US-VISIT plans a comprehensive open recommendation resolution meeting/conference the first quarter of FY 2010 to discuss all remaining open recommendations and final requirements and closure criteria to meet implemented status. Additionally, US-VISIT will forward the Land Exit Report to GAO after the NPPD review is completed.

GAO # 20 Track # 32

Recommendation: To ensure that US-VISIT is better defined and justified and that our prior recommendations aimed at instilling greater results-oriented performance management and accountability in the program are fully implemented, the Secretary of DHS should direct the US-VISIT Acting Program Director to report regularly to the Secretary and to the DHS authorization and appropriations committees on the range of program risks associated with not having fully satisfied all expenditure plan legislative conditions, reasons why they were not satisfied, and steps being taken to mitigate these risks.

Report: GAO-07-278

Status: Not Implemented. US-VISIT provided GAO with several congressional briefings in

FY 2008 and GAO requested additional documentation. US-VISIT has provided additional documentation to GAO as of February 25, 2009. Follow-up documentation has been sent to GAO in March 2009. GAO is currently reviewing evidence of implementation for this recommendation.

Milestone: GAO is currently reviewing submitted documentation in support of closure recommendation. US-VISIT plans a comprehensive open recommendation resolution meeting/conference the First Quarter of FY 2010 to discuss all remaining open recommendations and final requirements and closure criteria to meet implemented status

GAO # 22 Track # 34

Recommendation: To ensure that US-VISIT is better defined and justified and that our prior recommendations aimed at instilling greater results-oriented performance management and accountability in the program are fully implemented, the Secretary of DHS should direct the US-VISIT Acting Program Director to work with the DHS Enterprise Architecture Board to identify and mitigate program risks associated with investing in new US-VISIT capabilities in the absence of a DHS-wide operational and technological context for the program. These risks should reflect the absence of fully defined relationships and dependencies with related border security and immigration enforcement programs.

Report: GAO-07-278

Status: Not Implemented. US-VISIT provided GAO with the Screening Coordination Office's Credentialing Framework with defined relationships and dependencies between US-VISIT and other border security initiatives on February 6, 2009. US-VISIT provided GAO with the 2008 DHS Enterprise Architecture on February 23, 2009. GAO is currently reviewing evidence of implementation for this recommendation.

Milestone: GAO is currently reviewing submitted documentation in support of closure recommendation. US-VISIT plans a comprehensive open recommendation resolution meeting/conference the first quarter of FY 2010 to discuss all remaining open recommendations and final requirements and closure criteria to meet implemented status.

GAO # 23 Track # 35

Recommendation: To ensure that US-VISIT is better defined and justified and that our prior recommendations aimed at instilling greater results-oriented performance management and accountability in the program are fully implemented, the Secretary of DHS should direct the US-VISIT Acting Program Director to limit planned expenditures for program management-related activities until such investments are economically justified and have well-defined plans detailing what is to be achieved, include a plan of action and milestones, and should include measures for demonstrating progress and achievement of desired outcomes. The investments should be justified on the basis of costs, benefits, and risks.

Report: GAO-07-278

Status: Not Implemented. US-VISIT submitted FY 2009 Expenditure Plan to GAO in

May 2009 as evidence of implementation of this recommendation. In addition, US-VISIT plans to meet with GAO on this recommendation by December 31, 2009, to discuss closure criteria and will provide GAO with a copy of the FY 2010 Expenditure Plan once delivered to Congress.

Milestone: GAO is currently reviewing submitted documentation in support of closure recommendation. US-VISIT plans a comprehensive open recommendation resolution meeting/conference the first quarter of FY 2010 to discuss all remaining open recommendations and final requirements and closure criteria to meet implemented status.

GAO # 24 Track # 31

Recommendation: The Secretary of DHS should report to the department's authorization and appropriations committees on its reasons for not fully addressing its expenditure plan legislative conditions and our prior recommendations.

Report: GAO-07-1065

Status: Not Implemented. US-VISIT provided GAO with several congressional briefings in FY 2008 and GAO requested additional documentation. US-VISIT provided additional briefings on February 25, 2009. Follow-up documentation was sent to GAO in March 2009. GAO is currently reviewing evidence of implementation for this recommendation.

Milestone: GAO is currently reviewing submitted documentation in support of closure recommendation. US-VISIT plans a comprehensive open recommendation resolution meeting/conference the first quarter of FY 2010 to discuss all remaining open recommendations and final requirements and closure criteria to meet implemented status.

GAO # 25 Track # 37

Recommendation: To ensure that US-VISIT's strategic solution, including a comprehensive exit solution, is better defined, economically justified, and coordinated, the Secretary of Homeland Security should direct the Undersecretary for National Protection and Programs to have the US-VISIT Program Director (1) develop a plan for a comprehensive exit capability, which includes, at a minimum, a description of the capability to be deployed, the cost of developing, deploying and operating the capability, identification of key stakeholders and their respective roles and responsibilities, key milestones, and measurable performance indicators; and (2) develop an analysis of costs, benefits, and risks for proposed exit solutions before large sums of money are committed on those solutions, and use the analysis in selecting the final solution.

Report: GAO-08-361

Status: Not Implemented. GAO intends to address the recommendation with the current US-VISIT Comprehensive Exit Audit. US-VISIT met with GAO on September 10, 2009 to close out the audit and review final document requests. The draft report was received September 28, 2009 from GAO and US-VISIT responded with comments. Once the final document is released, US-VISIT will respond with the 60 day period detailing efforts to resolve the issues and close any open recommendation within the final draft.

Milestone: US-VISIT has commented on the draft Comprehensive Exit Audit and is waiting

issuance of the final report. Upon issuance of the final report, this recommendation and any new recommendations will be addressed in cohesive fashion.

GAO # 26 Track # 41

Recommendation: To ensure that US-VISIT's strategic solution, including a comprehensive exit solution, is better defined, economically justified, and coordinated, the Secretary of Homeland Security should direct the Undersecretary for National Protection and Programs to have the US-VISIT Program Director (1) develop a plan for a comprehensive exit capability, which includes, at a minimum, a description of the capability to be deployed, the cost of developing, deploying and operating the capability, identification of key stakeholders and their respective roles and responsibilities, key milestones, and measurable performance indicators; and (2) develop an analysis of costs, benefits, and risks for proposed exit solutions before large sums of money are committed on those solutions, and use the analysis in selecting the final solution.

Report: GAO-08-361

Status: Not Implemented. GAO intends to address with current US-VISIT Comprehensive Exit Audit. US-VISIT met with GAO on September 10, 2009 to close out the audit and review final document requests. The draft report was received September 29, 2009 from GAO and US-VISIT responded with comments. Once the final document is released, US-VISIT will respond with the 60 day period detailing efforts to resolve the issue and close any open recommendation within the final draft.

Milestone: US-VISIT has commented on the draft Comprehensive Exit Audit and is waiting issuance of the final report. Upon issuance of the final report, this recommendation and any new recommendations will be addressed in cohesive fashion.

GAO # 27 Track # 36

Recommendation: To ensure that US-VISIT's strategic solution, including a comprehensive exit solution, is better defined, economically justified, and coordinated, the Secretary of Homeland Security should direct the appropriate DHS parties involved in defining, managing, and coordinating relationships across the department's border and immigration management programs to address the program collaboration shortcomings identified in this report, such as fully defining the relationships between US-VISIT and other immigration and border management programs and, in doing so, to employ the collaboration practices discussed in this report.

Report: GAO-08-361

Status: Not Implemented. US-VISIT provided GAO with the Screening Coordination Office's Credentialing Framework with defined relationships and dependencies between US-VISIT and other border security initiatives on February 26, 2009. The US-VISIT FY 2009 Spend Plan was forwarded to NPPD in May 2009 for inclusion in evidentiary material. The "US-VISIT Report on DHS Security Internal Governance Process and Interagency Relationship for FY 2009" will serve as additional evidence when available.

Milestone: GAO is currently reviewing submitted documentation in support of closure

recommendation. US-VISIT plans a comprehensive open recommendation resolution meeting/conference the first quarter of FY 2010 to discuss all remaining open recommendations and final requirements and closure criteria to meet implemented status.

GAO # 28 Track # 43

Recommendation: To assist DHS in planning and executing US-VISIT, we recommend that the Secretary of Homeland Security direct the department's Investment Review Board to review the reasons for the plan's limitations and address the challenges and weaknesses raised by our observations about the proposed air and sea exit solution, risk management, and the implementation of earned value management, and to report the results to Congress.

Report: GAO-09-95SU

Status: Not Implemented. US-VISIT provided GAO with a copy of the DHS Investment Review Board Acquisition Decision Memo from the November 2008. GAO is reviewing documentation associated with this recommendation.

Milestone: GAO is currently reviewing submitted documentation in support of closure recommendation. US-VISIT plans a comprehensive open recommendation resolution meeting/conference the first quarter of FY 2010 to discuss all remaining open recommendations and final requirements and closure criteria to meet implemented status.

GAO # 31 Track # 46

Recommendation: We recommend that until a formalized, government wide biometrics data-sharing architecture is implemented, the Secretaries of Defense and Homeland Security, in consultation with other federal agencies, such as the FBI and DOS, determine if biometrics information sharing needs are being met and address, as appropriate, any biometrics data-sharing gaps that may exist, in accordance with U.S. laws and regulations and international agreements, as well as information sharing environment efforts.

Report: GAO-08-430NI

Status: Not Implemented. US-VISIT has asked for additional clarification as to how best to respond to this recommendation as it is linked to several ongoing initiatives, including the HSPD-24 Implementation Plan. Recently, US-VISIT has signed an Executive Steering Committee Charter that includes the Department of Defense. The IDENT/ABIS charter has not been signed and has not been shared with GAO.

Milestone: GAO is currently reviewing submitted documentation in support of closure recommendation. US-VISIT plans a comprehensive open recommendation resolution meeting/conference the first quarter of FY 2010 to discuss all remaining open recommendations and final requirements and closure criteria to meet implemented status.

GAO # N/A Track # 44

Recommendation: Provide international staff with more information and training on Department of State administrative support services available to them abroad, and the forums and process available to them for addressing concerns about the adequacy of those services.

Report: OIG-08-71

Status: Not Implemented. In the time since this recommendation was passed down, US-VISIT has trimmed its international staff and currently has only one employee working abroad (United Kingdom secondment). This employee began his assignment in August 2009. Prior to departure, the employee participated in the two required training sessions related to DOS support services in compliance with the above recommendations. Evidence has been submitted to GAO.

Milestone: GAO is currently reviewing submitted documentation in support of closure recommendation. US-VISIT plans a comprehensive open recommendation resolution meeting/conference the first quarter of FY 2010 to discuss all remaining open recommendations and final requirements and closure criteria to meet implemented status.

GAO # N/A Track # 45

Recommendation: Ensure that appropriate staff is able to identify international training and technical assistance and information exchange opportunities and provide guidance on how to link those opportunities to available funding sources.

Report: OIG-08-71

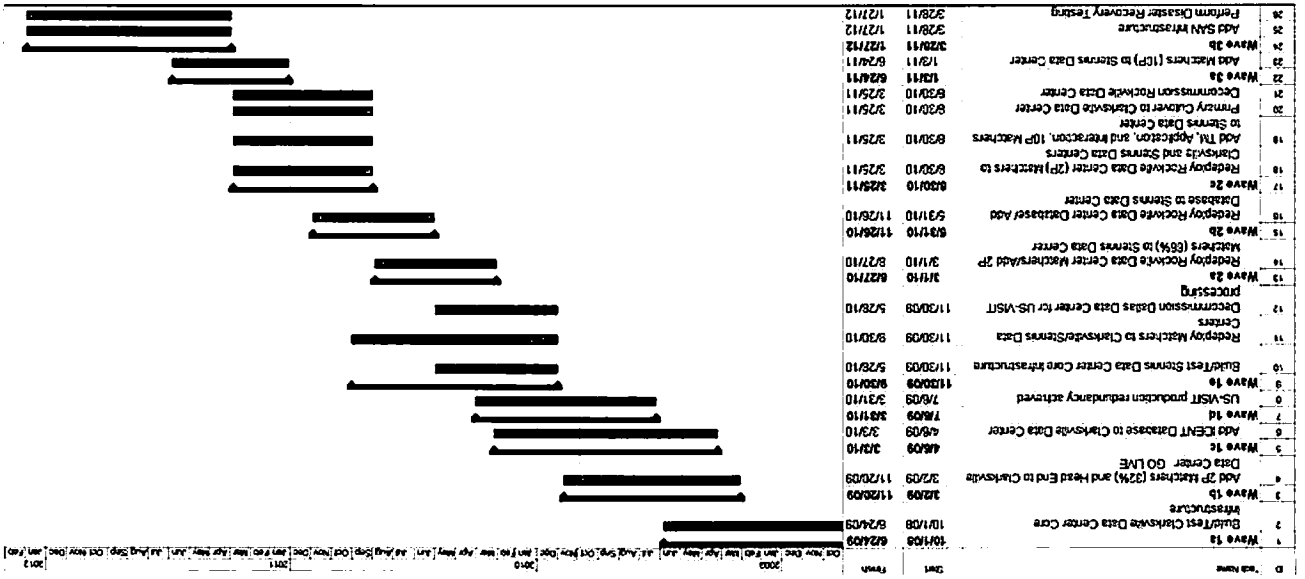
Status: Not Implemented. Status Update: US-VISIT has identified multiple opportunities for international training, technical assistance and information exchange and linked them to available budgetary resources. Evidence has been submitted to GAO.

Milestone: GAO is currently reviewing submitted documentation in support of closure recommendation. US-VISIT plans a comprehensive open recommendation resolution meeting/conference the first quarter of FY 2010 to discuss all remaining open recommendations and final requirements and closure criteria to meet implemented status.

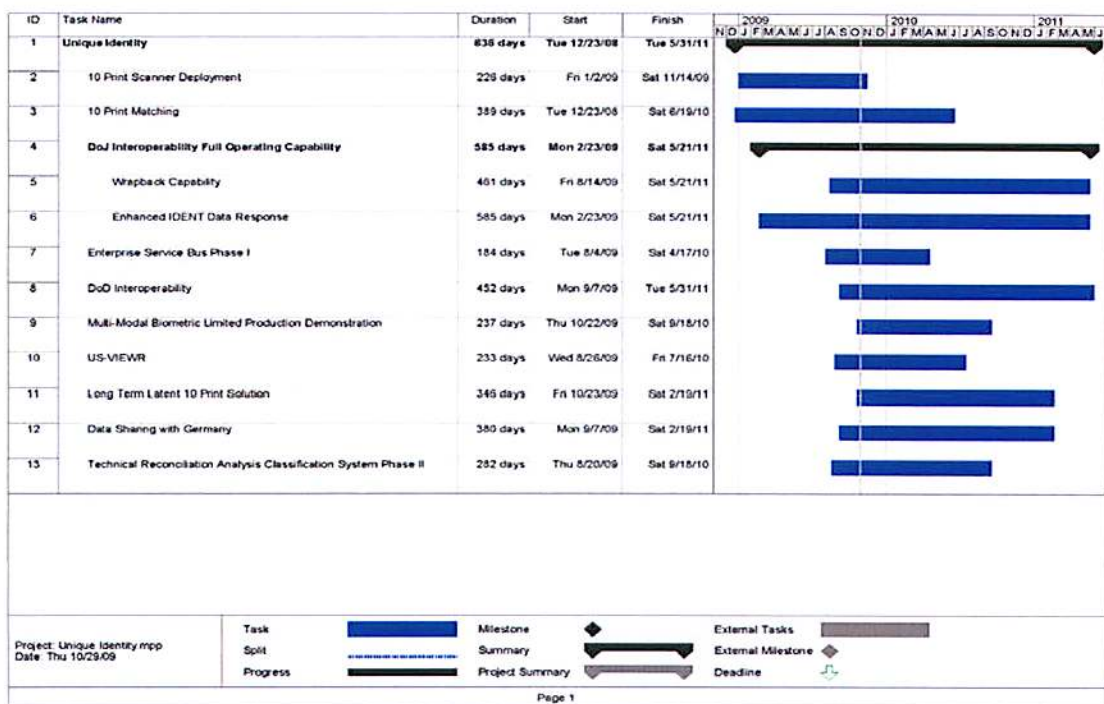
Appendix C: Schedule of Milestones

US-VISIT has provided milestones and schedule charts of key milestones in the implementation of US-VISIT projects.

Data Center Mirror and Migration



Unique Identity/Interoperability



Appendix D: Abbreviations and Acronyms

ABIS	Automated Biometric Identification System
ADIS	Arrival and Departure Information System
AOF	Alternate Operating Facility
BSC	Biometric Support Center
CAG	Cost Assessment Guide
CBP	U.S. Customs and Border Protection
CEAP	Cost Estimating and Analysis Process
CEU	Compliance Enforcement Unit
CJIS	Criminal Justice Information Systems
CMMI	Capability Maturity Model Integration
COOP	Continuity of Operations Plan
DCMM	Data Center Mirror and Migration
DHS	Department of Homeland Security
DIG	Data Integrity Group
DOD	Department of Defense
DOJ	Department of Justice
DOS	Department of State
ELCM	Enterprise Life Cycle Methodology
FAR	False Acceptance Rate
FBI	Federal Bureau of Investigation
FTE	Full Time Equivalent
FY	Fiscal Year
GAO	Government Accountability Office
GSS	General Support System
HCSP	Human Capital Strategic Plan
IAFIS	Integrated Automated Fingerprint Identification System
ICE	U.S. Immigration and Customs Enforcement
IDENT	Automated Biometric Identification System
ISTA	Information Sharing and Technical Assistance
IT	Information Technology
ITSM	Information Technology Service Management
KST	Known or Suspected Terrorist
LE&I	Law Enforcement and Intelligence
MBTE	Multi-Biometric Technology Evaluation
NPPD	National Protection and Programs Directorate
O&M	Operations and Maintenance

POE	Port of Entry
SIP	Strategic Implementation Plan
SLA	Service Level Agreement
TOPOFF	Top Officers
TRACS	Technical Reconciliation Analysis Classification System
UDM	US-VISIT Delivery Methodology
USCIS	U.S. Citizenship and Immigration Services
US-VISIT	United States Visitor and Immigrant Status Indicator Technology
US-VOICE	US-VISIT On-line Integrated Collaboration Environment
VWP	Visa Waiver Program
WHTI	Western Hemisphere Travel Initiative

Appendix E: Notable US-VISIT FY 2009 Cases

US-VISIT fingerprint examinations and overstay analyses can help solve crimes, provide assistance in terrorism cases, close cold cases, and provide solid potential overstay referrals. Below are descriptions of actual cases illustrating the benefits provided by US-VISIT during FY 2009.

Biometric Support Center Work Leads to Conviction

Expert testimony from a US-VISIT BSC latent examiner was instrumental in helping to convict an individual on Federal drug distribution and firearms charges. The individual was found guilty after a jury trial. The BSC examined the Jamaican citizen's fingerprints and was asked by ICE to testify against him on July 6, 2009 in a Florida court. The case was a result of a six-month investigation into armed narcotics trafficking in Orlando by ICE and the Orange County Sheriff's Office, and was assisted by the Florida Department of Law Enforcement and the Bureau of Alcohol, Tobacco, Firearms, and Explosives. The BSC's role in this case is an example of the critical work done by the BSC every day.

US-VISIT Assists with Hudson River Plane/Helicopter Collision

On Saturday August 8, 2009, a small airplane crashed into a sightseeing helicopter over the Hudson River, killing all nine passengers on the plane and helicopter. The helicopter was carrying six individuals, including five Italian tourists, as well as the pilot, who had recently gained U.S. citizenship. The New York City Police Department (NYPD) contacted the US-VISIT BSC on August 9, 2009 to assist in the identification of the individuals who had been passengers on the helicopter, since all subjects were foreign nationals. The BSC was able to confirm the fingerprints from IDENT and provide them to the NYPD, enabling positive identification of the deceased.

Biometric Support Center Helps Texas Sheriff's Office Identify a Murder Victim

In the early morning of July 14, 2009 at least two men broke into the home of the victim, and shot and killed him and wounded his neighbor. Officers found 2,000 pounds of marijuana inside the residence. The Sheriff's Office requested the US-VISIT BSC to search the fingerprints of the murder victim. The BSC was able to identify the victim through prints provided when the victim had applied for an immigration benefit. Shortly after the crime, another officer attempted a traffic stop of a pickup truck, which was later found to be registered to the victim. The driver did not pull over and a high speed chase ensued. The driver and passenger of the pickup evaded police, but several rifles, a handgun and bulletproof vests were found inside the truck. The investigation is continuing.

US-VISIT Biometrics and the Five Country Coordination Project

Through the sharing of United States and United Kingdom immigration and biometric data, LE&I was able to identify a UK asylum applicant who was identified as having previously entered the United States using a valid Dutch passport. The subject was born in Iraq and naturalized as a Dutch citizen in 2003, but entered an asylum claim as an Iraqi national in the United Kingdom in 2005. The subject was removed from the United Kingdom back to the Netherlands for possible prosecution for a fraudulent claim and the unlawful receipt of benefits.

US-VISIT Biometrics and CBP Encounter Lawful Permanent Resident with Criminal Record

On March 12, 2009 a citizen of the Dominican Republic sought entry into the United States at Newark Liberty International Airport. A US-VISIT watchlist match resulted in the subject being directed to CBP Passport Control Secondary. After being interviewed, fingerprinted, and processed by a CBP officer, it was discovered that the subject was in possession of a fraudulently obtained Alien Registration card, Dominican passport and New Jersey Driver's license under an assumed identity. The subject's true identity was discovered through the US-VISIT watchlist match due to an arrest by the NYPD on felony drug charges. The subject was processed as an expedited removal and held at a correctional facility pending criminal prosecution for fraud and felony drug charges.

Fraudulent Passports – CBP Arrests Two Imposters

On March 29, 2009, CBP officers encountered two female subjects as they applied for admission into the United States at the Peace Bridge border crossing in Buffalo, New York. Both subjects presented Korean passports as proof of citizenship and identity and advised the primary officer that they were en route to the Buffalo Airport with a final destination of Los Angeles, California to visit family. Initial examination of the presented documents revealed what appeared to be inconsistencies on the biographical pages. Both subjects were referred to CBP secondary enforcement for verification of their immigration status.

During the course of the secondary inspection, the subjects' fingerprints were entered into the US-VISIT computer system. Expert fingerprint examiners from the US-VISIT BSC verified that the prints associated with the passports did not match the prints of the two female subjects. CBP Officers then utilized a unique computer system which employs color and infrared video imaging designed for the examination of suspect documents. This inspection revealed that one passport was valid, however, the biographical page had been altered with the subject's photo and biographical information. Inspection of the second passport revealed that it was completely counterfeit with a genuine entry visa removed from another passport and inserted into the counterfeit one.

Additional interviews of the subjects revealed their true identities, and determined one had been previously removed from the United States and the other had been recently denied a U.S. entry visa. It was determined that neither subject had the legal documentation to enter or remain in the United States. Both subjects were arrested on Federal charges of fraud and false statements and misuse of a passport.

Identification of Deceased - US-VISIT Identifies Homicide Victim in District of Columbia Cold Case

In a typical year, medical examiners and coroners across the United States encounter approximately 4,400 cases of deceased people who cannot be identified. These people are commonly referred to as John or Jane Does. To help identify these people, US-VISIT's BSC regularly checks fingerprints from the DOJ National Missing and Unidentified Persons System against US-VISIT's IDENT data. Last year, the BSC identified 333 John and Jane Does, amnesia victims, and others.

The BSC helped the District of Columbia Office of the Chief Medical Examiner and Metropolitan Police Department (MPD) to identify a homicide victim whom they have been trying to identify for the last 18 years. By searching IDENT and manually comparing fingerprint files, the BSC matched the victim's fingerprints to those of a woman from Brooklyn, New York. Using the woman's identification information, MPD quickly discovered that the woman had an outstanding bench warrant in Brooklyn for a 1989 drug charge. Through further investigation and a visit to New York to meet with the victim's next of kin, MPD learned that sometime after her arrest, the woman left New York with the intent of going to Washington, D.C. They also learned that she was accompanied by several unidentified men thought to be from the D.C. area. Now, authorities are working to identify and locate these men to help solve this case.