Department of Homeland Security
Office of the CIO
E-Government Act Report 2007

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The Department of Homeland Security (DHS) has identified the United States Visitor and Immigrant Status Indicator Technology (US-VISIT) (2009), as required by the E-Government Act of 2002 (Pub. L. No. 107-347), to support the requirements defined in the instructional memorandum. The US-VISIT initiative was selected based on the following criteria: a non-Presidential E-Government initiative or line of business.

A. Describe how the initiative is transforming agency operations.

The Department of Homeland Security manages the US-VISIT project to facilitate legitimate travel and trade and ensure the integrity of our immigration system. The project automates many processes supporting immigration and border control programs at DHS. For instance, it enhances the security of our citizens and visitors while protecting the privacy of our visitors.

For a more specific example, visa processing can quickly assess and determine whether visitors to the United States are eligible for entry. US-VISIT begins overseas, at the U.S. consular offices issuing visas, where visitors' biometric and biographic data (digital finger-scans and photographs) are collected and checked against a database of known criminals and suspected terrorists. Biometric data are measurements of physical characteristics—such as finger-scans, DNA, or retinal patterns—for use in verifying the identity of individuals.

When the visitor arrives at the port of entry, their biometric and biographic data are captured. This information is then verified against the data captured during the time the visa was issued to ensure the person at our port is the same person who received the visa.

US-VISIT effectively produces more accurate hit rates achieved through biometric referrals, resulting in a more efficient utilization of limited inspection resources. With the addition of biometric scans, many of the entry procedures will remain unchanged and unnoticed on the visitor's end.

DHS' investment review board oversees the project to ensure it is effectively planned and implemented. The board reviews barriers impeding the project's success and designs methods for overcoming them. A project team comprising representatives from within the agency, as well as other Federal agencies, ensures the needs of all users are addressed, and works with other agencies to combine related information and improve the performance of related programs at other agencies. The project has incorporated requirements to ensure access to those with disabilities.

US-VISIT helps ensure that the United States remains a welcoming nation, keeping America's doors open while at the same time keeping our nation secure.

B. Explain how your agency maintains an ongoing dialogue with interested parties to find innovative ways to use information technology for the initiative.

The Investment governance uses the DHS Investment Review Board (IRB) to: provide acquisition oversight of the US-VISIT Program (a DHS Level 1 investment), conduct portfolio management to achieve budget goals and objectives, review US-VISIT investments for formal entry into the annual budget process and at Management Decision Points (MDPs), and discuss investment issues and resolve problems requiring senior management attention.

C. Identify external partners (e.g., Federal, State or local agencies, industry) who collaborate with your agency on the initiative.

The US-VISIT Interagency Program Team (IPT) is composed of management-level stakeholder representatives from both internal DHS organizations (e.g. Customs and Border Patrol [CBP] and Immigration Customs Enforcement [ICE]) and external agencies such as the Departments of State, Justice, and Transportation.

D. Identify improved performance (e.g., outcome measures) by tracking performance measures supporting agency objectives and strategic goals.

To address the continuous improvement of management processes, US-VISIT established a Process Improvement Program based on a recognized best practice reference model—the Capability Maturity Model (CMM). Initially, the US-VISIT Program adopted the Software Engineering Institute (SEI) Software Acquisition Capability Maturity Model® (SA-CMM®) to guide its management process implementation. Just prior to the award of the contract, US-VISIT developed a set of initial plans and processes to task, manage, and control the Program and the prime contractor.

Many of these processes mapped to SA-CMM® Key Process Areas and included: a Program Management Plan, Work Breakdown Structure, Task Order Development through Award Process, EVM Analysis Process, Invoice Review and Approval Process, Deliverable Routing and Approval Process, and Risk Management Plan and Process. In December 2004, US-VISIT decided to transition to the Capability Maturity Model Integration (CMMI®) from the SA-CMM. The CMMI® is a more robust model and is now the 'best practice'

standard in use at hundreds of commercial and government organizations. In addition, SEI is expecting to retire the SA-CMM® very soon. SEI developed a guidance document called the CMMI®-Acquisition Module to assist acquisition organizations such as US-VISIT in applying the CMMI®.

E. Quantify the cost savings and cost avoidance achieved through implementing the initiative (e.g. by reducing or eliminating other investments in information technology).

US-VISIT's primary objective has been to address the deficiencies within the immigration and border management processes and legislation. Cost reduction was not a primary objective of the Program. However, the US-VISIT experience has demonstrated the potential for efficiencies. For example, the superior hit rate achieved through biometric referrals to secondary demonstrates how US-VISIT can contribute to more effective utilization of limited inspection resources.

During FY 2007, the US-VISIT Program Management Office began operating under the newly-created National Protection and Program Development Directorate (NPPD). This realignment will support coordination for the program's protection mission and strengthen DHS management oversight of biometric identity services.

US-VISIT's proven biometric-based solutions for identity management directly support agencies across the U.S. Government, and its placement within NPPD strengthens its broad-based mission. Within the border and immigration management enterprise, CBP, Citizenship and Immigration Services, ICE, and the U.S. Coast Guard all benefit from US-VISIT's biometric identity management. Other agencies outside DHS—including the Departments of Justice and State and the Intelligence Community—also use US-VISIT's biometric identity management services.

Moreover, by specifically positioning the US-VISIT program within the NPPD, DHS is effectively aligning the office with other components that seek to serve as wide-ranging resources for decision-makers. This organizational structure makes NPPD the "go-to" directorate for a range of information-sharing and program integration services essential to the Department's mission and the U.S. Government's needs. Expanding access to the US-VISIT identity-management services also supports three of the previously-identified critical missions of the NPPD:

- o Foster stronger and better integrated national approaches among key strategic homeland security activities;

- o Protect the Nation's critical infrastructure, both physical and virtual; and

o   Enhance the security of our citizens and foreign visitors by facilitating legitimate travel with appropriate safeguards.

The improvements in border management offer the potential to achieve much more in terms of efficiencies, resulting from such efforts as:

o   The replacement of stove-piped legacy systems now operating on outdated technology.

o   A coordinated approach to researching new technologies and building vital infrastructure that will enable immigration and border management components to modernize more quickly and spend tax-payer dollars more cost-effectively.

o   Improved targeting through more effective risk management capabilities.

o   Entry/exit matching capabilities that can reduce costs associated with overstay investigations.

o   Re-engineered processes among immigration and border management agencies. These processes will help implement the concepts of the virtual border and facilitate intentions-based interactions with immigration and border management agencies.

F. Explain how this initiative ensures the availability of Government information and services for those without access to the Internet and for those with disabilities.

US-VISIT requires Electronic & IT (EIT) procurement, development, and maintenance to follow guidelines establish in its 508 Compliance Process Description & COTS Product Evaluation Process (PEP). The first procedure of this process is to include 508 requirements in contracting vehicles. COTS PEP describes how to add COTS products to the Technical Baseline. Along with market research, the 508 Determination & Findings form is completed so that the most accessible product meeting requirements are selected.


G. Explain how the project applies effective capital planning and investment control procedures.

DHS successfully employs the Select, Control, and Evaluate Phases recommended by both the Government Accountability Office (GAO) and the Office of Management and Budget (OMB) in implementing a capital planning process as required by the Clinger-Cohen Act of 1996. In addition, DHS has implemented a Pre-Select Phase to accommodate strategic planning. The design of the high-level CPIC process ensures that the Department addresses fundamental questions, as illustrated in Figure 1, at the appropriate phase of the

process. Note that the process also addresses the specific requirements of both new projects as well as continuing projects. Continuing projects are those for which an Exhibit 300 was submitted to OMB in a previous year's budget cycle.

The assessment of US-VISIT within its respective portfolio on an annual basis ensures that US-VISIT supports the Department's strategic missions and is allocated the requisite resources. DHS conducts an annual review of US-VISIT as part of the CPIC Select phase in support of the annual programming and budgeting processes.

Figure 1. DHS CPIC Process Flow
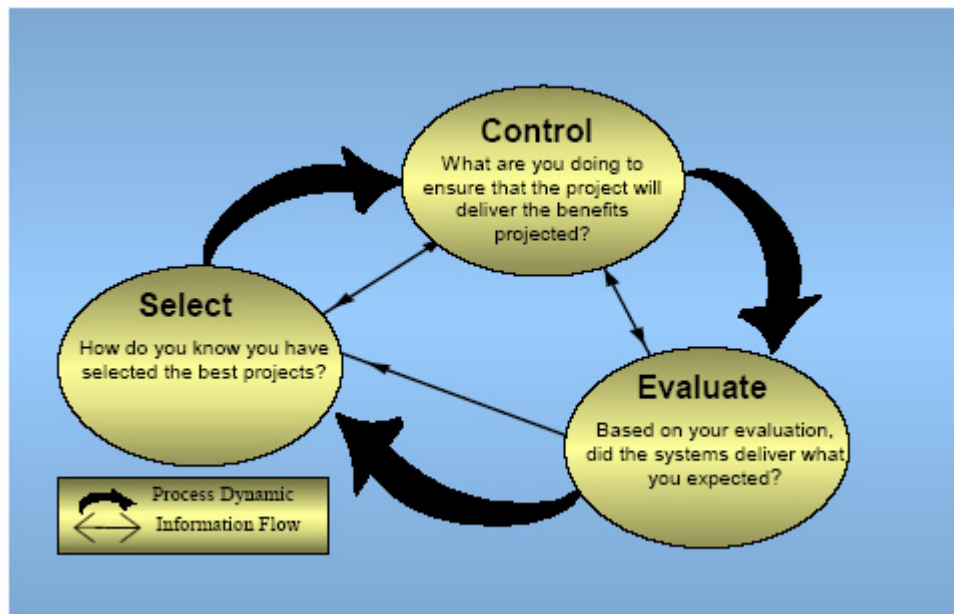
Furthermore, US-VISIT participates in the Control Phase to ensure the project is performing within acceptable cost, schedule, and performance parameters and to ensure the continual assessment and mitigation of potential risks. Through timely oversight, quality control, and executive review, DHS manages US-VISIT in a disciplined and consistent manner to promote the delivery of quality products and results within scope, on time, and within budget.

The US-VISIT CPIC process as a whole integrates strategic planning, enterprise architecture, privacy, security, budgeting, portfolio management, procurement, and the management of assets.

A. Your agency's Information Resources Management (IRM) Strategic Plan

The latest version of the DHS OCIO IRM Strategic Plan is not yet available on the Web.

B. Final determinations, priorities, and schedules. Also include your agency's information dissemination product catalogs, directories, inventories, and any other management tools used to improve the dissemination of (and access to) your agency's information by the public.

o http://www.dhs.gov/xutil/gc_1157139158971.shtm
o http://www.dhs.gov/xutil/notices.shtm
o http://www.dhs.gov/xutil/editorial_0478.shtm
o http://www.dhs.gov/xfoia/editorial_0579.shtm
o http://www.dhs.gov/xutil/gc_1157141284028.shtm
o http://www.dhs.gov/xutil/gc_1157314911749.shtm

C. Your agency's Freedom of Information Act (FOIA) handbook, the link of your agency's primary FOIA Web site, and the Web site link where frequent requests for records are made available to the public.

o FOIA handbook:
  • http://www.dhs.gov/xlibrary/assets/foia/privacy_foia_improvement-plan_r.pdf

o Primary FOIA Web site:
  • http://www.dhs.gov/xfoia/editorial_0579.shtm

o FOIA 2006 Annual Report:
  • http://www.dhs.gov/xlibrary/assets/foia/privacy_rpt_foia_2006.pdf

o Requests for records
  • http://www.dhs.gov/xfoia/editorial_0316.shtm

D. A list of your agency's public Web sites disseminating research and development (R&D) information to the public, describing for each whether

the Web site provides information to the public on federally funded R&D activities and provides the results of Federal research.

- o http://www.dhs.gov
- o http://www.dhs.gov/xabout/compliance/gc_1157121218404.shtm
- o http://www.dhs.gov/xoig/assets/mgmtrpts/OIG_07-49_Jun07.pdf
- o http://www.dhs.gov/xinfoshare/
- o http://www.dhs.gov/xlibrary/assets/chemsec_cvi_proceduresmanual.pdf
- o http://www.dhs.gov/xabout/laws/gc_1171048715234.shtm

E. An inventory describing formal agency agreements (e.g. contracts, memorandum of understanding) with external entities (e.g. partnerships with state and local governments, public libraries, industry, and commercial search engines). This inventory should complete your agency's information dissemination program and briefly explain how each agreement improves the access to (and dissemination of) government information for the public.

- o http://www.dhs.gov/xabout/compliance/gc_1157121218404.shtm
- o http://www.dhs.gov/xlibrary/assets/opnbiz/HSAMNotice_05-05.pdf
- o http://www.dhs.gov/xlibrary/assets/chemsec_cvi_proceduresmanual.pdf

F. An inventory that describes your agency's NARA-approved records schedule(s) or the link to provide publicly-posted record schedule(s), and a brief explanation of your agency's progress to implement NARA Bulletin 2006-02. For the brief explanation, please report the number of systems for which a record schedule was submitted to NARA in FY 2007, and the number of systems still requiring records schedules.

Listed below is an inventory that describes DHS' NARA-approved records schedules. The schedule information is not yet available on the Web and any systems registered will be posted on DHS Online, Records Management site.

Schedules were developed for 31 systems in FY 2007 and only 18 of those required NARA registration:

Submitted to NARA in FY 2007	18
GRS (not required for NARA registration)	13
Still requiring scheduling	26+

These systems are either scheduled with NARA, at NARA pending registration, or are GRS systems. All have been identified and schedules drafted:

Citizenship and Immigration Services, Ombudsman	Office of the Citizenship & Immigration Services Ombudsman (CISOMB)
Civil Rights and Civil Liberties	CRCL Hawk: N1-563-07-6
Office of Inspector General	IWW 24 Hour Log: N1-563-07-11
Management: Office of Chief Administrative Officer	• Mail Management Business Intelligence Tool (MBIT) • Sunflower Asset Management System (SAMS)
Management: Chief Human Capital Office	• DHSCovery • ePerformance • WebTA
Management: Office of Chief Procurement Officer	Procurement Request Information System Management (PRISM)
Management: Office of Security	• Lenel's On Guard (Access Control System) • Personal Identity Verification System (PIV) • Personal Security Activities Management System (PSAMS)
NPPD	• Chemical Security Assessment Tool (CSAT) - N1-563-07-7 • Critical Infrastructure Warning Information Network (CWIN): N1-563-07-8 • Critical Infrastructure/Key Resources (CI/KRs) Sector Clearance Program (SCP) Master Roster • Master Station Log (MSL): N1-563-07-10 • Priority Telecommunications Service (PTS): N1-560-07-12 • Priority Telecommunications System (PTS): N1-563-07-9
Office of Operations Coordination	• Homeland Security Information Network (HSIN): N1-563-07-2 • Operations Directorate COOP/Personnel Database: N1-563-07-14 • Repeat and Disruptive Callers Database (RDCR): N1-563-07-15
Science and Technology Directorate	• Access Commander • DisasterHelp.gov: N1-563-07-19 • Enterprise Portfolio Management

	Initiative (EPMI) • SAFECOM Baseline Searchable Database System: N1-563-07-18 • SAFETY Act: N1-563-07-23 • Staffing Management System (SMS) • Standardized Policies & Procedures (SP2) • Technology Clearinghouse: N1-563-07-22 • Technology Solutions: N1-563-07-21
Office of Secretary	• Executive Correspondence Tracking and Management System (ECT): N1-563-07-1

These systems are pending (not at NARA or drafted):

Office of Intelligence and Analysis	• Contact Database Tool • Information Intelligence Fusion Requirements Management System (RMS)
Office of General Counsel	Rulemaking Management System
Office of Health Affairs	National Biosurveillance Integration System (NBIS)
Management – Chief Information Officer	Trusted Agent FISMA
Management – Office of Security	DHS Foreign Access Management System (DFAMS)
NPPD	• Infrastructure Information Collection Program (IICP) • Protected Critical Infrastructure Information Management System (PCIIMS) • Telecommunications Service Priority (TSP) Web
NPPD (in process of being verified)	• 24x7 Incident Handling and Response Center • Constellation/ACAMS 2.0 • DC Rail Security Corridor (DCRSC) Pilot • DHS Digital Dashboard • GENSCAPE • iCAV

	• NICC Insight (Prizm) • Risk Assessment Calculator/Risk Calculator- RASCAL/RISCAL • Tripwire • VISAT- Vulnerability Identification Self-Assessment Tool
Office of Policy	Performance Analysis System (PAS)
Science and Technology Directorate	• BTSNet • Disaster Management Interoperability Services (DMIS) • PREDICT
US-VISIT	Systems have not yet been identified