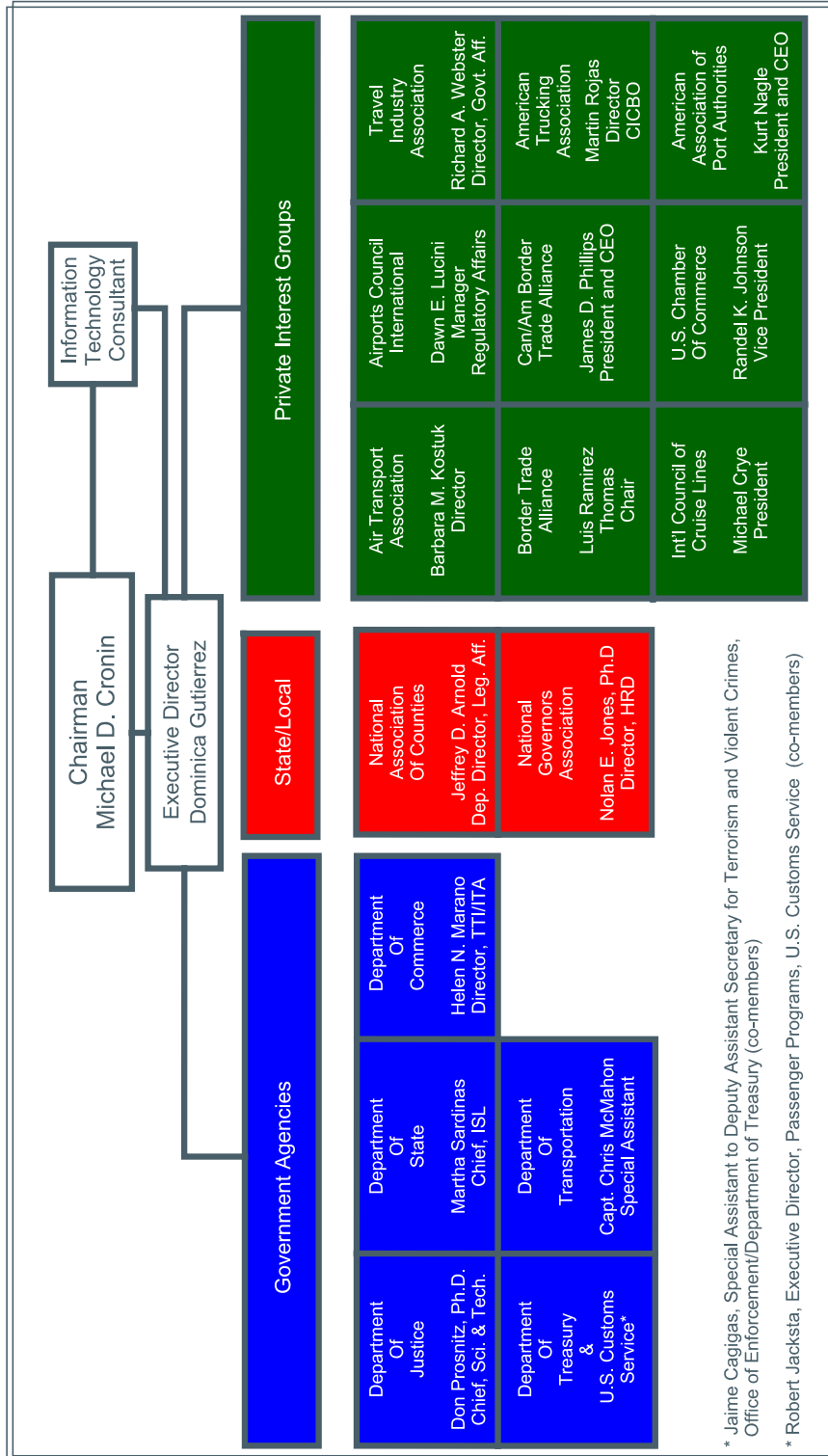


APPENDIX A: TASK FORCE COMPONENTS



App-01

APPENDIX B: IMMIGRATION AND NATURALIZATION SERVICE DATA MANAGEMENT IMPROVEMENT ACT OF 2000

Pub. L. 106-215 Immigration and Naturalization Service Data Management Improvement
Act of 2000

106th Congress
June 15, 2000
114 Stat. 337

[H.R. 4489]

An Act

To amend section 110 of the Illegal Immigration Reform and Immigrant Responsibility Act of 1996, and for other purposes.

Be it enacted by the Senate and House of Representatives of the United States of America in Congress assembled,

SECTION 1. SHORT TITLE.

This Act may be cited as the “Immigration and Naturalization Service Data Management Improvement Act of 2000”.

SEC. 2. AMENDMENT TO SECTION 110 OF IIRIRA.

(a) IN GENERAL- Section 110 of the Illegal Immigration Reform and Immigrant Responsibility Act of 1996 (8 U.S.C. 1221 note) is amended to read as follows:

“SEC. 110. INTEGRATED ENTRY AND EXIT DATA SYSTEM.

“(a) REQUIREMENT- The Attorney General shall implement an integrated entry and exit data system.

“(b) INTEGRATED ENTRY AND EXIT DATA SYSTEM DEFINED- For purposes of this section, the term ‘integrated entry and exit data system’ means an electronic system that--

“(1) provides access to, and integrates, alien arrival and departure data that are--

“(A) authorized or required to be created or collected under law;

“(B) in an electronic format; and

“(C) in a data base of the Department of Justice or the Department of State, including those created or used at ports of entry and at consular offices;

“(2) uses available data described in paragraph (1) to produce a report of arriving and departing aliens by country of nationality, classification as an immigrant or nonimmigrant, and date of arrival in, and departure from, the United States;

“(3) matches an alien's available arrival data with the alien's available departure data;

“(4) assists the Attorney General (and the Secretary of State, to the extent necessary to carry out such Secretary's obligations under immigration law) to identify, through on-line searching procedures, lawfully admitted nonimmigrants who may have remained in the United States beyond the period authorized by the Attorney General; and

“(5) otherwise uses available alien arrival and departure data described in paragraph (1) to permit the Attorney General to make the reports required under subsection (e).

“(c) CONSTRUCTION-

“(1) NO ADDITIONAL AUTHORITY TO IMPOSE DOCUMENTARY OR DATA COLLECTION REQUIREMENTS- Nothing in this section shall be construed to permit the Attorney General or the Secretary of State to impose any new documentary or data collection requirements on any person in order to satisfy the requirements of this section, including--

“(A) requirements on any alien for whom the documentary requirements in section 212(a)(7)(B) of the Immigration and Nationality Act (8 U.S.C. 1182(a)(7)(B)) have been waived by the Attorney General and the Secretary of State under section 212(d)(4)(B) of such Act (8 U.S.C. 1182(d)(4)(B)); or

“(B) requirements that are inconsistent with the North American Free Trade Agreement.

“(2) NO REDUCTION OF AUTHORITY- Nothing in this section shall be construed to reduce or curtail any authority of the Attorney General or the Secretary of State under any other provision of law.

“(d) DEADLINES-

“(1) AIRPORTS AND SEAPORTS- Not later than December 31, 2003, the Attorney General shall implement the integrated entry and exit data system using available alien arrival and departure data described in subsection (b)(1) pertaining to aliens arriving in, or departing from, the United States at an airport or seaport. Such implementation shall include ensuring that such data, when collected or created by an immigration officer at an airport or seaport, are entered into the system and can be accessed by immigration officers at other airports and seaports.

“(2) HIGH-TRAFFIC LAND BORDER PORTS OF ENTRY- Not later than December 31, 2004, the Attorney General shall implement the integrated entry and exit data system using the data

described in paragraph (1) and available alien arrival and departure data described in subsection (b)(1) pertaining to aliens arriving in, or departing from, the United States at the 50 land border ports of entry determined by the Attorney General to serve the highest numbers of arriving and departing aliens. Such implementation shall include ensuring that such data, when collected or created by an immigration officer at such a port of entry, are entered into the system and can be accessed by immigration officers at airports, seaports, and other such land border ports of entry.

“(3) REMAINING DATA- Not later than December 31, 2005, the Attorney General shall fully implement the integrated entry and exit data system using all data described in subsection (b)(1). Such implementation shall include ensuring that all such data are available to immigration officers at all ports of entry into the United States.

“(e) REPORTS-

“(1) IN GENERAL- Not later than December 31 of each year following the commencement of implementation of the integrated entry and exit data system, the Attorney General shall use the system to prepare an annual report to the Committees on the Judiciary of the House of Representatives and of the Senate.

“(2) INFORMATION- Each report shall include the following information with respect to the preceding fiscal year, and an analysis of that information:

“(A) The number of aliens for whom departure data was collected during the reporting period, with an accounting by country of nationality of the departing alien.

“(B) The number of departing aliens whose departure data was successfully matched to the alien's arrival data, with an accounting by the alien's country of nationality and by the alien's classification as an immigrant or nonimmigrant.

“(C) The number of aliens who arrived pursuant to a nonimmigrant visa, or as a visitor under the visa waiver program under section 217 of the Immigration and Nationality Act (8 U.S.C. 1187), for whom no matching departure data have been obtained through the system or through other means as of the end of the alien's authorized period of stay, with an accounting by the alien's country of nationality and date of arrival in the United States.

“(D) The number of lawfully admitted nonimmigrants identified as having remained in the United States beyond the period authorized by the Attorney General, with an accounting by the alien's country of nationality.

“(f) AUTHORITY TO PROVIDE ACCESS TO SYSTEM-

“(1) IN GENERAL- Subject to subsection (d), the Attorney General, in consultation with the Secretary of State, shall determine which officers and employees of the Departments of Justice and State may enter data into, and have access to the data contained in, the integrated entry and exit data system.

“(2) OTHER LAW ENFORCEMENT OFFICIALS- The Attorney General, in the discretion of the Attorney General, may permit other Federal, State, and local law enforcement officials to have access to the data contained in the integrated entry and exit data system for law enforcement purposes.

“(g) USE OF TASK FORCE RECOMMENDATIONS- The Attorney General shall continuously update and improve the integrated entry and exit data system as technology improves and using the recommendations of the task force established under section 3 of the Immigration and Naturalization Service Data Management Improvement Act of 2000.

“(h) AUTHORIZATION OF APPROPRIATIONS- There are authorized to be appropriated to carry out this section such sums as may be necessary for fiscal years 2001 through 2008.”.

(b) CLERICAL AMENDMENT- The table of contents of the Illegal Immigration Reform and Immigrant Responsibility Act of 1996 is amended by amending the item relating to section 110 to read as follows:

“Sec. 110. Integrated entry and exit data system.”.

SEC. 3. TASK FORCE.

(a) ESTABLISHMENT- Not later than 6 months after the date of the enactment of this Act, the Attorney General, in consultation with the Secretary of State, the Secretary of Commerce, and the Secretary of the Treasury, shall establish a task force to carry out the duties described in subsection (c) (in this section referred to as the “Task Force”).

(b) MEMBERSHIP-

(1) CHAIRPERSON; APPOINTMENT OF MEMBERS- The Task Force shall be composed of the Attorney General and 16 other members appointed in accordance with paragraph (2). The Attorney General shall be the chairperson and shall appoint the other members.

(2) APPOINTMENT REQUIREMENTS- In appointing the other members of the Task Force, the Attorney General shall include--

(A) representatives of Federal, State, and local agencies with an interest in the duties of the Task Force, including representatives of agencies with an interest in--

(i) immigration and naturalization;

(ii) travel and tourism;

(iii) transportation;

(iv) trade;

(v) law enforcement;

(vi) national security; or

(vii) the environment; and

(B) private sector representatives of affected industries and groups.

(3) TERMS- Each member shall be appointed for the life of the Task Force. Any vacancy shall be filled by the Attorney General.

(4) COMPENSATION-

(A) IN GENERAL- Each member of the Task Force shall serve without compensation, and members who are officers or employees of the United States shall serve without compensation in addition to that received for their services as officers or employees of the United States.

(B) TRAVEL EXPENSES- The members of the Task Force shall be allowed travel expenses, including per diem in lieu of subsistence, at rates authorized for employees of agencies under subchapter I of chapter 57 of title 5, United States Code, while away from their homes or regular places of business in the performance of service for the Task Force.

(c) DUTIES- The Task Force shall evaluate the following:

(1) How the Attorney General can efficiently and effectively carry out section 110 of the Illegal Immigration Reform and Immigrant Responsibility Act of 1996 (8 U.S.C. 1221 note), as amended by section 2 of this Act.

(2) How the United States can improve the flow of traffic at airports, seaports, and land border ports of entry through--

(A) enhancing systems for data collection and data sharing, including the integrated entry and exit data system described in section 110 of the Illegal Immigration Reform and Immigrant Responsibility Act of 1996 (8 U.S.C. 1221note), as amended by section 2 of this Act, by better use of technology, resources, and personnel;

(B) increasing cooperation between the public and private sectors;

(C) increasing cooperation among Federal agencies and among Federal and State agencies; and

(D) modifying information technology systems while taking into account the different data systems, infrastructure, and processing procedures of airports, seaports, and land border ports of entry.

(3) The cost of implementing each of its recommendations.

(d) STAFF AND SUPPORT SERVICES-

(1) IN GENERAL- The Attorney General may, without regard to the civil service laws and regulations, appoint and terminate an executive director and such other additional personnel as may be necessary to enable the Task Force to perform its duties. The employment and termination of an executive director shall be subject to confirmation by a majority of the members of the Task Force.

(2) COMPENSATION- The executive director shall be compensated at a rate not to exceed the rate payable for level V of the Executive Schedule under section 5316 of title 5, United States Code. The Attorney General may fix the compensation of other personnel without regard to the provisions of chapter 51 and subchapter III of chapter 53 of title 5, United States Code, relating to classification of positions and General Schedule pay rates, except that the rate of pay for such personnel may not exceed the rate payable for level V of the Executive Schedule under section 5316 of such title.

(3) DETAIL OF GOVERNMENT EMPLOYEES- Any Federal Government employee, with the approval of the head of the appropriate Federal agency, may be detailed to the Task Force without reimbursement, and such detail shall be without interruption or loss of civil service status, benefits, or privilege.

(4) PROCUREMENT OF TEMPORARY AND INTERMITTENT SERVICES- The Attorney General may procure temporary and intermittent services for the Task Force under section 3109(b) of title 5, United States Code, at rates for individuals not to exceed the daily equivalent of the annual rate of basic pay prescribed for level V of the Executive Schedule under section 5316 of such title.

(5) ADMINISTRATIVE SUPPORT SERVICES- Upon the request of the Attorney General, the Administrator of General Services shall provide to the Task Force, on a reimbursable basis, the administrative support services necessary for the Task Force to carry out its responsibilities under this section.

(e) HEARINGS AND SESSIONS- The Task Force may, for the purpose of carrying out this section, hold hearings, sit and act at times and places, take testimony, and receive evidence as the Task Force considers appropriate.

(f) OBTAINING OFFICIAL DATA- The Task Force may secure directly from any department or agency of the United States information necessary to enable it to carry out this section. Upon request of the Attorney General, the head of that department or agency shall furnish that information to the Task Force.

(g) REPORTS-

(1) DEADLINE- Not later than December 31, 2002, and not later than December 31 of each year thereafter in which the Task Force is in existence, the Attorney General shall submit a report to the Committees on the Judiciary of the House of Representatives and of the Senate containing the findings, conclusions, and recommendations of the Task Force. Each report shall also measure and evaluate how much progress the Task Force has made, how much

work remains, how long the remaining work will take to complete, and the cost of completing the remaining work.

(2) DELEGATION- The Attorney General may delegate to the Commissioner, Immigration and Naturalization Service, the responsibility for preparing and transmitting any such report.

(h) LEGISLATIVE RECOMMENDATIONS-

(1) IN GENERAL- The Attorney General shall make such legislative recommendations as the Attorney General deems appropriate--

(A) to implement the recommendations of the Task Force; and

(B) to obtain authorization for the appropriation of funds, the expenditure of receipts, or the reprogramming of existing funds to implement such recommendations.

(2) DELEGATION- The Attorney General may delegate to the Commissioner, Immigration and Naturalization Service, the responsibility for preparing and transmitting any such legislative recommendations.

(i) TERMINATION- The Task Force shall terminate on a date designated by the Attorney General as the date on which the work of the Task Force has been completed.

(j) AUTHORIZATION OF APPROPRIATIONS- There are authorized to be appropriated to carry out this section such sums as may be necessary for fiscal years 2001 through 2003.

SEC. 4. SENSE OF THE CONGRESS REGARDING INTERNATIONAL BORDER MANAGEMENT COOPERATION.

It is the sense of the Congress that the Attorney General, in consultation with the Secretary of State, the Secretary of Commerce, and the Secretary of the Treasury, should consult with affected foreign governments to improve border management cooperation.

Approved June 15, 2000.

APPENDIX C: MINIMUM DOCUMENTARY REQUIREMENTS FOR ENTRY TO U.S.

DOCUMENTARY REQUIREMENTS (Minimum)			
APPLICANT	COMING FROM CONTIGUOUS TERRITORY ³⁰	COMING FROM WESTERN HEMISPHERE ³¹	COMING FROM EASTERN HEMISPHERE ³²
US CITIZENS ³³	<ul style="list-style-type: none"> • Verbal declaration or • Proof of citizenship. 	<ul style="list-style-type: none"> • Verbal declaration or • Proof of citizenship. 	<ul style="list-style-type: none"> • Valid passport
Lawful Permanent Residents (passport and visa not required) Outside the US for less than 1 year.	<ul style="list-style-type: none"> • Permanent Resident Card, I-551; or • Expired I-551 with Notice of Action, I-797, indicating card has been extended; or • Expired I-551 presented by USG employee if 1) is a civilian or military employee in possession of official orders; or 2) is the spouse or child of the employee and is preceding or accompanying, or following to join employee or serviceperson within four months of his return to the US; or • Temporary Residence Stamp (ADIT stamp) in passport or I-94; or • Reentry permit, I-327; or • Refugee Travel Document, I-571. 	<ul style="list-style-type: none"> • Permanent Resident Card, I-551; or • Expired I-551 with Notice of Action, I-797, indicating card has been extended; or • Expired I-551 presented by USG employee if 1) is a civilian or military employee in possession of official orders; or 2) is the spouse or child of the employee and is preceding or accompanying, or following to join employee or serviceperson within four months of his return to the US; or • Temporary Residence Stamp (ADIT stamp) in passport or I-94; or • Reentry permit, I-327; or • Refugee Travel Document, I-571. 	<ul style="list-style-type: none"> • Permanent Resident Card, I-551; or • Expired I-551 with Notice of Action, I-797, indicating card has been extended; or • Expired I-551 presented by USG employee if 1) is a civilian or military employee in possession of official orders; or 2) is the spouse or child of the employee and is preceding or accompanying, or following to join employee or serviceperson within four months of his return to the US; or • Temporary Residence Stamp (ADIT stamp) in passport or I-94; or • Reentry permit, I-327; or • Refugee Travel Document, I-571.
Lawful Permanent Residents (passport and visa not required) Outside the US for less than 2 years.	<ul style="list-style-type: none"> • Reentry permit, I-327; or • Refugee Travel Document, I-571; or • Immigrant visa (SB-1 IV) 	<ul style="list-style-type: none"> • Reentry permit, I-327; or • Refugee Travel Document, I-571; or • Immigrant visa (SB-1 IV) 	<ul style="list-style-type: none"> • Reentry permit, I-327; or • Refugee Travel Document, I-571; or • Immigrant visa (SB-1 IV)

³⁰ Canada and/or Mexico

³¹ North America, Central America, South America

³² Europe, Asia, Australia, Africa, Oceania.

³³ No US Passport required when subject is traveling:

- With a Valid Merchant Marine ID or Air Crewman ID card.
- Member of the US Armed Forces on active duty.
- Under twelve years old, with evidence of U.S.C. at time of entering, and included in the foreign passport of parent.
- Has been authorized by the Secretary of State with waiver of passport requirement.

DOCUMENTARY REQUIREMENTS (Minimum)			
APPLICANT	COMING FROM CONTIGUOUS TERRITORY³⁴	COMING FROM WESTERN HEMISPHERE³⁵	COMING FROM EASTERN HEMISPHERE³⁶
Lawful Permanent Residents Outside the US for more than 2 years. (Passport Required unless otherwise noted.)	<ul style="list-style-type: none"> Immigrant Visa (SB-1) 	<ul style="list-style-type: none"> Immigrant Visa (SB-1) 	<ul style="list-style-type: none"> Immigrant Visa (SB-1)
American Indian born in Canada with 50% ³⁷ American Indian Blood	<ul style="list-style-type: none"> Must be able to prove status. Exempt from all passport and visa requirements. Exempt from all grounds of inadmissibility. 		
NATO	Armed services personnel entering under NATO STATUS OF FORCES AGREEMENT (SOFA) and armed services personnel attached to NATO allied headquarters in the US are <i>visa and passport exempt</i> .		
Canadian Citizen or British Subjects with Residence in Bermuda or Canada.	<ul style="list-style-type: none"> Oral declaration and ID; or Proof of citizenship and residence in Bermuda or Canada 	<ul style="list-style-type: none"> Oral declaration and ID; or Proof of citizenship and residence in Bermuda or Canada Crewmembers: no I-95 	<ul style="list-style-type: none"> Valid passport Crewmembers: I-95
Canadian Landed Immigrant with British Common Nationality ³⁸	<ul style="list-style-type: none"> ID; and Proof of Landed Immigrant Status 	<ul style="list-style-type: none"> ID and Proof of Landed Immigrant Status Crewmembers: I-95 	<ul style="list-style-type: none"> Valid Passport Crewmember: I-95

³⁴ Canada and/or Mexico

³⁵ North America, Central America, South America

³⁶ Europe, Asia, Australia, Africa, Oceania.

³⁷ Tribal card without % is unacceptable.

³⁸ The following nationals are considered to have *common nationality* with citizens of Britain and are exempt from nonimmigrant visa requirement if they reside in Canada: Antigua-Barbuda, Australia, Bahamas, Bangladesh, Barbados, Belize, Botswana, Brunei, Cameroon, Canada, Cyprus, Dominica, Gambia, Ghana, Grenada, Guyana, Hong Kong (ONLY UK or British National passport holders), India, Ireland, Jamaica, Kenya, Kiribati, Lesotho, Malawi, Malaysia, Maldives, Malta, Mauritius, Namibia, Nauru, New Zealand, Nigeria, Pakistan, Papua New Guinea, St. Kitts & Nevis, St. Lucia, Seychelles, St. Vincent/Grenadines, Sierra Leone, Singapore, Solomon Islands, South Africa, Sri Lanka, Swaziland, Tanzania, Tonga, Trinidad and Tobago, Tuvalu, Uganda, United Kingdom (Including colonies, territories, and dependencies), Vanuatu, Western Samoa, Zambia, and Zimbabwe.

DOCUMENTARY REQUIREMENTS (Minimum)			
APPLICANT	COMING FROM CONTIGUOUS TERRITORY ³⁹	COMING FROM WESTERN HEMISPHERE ⁴⁰	COMING FROM EASTERN HEMISPHERE ⁴¹
Canadian Landed Immigrant without Common Nationality	Passport with non-immigrant visa (NIV)	Passport with NIV with I-94 Crewmember: I-95	Passport with NIV with I-94 Crewmember: I-95
Mexican Citizen	Border Crossing Card (DSP-150), No I-94 required if in US < 72 hours and/or within 25 miles of the southern land border; or Passport with NIV.	Passport and Border Crossing Card (DSP-150) as B1/B2 lieu visa, I-94 required. PP with NIV.	Passport and Border Crossing Card (DSP-150) as B1/B2 lieu visa, I-94 required; or PP with NIV.
Mexican (citizen) Crewmember on a commercial airplane belonging to a Mexican company	Visa not required if crewmember is employed on an aircraft belonging to a Mexican company authorized to engage in commercial transportation in the US. Passport is required.		
Mexican with diplomatic or official passport	No visa requirements as long as bearer is entering the US for 6 months as a visitor in the US. Spouse and dependents under 19 years old who have the same documents and accompany official at the time of entry are also visa and I-94 exempt.		
Mexican citizen entering the US pursuant to International Boundary & Water Commission Treaty	No visa and No passport requirement as long as individual is working directly or indirectly on construction, operation, and maintenance of works in the US in accordance with the Treaty.		
Citizens of Freely Associated States (Marshall Islands and Federated States of Micronesia), formerly the Trust Territory of the Pacific Islands.	Proof of citizenship required. Exempt passport and visa requirements.		
Transit Without Visa ⁴²	Passport and US NIV are not required as long as individual is being transported in immediate and continuous transit through the US in accordance with INA 238(D). Individual must be admissible under immigration laws and meet qualifications.		
Visa Waiver Program ⁴³	Passport requirement with return/onward ticket or proof of economic solvency.		

³⁹ Canada and/or Mexico

⁴⁰ North America, Central America, South America

⁴¹ Europe, Asia, Australia, Africa, Oceania.

⁴² Citizens from the following countries **MUST** HAVE A VISA: Afghanistan, Angola, Bangladesh, Belarus, Bosnia-Herzegovina, Burma, Burundi, Central African Republic, China, Colombia, Congo, Cuba, India, Iran, Iraq, Libya, Nigeria, North Korea, Pakistan, Sierra Leone, Somalia, Sri Lanka, Sudan, and Yugoslavia.

The following citizens may use the in-transit lounge if their carrier has an approved in-transit lounge agreement in approved POE: Bangladesh, India, Pakistan, and Sri Lanka.

⁴³ Nationals of the following countries are in the VWP: Andorra, Australia, Austria, Belgium, Brunei, Denmark, Finland, France, Germany, Iceland, Ireland, Italy, Japan, Liechtenstein, Luxembourg, Monaco, Netherlands, New Zealand, Norway, Portugal, San Marino, Singapore, Slovenia, Spain, Sweden, Switzerland, United Kingdom, and Uruguay.

DOCUMENTARY REQUIREMENTS (Minimum)
SPECIAL CLASSES
<p>Adjacent Islands⁴⁴: Passport requirement, but no visa requirement for nationals and residents under the following conditions:</p> <ol style="list-style-type: none"> 1. Bahamian National or British subject residents of the Bahamas: A visa is not required if, prior to boarding a carrier to the US, the passenger is pre-inspected in the Bahamas and determined to be admissible by the INS. 2. British subject residents of the Cayman Islands or of the Turks and Caicos Islands: A visa is not required if they come directly from the above islands to a US POE and present a current certificate from the Clerk of the Court showing no criminal record. 3. National of Great Britain, France, the Netherlands, and nationals of adjacent Caribbean Islands that are independent countries: A visa is not required if passenger is national of Great Britain, France, the Netherlands, Antigua, Barbados, Grenada, Jamaica, or Trinidad & Tobago; resides in British, French, or Dutch territories located in the adjacent islands; and is proceeding to the US as an agricultural worker or has a valid certificate from the Department of Labor granting employment in the US Virgin Islands. 4. Nationals and residents of the British Virgin Islands traveling to the US Virgin Islands: A visa is not required. 5. Nationals and residents of the British Virgin Islands traveling to the US: A visa is not required as long as individual is pre-inspected in St. Thomas and determined to be admissible by the INS.
<p>Guam Visa Waiver Program⁴⁵: No visa requirement as long as:</p> <ul style="list-style-type: none"> • Possess a valid, unexpired passport • Entry into Guam is for 15 days or less • Is a visitor for business or pleasure • Arrives in a signatory carrier • Holds a round trip ticket with a confirmed departure date not exceeding 15 days from date of admission • Possess a completed and signed Guam Visa Waiver Information Form (I-736) and I-94.

⁴⁴ Anguilla, Antigua, Aruba, Bahamas, Barbados, Barbuda, Bermuda, Bonaire, British Virgin Islands, Cayman Islands, Curacao, Dominica, Dominican Republic, Grenada, Guadeloupe, Haiti, Jamaica, Marie-Galante, Martinique, Miquelon, Montserrat, Saba, St. Barthelemy, St. Christopher, St. Eustatius, St. Kitts-Nevis, St. Maarten, St. Pierre, St. Vincent and the Grenadines, Trinidad and Tobago, Turks and Caicos and the other British, French, and Netherlands territories or possessions bordering on the Caribbean Sea.

⁴⁵ Citizens of the following countries participate in the GVWP: Australia, Brunei, Indonesia, Japan, Malaysia, Nauru, New Zealand, Papua New Guinea, Singapore, Solomon Islands, South Korea, Taiwan (Applies to travel that begin in Taiwan to Guam with no layovers except in a US territory enroute **AND** are in possession of a Taiwan National Identity Card and a valid Taiwan passport with a valid reentry issued by the Taiwan Foreign Ministry of Foreign Affairs.

APPENDIX D: CLASSES OF NONIMMIGRANT AND IMMIGRANT VISAS

NONIMMIGRANTS

Symbol	Class
A-1	Ambassador, Public Minister, Career Diplomat or Consular Officer, or Immediate Family
A-2	Other Foreign Government Official or Employee, or Immediate Family
A-3	Attendant, Servant, or Personal Employee of A-1 or A-2, or Immediate Family
B-1	Temporary Visitor for Business
B-2	Temporary Visitor for Pleasure
B-1/2	Temporary Visitor for Business
C-1	Alien in Transit
C-1/D	Combined Transit and Crewman Visa
C-2	Alien In Transit to United Nations Headquarters District Under Section 11.(3), (4), or (5) of the Headquarters Agreement
C-3	Foreign Government Official, Immediate Family, Attendant, Servant, or Personal Employee, in Transit
D	Crewmember (Sea or Air)
E-1	Treaty Trader, Spouse or Child
E-2	Treaty Investor, Spouse or Child
F-1	Student
F-2	Spouse or Child of F-1
G-1	Principal Resident Representative of Recognized Foreign Government to International Organization, Staff, or Immediate Family
G-2	Other Representative of Recognized Foreign Member Government to International Organization, or Immediate Family
G-3	Representative of Nonrecognized Nonmember Foreign Government to International Organization, or Immediate Family
G-4	International Organization Officer or Employee, or Immediate Family
G-5	Attendant, Servant, or Personal Employee of G-1, through G-4 or Immediate Family
H-1A	Registered Nurse
H-1B	Alien in a Specialty Occupation (Profession)
H-1C	Registered Nurse Serving in Underserved Location

H-2A	Temporary Worker Performing Agricultural Services Unavailable in the United States (Petition Filed on or After June 1, 1987)
H-2B	Temporary Worker Performing Other Services Unavailable in the United States (Petition Filed on or After June 1, 1987)
H-3	Trainee
H-4	Spouse or Child of Alien Classified H-1A/B, H-2A/B or H-3
I	Representative of Foreign Information Media, Spouse or Child
J-1	Exchange Visitor
J-2	Spouse or Child of J-1
K-1	Fiance(e) of United States Citizen
K-2	Child of Fiance(e) of U.S. Citizen
K-3	Spouse of U.S. citizen
K-4	Child of a K3
L-1	Intracompany Transferee (Executive, Managerial, and Specialized Personnel Continuing Employment with International Firm or Corp)
L-2	Spouse or Child of Intracompany Transferee
M-1	Vocational Student or Other Nonacademic Student
M-2	Spouse or Child of M-1
N-8	Parent of an Alien Classified SK-3 Special Immigrant
N-9	Child of N-8 or of an SK-1; SK-2; or SK-4 Special Immigrant
NATO-1	Principal Permanent Representative of Member State to NATO (including any of its Subsidiary Bodies) or Immediate Family
NATO-2	Other Representatives of Member State to NATO (including any of Art. 1, 4 UST 1794 Subsidiary Bodies) including immediate Family
NATO-3	Official Clerical Staff Accompanying Representative of Member State to NATO (including any of its Subsidiary Bodies) or Immediate Family
NATO-4	Official of NATO (Other Than Those Classifiable as NATO-1) or Immediate Family
NATO-5	Expert, Other Than NATO Officials Classifiable under the NATO-4, Employed in Missions on Behalf of NATO, and Their Dependents
NATO-6	Member of a Civilian Component Accompanying a Force Entering in Accordance with the Provisions of the NATO Status-of-Forces Agreement
NATO-7	Attendant, Servant, or Personal Employee of NATO-1, NATO-2, NATO-3, NATO-4, NATO-5, and NATO-6 Classes, or Immediate Family
O-1	Aliens with Extraordinary Ability in Sciences, Arts, Education, Business, or Athletics

O-2	Accompany Alien.
O-3	Spouse or Child of O-1 or O-2.
P-1	Internationally Recognized Athlete or Member of Internationally Recognized Entertainment Group
P-2	Artist or Entertainer in a Reciprocal Exchange Program
P-3	Artist or Entertainer in a Culturally Unique Program
P-4	Spouse or Child of P-1, P-2, or P-3
Q-1	Participant in an International Cultural Exchange Program
Q-2	Irish Peace Process Program Participant
Q-3	Spouse or Child of Q-2
R-1	Alien in a Religious Occupation
R-2	Spouse or Child of R-1
S-5	Certain Aliens Supplying Critical Information Relating to a Criminal Organization or Enterprise
S-6	Certain Aliens Supplying Critical Information Relating to Terrorism
S-7	Qualified Family Member of S-5 or S-6
T1	Victim of a severe form of trafficking in persons
T2	Spouse, child or parent of a T1
TN	NAFTA Professional
TD	Spouse or Child of NAFTA Professional
U1	Victim of criminal activity
U2	Spouse, child or parent of a U1
V1	Spouse of Legal Permanent Resident Alien
V2	Child of a Legal Permanent Resident Alien
V3	Child of a V1 or V2

IMMIGRANTS

Symbol	Class
IR1	Spouse of U.S. Citizen
IR2	Child of U.S. Citizen
IR3	Orphan Adopted Abroad by U.S. Citizen
IR4	Orphan to be Adopted In the U.S. by U.S. Citizen
IR5	Parent of U.S. Citizen at Least 21 Years of Age
CR1	Spouse of U.S. Citizen (Conditional Status)
CR2	Child of U.S. Citizen (Conditional Status)
IW1	Certain Spouses of Deceased U.S. Citizens
IW2	Child of IW1
IB1	Self-petition Spouse of U.S. Citizen
IB2	Self-petition child of U.S. Citizen
IB3	Child of IB1
VI5	Parent of U.S. Citizen Who Acquired Permanent Resident Status Under the Virgin Islands Adjustment Act
AM1	Vietnam Amerasian Principal
AM2	Spouse or Child of AM1
AM3	Natural Mother of Unmarried AM1 (Spouse or Child of Such Mother)
SB1	Returning Resident
SC1	Person Who Lost U.S. Citizenship by Marriage
SC2	Person Who Lost U.S. Citizenship by Serving in Foreign Armed Forces
F11	Unmarried Son or Daughter of U.S. Citizen
F12	Child of F11

B11	Self-petition Unmarried Son or Daughter of U.S. Citizen
B12	Child of B11
F21	Spouse of Alien Resident
F22	Child of Alien Resident
F23	Child of F21 or F22
F24	Unmarried Son or Daughter of Alien Resident
F25	Child of F24
C21	Spouse of Alien Resident (Conditional)
C22	Child of C21 or C22 (Conditional)
C24	Unmarried Son or Daughter of Alien Resident (Conditional)
C25	Child of F24 (Conditional)
B21	Self-petition Spouse of LPR
B22	Self-petition Child of LPR
B23	Child of B21 or B22
B24	Self-petition Unmarried Son or Daughter of LPR
B25	Child of B24
FX1	Spouse of Alien Resident
FX2	Child of Alien Resident
FX3	Child of FX1 and FX2
CX1	Spouse of Alien Resident (Conditional)
CX2	Child of Alien Resident (Conditional)
CX3	Child of CX1 & CX2 (Conditional)
BX1	Self-petition Spouse of LPR
BX2	Self-petition Child of LPR

Appendix - D

BX3	Child of BX1 or BX2
F31	Married Son or Daughter of U.S. Citizen
F32	Spouse of F31
F33	Child of F31
C31	Married Son or Daughter of U.S. Citizen (Conditional)
C32	Spouse of C31 (Conditional)
C33	Child of C31 (Conditional)
B31	Self-petition Married Son or Daughter of U.S.C.
B32	Spouse of B31
B33	Child of B31
F41	Brother or Sister of U.S. Citizen
F42	Spouse of F41
F43	Child of F41
E11	Alien with Extraordinary Ability
E12	Outstanding Professor or Researcher
E13	Multinational Executive or Manager
E14	Spouse of E11, E12, or E13
E15	Child of E11, E12, or E13
E21	Professional Holding Advanced Degree or of Exceptional Ability
E22	Spouse of E21
E23	Child of E21
E31	Skilled Worker
E32	Professional Holding Baccalaureate Degree
E34	Spouse of E31 or E32

E35	Child of E31 or E32
EW3	Other Worker (Subgroup Numerical Limit)
EW4	Spouse of EW3
EW5	Child of EW3
BC1	Broadcaster in the U.S. employed by the International Broadcasting Bureau of the Broadcasting Board of Governors
BC2	Accompanying spouse of a BC1
BC3	Accompanying child of a BC1
SD1	Minister of Religion
SD2	Spouse of SD1
SD3	Child of SD1
SE1	Certain Employees or Former Employees of the U.S. Government Abroad
SE2	Spouse of SE1
SE3	Child of SE1
SEH	Employee of the U.S. Mission in Hong Kong or Immediate Family Section 152 of the INA of 1990
SF1	Certain Former Employees of the Panama Canal Company or Canal Zone Government
SF2	Spouse or Child of SF1
SG1	Certain Former Employees of the U.S. Government in the Panama Canal Zone
SG2	Spouse or Child of SG1
SH1	Certain Former Employees of the Panama Canal Company or Canal Zone Government on April 1, 1979
SH2	Spouse or Child of SH1
SJ1	Certain Foreign Medical Graduates (Adjustments Only)
SJ2	Accompanying Spouse or Child of SJ1

SK1	Certain Retired International Organization Employees
SK2	Spouse of SK1
SK3	Certain Unmarried Son or Daughter of International Organization Employee
SK4	Certain Surviving Spouses of Deceased International Organization Employee
SL1	Juvenile Court Dependent
SM1	Alien Recruited Outside the United States Who Has Served or is Enlisted to Serve in The U.S. Armed Forces for 12 Years
SM2	Spouse of SM1
SM3	Child of SM1
SM4	Alien Recruited Outside the United States Serve in the U.S. Armed Forces for 12 Years
SM5	Spouse or Child of SM4
SN1	Certain retired NATO6 civilians
SN2	Spouse of an immigrant classified SN1
SN3	Certain unmarried sons or daughters of NATO6 civilian employees
SN4	Certain surviving spouses of deceased NATO-6 civilian employees
SR1	Certain Religious Workers
SR2	Spouse of SR1
SR3	Child of SR1
C51	Employment Creation OUTSIDE Targeted Area
C52	Spouse of C51
C53	Child of C51
T51	Employment Creation IN Targeted Rural/High Unemployment Area
T52	Spouse of T51
T53	Child of T51

R51	Investor Pilot Program, OUTSIDE Targeted Area
R52	Spouse of R51
R53	Child of R51 & State, the Judiciary & Related
I51	Investor Pilot Program IN Targeted Area Agencies Appropriations Act,
I52	Spouse of I51
I53	Child of I51
DV1	Diversity Immigrant
DV2	Spouse of DV1
DV3	Child of DV1
HK1	Employee of U.S. Business in Hong Kong §124 of the INA of 1990
HK2	Spouse of HK1
HK3	Child of HK1

APPENDIX E: ACRONYMS

ACRONYM	DESCRIPTION
ACS	Automated Commercial System
ADA	Americans with Disabilities Act
ADIS	Arrival Departure Information System
AES	Automated Export System
AMS	Automated Manifest System
APIS	Advance Passenger Information System
BPI	Business Performance Improvement
BRASS	Border Release Advanced Selectivity System
CLAIMS	Computer-Linked Application Information System
CLASS	State Lookout database information
CODIS	Combined DNA Index System
COTS	Commercial-Off-The-Shelf
DMIA	INS Data Management Improvement Act of 2000
DOJ	Department of Justice
DOS	U.S. Department of State
DOT	U.S. Department of Transportation
EAI	Enterprise Application Integration
EEPT	Entry Exit Program Team
EID	Enforcement Integrated Database
EVM	Earned Value Management
FBI	Federal Bureau of Investigation
GPRA	Government Performance and Results Act
IAFIS	Integrated Automated Fingerprint Identification System
IBIS	Interagency Border Inspection System
ICPS	Integrated Card Production System
IDENT	Automated Biometric Identification System
INA	Immigration and Nationality Act
INS	Immigration and Naturalization Service
INSINC	Immigration and Naturalization Service International Communications Network
INSPASS	Immigration and Naturalization Service Passenger Accelerated Service System
ISO	International Organization for Standardization
IT	Information Technology
ITIM	Information Technology Investment Management
IV&V	Independent Verification and Validation
JCN	Justice Consolidated Network
NAILS	National Automated Immigration Lookout System
NCIC	National Crime Information Center
NIIS	Non-Immigrant Information System
NIST	National Institute for Standards and Technology
NST	National Security Threat
POE	Port of Entry
PRISM	Permanent image repository of passport applications and supporting documentation.
SDLC	System Development Life Cycle
SEI	Software Engineering Institute
SEVIS	Student Exchange Visitor Information System
SW-CMM	Software Capability Maturity Model
TECS	Treasury Enforcement Communications System
UML	Unified Modeling Language
VWPASS	Visa Waiver Program Act Support System
VWPPA	Visa Waiver Permanent Program Act

APPENDIX F: FEDERAL AGENCIES WITH BORDER MANAGEMENT ROLES

Federal Agencies: The joint responsibility for border management rests with the DOT, DOS, Treasury, DOJ, TSA, and federal inspections services, including the INS, USCS, U.S. Public Health Service, Department of Agriculture, and USCG.

The Department of Transportation (DOT) serves the U.S. by ensuring a fast, safe, efficient, accessible and convenient transportation system that meets our vital national interests and enhances the quality of life of the American people, today and into the future. The newly formed TSA is part of the DOT.

The Department of State (DOS) is the lead U.S. foreign affairs agency. DOS advances U.S. objectives and interests in shaping a freer, more secure, and more prosperous world through its primary role in developing and implementing the President's foreign policy. DOS also supports the foreign affairs activities of other U.S. Government entities including the Department of Commerce and the Agency for International Development. It also provides an array of important services to U.S. citizens and to foreigners seeking to visit or immigrate to the U.S.

The Department of the Treasury (Treasury) has several functions, among them advising on domestic and international financial, monetary, economic, trade and tax policy and investigating and prosecuting tax evaders, counterfeiters, forgers, smugglers, illicit spirits distillers, and gun law violators.

The Department of Commerce (DOC) promotes job creation, economic growth, sustainable development and improved living standards for all Americans by promoting U.S. competitiveness in the global marketplace by strengthening and safeguarding the nation's economic infrastructure and keeping America competitive with cutting-edge science and technology and an unrivaled information base.

The Department of Justice (DOJ) represents the citizens of the U.S. in enforcing the law in the public interest and plays a key role in protection against criminals; ensuring healthy competition of business; safeguarding the consumer; enforcing drug, immigration, and naturalization laws; and protecting citizens through effective law enforcement.

Transportation Safety Administration (TSA) protects the nation's transportation systems to ensure freedom of movement for people and commerce. TSA is an administration of the Department of Transportation.

The U.S. Immigration and Naturalization Service (INS), an agency of the DOJ, is responsible for enforcing the laws regulating the admission of foreign-born persons (i.e., aliens) to the U.S. and for administering various immigration benefits, including the naturalization of qualified applicants for U.S. citizenship. INS also works with DOS, the Department of Health and Human Services and the United Nations in the admission and resettlement of refugees. INS is responsible for administering immigration-related services and enforcing immigration laws and regulations.

INS and USCS inspectors staff the primary line at land border POEs, and they conduct inspections for their agency as well as for the USPHS and APHIS.

The U.S. Customs Service (USCS) cross-trains with INS the officers of both services working at POEs using the dual inspection process. USCS is charged with ensuring that all goods and persons entering the U.S. comply with all U.S. laws and regulations. Officers of USCS inspect persons, baggage, vehicles, aircraft, vessels, merchandise, and commercial cargo entering the U.S. at POEs to ensure compliance with U.S. entry requirements.

The U.S. Coast Guard (USCG) helps maintain maritime border security by enforcing U.S. laws and treaties. Between 1980 and 2000, the USCG interdicted more than 290,000 illegal migrants from 44 countries. From September 11, 2001, to June 7, 2002, they:

- Conducted over 35,000 port security patrols;
- Conducted over 3,500 air patrols;
- Conducted over 2,000 boardings of high-interest vessels;
- Escorted 6,000 vessels in and out of port;
- Interdicted 2,995 illegal migrants; and
- Maintained over 115 security zones.

The U.S. Department of Agriculture (USDA), Animal and Plant Health Inspection Service (APHIS), places limits on agricultural items brought into the U.S. from foreign countries because many items can harbor foreign animal or plant pests and diseases that could seriously damage America's crops, livestock, pets, and the environment.

The U.S. Public Health Service (USPHS) assigns commissioned officers to the Division of Immigration Health Services (DIHS), part of the Bureau of Primary Health Care under Health Resources and Services Administration (HRSA). DIHS supports the mission of the INS by providing or arranging cost-effective health service for the delivery of direct primary healthcare at INS processing centers or at locations throughout the nation where INS detainees are being held. DIHS also provides medical consultation, technical assistance to INS on detainee's healthcare, provides medical escorts for international and domestic air transport operations, and deploys medical teams with INS on domestic and international missions. Aliens applying for NIVs(temporary admission) may be required to undergo a medical examination at the discretion of the consular officer overseas or immigration officer at the U.S. POE, if there is reason to suspect that an inadmissible health-related condition exists.

APPENDIX G: IT REPORT

The DMIA Task Force contracted with independent IT consultants to provide a full report outlining how the automated systems currently function in relation to the border management processes and recommendations for a future border management system. The full report also outlines recommended enhancements to current systems that address the various needs of the INS and other relevant agencies.

Due to the sensitive nature of the information and findings in the full IT report, an IT Report Summary is included as an Appendix in this report. As necessary, the Task Force will brief appropriate officials on the full IT report.

IT Report Summary
An Information Technology Analysis of
Border Management Functions and Related Systems
LA-CP-02-384
And
Border Management:
Defining Future IT Concepts
LA-CP-02-392

Prepared by

Coleen T. Meyer
Paula N. Morgan
Jorge H. Roman
Technical Staff Members/LANL

December 2002

Abstract

The processing of non-immigrant foreign visitors traveling to and from the United States has come under question many times over the last few years. The terrorist attacks of September 11, 2001 has elevated this concern to the national security level, as all of the terrorists involved in the attacks were foreign visitors.

The Immigration and Naturalization Service (INS) has asked the Los Alamos National Laboratory (LANL) to work with the Data Management Improvement Act (DMIA) Task Force as an un-biased Information Technology consultant.

The purpose of this report to the DMIA Task Force is to outline how the automated systems currently function in relation to the border management processes and to propose recommendations for a future border management system.

Introduction

The processing of foreign visitors traveling to and from the United States (U.S.) has come under question many times over the last few years. The terrorist attacks of September 11, 2001, has elevated this concern to the national security level, as all of the terrorists involved in the attacks were foreign visitors.

The Department of Justice (DOJ), the Department of State (DOS), the Department of Transportation (DOT), the Department of the Treasury (Treasury), and other Federal Inspections Services (FIS) agencies are jointly responsible for border management. Within each Federal department, responsibilities are further divided among various individual agencies.

Most of these agencies have their own databases with very little integration across border management information technology (IT) systems and have been developed over time with little or no coordination. Systems were developed to meet legislative requirements and/or perform specific functions. This led to data entry and storage being redundant and segregated. In some cases, this is in accordance with various privacy laws. In other cases, the situation arose over time due to a lack of central coordination and funding.

This development trend led to duplication of functions and routines within systems, often referred to as the “stove piping” of systems. In turn, this led to the lack of coherent integration inherent in the systems studied within this project.

The project began when the Immigration and Naturalization Service (INS) asked the Los Alamos National Laboratory (LANL) to work with the Data Management Improvement Act (DMIA) Task Force as an un-biased IT consultant.

As the IT consultant, LANL was asked to perform four (4) main tasks. They are:

1. Current system analysis and evaluation (see figure 1)
2. Recommendations to enhance current systems
3. Development of a concept for future IT systems (see figure 2)
4. Highlight relevant technologies

A fifth task was to lend expertise to the four (4) DMIA Task Force subcommittees to consider their entry/exit recommendations from an IT perspective. A summary of these IT observations is included in this report. The observations were based on the content of the subcommittees overall recommendations and the IT systems in use. The IT systems were studied for their potential and their current state.

Disclaimer: The IT Summary contains independent observations of the subcommittees' recommendations and does not necessarily reflect the views of each Task Force member.

This IT report summary is a public version and general overview of the issues covered in the full IT report. LANL's preliminary findings and recommendations can be found in the full IT report, which for security reasons, is not a public document.

Both the IT full report and report summary touch on recommendations for interfaces between an entry/exit system and the visa issuance process, adjustments in country and benefits, and interfaces to lookout or intelligence systems. These systems are inter-related although there are varying degrees of IT system integration. Through it all, the inspection and enforcement systems are key to the entry and the exit security functions. The report goes on to outline a recommended conceptual system that addresses the various needs of the respective agencies and seeks to satisfy the requirements of other Acts enacted by Congress. It also identifies and highlights relevant new and emerging technologies.

Entry/Exit Functions by Port-of-Entry (POE) Type

Ports-of-Entry

The most heavily automated POE process revolves around air travel. The POE process with the largest volume of traffic and the least automated processes revolves around land travel. Sea POEs process the least number of people and are semi-automated. The following describes the general process and details that are unique at some POEs:

Air POEs: Key issues that revolve around expediting passenger processing, while maintaining a high-level of security are important considerations. Airports use pre-arrival screening of passengers based on data provided by the airlines. Airports have regulated maximum lengths of time for disembarking aircraft and for making admittance decisions. This gives inspectors at air POEs additional constraints under which they must work. Some existing systems are powerful tools for inspectors at the arrival POEs. They are invaluable for their role in security and promptness of processing.

IT consultant's observation for this subcommittee

The airline industry currently collects and transmits electronically arrival information pertaining to passengers through the Advance Passenger Information System (APIS). Given that APIS has proven to be a reliable entry collection system, an EETR (Entry/Exit Travel Record) propagated by APIS information is a practical basis for recording both entry and exit data. It therefore could be use to evaluate travelers against a lookout database. A system such as this would be useful for stay management and could interface with the Central Index System (CIS).

In an endeavor to streamline the inspection process and facilitate those passengers who are frequent travelers to the U.S., the airport subcommittee recommends creating a POE "express lane" as an incentive for voluntary enrollment in a frequent traveler program. The addition of a biometric identifier for those passengers enrolled would both simplify and secure the inspection process.

A proposed “passenger entry/exit plan” that will make use of a distinctively encoded boarding pass which would indicate whether a passenger can *board/don't board* an aircraft would prevent restricted passengers the ability to depart the United States. In order to be secure, this exit portion of the plan must physically prohibit the traveler from exchanging boarding passes and include a biometric identifier as a part of the process.

To provide for an overall secure entry program at airports it is imperative to provide a functional system that is not vulnerable to a cyber attack. In the event of a system failure, the system must have the capability of a reliable back up program that is immediate and unproblematic.

Sea POEs: There are many similarities to the air POEs. For example, they can perform pre-arrival screening of passengers using an advance passenger manifest. Seaports differ in their remoteness. At dockside or at sea, IT access is limited. On-board lookout queries are run against a portable version of the INS lookout system. Another on-board system currently used by most cruise lines, does an excellent job of tracking passengers and crew as they disembark and re-board at the various ports of call. This system is not currently used by INS. However, it can be improved to meet the requirements to be part of entry/exit systems, and is described in more detail below.

IT consultant's observation for this subcommittee

The cruise line industry currently makes use of the Automated Personnel Assisted Security Screening system (APASS) on the majority of their vessels. This safety measure enables the capturing of specific information on a card that pertains to each passenger and crew for the extent of the voyage. The system currently requires both photo and biographical data for each person on the vessel, however present technology could take account of incorporating a biometric identifier to ensure even greater security. Although procedural, the APASS system could allow the instantaneous verification of a photograph to the travel document of each person. At present the APASS system has several positive aspects that could be put into practice in both the cruise line industry and the cargo industry. The APASS system can be modified to create and send Advanced Passenger Information (API) data, which would include one electronic Notice of Arrival (NOA) to all federal agencies 96 hours prior to the arrival of a vessel entering the first U.S. port of entry. This not only promotes data integrity, but also provides an exit record that could be uploaded electronically to capture all exits and entries during the entire voyage.

Wireless technologies are rapidly improving and are well suitable for the seaport environment. Both line-of-site and satellite system applications are an important topic that should be explored more thoroughly. The requirements of necessary data for wireless technology will no doubt determine whether the information needs to be encrypted. The current APASS system has the accessibility of being networked, while several companies have explored the possibility of encrypted wireless transmissions. IT systems are easier to implement, integrate, and maintain when the essential requirements are kept straightforward. Streamlining these requirements will improve the likelihood of a successful entry/exit system. From an IT perspective, the continued and expanded use of APASS could restructure the seaport inspection process and address the current workload issues that impact commerce.

An International Seafarer Identification Document (ISID), which the cargo and cruise industry supports, is a practical method of identification for crewmembers, which would make available an unvarying, detailed secure card. From an IT position, the ISID must be comprised of a controlled card, which includes a machine-readable zone, a photo, and a digital photo, which includes another biometric parameter, such as a fingerprint. The ISID, which would be issued by a competent authority, to be agreed upon by the International Maritime Organization (IMO) or the International Labor Organization (ILO) could for all intents and purposes be used as an electronic visa. Swiping the machine-readable card and verifying the bearer through biometric identifiers could perform lookout checks immediately in real time. Furthermore, incorporating a machine-readable card reduces data entry errors through human intervention and significantly improves the consistency of data input. In the future, if put into use, the ISID could replace the current crew travel document (passport/seaman's book, visa) which would benefit both the individual crewman and the maritime industry.

Northern Land Border POEs: Crossings (high volume) occur mainly across bridges and tunnels near large metropolitan areas and consist mainly of vehicle traffic. These POE sites are generally limited in size and easily congested. Other Northern Border POE sites are remote, traffic volume is low, and some only operate seasonally. These low volume POEs used unmanned inspection tools before September 11, 2001. Additional entry or exit requirements must address both types of POEs and not unduly hinder traffic.

The majority of the Northern Land Border travelers are Canadians or U.S. citizens. They tend to cross often, for business or pleasure. Regulations limit the documentation needed to cross the border, however queries may be performed.

IT consultant's observation for this subcommittee

NEXUS is the IT system to be used by low risk travelers, utilizing smart card technology and dedicated commuter lanes at selected POEs. The NEXUS enrollment process captures photographs and fingerprints. It also performs a background check on enrollment. The photographs are used at every NEXUS crossing by inspectors to verify the identity of an individual. Greater integration with other INS systems would further enhance the system.

Southern Land Border POEs: The largest volume of traffic and inspections occur along the Southern Land Border. Like the Northern Land Border, some POEs are heavily used by regular commuter traffic and easily backed up. The Southern Border must also contend with pedestrian and bicycle traffic.

The majority of the Southern Land Border travelers are Mexican nationals and U.S. citizens. They tend to cross on a daily basis. Regulations require documentation, of which there are various types. The Border Crossing Card (BCC) is a commonly used document.

IT consultant's observation for this subcommittee

The Southern Land Border Subcommittee advocates the use of machine-readable documents with respect to land border traffic. It is essential that readers are operable at all border crossings and are capable of capturing biometric identification to benefit the additional improved documentation. The readers should comply with any mode of traffic and all machine-

readable documents issued by Departments of State and Justice crossing the border, which would facilitate automating the inspection process.

In an endeavor to encourage vehicular traffic passengers to register in an expedited inspection program, the Southern Land Border Subcommittee recommends that the current radio frequency system, Secure Electronic Network for Travelers Rapid Inspection (SENTRI), be modified. These modifications would allow the inspector to touch the screen and record the crossing of all occupants in the vehicle.

From the FASTPASS system documentation (the next generation APASS system, which will include fingerprint storage and reader), information is extracted from an individual's driver's license via the magnetic strip and/or barcode and is authenticated. The software necessary for the extraction and authentication of this information is supported by data templates, and encoding algorithms. In the U.S., the support ID data encoding are easily updated regularly when, and if, a state issues a new driver's license data encoding algorithms. Passports are scanned on a scanning/imaging device and the data is extracted and authenticated from the Machine Readable Zone (MRZ) of the passport and downloaded or verified against an existing database record in the same manner.

Current documentary requirements and exemptions should be streamlined and consistent to assist in a system design, which includes development and training. The proposed system has potential but must allow for additional critical elements in order to be effective to secure the border. The system must incorporate a biometric identifier to verify each individual, might utilize smart card documents and the necessary equipment to read them, expedite the inspection process by eliminating the manual input of data as much as possible, which also reduces the incident of human errors, and the ability to screen against the Interagency Border Inspection System (IBIS)/National Automated Immigration Lookout System (NAIIS) in real time.

Current Systems

The current systems have evolved over time based on changing requirements. The requirements for the current systems are driven by significant and often time conflicting goals. The goals are to satisfy needs at different types of POEs, at different functional areas in the process, and/or different government departments. Another goal is to satisfy laws and mandates and a final goal is to meet budgetary constraints. The outcome is a set of systems that excel in some functional areas but lack overall connectivity and consistency.

Some detailed observations are: for POE categories, commercial air and sea entries are best tracked, but only comprise about 16% of all border crossings, the most automated is the air, followed by sea and last are the land POEs. However, the traveler flow is highest at land, a distant second at air, and the least by sea POEs. The process at each POE is different, in that in the case of commercial sea and air you have pre-arrival information to prescreen travelers. For most of them you have a presentation of documents, an inspection, and finally an I-94 for visaed and Visa Waiver Program (VWP) foreign visitors. Land ports rely on use of pre-enrollment systems, Border Crossing Cards, visas and proximity cards (like NEXUS) to identify foreign citizens. Air POEs have regulated maximum times to disembark and process travelers

from an aircraft. Most seaports require on-board inspections, which have limited electronic connectivity.

The functional areas of the systems are: visa issuance, inspection and enforcement, lookout and intelligence, benefits, and data analysis. Visa issuance is a DOS function and employs replicated information, centralized data warehousing, datasharing and automated background checks. Depending on the category of the POE, the inspection and enforcement process differs. Lookout and intelligence is constrained by the sensitivity and privacy of the information. Benefits processing relies mostly on paper-based input that can have long lag time from request to adjudication. Data analysis systems are tools used to analyze electronic data to understand the flow of people and address other reporting requirements.

Future IT Systems Concept

A conceptual system can be broken into four functional areas: Document issuance, POE event, Benefits/Stay Management, and Lookout systems. For each of these areas unique functionality is needed, but can use similar technology.

Document Issuance

Most travelers require a document to enter or exit the U.S. and must perform the following three basic steps to complete the document issuance process.

- Initial data collection—to gather biographical information electronically.
- In-person interview—where biometric information is collected and an identity established.
- Request adjudication—to determine to grant or deny a request. In either case, information is retained.

Upon the completion of this process, a document with the following four characteristics should be generated:

- Tamper resistant—to make the generation of fake documents more difficult.
- Machine readable—to allow consistent data entry into systems.
- Human readable—as backup to be used by human inspectors.
- Uses biometric identifiers.

Sample documents issued by this process are:

- for some foreign nationals a visa or a Border Crossing Card,
- for frequent travelers a card that is required to participate in a Dedicated Commuter Lane program, and
- for U.S. citizens a passport (where required).

POE Events

This is where a person is present at a POE. An event at a POE would be handled in four steps:

- Pre-arrival analysis—for commercial carriers this is an advanced passenger list for prescreening.
- Document inspection—actual validation of documents and positive identification of an individual.
- Adjudication—determination to allow or deny a request to enter or exit the country.
- Event data capture—retain all information of event and outcome.

Benefits/Stay Management

An individual might require benefits or trigger stay management events while in the country. These requests are change of status, extend stay in country, and other similar events. They could be handled in two ways:

- Automated self-service—for any self-service station, using biometrics would be required to establish an identity.
- In-person caseworker interview—alleviate the paper processing load by handling all data in electronic form as much as possible.

Lookout Systems

Lookout systems are a collection of systems comprised of data collected in many of the current lookout databases. To streamline the current process, one-stop-shopping is required so that all of the information is searched automatically. The information should be available on a real-time query basis so that timely information about threats can be disseminated quickly to all agencies with access to this system. IBIS currently affords integrated lookout support at the POE.

The steps taken in generating and maintaining lookout information are significantly different from agency to agency. It is sufficient to say that the type of information collected by other law enforcement agencies can differ from the information collected concerning immigration violators. Therefore, lookout systems should be used by the entry/exit system but could function alone for use by others agencies.

Biometric Identifiers

Security is based on controlling and authorizing access to information (such as within a computer system) or into a physical location. There are three methods of giving individuals access to secure areas or information:

- Using what they know,
- Using what they have, and/or
- Using who they *are*.

Using biometric identifiers is the only confirmed means of “freezing” the identity of an individual. Freezing an identity means locking information, such as a name, and its identifying documentation to an individual. The first time a person presents documentation saying they are John Q. Public, that fact cannot truly be established. However, by capturing a biometric identifier that links that individual to that name/information, the identity of that person is now permanently frozen. This also prevents a person with a frozen identity to claim to be someone else. If this person does truly have a second name the information can be handled as an alias of the first identity.

New and Emerging Technologies

Smart Documents: Smart documents reduce or eliminate manual data entry, with its associated error rates and delays in inputting data.

XML: The eXtensible Markup Language (XML) is a nonproprietary language that is an excellent format for the interchange of data between different applications. Self-describing records can be generated using XML. These are records that have information about the fields it contains, so that the receiving process needs to know little about the sending process.

Advanced Indexing: Traditional indexing relies on unique identifiable key elements. Based on these elements, an index is built. The index is used to quickly determine if a piece of information is present on a dataset. Advanced indexing has the same functionality in mind. Where it differs significantly is by how it generates a unique identifier for information. For example, traditional indexing for textual documents built elaborate indices on words contained within the document. This process works fine if the content is known. However it breaks down if similar content is searched, but is not an exact match. In advanced indexing, these issues are overcome by extracting the knowledge out of the documents and using it as an index for searching.

Federated Systems: The ability to use information located at different data centers, in real-time, is imperative. A federated system approach is a way to make distributed databases seem like one. This way one search brings all the relevant information together.

Knowledge Modeling: Knowledge modeling is a tool to perform systematic analysis of complex problems to estimate performance and reliability. The process steps are:

1. Break down the complex problem into its components
2. Weigh the performance and reliability of each component.
3. Successively aggregate weights of components to the next level to achieve an overall estimate of performance and reliability.

Automated Prioritization Tool: This is a network based analysis tool to prioritize sites for the INS, or other relevant agencies, to place resources. Fundamentally this technique would use information about transportation to create a network. Then attributes to the network would be assigned based on other relevant information. This technique is flexible to changing priorities and information as well as to world events.

Leveraging Existing Systems

No one system dominates the entry/exit problem domain. There are several centralized systems that contain a lot of core information. In more specific areas there are several systems that perform similar types of functions for expedited admission. And finally there are other systems that maintain unique information, which should not be replicated for privacy reasons yet they need to have wide access. The challenge is to get to a future system using current functionality where appropriate, and enhance and replace other systems, as needed. Current systems must still be maintained, analogous to a service road, while the new super highway is under construction.

For a longer-term solution, systems will have to be upgraded, replaced, centralized, and federated as appropriate. Two key functional areas require a centralized approach to generate uniform and consistent data. If Personal Identification (PID) and biometrics are functions needed by most applications, it would not be efficient to distribute this functionality across all systems that need it.

These centralized systems would use either a biometric identifier (see figure 2) or some other electronic information to uniquely identify an individual. These systems would contain all the functions to manage this kind of information. They would also be protected accordingly. The results of either system would then be used to access information for that individual in one of the other sub systems.

Summation and Recommendations

This section summarizes key findings and recommendations:

1. Near-term Crucial Systems

The Entry/Exit Project Team (EEPT) has a deadline of December 31, 2003 to implement procedures to capture entry and exit information at all air and sea POEs.

To meet this date, the EEPT is considering using an existing system as the platform for collecting arrival and departure data. Since carriers are going to be required to send all arrival and departure data for all passengers, we agree that this system is the most appropriate system to leverage as a collection vehicle to satisfy the December 31, 2003 deadline.

2. Exit Information

There is only one system of the 30+ systems reviewed thus far that contains exit information. Some functions of the current system work well, others can be improved. The elements of a secure entry/exit system that are distinctly missing or under-utilized are the use of biometrics (discussed below), any exit procedures and integrated systems (like visa datasharing).

We recommend that upon departure, the information that is generated by the airlines and cruise lines would be sent to create a departure record. Centralizing the records would allow INS to track the arrival and departure of all foreign visitors.

3. Biometrics

Biometric identifiers are under-utilized in the current systems.

To alleviate this issue, we recommend collection of at least two biometric identifiers, preferably a photograph and fingerprints. The human eye can verify identity of a person using photographs effectively and face recognition software will improve in the future. Photographs would also be used as backup in case the automated systems fail. Fingerprint technology is mature enough to be used in production for automated self-service inspection stations. Also, it is less intrusive than other biometric collection methods.

4. Low-risk Automated Inspections

The use of Automated Inspection systems is a powerful concept that will require more consistent and widespread use in the future. It depends on biometrics and machine-readable documents.

We recommend taking advantage of existing documents that are Optical Character Reader-ready for the fast and accurate data entry, and use biometrics, as previously recommended.

5. IT Infrastructure

Existing automated inspection systems need to optimize their databases and be integrated. Their current infrastructure is fragmented. On the other hand, some of the large centralized systems serve a wide set of users and provide useful functionality to a distributed set of users. Some of these systems are using up-to-date technology, and others use up-to-date concepts such as federated systems.

To take advantage of infrastructure improvements, we recommend establishing a standard set of communications mechanisms. With it, a higher level of system interoperability could be achieved. Federated systems and XML technologies would work well here.

6. Global issues of concern within the current environment

- Functions are stove-piped within systems despite procedural interrelationships.
- Batch processing delays the rapid access to real-time data that is essential for tight security and timely processing, for example, the Form I-94 paper process.
- IT architecture is not standardized.
- IT users are not adequately trained and training is not updated as changes take place.

To overcome these issues, we recommend following what large IT centers in industry are doing. Where possible, move toward the following industry standards:

- Automate paper-based and manual processing.
- Build a network of IT expertise under a consolidated Chief Information Officer.
- Develop long-term strategic IT goals by function rather than department.
- Standardize IT architectures, platforms, and practices.

We also recommend the use of industry standards to leverage technology developments. Industries are investing millions of dollars on improving these standards. Also, by using and developing by these standards the INS, and other relevant agencies, would be able to use commercial off the shelf packages and/or develop applications that are easily maintained.

Conclusion

Technology by itself will not address all the issues, but if applied at the right places, with strong business practices and in an incremental fashion, it will help.

The conceptual system does not significantly change the current procedure. What changes is the technology used behind the scenes, the tools, the systems and information management. The outcome of implementing such a system is:

- Automation,
- Comprehensive data gathering,
- Secure data transmissions, and
- Higher reliability and integration of the information and systems in use.

Biometric information is essential. Automated inspection stations can very effectively verify the identity of the traveler with some biometric identifier.

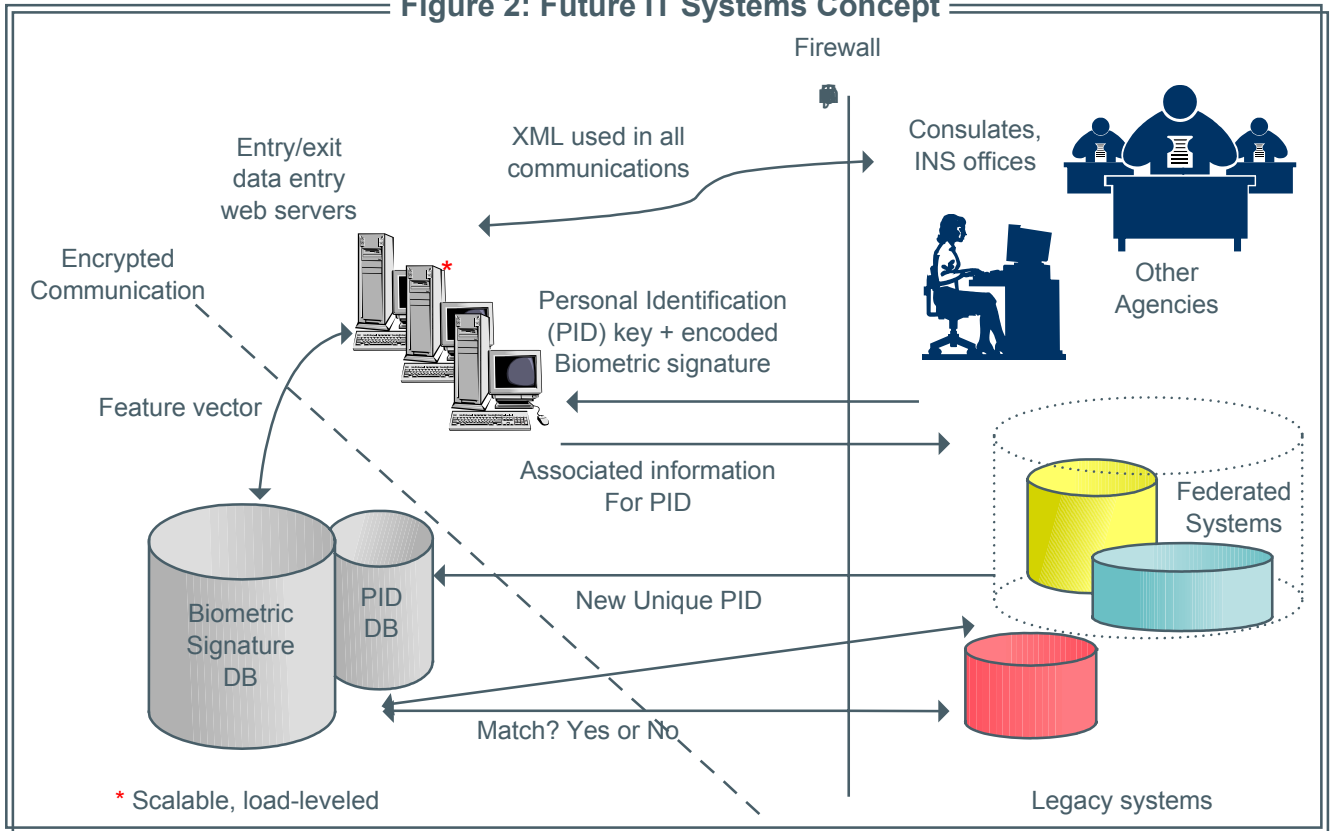
Finally, select key systems for further investigation. The real test of future usability rests with end users and how maintainable the systems are. Some systems look very promising as corner stones for future development. They should be studied in more detail in the next phase of this study. Also, individual technologies should be studied in greater detail before final system design and implementation recommendations are made.

We will continue to work with the INS and DMIA Task Force on these and related IT interoperability issues as they continue their work in 2003/2004.

Figure 1: Current System List by Category

Category	System Id	System Name	Owner
Visa Processing	Datashare	Visa datasharing	DOS
	CCD	Consulate Consolidated DB	DOS
	NIV	Nonimmigrant visa	DOS
	NIV/BCC	Nonimmigrant Visa/Border Crossing Card	DOS
	IV	Immigrant Visas	DOS
	IV/DV	Immigrant Visa/Diversity Visa Modernized systems for visa processing	DOS
Lookout and Intelligence	IAFIS	Integrated Automated Fingerprint Identification System	FBI (DOJ)
	IBIS	Interagency Border Inspection System	USCS (Treasury)
	IDENT	ID System used in processing BCCs and for enforcement	INS (DOJ)
	CLASS	Consular Lookout and Support System	DOS
	NADDIS	Narcotic and Dangerous Drugs Information System	DEA (DOJ)
	NCIC	National Crime Information Center	FBI (DOJ)
Benefits	CIS	Central Index System	INS (DOJ)
	CLAIMS	Computer-Linked Application Information Management System	INS (DOJ)
	RAPS	Refugee, Asylum, and Parole System	INS (DOJ)
	SEVIS	Student Exchange Visitor Information System	INS (DOJ)
Inspection and Enforcement	ENFORCE	Enforcement Case Tracking System	INS (DOJ)
	BCC	Border Crossing Card	INS (DOJ)
	DATASHARE	Visa datasharing	INS (DOJ)
	DMS	Detention Management System	INS (DOJ)
	EID	Enforcement Integrated Database	INS (DOJ)
	NAILS	National Automated Immigration Lookout System	INS (DOJ)
	PALS	Portable Automated Lookout System	INS (DOJ)
	DACS	Deportable Alien Control System DB	INS (DOJ)
	APIS	Advanced Passenger Information System	USCS (Treasury)
	SENTRI	Secure Electronic Network for Travelers Rapid Inspection	INS (DOJ)
	NEXUS	Dedicated Commuter Lane program	INS (DOJ)
	RVIS	Remote Video Inspection System	INS (DOJ)
	INSPASS	INS Passenger Accelerated Service System	INS (DOJ)
	IDENT	Automated Biometric Identification System	INS (DOJ)
	ADIS	Arrival Departure Information System	INS (DOJ)
	NIIS	Non-Immigrant Information System	INS (DOJ)
GES	Global Enrollment System	INS (DOJ)	
OARS	Outlying Area Reporting Station	INS (DOJ)	
Data Analysis Tools	RIPS/RIPCON	Record of Inadmissible Passenger System DB/RIP Consolidated System	INS (DOJ)
	VIS	Verification Information System	INS (DOJ)
	POMS	POE Office Management System	INS (DOJ)
	WAM	Workforce Analysis Model	INS (DOJ)

Figure 2: Future IT Systems Concept



IT-01