Homeland Security

Privacy Office DHS-D3

JUN **2 9** 2007

Mr. David L. Sobel
Electronic Frontier Foundation
1875 Connecticut Avenue, N.W.
Suite 650
Washington, DC 20009

Re: **DHS/OS/PRIV 07-160/Sobel request**

Dear Mr. Sobel:

This is our third partial release to your Freedom of Information Act (FOIA) requests to the Department of Homeland Security (DHS), dated November 7, 2006 and December 6, 2006, requesting DHS records concerning the Automated Targeting System (ATS). These two requests were aggregated to simplify processing. The following is a consolidated list of records requested:

1. All Privacy Impact Assessments prepared for the ATS system or any predecessor system that served the same function but bore a different name.
2. A Memorandum of Understanding executed on or about March 9, 2005 between Customs and Border Protection (CBP) and the Canada Border Services Agency to facilitate the Automated Exchange of Lookouts and the Exchange of Advance Passenger Information.
3. All records, including Privacy Act notices, which discuss or describe the use of personally-identifiable information by the CBP (or its predecessors) for purposes of screening air and sea travelers.
4. All System of Records Notices (SORNs) that discuss or describe targeting, screening, or assigning "risk assessments" of U.S. citizens by CBP or its predecessors.
5. All records that discuss or describe the redress that is available to individuals who believe that the ATS contains or utilizes inaccurate, incomplete or outdated information about them.
6. All records that discuss or describe the potential consequences that individuals might experience as a result of the agency's use of the ATS, including but not limited to arrest, physical searches, surveillance, denial of the opportunity to travel, and loss of employment opportunities.
7. All records that discuss or identify the number of individuals who have been arrested as a result of screening by the ATS and the offenses for which they were charged.
8. All complaints received from individuals concerning actions taken by the agency as a result of ATS "risk assessments" or other information contained in the ATS, and the agency's response to those complaints.
9. All records that discuss or describe Section 514 of the Department of Homeland Security Appropriations Act, 2007, P.L. 109-295 (H.R. 5441) and its prohibition against the development or testing of "algorithms assigning risk to passengers whose names are not on Government watch lists."
10. All records that address any of the following issues:
    a. Whether a system of due process exists whereby aviation passengers determined to pose a threat are either delayed or prohibited from boarding their scheduled flights may appeal such decision and correct erroneous information contained in the ATS;

b. Whether the underlying error rate of the government and private databases that will be used in the ATS to assign a risk level to an individual will not produce a large number of false positives that will result in a significant number of individuals being treated mistakenly or security resources being diverted;

c. Whether the agency has stress-tested and demonstrated the efficacy and accuracy of all search tools in the ATS and has demonstrated that the ATS can make an accurate predictive assessment of those individuals who may constitute a threat;

d. Whether the Secretary of Homeland Security has established an internal oversight board to monitor the manner in which the ATS is being developed and prepared;

e. Whether the agency has built in sufficient operational safeguards to reduce the opportunities for abuse;

f. Whether substantial security measures are in place to protect the ATS from unauthorized access by hackers or other intruders;

g. Whether the agency has adopted policies establishing effective oversight of the use and operation of the system;

h. Whether there are no specific privacy concerns with the technological architecture of the system;

i. Whether the agency has, pursuant to the requirements of section 44903(i)(2)(A) of Title 49, United States Code, modified the ATS with respect to intrastate transportation to accommodate states with unique air transportation needs and passengers who might otherwise regularly trigger a high risk status; and

j. Whether appropriate life-cycle estimates, expenditure and program plans exist.

Our May 2, 2007 letter summarized our processing of your request to-date. We notified you that our searches directed to the DHS Office of the Executive Secretariat (ES), DHS Office of Policy (PLCY), DHS Privacy Office (PRIV), and the Transportation Security Administration (TSA) have thus far produced a combined total of 249 pages. Out of those 249 pages, we provided you with a combined total of 24 pages with certain information withheld pursuant to the FOIA. We also notified you that our searches within the DHS Offices of the Chief information Officer (CIO) and Screening and Coordination Office (SCO) did not produce any documents responsive to your request. We have continued to process your request within ES, PLCY, PRIV, the DHS Office of the General Counsel (OGC), the DHS Office of Inspector General (OIG), and the U.S. Customs and Border Protection (CBP).

A search directed to ES has produced an additional 1 page responsive to your request. We are redacting that document under Exemption (b)(5) of the FOIA as it is a draft that has not been finalized. ES has completed its search for documents, and no further responsive documents were located.

A search directed to PRIV has produced an additional 71 pages of records responsive to your request. Of those 71 pages we have enclosed 41 pages with certain information withheld pursuant to Exemptions (b)(2), (b)(5), (b)(6) and (b)(7)(E) of the FOIA. Since the 30-page final version of the "Privacy Impact Assessment for the Automated Targeting System" is on a public website, we are not providing a paper copy. You may obtain this document at: http://www.dhs.gov/xlibrary/assets/privacy/privacy_pia_cbp_ats.pdf.

Pursuant to your discussions with the Department of Justice attorney, Adam Kirschner, representing the Department of Homeland Security in litigation arising from this FOIA request, we are advised that you have narrowed your request, and are no longer seeking draft versions of the ATS Privacy Impact Assessment (PIA) and the ATS System of Records Notice (SORN).
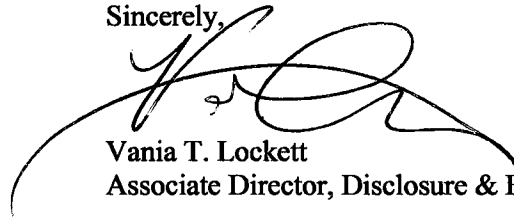
Additionally, you indicated you would examine the final Privacy Threshold Analysis (PTA) and determine whether or not you wish to still seek the drafts of this document. Please communicate your decision to Mr. Kirschner.

The search directed to CBP has produced 14 pages of documents responsive to your request from the CBP Office of Anti-Terrorism. Of those 14 pages, 9 pages contain information which is being withheld under exemptions (b)(2) high, (b)(5) and (b)(7)(E) of the FOIA.

The 56 pages being released contain certain information withheld pursuant to Exemptions (b)(2), (b)(5), (b)(6) and (b)(7)(E) of the FOIA, 5 U.S.C. §§ 552 (b)(2), (b)(5), (b)(6) and (7)(E). FOIA Exemption 2 (high) protects information the disclosure of which would risk the circumvention of a statute or agency regulation. Included within such information may be operating rules, guidelines, manuals of procedures for examiners or adjudicators, and homeland security information. Exemption 5 protects the integrity of the deliberative or policy-making processes within the agency by exempting from mandatory disclosure drafts, opinion, conclusions, and recommendations included within inter-agency or intra-agency memoranda or letters. Exemption 6 exempts from disclosure records the release of which would cause a clearly unwarranted invasion of personal privacy. Exemption 7(E) affords protection to all law enforcement information that would disclose techniques, procedures, or guidelines for law enforcement investigations if such disclosure could reasonably be expected to risk circumvention of the law.

Our office continues to process your request as it pertains to PRIV, PLCY, OGC, OIG, and CBP. If you have any questions regarding this matter, please refer to **DHS/OS/PRIV 07-160/Sobel request**. The DHS Privacy Office can be reached at 703-235-0790. Thank you for your patience as we proceed with your request.

Sincerely,

Vania T. Lockett
Associate Director, Disclosure & FOIA Operations

Enclosures: 56 pages

Question#:	L03579
Topic:	
Hearing:	Legislative Hearing on H.R.4954, the SAFE Ports Act
Primary:	Rep. Peter King
Committee:	HHSC
Question:	Has CBP subjected the automated Targeting System to external peer review and testing? If yes, who performed the review, when, and what did they conclude?

b5

From:	Teufel, Hugo (b2 & b6)
Sent:	Thursday, October 12, 2006 12:23 PM
To:	Coldebella, Gus; Wheelbarger, Kathryn; Dunne, Julie
Subject:	Fw: OMB response to ATS SORN
Importance:	High
Attachments:	SORN CBP ATS _OMB edits 101106 DHS RESPONSE.doc

SORN CBP ATS
OMB edits 101106..

FYI. (b5)

Hugo Teufel III
Chief Privacy Officer
U.S. Department of Homeland Security
Washington, D.C. 20528
(b2 & b6)

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governing electronic communications and may contain confidential and legally privileged
information. If the reader of this message is not the intended recipient, you are hereby
notified that any dissemination, distribution, use or copying of this message is strictly
prohibited. If you have received this in error, please reply immediately to the sender
and delete this message. Thank you.

----- Original Message -----
From: Richards, Rebecca (b2 & b6)
To: Teufel, Hugo (b2 & b6)
Cc: (b6) (b2 & b6)
Sent: Thu Oct 12 12:20:14 2006
Subject: FW: OMB response to ATS SORN

<<SORN CBP ATS _OMB edits 101106 DHS RESPONSE.doc>> Resending and faxing.

From: Richards, Rebecca
Sent: Thursday, October 12, 2006 12:05 PM
To: Castelli, Laurence E; (b6)
Cc: Teufel, Hugo; Mortensen, Kenneth; (b6)
Subject: OMB response to ATS SORN
Importance: High

All:

I have received comments back from OMB on the ATS SORN. We have addressed many of the
issues, and need your response on some of them. Please review and we can talk at 12:45 PM
today to review our responses. We should be able to conference call everyone in. (b6)

1

and (b6) can you call Ken and I at (b2,b6) and then we can conference in Larry?

b5

Rebecca J. Richards
Director Privacy Compliance
Privacy Office

Department of Homeland Security

Tel. (b2,b6)

Email: (b2 & b6)

See: www.dhs.gov/privacy <http://www.dhs.gov/privacy>

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PRIVACY THRESHOLD ANALYSIS (PTA)

This form is used to determine whether a Privacy Impact Assessment is required.

Please use the attached form to determine whether a Privacy Impact Assessment (PIA) under the E-Government Act of 2002 and the Homeland Security Act of 2002 is required.

Please complete the form and return for review by the DHS Privacy Office:

Rebecca J. Richards
Director of Privacy Compliance
The Privacy Office
U.S. Department of Homeland Security
Washington, DC 20528
Tel: [ⁿ⋅ ⅈ ⁿⁱ]
Fax:

(ⁿ⋅ ⅈ ⁿⁱ   )

If a PIA is required, the DHS Privacy Office will send you a copy of the Official Privacy Impact Assessment Guide and accompanying Template to complete and return.

A copy of the Guide and Template is available on the DHS Privacy Office website, www.dhs.gov/privacy, on DHSOnline and directly from the DHS Privacy Office via email: pia@dhs.gov, phone: 571-227-3813, and fax: 571-227-4717.

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PRIVACY THRESHOLD ANALYSIS

Please complete this form and send it to the DHS Privacy Office.
Upon receipt, the DHS Privacy Office will review this form
and may request additional information.

SUMMARY INFORMATION

DATE submitted for review: October 13, 2006

NAME of Project: Automated Targeting System (ATS)
Name of Component: Customs and Border Protection

Name of Project Manager: < (bϖ)
Email for Project Manager (b2 & ɾᴐ _)
Phone number for Project Manger: (b2 & bᴜ)

TYPE of Project:

☒ **Information Technology and/or System**

The E-Government Act of 2002 defines these terms by reference to the
definition sections of Titles 40 and 44 of the United States Code. The
following is a summary of those definitions:

- "Information Technology" means any equipment or interconnected system
or subsystem of equipment, used in the automatic acquisition, storage,
manipulation, management, movement, control, display, switching,
interchange, transmission, or reception of data or information. See 40 U.S.C. §
11101(6).

- "Information System" means a discrete set of information resources
organized for the collection, processing, maintenance, use, sharing,
dissemination, or disposition of information. See: 44. U.S.C. § 3502(8).

Note, for purposes of this form, there is no distinction made between national
security systems or technologies/systems managed by contractors. All
technologies/systems should be initially reviewed for potential privacy
impact.

☐ **A Notice of Proposed Rule Making or a Final Rule.**

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Specific Questions

I. Describe the project and its purpose:

> ATS uses rule-managed, expert system technology, that facilitates the targeting of high-risk passengers and cargo, including aliens and narcotics, terrorist devices, weapons, undeclared currency, hazardous material, and other contraband. In general ATS tracks, examines and categorizes the movement of people and things in and out of ports, Data contained within the ATS system consists of Trade, Privacy and Law Enforcement.

2. Status of Project:

> ☐ This is a new development effort.
>
> ☒ This an existing project
>
> Date first developed: 1983
>
> Date last updated: June 2005
>
> ATS-L (including wireless capabilities) hardware and software added.

3. Could the project relate in any way to an individual?

> Projects can relate to individuals in a number of ways. For example, a project may include a camera for the purpose of watching a physical location. Individuals may walk past the camera and images of those individuals may be recorded. Projects could also relate to individuals in more subtle ways. For example, a project that is focused on detecting radioactivity levels may be sensitive enough to detect whether an individual received chemotherapy.

> ☐ No. The Assessment is complete. Please send to the DHS Privacy Office.
>
> ☒ Yes. Please answer the following questions.

> ATS data sources consist of electronically filed bills, entries, and entry summaries for cargo imports; shippers' export declarations and transportation bookings and bills for cargo exports; manifests for

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arriving and departing passengers; airline reservation data; nonimmigrant entry records; and records from secondary referrals, incident logs, suspect and violator indices, and seizures.

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4. **What information about individuals could be collected, generated or retained?**

The information ATS uses is described below by module and is presented in the following format.

Cargo Data Fields (Both Outbound and Inbound)

- Nature, Source

ATS-N: Collects information about Importers and cargo and conveyances used to import cargo to the United States from destinations outside its borders.

- Sea/Rail Manifests (bills of ladings), Automated Manifest System (AMS)

- Cargo Selectivity Entries, Automated Broker Interface (ABI)

- Entry Summary Entries, ABI

- Air Manifest (bills of lading), AMS-Air

- (⟨ʀ⟩, ⟨ᴄ⟩, ₐ(ᴄ)ᵐⁿ(ᴇ)   )

- CCRA Manifest (bills of ladings), Canada Customs and Revenue (CCRA)

- CAFÉ, QP Manifest Inbond (bills of ladings), AMS

- Truck Manifest, Automated Commercial Environment (ACE)

- Inbound Data (bills of ladings), AMS

- Food and Drug Administration (FDA) Entries/Prior Notice (PN), Automated Commercial System (ACS)

- Census Import Data, Department of Commerce

ATS-AT: Collects information about exporters and cargo and conveyances used to transport cargo from the United States to destinations outside its borders.

- Shippers Export Declarations, Automated Export System (AES)

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- Export Manifest Data, AES
- Export Air Way Bills of Lading
- Census Export Data, Department of Commerce

ATS-N and ATS-AT Data Fields

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ATS-L: Collects information about vehicles and persons crossing land border locations. This data includes license plate numbers for vehicles entering the United States, vehicle and registered owner data (derived from state DMV records), initially, with a limited number of person crossing (passengers in vehicles) records expected to be added later.

- Publicly Available State DMV Data, Third Party Vendor
- Border Crossing, TECS
- Seizures, TECS

ATS-P: Collects information about passengers entering the United States from destinations outside its borders. This data includes passenger (airline) manifests, immigration control information and Passenger Name Record (PNR) information.

- Advance Passenger Information System (APIS), TECS
- Border Crossing, TECS
- Land Border Crossing, TECS
- I94, TECS
- Personal Search, TECS
- Personal Search, TECS
- Secondary Referrals, TECS
- Secondary Referrals/Land, TECS

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- Secondary Referrals/CBP/ICE, TECS

- Seized Property, TECS

- Seized Vehicle, TECS

- USVISIT, TECS

- NCIC III, TECS

- Air Craft Arrivals, ACS

- PNR (Approximately 100 airlines), Airline Reservations Systems

- Visa, TECS

- Enforcement Subjects: Person, TECS

- Enforcement Subjects: Business, TECS

- Enforcement Subjects: Address, TECS

ATS-P and ATS-L Data Fields

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(b)(2)(high)
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ATS-TAP: Collects information derived from ATS-AT and ATS-N.

ATS-TAP Data FIelds

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ATS	BILL	SHIPPER_ADDR3
ATS	BILL	SHIPPER_ADDR4
ATS	BILL	SHIPPER_NAME
ATS	CARRIER	ACE_ADDR_1_TXT
ATS	CARRIER	ACE_ADDR_2_TXT
ATS	CARRIER	ACE_ADDR_3_TXT
ATS	CARRIER	ACE_CITY_NM
ATS	CARRIER	ACE_CNTCT_NM
ATS	CARRIER	ACE_NM
ATS	CARRIER	ACE_PHN_NBR
ATS	CARRIER	CARRIER_ADDR_1
ATS	CARRIER	CARRIER_ADDR_2
ATS	CARRIER	CARRIER_ADDR_3
ATS	CARRIER	CARRIER_NAME
ATS	CARRIER	CARRIER_PHONE
ATS	CARRIER	CNTCT_NM
ATS	CARRIER	CNTCT_PHN_NBR
ATS	CONVEYANCE	RAW_VESS_NAME
ATS	CONVEYANCE	VESS_NAME
ATS	ENTITY_ADDR	ATTN_OF_NAME
ATS	ENTITY_ADDR	ORIG_ADDR
ATS	ENTITY_ADDR	REST_ADDR
ATS	ENTITY_ID_NBR	ACS_ADDR1
ATS	ENTITY_ID_NBR	ACS_ADDR2
ATS	ENTITY_ID_NBR	ACS_NAME
ATS	ENTITY_ID_NBR	ALIAS_NM

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ATS	ENTITY_ID_NBR	CNTCT_NM
ATS	ENTITY_ID_NBR	CNTCT_PHN_NBR
ATS	ENTITY_ID_NBR	MULTIPLE_NAMES
ATS	ENTITY_ID_NBR	PRIOR_NM
ATS	ENTITY_PHONE	PHONE
ATS	ENTITY_SPELLING	SRC_NAME
ATS	ENTITY_SPELLING	STD_ALIAS_NAME
ATS	ENTRY	VESS_NAME
ATS	FILER	CONTACT_NAME
ATS	FILER	FILER_ADDR1
ATS	FILER	FILER_ADDR2
ATS	FILER	FILER_NAME
ATS	FILER_LIST_SNAP	FILER_NAME
ATS	FIRMS_CODE	OPERATOR_NAME
ATS	FIRMS_CODE	OPERATOR_PHONE
ATS	TRADE_ENTITY	REST_NAME
ATS	TRADE_ENTITY	SRC_NAME
ATS	TRADE_ENTITY	STD_NAME

5. **Is there a Certification & Accreditation record within OCIO's FISMA tracking system?**

☐ Do not know.

☐ No.

☒ Yes. Please indicate the determinations for each of the following:

Confidentiality: ☐ Low ☐ Moderate ☒ High ☐ Undefined

Integrity: ☐ Low ☐ Moderate ☒ High ☐ Undefined

**Homeland
Security**

The Privacy Office
U.S. Department of Homeland Security
Washington, DC 20528
571-227-3813, pia@dhs.gov
www.dhs.gov/privacy

Privacy Threshold Analysis
June 15, 2006 Version
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Availability: ☐ Low ☐ Moderate ☒ High ☐ Undefined

PRIVACY THRESHOLD REVIEW

(To be Completed by the DHS Privacy Office)

DATE reviewed by the DHS Privacy Office: October 17, 2006

NAME of the DHS Privacy Office Reviewer: Rebecca J. Richards

DESIGNATION: This system is designated:

☒ A Privacy Sensitive System

☐ Not a Privacy Sensitive System – *In its current version.*
This determination may change as the system itself changes over time.

DHS PRIVACY OFFICE COMMENTS:

PIA is required, PIA currently in progress.

AUTOMATED TARGETING SYSTEM
Development and Funding Strategy

Issue:

The Bureau of Customs and Border Protection's (CBP) enforcement responsibilities continues to change and expand at a rapid pace. To help CBP's personnel meet these challenges, the Bureau continues to develop the Automated Targeting System (ATS), CBP's core targeting and decision support system. Since CBP's enforcement responsibilities encompass the movement of people and cargo in and out of the United States, the targeting and decision support requirements for this vast population is equally vast. This paper describes a strategy for identifying and prioritizing these requirements.

Project Oversight

(b)(5)
&
(b)(7)(E)

Project Prioritization

(b)(5)
&
(b)(7)(E)

Overview of Budget Process for ATS funding

(b)(5)
&
(b)(7)(E)

What does ATS need now?

(b)(5)
&
(b)(7)(E)

Resources:

(b)(5)

&

(b)(7)(E)

Container Security Initiative (CSI) requirements and funding

(b)(5)
&
(b)(7)(E)

ATS Marketing Strategy

(b)(5)

&

(b)(7)(E)

ATTACHMENT 1

ATS Components List

CARGO Modules

- ATS – Inbound (a.k.a. ATS-N)

    - Vessel
    - Truck
    - Rail
    - CSI

- ATS - Marine
- ATS - Express Courier
- ATS - Outbound (a.k.a. ATS-AT)
- ATS - International
- TAP – Trade Statistics

PASSENGER Modules

- ATS - Passenger (ATS-P)
- RESMON
- ATS - Land (ATS-L)

ATTACHMENT 2

ATS Approved FY03 Funding
Awaiting IRB Approval for Project Initiation

(b)(5)

&

(b)(7)(E)

Program Name: Automated Targeting System

Program Description: The Automated Targeting System (ATS) sub-systems provide decision support functionality for CBP targeting efforts. ATS-N provides targeting functionality for cargo, and national targeting rule sets have been implemented in ATS-N to provide threshold targeting for national security risks for all modes: sea, truck, rail, and air.

Threshold targeting uses numerous targeting rules that work in combination to vet different shipment information from manifest and entry data against historical and enforcement records, prioritize "unusual" shipments, and generate mandatory targets for shipments that exceed a specified score threshold. Additional targeting rule sets have been developed to address risks associated with agro-terrorism, contraband, intellectual property rights, and pharmaceuticals. ATS-P provides targeting functionality to Passenger Analysis Units (PAUs) at airport ports of entry and to the target analysts at the National Targeting Center, and ATS-L provides similar functionality at the land border ports of entry for processing conveyances.

Priority: (b5)

Funding Status: (b5)

(b)(5)

&

(b)(7)(E)

CBP FY 2006 Homeland Security Priorities

1. <u>Gain operational control of the land borders between the U.S. ports of entry</u> – Using the most effective mix of personnel and technology, aided by strategically placed infrastructure, CBP will markedly increase its detection and apprehension rate between the U.S. ports of entry. Key to these efforts, which are essential to preventing terrorist penetration of our borders, will be strong training and recruitment programs for both operational and mission essential support personnel; well-managed technology, facilities and infrastructure deployment; and solid partnerships with other government agencies. Also essential is the integration of air and marine programs to better control the airspace above our land borders, improve marine operations adjacent to our land borders, and enhance our rapid response capabilities.

2. <u>Prevent the entry of terrorists at the ports of entry</u> – By improving our Automated Targeting System (ATS) for passengers focused on terrorist risk factors, extending the Immigration Advisory Program, leveraging pre-departure passenger information, and strengthening consolidated anti-terrorism secondary inspection, CBP will perfect its multi-layered strategy to prevent the entry of terrorists into the United States. CBP will continue to refine its use of ATS-P, Intelligence Driven Special Operations (IDSOs) and alerts.

3. <u>Strengthen supply chain security against the entry of terrorist weapons, including chemical, biological, radiological, nuclear and agriculture terrorist weapons</u> – CBP will work with DNDO, DOE and other partners to implement a comprehensive strategy to deter, detect and prevent terrorist weapons and their precursors from entering the U.S., through the deployment of detection technology, international security standards and extension of the U.S. zone of security outward. CBP will work to assure that CSI and CTPAT are dynamically upgraded to reach their potential as key elements of our cargo security strategy. This will allow CBP to focus targeting, inspection and enforcement actions on high-risk cargo in the sea, land and air environments while facilitating low risk shipments and conveyances. Further, CBP will implement security technologies, such as improved container seals and the "Smart Box," for use in the international supply chain. CBP will also use the information and processes developed as part of these programs to ensure global security and continuity of operations in our trade lanes.

4. <u>Strengthen risk-based operational decision-making and resource allocation</u> – CBP will enhance its current intelligence, analytical, management, communication and logistical capabilities to ensure that personnel and assets are directed to meet its priority mission and the greatest identified threats quickly and effectively. We will make certain that operations respond to current intelligence using rapid response mechanisms at and between the ports of entry. We will design planning and budgeting processes to reflect risk management principles so that resource allocation directly supports agency priorities.

5. <u>Implement World Customs Organization Framework of Standards</u> – CBP will take the lead in seeing that the WCO Framework is broadly implemented throughout the world, in order to improve the security and facilitation of global trade. These efforts will include a strong capacity building program within CBP to coordinate our own activities within the U.S. and with world aid organizations, as well as with other customs administrations around the world.

6. <u>Increase mechanisms to facilitate legitimate trade and travel</u> – CBP will expand its "Trusted Traveler" programs such as NEXUS, SENTRI and FAST and make processing and support of these programs more efficient through the Global Enrollment System. CBP will launch a trusted air passenger program, US PASS, and enter into appropriate bilateral trusted air passenger programs with other nations, e.g. NEXUS AIR. Further, CBP will continue to refine targeting of cargo and conveyances to ensure that enforcement resources are not spent inspecting low risk trade.

7. <u>Strengthen technology acquisition and deployment</u> – To ensure successful deployment of new technology platforms, CBP will support strong program management offices for its major new technology programs, such as the Automated Commercial Environment (ACE) and the America's Shield Initiative (ASI), which will facilitate the integration of experts in procurement, information and technology systems, planning, measurement and oversight and operational deployment. These offices are charged with coordinating with stakeholders, navigating the investment and budget processes, identifying requirements, meeting testing and deployment schedules, overseeing project accountability and firmly managing contractual obligations to meet mission requirements.

8. <u>Strengthen employee base and integrity assurance</u> – In support of CBP's mission and operational activities, CBP will strengthen its human capital resources. CBP will undertake initiatives to strengthen retention, recruitment and support of operational and mission support employees. In addition, CBP managers, many of whom have taken on significant new roles and responsibilities, will be supported by strengthened management training, development and staff support. And CBP will strengthen integrity among our frontline officers by undertaking proactive initiatives to identify and prevent corruption, ensuring that officers know to whom they should report concerns about corruption, and seeing that prompt action is taken in cases of corruption. CBP will also ensure adherence to key antiterrorism policies through the implementation of a robust Management Inspection Division annual plan.

9. <u>Unification as one border agency</u> – CBP will complete all actions needed to create "One Face at the Border," i.e., one unified border agency in the United States. CBP will fully integrate its immigration and entry control authorities to pursue its priority mission and work to rationalize and streamline its authorities in this area.

Issue: Utilization of Automated Targeting System – Passenger (ATS-P) for Risk-Assessment of Visa Applications

Background: As part of the HSPD-11 project, (

(b)(5)
&
(b)(2) high

Current Status: (

(b)(5)
&
(b)(2) high

Automated Targeting System

Overview of ATS/P -Passenger Module

ATS Programs

- Computer-based tools to target high-risk shipments

- Gather data from AMS/ACS, TECS, AES, APIS, etc., to support research

- Use national and local rules, established by expert targeters, to highlight potential risk, patterns, and targets

- Present integrated view of bill of lading and entry data

U.S. Customs and
Border Protection

Automated Targeting System

ATS is the cornerstone of CBP's targeting strategy

- Key attributes:
  - Flexible
  - Expandable
  - Completely integrated into CBP core mission
    - Customs
    - INS
    - Agriculture
  - Supports multiple DHS and other government agency offices
    - BTA
    - USCG
    - TSA
  - Open architecture
  - Fully operational

U.S. Customs and
Border Protection

Automated Targeting System (cont.)

(b)(7)(E)

ATS - Passenger (ATS/P)

- Decision support tool that evaluates the potential risks posed by air and sea passengers arriving at or departing from US ports

- Aggregate risk scoring based upon:

(b)(7)(E)

ATS - Passenger (cont.)

- Flexible System designed to sort large data sets

- Rules-based decision support tool

- Lookout capabilities

- Based on information combining:
  - Automated Manifest Information
  - Non-Immigrant Information System (NIIS) (I-94 Data)
  - Suspect and Violator Indices (SAVI)
  - Visa Information

(b)(6), (b)(7) & (b)(7)(E)