



# DHS Exhibit 300 Public Release BY08 (Form) / CBP - Advance Passenger Information System (APIS) (2008) (Item)

Form Report, printed by: Administrator, System, Feb 9, 2007

## OVERVIEW

### General Information

1. Date of Submission:	Jun 30, 2006
2. Agency:	Department of Homeland Security
3. Bureau:	Security, Enforcement and Investigations (SEI)
4. Name of this Capital Asset:	CBP - Advance Passenger Information System (APIS) (2008)
Investment Portfolio:	CBP - OFO 2008
5. Unique ID:	024-50-01-03-01-5138-00

(For IT investments only, see section 53. For all other, use agency ID system.)

### All investments

6. What kind of investment will this be in FY2008?

(Please NOTE: Investments moving to O&M ONLY in FY2008, with Planning/Acquisition activities prior to FY2008 should not select O&M. These investments should indicate their current status.)

Operations and Maintenance

7. What was the first budget year this investment was submitted to OMB?

FY2002

8. Provide a brief summary and justification for this investment, including a brief description of how this closes in part or in whole an identified agency performance gap.

The Aviation and Transportation Security Act (ATSA) was signed into law on November 19, 2001. Section 115 of ATSA required commercial air carriers to provide legacy USCS with APIS data on all inbound passengers and crewmembers before their arrival in the United States. Previously, international air carriers transmitted this data to legacy USCS voluntarily. The APIS system is used to review passengers and crew in order to identify possible terrorists or other high-risk individuals and to facilitate the clearance process for the vast majority of legitimate travelers. In addition, with the enactment of the Enhanced Border Security and Visa Entry Reform Act 2002, all commercial air and sea carriers are required to provide electronic transmission of arrival and departure manifests for each commercial vessel or aircraft prior to arrival at or departure from the United States. This includes matching of APIS flights to Customs and Border Protection (CBP) Entrance and Clearance entries for reconciliation, better identify carrier transmission errors for penalty issuance and mitigation, capture legislatively mandated information at or before time of entry for all air passengers, as well as, analytical support for air carrier performance. Updates and/or modifications to operational parameters have been or will be implemented to permit APIS to handle increased volume in a more efficient manner, the collection of inbound and outbound data for all air and sea passengers, conversion to the World Customs Organization standard for data transmission format (UN EDIFACT) and acquiring and processing Canadian and Mexican APIS data for passengers traveling from overseas. Additionally, eAPIS and eNOA/D are web-based internet accessible functions developed to allow air carriers and vessels, that operate without advanced departure control systems, to transmit APIS data electronically to CBP. Small/medium air carriers can upload APIS data to CBP, send an acknowledgement of data received to transmitting carriers, and allow carriers to view and request performance reports. eNOA/D gives vessel operators the capability to connect to or transmit off-line APIS data in an email attachment to CBP and provide a NOA to Coast Guard using one portal.

9. Did the Agency's Executive/Investment Committee approve this request?

Yes

9.a. If "yes," what was the date of this approval?

Jul 15, 2003

10. Did the Project Manager review this Exhibit?

Yes

12. Has the agency developed and/or promoted cost effective, energy-efficient and environmentally sustainable techniques or practices for this project.

No

12.a. Will this investment include electronic assets (including computers)?

Yes

12.b. Is this investment for new construction or major retrofit of a Federal building or facility? (answer applicable to non-IT assets only)

No  
 12.b.1. If "yes," is an ESPC or UESC being used to help fund this investment?  
 No  
 12.b.2. If "yes," will this investment meet sustainable design principles?  
 No  
 12.b.3. If "yes," is it designed to be 30% more energy efficient than relevant code?  
 13. Does this investment support one of the PMA initiatives?  
 Yes  
 If "yes," select the initiatives that apply:

<b>Human Capital</b>	Yes
<b>Budget Performance Integration</b>	
<b>Financial Performance</b>	Yes
<b>Expanded E-Government</b>	Yes
<b>Competitive Sourcing</b>	
<b>Faith Based and Community</b>	
<b>Real Property Asset Management</b>	
<b>Eliminating Improper Payments</b>	
<b>Privatization of Military Housing</b>	
<b>R and D Investment Criteria</b>	
<b>Housing and Urban Development Management and Performance</b>	
<b>Broadening Health Insurance Coverage through State Initiatives</b>	
<b>Right Sized Overseas Presence</b>	
<b>Coordination of VA and DoD Programs and Systems</b>	

13.a. Briefly describe how this asset directly supports the identified initiative(s)?  
 APIS supports the PMA in the area of Expanded Electronic Government by reducing the expense and difficulty of doing business with the gov't and by cutting gov't operating costs.  
 As the single platform to capture passenger and crew data on sea carriers, APIS provides Improved Financial Performance to both the gov't and the trade by reducing the trade's reporting burden.  
 APIS supports the Human Capital initiative through the redistribution of human capital to front-line service delivery.  
 14. Does this investment support a program assessed using OMB's Program Assessment Rating Tool (PART)?  
 Yes  
 14.a. If "yes," does this investment address a weakness found during the PART review?  
 No  
 14.b. If "yes," what is the name of the PART program assessed by OMB's Program Assessment Rating Tool?  
 CBP - Border Security Inspections and Trade Facilitation at POE's Program  
 14.c. If "yes," what PART rating did it receive?  
 Effective  
 15. Is this investment for information technology (See section 53 for definition)?  
 Yes

**For information technology investments only:**  
 16. What is the level of the IT Project (per CIO Council's PM Guidance)?  
 Level 3  
 17. What project management qualifications does the Project Manager have? (per CIO Council's PM Guidance)  
 (4) Project manager assigned but qualification status review has not yet started  
 18. Is this investment identified as "high risk" on the Q4 - FY 2006 agency high risk report (per OMB's "high risk" memo)?  
 No  
 19. Is this a financial management system?  
 No  
 19.a. If "yes," does this investment address a FFMIA compliance area?  
 No  
 19.a.1. If "yes," which compliance area:  
 19.a.2. If "no," what does it address?  
 19.b. If "yes," please identify the system name(s) and system acronym(s) as reported in the most recent financial systems inventory update required by Circular A-11 section 52.

20. What is the percentage breakout for the total FY2008 funding request for the following? (This should total 100%)

Area	Percentage	
Hardware	0.00	
Software	0.00	
Services	100.00	
Other	0.00	
<b>Total</b>	100.00	★

21. If this project produces information dissemination products for the public, are these products published to the Internet in conformance with OMB Memorandum 05-04 and included in your agency inventory, schedules and priorities?

N/A

23. Are the records produced by this investment appropriately scheduled with the National Archives and Records Administration's approval?

No

<b>SUMMARY OF FUNDING</b>
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<b>SUMMARY OF SPENDING FOR PROJECT PHASES (In Millions)</b>
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1. Provide the total estimated life-cycle cost for this investment by completing the following table. All amounts represent budget authority in millions, and are rounded to three decimal places. Federal personnel costs should be included only in the row designated "Government FTE Cost," and should be excluded from the amounts shown for "Planning," "Full Acquisition," and "Operation/Maintenance." The total estimated annual cost of the investment is the sum of costs for "Planning," "Full Acquisition," and "Operation/Maintenance." For Federal buildings and facilities, life-cycle costs should include long term energy, environmental, decommissioning, and/or restoration costs. The costs associated with the entire life-cycle of the investment should be included in this report.

All amounts represent Budget Authority

	PY-1 & Earlier	PY	CY	BY
	-2005	2006	2007	2008
<b>Planning:</b>				
<b>Budgetary Resources</b>	0.000	0.000	0.000	0.000
<b>Acquisition:</b>				
<b>Budgetary Resources</b>	17.992	0.000	0.000	0.000
<b>Subtotal:</b>				
<b>Budgetary Resources</b>	17.992	0.000	0.000	0.000
<b>Maintenance:</b>				
<b>Budgetary Resources</b>	23.078	7.600	7.600	7.600
<b>TOTAL, All Stages</b>				
<b>Budgetary Resources</b>	41.070	7.600	7.600	7.600
<b>Government FTE Cost</b>	1.790	0.320	0.330	0.330
<b># of FTEs</b>	16.00	3.00	3.00	3.00
<b>Total, BR + FTE Cost</b>	42.860	7.920	7.930	7.930

Note: For the cross-agency investments, this table should include all funding (both managing partner and partner agencies).

Government FTE Costs should not be included as part of the TOTAL represented.

2. Will this project require the agency to hire additional FTE's?

No

2.a. If "yes," how many and in what year?

3. If the summary of spending has changed from the FY2007 President's budget request, briefly explain those changes.

At the end of FY05, end of year money was identified to implement Pre-Departure APIS functionality. These funds (\$9.7M) were received after the FY07 business case had been completed and submitted for review. All of these funds were obligated during FY05 and are reflected in the summary of spending table as prior year resources. Actual outlays may occur during FY06 but will be booked as FY05 expenses.