



### 1.0 INTRODUCTION TO US-VISIT AND ITS BUSINESS CONTEXT

To position DHS for the future, the Smart Border Alliance incorporates border management experience and lessons learned to achieve a business-focused End Vision that is responsive to stakeholder needs and US-VISIT program goals.

#### 1.1 US-VISIT Background

The border management community forms the unifying core for the broad range of activities that meet the dual Homeland Security challenge to protect the U.S. and its territories from threats and to promote legitimate flow of people and goods. Our solution to meet this challenge enhances both border enforcement and facilitation of the movement of people and goods while maintaining privacy, as Figure 1-1 depicts.

[redacted] an Alliance subject matter expert [redacted]

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[redacted] characterizes our solution's mandate in enhancing the dynamic relationship between enforcement and facilitation as: "The traveling population

**Embedded agency experience and expertise provide a mission-driven system responsive to stakeholder needs**

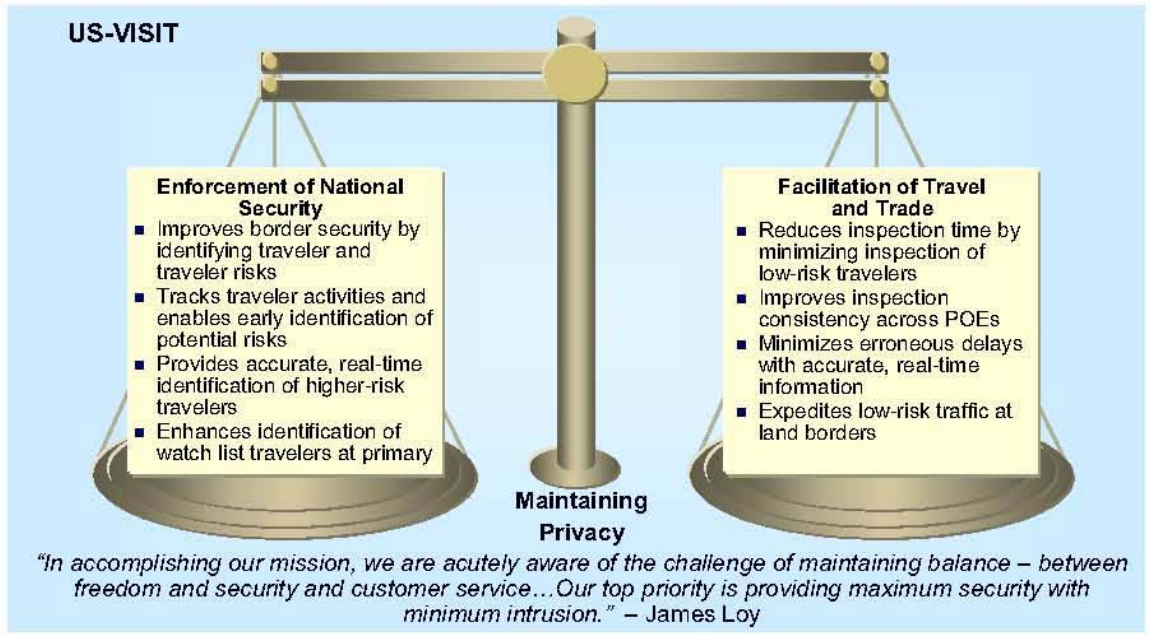
- Involve users and other key stakeholders with comprehensive program governance structure which guides design and deployment
- Through lessons learned from a pool of over 300 INS, Customs, and DoS experts to guide pre-award activity
- Tap privacy experience from Federal, State, and Local law enforcement data sharing
- Combine DHS advance data approach-CSI, FAST, SENTRI, and others with kiosks to improve information and decrease time [redacted] at the border

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will embrace US-VISIT where we can ratchet up facilitation while keeping our country secure."

Some aspects of the current Immigration and Customs processes are manual, dependent on outdated or redundant technology, not integrated, subject to input or processing delays, or inflexible, creating significant exposure for the country. Our information-rich solution is designed to better inform decision



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Figure 1-1. US-VISIT must enhance enforcement and facilitation simultaneously, while maintaining data privacy in an end-to-end, real-time, cross-agency business process

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makers, improve the information available to users, and provide an easy-to-read format integrated with other systems at each point of the process. According to subject matter expert

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“If the border officer makes a better decision informed by advance risk analysis and government-wide data on a traveler, then the law-abiding traveler is de facto expedited by directing the inspector’s attention to higher risk individuals.”

During the past two years, the Government has taken significant initial steps to improve the country’s ability to analyze, forecast, and prevent threats to our citizens. US-VISIT is a key tool to identify, deter, and track terrorists or foreign nationals of interest for National Security reasons. It provides real-time, accurate information in advance of travelers reaching the border; this enables a more secure and expeditious border process focused on the primary system goals outlined in Figure 1-2.

US-VISIT collects, maintains, and shares information on foreign nationals through an innovative, interoperable, and secure system. We understand the importance and challenges of deploying an end-to-end, cross-agency process and

propose to share the Government’s risk in meeting these challenges

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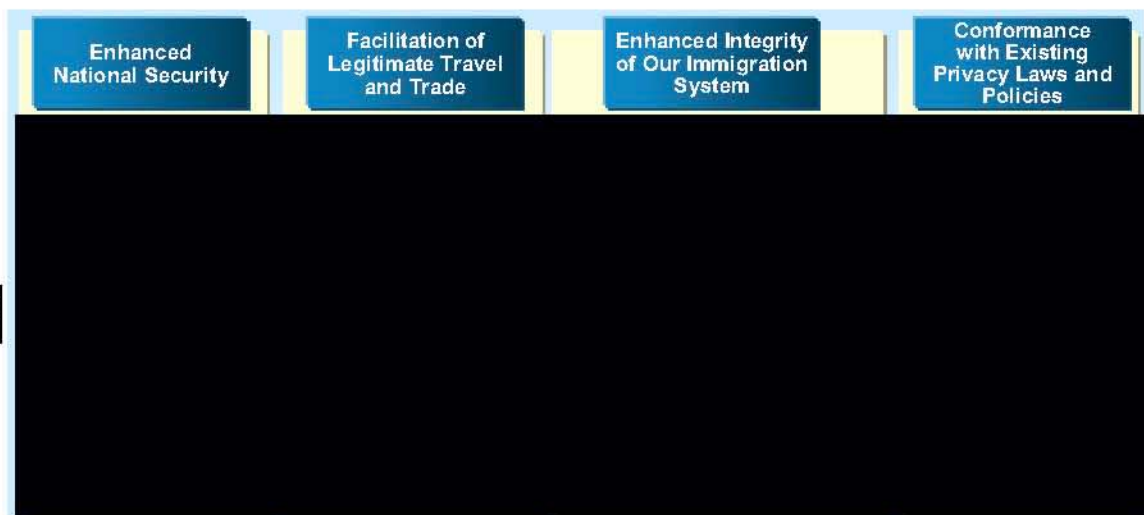
The US-VISIT mission-critical system connects and unifies disparate business processes within DHS and DoS effectively supporting security and facilitation while observing personal privacy protections.

Our End Vision is designed to not only meets program business, architectural, technical, and legislative requirements but also

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We work with DHS to move the collection of key risk information away from the border to stop high-risk travelers before their departure and expedite processing for legitimate frequent travelers, both foreign and U.S., by enrollment in a frequent traveler program.

**Core Business Drivers.** Weaknesses in the process of authorizing and tracking foreign travelers and immigrants to the U.S. and the need to apply information from multiple sources to improve the process have plagued the Immigration and Naturalization Service for the past three decades. The country’s and Congress’s desire to know where and how the foreign



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Figure 1-2. Our business-focused End Vision creates a seamless cross-agency process centered around facilitation, enforcement, integrity, and protection of privacy



population contributes to our economy, benefits from domestic health, education and other welfare programs, or threatens U.S. citizens exposed gaps in the Government's ability collect, compile, maintain and track up-to-date information. The fact that the September 11 terrorists entered the country, enrolled in flight schools and lived and traveled freely in the U.S. without notice emphasized these vulnerabilities and added urgency to the need to fix them by bringing to bear information from pertinent domestic and international sources that detects and deters future incidents. Figure 1-3 defines these drivers.

With that in mind, our End Vision is designed to safeguard the public from known or suspected terrorists with minimal effect on legitimate travelers. It improves the Government's ability to determine the admissibility of international travelers while maintaining our commitment to an open society. It preserves records privacy while sharing data across agencies,

bureaus, and departments. Specifically, it improves detection of visa violations by acting on real-time data to identify overstays and those who have committed crimes while in the U.S., and then refer them to enforcement. Our vision emphasizes the pre-entry, status management, and analysis processes to reduce activities at the border and concentrate knowledge at entry. This enables our solution to tighten controls without impeding citizen or low-risk travelers.

**Border Management and Key Stakeholders.** The breadth of expectations for US-VISIT from its diverse stakeholder groups and communities of interest requires sensitive policy tradeoffs and prioritization to integrate wide-ranging needs into the End Vision solution.

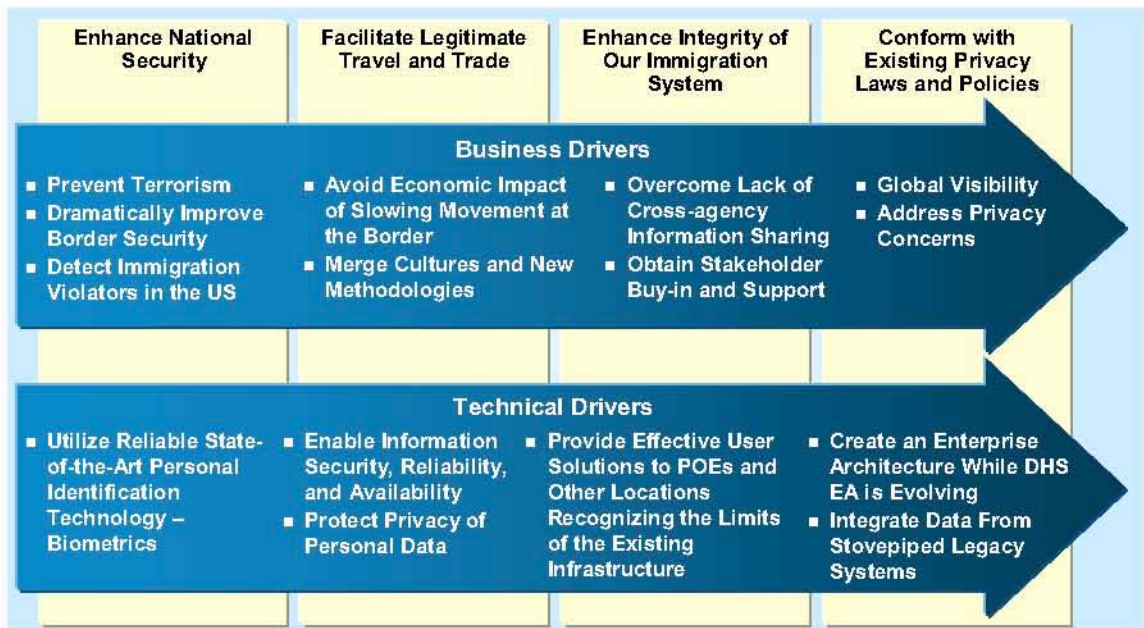
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It goes

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**Figure 1-3. We recognize the complex mix of architectural, business process, and legislative requirements that affect the Government's process to verify and record the identities of persons who enter and exit the U.S.**



beyond the system itself to provide environmental relief to border communities through pre-enrollment and advance check-in options designed to enable legitimate travelers to cross borders with as quickly as possible with strong security. Our robust stakeholder outreach program involves them in system design, testing, and deployment and gauges their expectations and satisfaction levels at each stage.

**1.2 Desired Business Results (DBRs)**

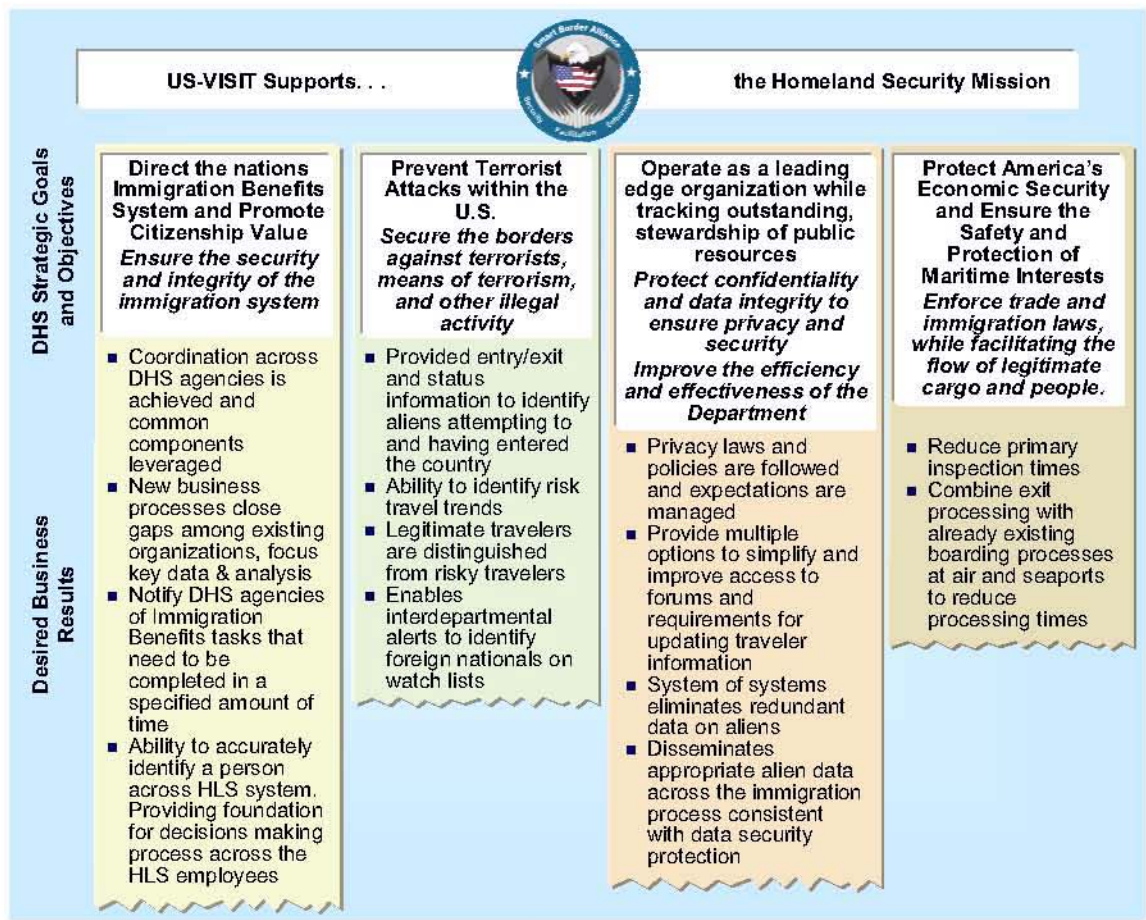
The country’s ability to properly identify foreign travelers before they enter, locate them subsequent to entry, and promptly determine when they have violated the terms of their admission is critical to U.S. Homeland Security efforts and key to the rationale for placing

immigration activities within the Department of Homeland Security. Four of the Department’s seven strategic goals address immigration system performance, as Figure 1-4 depicts. This figure shows the flow down to US-VISIT objectives and desired business results. These DBRs and sample metrics appear in detail later in the section.

Preventing domestic terrorist activity by interdicting terrorists at or outside the U.S. borders is a top priority for US-VISIT.



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**Figure 1-4. US-VISIT desired business results support the strategic goals and objectives of DHS**



b(4) [redacted] utilized in the Mission Operations Center (MOC) to bear on the visa application process, on passenger manifests for travelers en route to the U.S., and at the border. This discourages potential terrorists from considering the immigration process as a productive avenue for entering the U.S. Our solution also assists the Government in locating aliens already within the U.S. who are associated with terrorism.

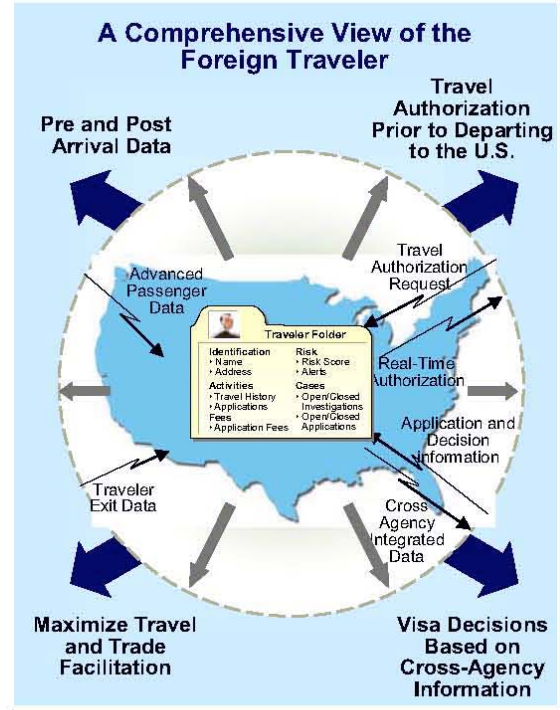
Our solution features an Integrated Traveler Folder (ITF) that integrates new and legacy systems across agencies, bureaus, and departments to provide a full lifecycle view of individual travelers' activities. As shown in Figure 1-5, the ITF eliminates redundant data, unites key information concerning individuals' visa-related and travel activities, and detects non-compliance by overstay, criminal conviction, or unauthorized employment. It builds in the privacy protections required for law enforcement records, and data sharing among agencies and international governments. It also anticipates the protection of sensitive human rights information by international agreements. We recognize that policy and procedure change remain the purview of the administering bureaus; however, our solution [redacted]

b(4) [redacted] Such features enhance the overall integrity of the program.

Facilitating travel and trade is essential to U.S. economic security. Our solution reduces border-processing times by routinely identifying travelers of interest needing additional interviewing in secondary to determine admissibility. [redacted]

b(4) [redacted] The system also presents primary inspectors with [redacted]

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Figure 1-5. The Alliance US-VISIT solution unites International and U.S. Government data on each foreign traveler in an Integrated Traveler Folder with views limited by authorization

[redacted] in b(4) screens that seamlessly mimic the Free and Secure Trade (FAST) formats they are already used to seeing. Our pre-enrollment facilitation programs enable tourists and business travelers already vetted and approved to pass through border screening quickly while enhancing the quality of CBP inspectors' judgments [redacted] b(4)

[redacted] Figure 1-6 depicts a detailed breakdown of typical Desired Business Results and supporting metrics.

Our Alliance is equipped to work closely with the Government to assess policy impacts, queue decisions required by key officials, and draft proposed policy positions with the assistance of the experienced, knowledgeable agency experts on our team. In each phase, we design and build a system that protects data on individuals in a manner consistent with privacy mandates at every level; these

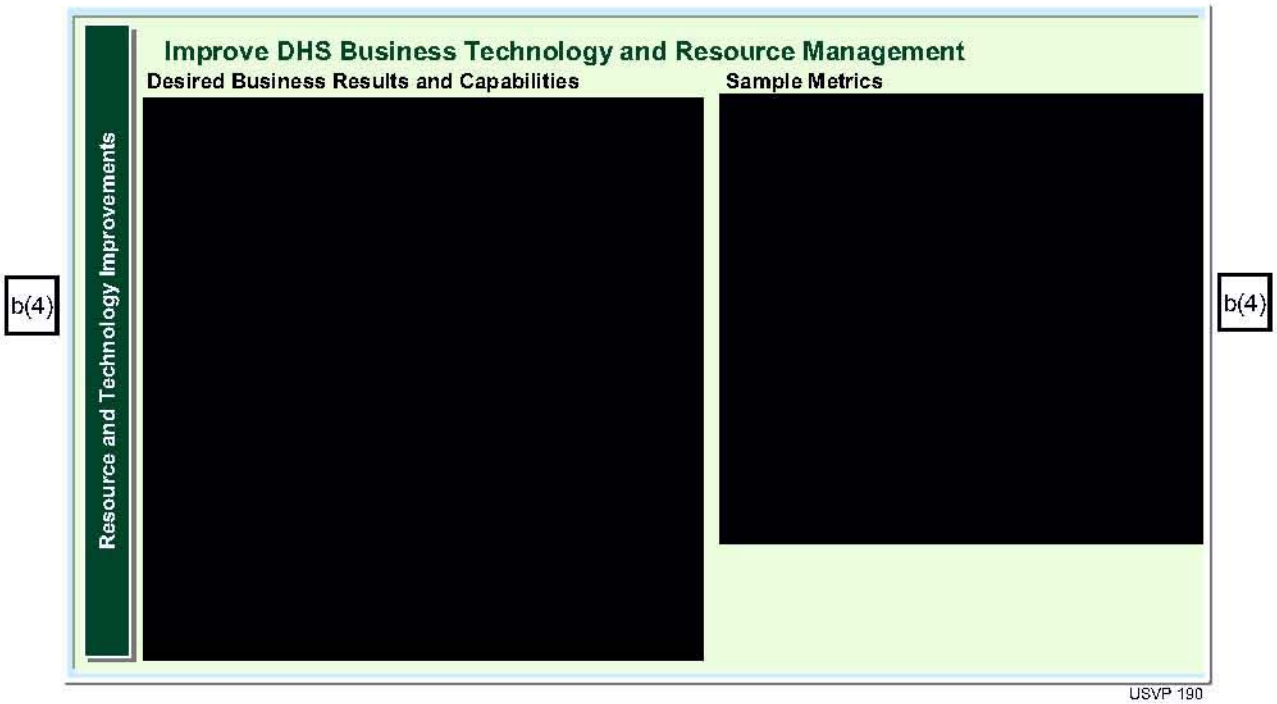
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Border Management Improvements (with Entry and Exit)	<b>Enhance National Security/ Minimize Terrorist Entry</b>	
	Desired Business Results and Capabilities	Sample Metrics
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Border Management Improvements (with Entry and Exit)	<b>Facilitate Travel and Trade</b>	
	Desired Business Results and Capabilities	Sample Metrics
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Immigration Process Improvements	<b>Achieve Immigration Integrity</b>	
	Desired Business Results and Capabilities	Sample Metrics
	<b>Protect Individual Privacy</b>	
Desired Business Results and Capabilities	Sample Metrics	
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Figure 1-6. The US-VISIT desired business results further the system objectives by providing key DHS capabilities – Sheet 1 of 2



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Figure 1-6. The US-VISIT desired business results further the system objectives by providing key DHS capabilities – Sheet 2 of 2

considerations encompass both the data collected and its availability. Further, our solution builds in the additional record privacy protections required when visa holders transition to U.S. citizen status. The former Government executives on our team are aware that anticipating sensitive, potentially controversial policy matters is a strategic goal for DHS. These experts are already at work identifying key US-VISIT policy impacts such as reconciliation of overlapping data collection from CAPPs and CAPPs II or how to filter false positive entry and exit analyses from future admission or benefits decisions. We build a system that enables, through the MOC, real-time answers to key visa program management questions such as total visas issued or denied by type, location, or other key attributes; or number of travelers by country of nationality in the U.S. at any time and their locations.

To meet DHS's goal to operate as a leading edge organization while practicing outstanding stewardship of public resources, our solution builds on a

structure consistent with the Homeland Security Enterprise Architecture to maximize reuse. The system utilizes an integration layer to pull, scrub, and reconcile key data from diverse legacy systems, evaluating and updating or retiring those systems in a staged approach.

We recognize the critical value of operational experience and acceptance in developing an effective approach to US-VISIT. Our vision

[Redacted text block]

Our solution also takes into account the ongoing

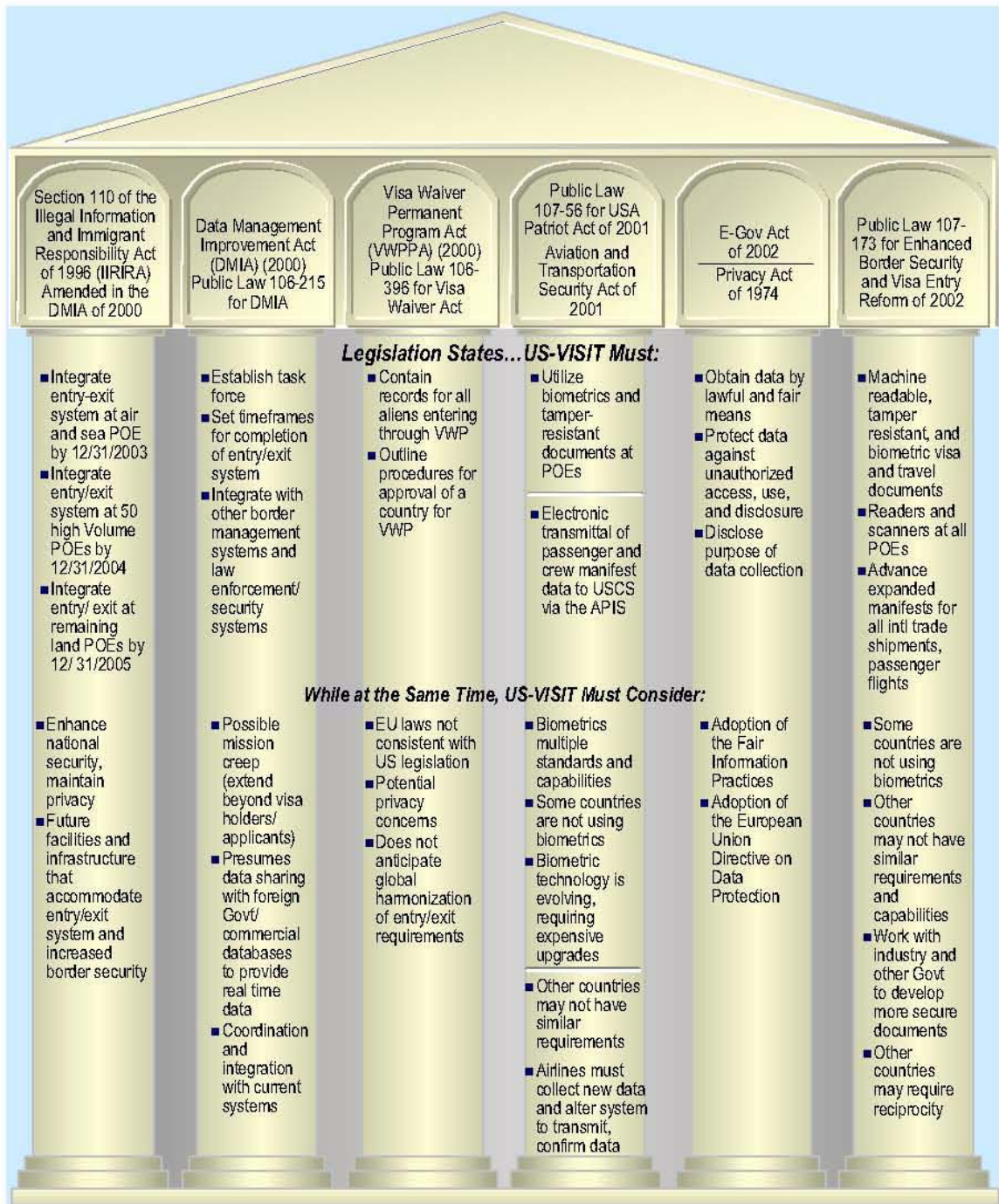


streamlining of DHS processes in current development such as ACE, and users, adapting screens and system capabilities for ease of use.

**1.3 Driving Legislation and Initiatives**

The US-VISIT program builds on a

framework of detailed legislative mandates preceding and given urgency by the events of September 11. Figure 1-7 details the range of existing laws that guide system design and development. Our subject matter experts and senior advisors have



**Figure 1-7. We factor in legislative and other requirements to develop key considerations contributing to the US-VISIT mission**

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significant experience in shaping and administering legislation and in working with Congress to adopt appropriate language. The Alliance approach, however, prefers to work within the existing legislative framework to streamline and focus Congressional guidance for US-VISIT. The Alliance works closely with DHS to:

- Monitor current and proposed legislation related to privacy, citizen, and non-citizen rights, and technology requirements for capturing, retaining, sharing, and releasing personal data. Figure 1-8 provides an overview of key safeguards currently in discussion. The result of this monitoring routinely feeds statutory requirements into system design and development initiatives to create a

US-VISIT solution that is compliant with legal requirements

- Provide ongoing support from Alliance staff and key Senior Advisory Board Executives to DHS in discussions with GAO and Congress related to anticipated US-VISIT legislation; specifically, we work with DHS to correlate consideration of legislative initiatives with appropriations process submissions, which provide sufficient detail on functionality and schedules to preclude the need for additional oversight laws.

The Alliance solution incorporates extensive understanding and compliance with existing global best practices and U.S. privacy laws. It populates data for the annual PIA required by the E-Gov Act of 2002. It establishes a dynamic adherence

<b>Key Global Data Practices and U.S. Potential Legislated Safeguards</b>	
<b><i>Pertaining to Foreign Nationality (Fair Information Practices)</i></b>	<b><i>Pertaining to US Citizens (Potential legislative safeguards)</i></b>
Enhance public awareness and transparency (openness) of information policies and practices	b(4)
Establish necessity and relevance of the information collected	
Build in finality (establishing the uses of the information in advance and eventually destroying it)	
Identify the person who has responsibility for protecting personal information within an organization	
Get informed consent from the individual	
Maintain accuracy and completeness of records	

**Figure 1-8. The Alliance Solution builds in recognized global standards and anticipated new safeguards**

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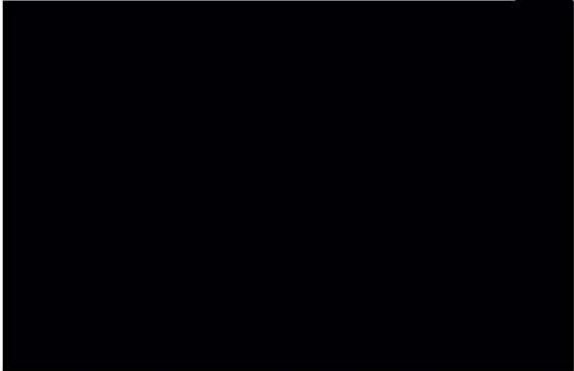
framework to anticipate and enable compliance with evolving U.S. privacy policy/legislation and similar international efforts by the EU, APEC, OECD, and W3C, for example.

**1.4 Assumptions and Constraints**

Our team of experienced former Government executives identified the assumptions and constraints that our US-VISIT End Vision solution needs to address. As outlined in Figure 1-9, we defined assumptions from the Government’s US-VISIT RFP and our experience with organization, business process, infrastructure design and deployment, facilities, training, scheduling, costing, and operational issues. We base our US-VISIT End Vision design and implementation on these assumptions and constraints.

We employ a dynamic, comprehensive, and proven planning methodology to effectively manage and forecast the appropriate resources to implement our

end-to-end, integrated system.



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The Smart Border Alliance is committed to delivering business value and providing capabilities to help DHS achieve its goals. Our End Vision is designed to enhance both security and facilitation through an integrated, end-to-end solution that observes current privacy laws and anticipates new ones, and brings improved integrity to our immigration system. From Increment 2B forward, we work with DHS to help realize its goals for the US-VISIT program.

<i>Assumption/Constraint</i>	<i>Impact</i>	<i>Mitigation Strategy</i>
<i>Organizational</i>		
<ul style="list-style-type: none"> <li>■ Cross Government Program</li> <li>■ Coordinate with other organization transition activities, i.e. technology requirements and deployment</li> </ul>		

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**Figure 1-9. We evolve our solution to meet the key assumptions and constraints for US-VISIT End Vision (sheet 1 of 2)**



<i>Assumption/Constraint</i>	<i>Impact</i>	<i>Mitigation Strategy</i>
<i>Functional and Infrastructure</i>		
<ul style="list-style-type: none"> <li>■ Legacy applications to be replaced or an interface will be created; Systems with arrival and departure information need to be integrated to meet DMIA mandated deadlines</li> <li>■ Existing infrastructure is in varying condition, varying capabilities</li> </ul>		
<i>Facility and Maintenance</i>		
<ul style="list-style-type: none"> <li>■ Infrastructure and facilities either do not exist or need to be enhanced or replaced</li> <li>■ New construction requiring permits</li> <li>■ New incremental capabilities need to be added with minimal and manageable facility impacts</li> <li>■ Utilization of local resources for new construction/renovation</li> </ul>		
<i>Training</i>		
<ul style="list-style-type: none"> <li>■ No increase in Government Employees at the 50 highest volume land POEs</li> <li>■ Training required for both new and existing workforce</li> <li>■ Traveler volume varies based on time and location of travel</li> <li>■ Adequate government resources are assigned to both communications and outreach initiatives</li> </ul>		
<i>Schedule and Cost</i>		
<ul style="list-style-type: none"> <li>■ Initial rollouts will meet legislatively mandated requirements</li> <li>■ Subsequent phases enhances functionality to meet desired business objectives</li> <li>■ Increment Funding</li> </ul>		

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**Figure 1-9. We evolve our solution to meet the key assumptions and constraints for US-VISIT End Vision (sheet 2 of 2)**