



Report on Business Transformation Initiatives

Fiscal Year 2016 Report to Congress



Homeland
Security

*U.S. Customs and Border
Protection*

Message from the Deputy Commissioner of CBP

September 23, 2016

U.S. Customs and Border Protection (CBP) respectfully submits the Report on Business Transformation Initiatives (BTIs) pursuant to the language set forth in the Trade Facilitation and Trade Enforcement Act of 2015 (Pub. L. No. 114-125), Section 802(i)(1).



The report provides CBP's BTIs, including locations where the initiative is deployed, the types of equipment utilized, a description of protocols and procedures, information on wait times at such locations since deployment, and information regarding the schedule for deployment at new locations.

Pursuant to congressional requirements, this report is being provided to the following Members of Congress:

The Honorable Ron Johnson
Chairman, Senate Committee on Homeland Security and Governmental Affairs

The Honorable Thomas R. Carper
Ranking Member, Senate Committee on Homeland Security and Governmental Affairs

The Honorable Michael McCaul
Chairman, House Committee on Homeland Security

The Honorable Bennie G. Thompson
Ranking Member, House Committee on Homeland Security

The Honorable Orrin Hatch
Chairman, Senate Committee on Finance

The Honorable Ron Wyden
Ranking Member, Senate Committee on Finance

The Honorable Kevin Brady
Chairman, House Committee on Ways and Means

The Honorable Sander M. Levin
Ranking Member, House Committee on Ways and Means

I would be pleased to respond to any questions you may have. Please do not hesitate to contact my office at (202) 344-2001.

Sincerely,

A handwritten signature in black ink, appearing to read 'K. McAleenan', with a long horizontal line extending to the right.

Kevin K. McAleenan
Deputy Commissioner
U.S. Customs and Border Protection

Executive Summary

The Office of Field Operations (OFO) is the law enforcement component within CBP responsible for carrying out CBP's complex and demanding border security mission at all ports of entry (POEs). OFO manages the lawful access of people and goods to the United States by securing and expediting international trade and travel. Continued growth in international trade and travel, expanding mission requirements, and new facility demands continue to strain CBP resources and our efforts to secure the country.

Recognizing these challenges and the requirement to refine existing strategies, CBP developed a robust, integrated, long-term strategy for improving POE operations called the Resource Optimization Strategy (ROS). CBP's ROS was introduced in the *Fiscal Year (FY) 2012 Report to Congress on Resource Optimization at Ports of Entry* with three pillars: identify staffing requirements by accurately utilizing the Workload Staffing Model, reduce those staffing requirements by transforming business processes through the BTIs, and develop strategies to fund the required staff. CBP continues to update the progress on the strategy each fiscal year.

This report highlights CBP BTIs through FY 2017. CBP describes the progress of the BTIs developed prior to FY 2015, introduces BTIs implemented in FY 2015, and previews BTIs currently being developed for implementation by FY 2017. In addition to descriptions of the BTIs, CBP shares additional data related to the return on investment, impact of wait times, cost avoidance for CBP and stakeholders, and plans for future deployments for specific initiatives.

In FY 2015, CBP continued to implement transformation efforts by focusing on more efficient processing in the air, pedestrian, vehicle, and cargo environments. CBP made a concerted effort to implement the newest and most advanced technologies at the Nation's POEs to create efficiencies. Along with technological advancements, CBP deployed biometrics and processing enhancements and expanded Trusted Traveler Programs. These transformative initiatives and technological advancements provide the platform from which CBP can achieve operational success in the face of increased border and air traffic, budget constraints, and demand for new and expanded services at existing and proposed POEs.

CBP's efforts to implement and enhance BTIs along with partnerships with stakeholders have resulted in the transformation efforts that reduced the need for over 600,000 inspection hours and the equivalent of 517 CBP officers (CBPOs) in FY 2015. CBP is embarking on more transformative initiatives to expand air traveler technologies, implement biometrics, automate forms collection, and eliminate duplicative processes to save an additional 500,000 inspection hours and 453 CBPOs equivalents through FY 2017.



FY 2016 Report on Business Transformation Initiatives

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I. Legislative Language

This document was compiled pursuant to the legislative language set forth in the Trade Facilitation and Trade Enforcement Act of 2015 (Pub. L. No. 114-125), Section 802(i)(1).

The Trade Facilitation and Trade Enforcement Act of 2015, Section 802(i)(1), states:

Not later than 90 days after the date of the enactment of this Act and annually thereafter for the next five years, the Commissioner shall submit to the Committee on Ways and Means and the Committee on Homeland Security of the House of Representatives and the Committee on Finance and the Committee on Homeland Security and Governmental Affairs of the Senate a report on U.S. Customs and Border Protection's Business Transformation Initiative, including locations where the Initiative is deployed, the types of equipment utilized, a description of protocols and procedures, information on wait times at such locations since deployment, and information regarding the schedule for deployment at new locations.

II. Background

The Office of Field Operations (OFO) manages the lawful access to our Nation and economy by securing and expediting international trade and travel. Demand for services at the ports of entry (POEs) continues to increase as U.S. Customs and Border Protection (CBP) takes on additional mission requirements, POE infrastructure expands, and trade and travel volumes continue to grow. Recognizing these challenges, CBP developed the Resource Optimization Strategy (ROS).

CBP's ROS has three pillars: (1) identify staffing requirements by accurately utilizing the Workload Staffing Model, (2) reduce those staffing requirements by transforming business processes, and (3) develop strategies to fund the required staff. The second prong of the pillar, Business Transformation Initiatives (BTIs), describes CBP's transformative initiatives and technological advancements that provide the platform from which CBP can achieve increased capacity and operational success in the face of increased border and air traffic, budget constraints, and demands for new and expanded services at existing and proposed POEs. As a descriptor, this term is flexible and is not a permanent categorization of any one program or initiative. It is applied to those programs that contributed to the overall ROS strategy for a particular fiscal year. Finally, BTIs are broadly implemented nationwide, however if a specific deployment strategy is identified for a particular BTI through FY 2017, it is included in this report.

CBP's ROS was introduced in the *Fiscal Year (FY) 2012 Report to Congress on Resource Optimization at Ports of Entry*. In this report, CBP introduced BTIs that had been implemented prior to FY 2013, such as the Western Hemisphere Travel Initiative, Radio Frequency Identification enabled documents (RFID), License Plate Readers (LPRs), Trusted Traveler Programs (TTPs), and Non-Intrusive Inspection equipment. In FY 2013, CBP reported achievements and significant process improvements with the implementation of the Automated Passport Control (APC) kiosks in the air environment and the expansion of the pedestrian kiosks on the land border. CBP also eliminated and automated the Arrival-Departure paper document (Form I-94) for arriving foreign nationals, increased our TTP enrollment and usage, and enhanced overall targeting capabilities in all modes.

Finally, in FY 2014, CBP expanded deployment of a variety of mobile, fixed, and tactical LPRs to Southwest border crossings and U.S. Border Patrol checkpoints. CBP also expanded the use of kiosks, which automate document queries for land pedestrians, to five major crossings, and delivered long overdue technology upgrades to the pedestrian processing environment. For international air travelers, CBP expanded partnership with the private sector to expand the implementation of APC kiosks.

In FY 2015, CBP continued to implement transformation efforts by focusing on more efficient processing in the air, pedestrian, vehicle and cargo environments. CBP made a concerted effort to implement the newest and most advanced technologies at the Nation's POEs to create efficiencies. This report summarizes BTIs that have been enhanced, implemented or will be implemented through FY 2017.

The ROS reports issued in FY 2013, FY 2014, and FY 2015 provide detailed information on the BTIs implemented or enhanced in the respective fiscal years and can be found at <http://www.cbp.gov/border-security/ports-entry/resource-opt-strategy>.





III. Business Transformation Initiatives

CBP continues to develop BTIs in support of the ROS. BTIs are an important pillar of the ROS as this initiative allows CBP to realign CBP officer (CBPO) and CBP agriculture specialist (CBPAS) resources to priority initiatives. BTIs also reduce CBP’s required inspection hours, resulting in a decrease in overall workload requirements and equivalent staffing that creates a cost avoidance of the CBPOs’ or CBPAS’ salaries and expenses. Highlighted below are several of CBP’s focus BTIs for FY 2016 and established BTI initiatives that continue to produce efficiencies for CBP and the Travel and Trade community, which translates into cost avoidance and savings each year.

The table below summarizes CBP’s estimate for avoidance of inspectional hours and CBPO equivalents through the implementation of BTIs through FY 2017.

Table 1

Estimated BTIs Savings through FY 2017

| CBPO BTIs |  FY 2012 – FY 2015 Inspectional Hours Saved |  FY 2012 – FY 2015 Equivalent CBPOs saved |  FY 2016 – FY 2017 Inspectional Hours Saved |  FY 2016 – FY 2017 Equivalent CBPOs saved |
|---------------------------------|---|---|---|---|
| | Automated Passport Control | 268,314 | 227 | 118,200 |
| Mobile Passport Control | 61,464 | 52 | 42,552 | 36 |
| National Targeting Center | 171,390 | 145 | 37,824 | 32 |
| CBP Mobile | 83,922 | 71 | 17,730 | 15 |
| Ready Lanes | 81,558 | 69 | 26,004 | 22 |
| Pedestrian Ready Lanes | 47,280 | 40 | 10,638 | 9 |
| Trusted Traveler Programs | | | | |
| NEXUS | 38,100 | 32 | 7,092 | 6 |
| SENTRI | 159,900 | 135 | 23,640 | 20 |
| Global Entry | 131,000 | 111 | 15,366 | 13 |
| Transform New Immigrant Process | 18,912 | 16 | 67,454 | 57 |
| RPM Optimization | 104,016 | 88 | 53,190 | 45 |
| Automate I-94 on Land Border | 24,822 | 21 | 115,836 | 98 |
| Automate I-94/I-94W | 92,196 | 78 | 7,092 | 6 |
| ESTA | 101,852 | 87 | | |
| | 1.38M | 1,170 | 550K | 459 |

A. Automated Passport Control

Figure 1 Automated Passport Control Highlights

| | |
|----------------|---|
| 2,603% | Return on investment for CBP |
| \$1.09M | Annual Cost to CBP to maintain data connection |
| 36 | Number of domestic and international airports where APC is used |

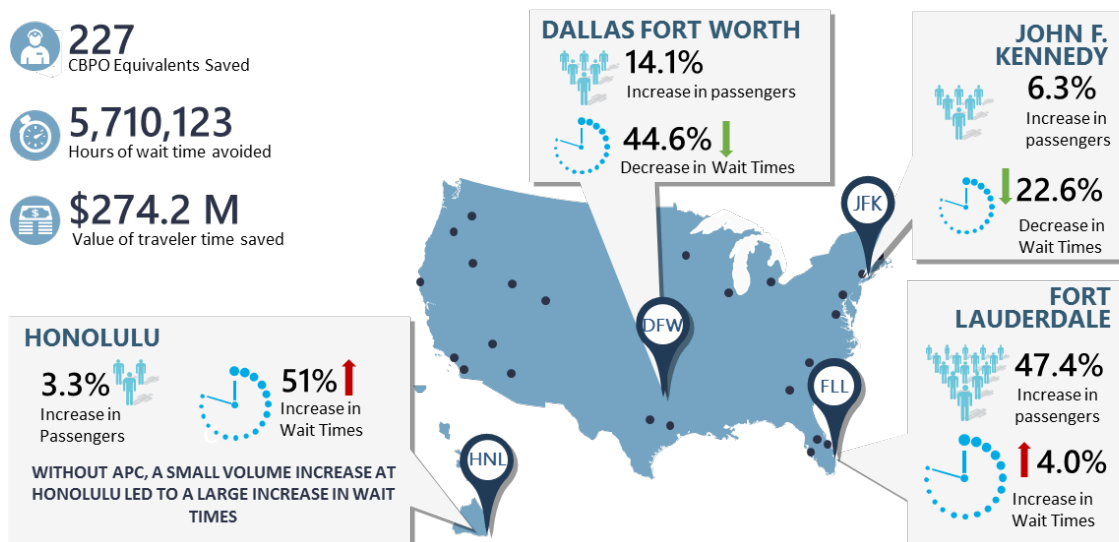
Beginning in FY 2013, CBP partnered with the airline industry to implement and expand the APC program, which highlights CBP’s strategy to engage the industry and support stakeholder investment in securing the arrivals process. CBP, in turn, modified the arrivals process at minimal cost to the government. APC kiosks located in the waiting line permit passengers to enter personal information needed for the primary inspection process. The APC Program increases primary processing capacity, reduces

the administrative burden on CBPOs so they can focus on our law enforcement mission, reduces traveler wait times, uses airport facilities more efficiently, and minimizes missed connections. The program also allows the traveler to self-segregate based on CBP risk assessment. The APC program is currently operational at 33 U.S. airports, 11 preclearance airports, and 2 seaport locations. As of May 2016, these airports had over 1,400 operational kiosks.

The APC program epitomizes CBP’s transformation effort by utilizing low-cost technology purchased by industry to achieve significant savings to the agency and air environment stakeholders. Travelers authorized to use the program include all U.S. citizens, U.S. lawful permanent residents, Canadians, and citizens of 38 Visa Waiver Program (VWP) countries. APCs are also available to B1/B2 visa holders at 37 locations. Significantly, APCs have been so successful that airports in Europe, Asia, and the Middle East are adopting the system.

Figure 2

Impact of APCs on Wait Times



B. Mobile Passport Control

Figure 3 MPC Highlights

| | |
|---------------|--|
| 2,700 | Downloads per week |
| 123K | Total passengers processed through MPC |
| \$1.2M | Estimated Value of Wait Time Reduction |
| 4,750 | Approximate uses per week |

collaboration with industry stakeholders.

The Mobile Passport Control (MPC) is a BTI undertaken in partnership with the DHS Science & Technology Directorate (S&T) and industry for the development of a mobile application that enables travelers to provide all necessary information previously captured by the APC kiosk from their smartphone. It works in a similar fashion to APC, but transactions are done via a smartphone not a kiosk and can be completed before a passenger steps off the plane. As of June 2016, MPC is available at 13 airports with an average of over 58,000 transactions a month. CBP’s goal is to have MPC available at 20 airports by the end of 2016. CBP continues to work with S&T to augment system security and capabilities in

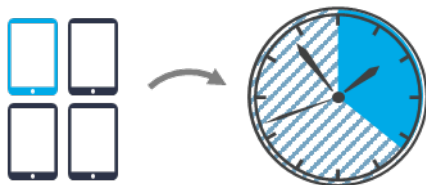
An independent evaluation by RTR Technologies of MPC was completed in June 2015 at the Miami airport. The primary finding of the report is that mobile processing is well equipped to enhance recent public-private partnerships, such as APC, and leverage facilitative technology to increase operational efficiency while reducing wait times.

The evaluation found a significant correlation between increased usage of MPC and the potential to reduce wait times. The report found that if 25 percent of travelers used MPC, wait times could be reduced as much as 62 percent. The report noted that (at Miami) since travelers spend an average of 80 seconds completing the APC transactions, the use of MPC would reduce wait times for APC eligible visitors and mitigate the necessity for airports to invest in more APC kiosks. This is especially critical at terminals that are significantly space constrained. The study found that, in Miami, more than 95 percent of travelers understood how to use the MPC

technology; this is a positive critical traveler behavior issue that had negatively impacted CBP deployments in the past. However, the average inspection time for the 5 percent of travelers who did not properly present their phones was still faster, at 46 seconds.

Figure 4

MPC Usage and Wait Times



If **25%** of travelers used MPC, wait times could be reduced as much as **62%**

The MPC app has consistently ranked in or near the Top 100 free travel apps on iTunes (out of 70,000+). OFO received the 2014 Future Travel Experience Award for Best Immigration and Arrival Initiative for the development of the world’s first MPC application.

C. National Targeting Center/Risk Segmentation

The National Targeting Center (NTC), in coordination with the Immigration Advisory Program (IAP) and the Regional Carrier Liaison Groups, enhances pre-departure targeting efforts and conducts visa vetting efforts. This allows CBP, in coordination with other agencies and the affected airlines, to assist in preventing inadmissible travelers from traveling to the United States. Pre-departure targeting continues to pay security and efficiency dividends. In FY 2012, the NTC was responsible for the offloading of 9,288 passengers and in FY 2015, the NTC and the IAP were responsible for off-loading 11,611 passengers, which is a 25 percent increase. The programs resulted in the cost avoidance of 20 CBPOs equivalent to over \$2 million and \$29 million in monetary costs to the industry.

1. Electronic System for Travel Authorization

Electronic System for Travel Authorization (ESTA) requires all eligible nationals or citizens of VWP countries who plan to travel to the United States for temporary business or pleasure to have an approved ESTA application before boarding a carrier to travel by air or sea to the United States. Individuals traveling under the VWP must apply for travel authorization through ESTA prior to boarding an aircraft destined for the United States. If an applicant is denied an authorization he or she must apply for a visa to travel to the United States. As a result of ESTA, CBP did not have to conduct lengthy secondary inspections or process refusals of admission for these individuals and resulted in the avoidance of over 300,000 inspectional hours from FY 2012 to FY 2015.

In November 2014, CBP rolled out improvements to VWP by adding 12 new data elements to the online ESTA authorization application. These improvements are designed to address continually evolving security threats, ensure the continuation of VWP, and facilitate visa free travel to the United States. The vast majority of travelers, more than 99 percent, have their applications electronically approved. CBP does not feel that these enhancements will adversely impact legitimate travelers or significantly alter the exceptionally high approval rate. Rather, CBP believes that the additional data elements will serve to further improve on this high approval rate by allowing more accurate vetting of information, thus reducing the number of referrals to U.S. Department of State (DOS) for resolution.

In January 2015, National Counter Terrorism Center (NCTC) began screening against the additional data fields. From January 15, 2015 through September 30, 2015, time period of enhanced ESTA screening, NCTC reviewed approximately 11 million applications. Of these, 1,080 applicants were identified as having possible counterterrorism connections and of those, 654 (61 percent) were attributed to the enhanced ESTA data fields. Of the 1,080 possible counterterrorism connections identified by NCTC, 711 (66 percent) resulted in CBP denials and of the 711 denials, 360 (51 percent) were previously unknown to CBP and denied based solely on the NCTC screening, while 244 (34 percent) of the 711 denials were attributed to the enhanced ESTA data fields.

In June 2016, CBP announced enhancements to ESTA as a result of [the Secretary of Homeland Security's announcement](#) in February 2016 naming Libya, Somalia, and Yemen as countries of

concern, nationals of VWP countries who have been present in these three countries at any time on or after March 1, 2011 are no longer eligible to travel or be admitted to the United States under the VWP. The ESTA Program added additional question to identify these travelers in advance and ensure they are aware of the new requirement to apply for a visa at U.S. embassies or consulates.

The Visa Waiver Program Improvement and Terrorist Travel Prevention Act of 2015 (the VWP Act), enacted as part of the Consolidated Appropriations Act, 2016, amended the Immigration and Nationality Act to make ineligible for participation in the Visa Waiver Program (VWP) any person who has been present in Iran, Iraq, Sudan, or Syria on or after March 1, 2011, with two exceptions (travel to perform military services in a VWP country's armed forces and travel to carry out official duties as a full-time employee of a VWP country's government).

The law gives the Secretary of Homeland Security authority to waive this bar if the Secretary determines that such a waiver is in the law enforcement or national security interests of the United States. An individual who believes he or she may be eligible for a waiver must apply for VWP travel through ESTA and await a decision as to ESTA approval prior to travel.

As a general matter, categories of travelers who may be eligible for a waiver include:

- Individuals who have traveled to Iran, Iraq, Sudan or Syria on behalf of international organizations, regional organizations, or sub-national governments on official duty ;
- Individuals who have traveled to Iran, Iraq, Sudan or Syria on behalf of a humanitarian non-governmental organization (NGO) ;
- Individuals who have traveled to Iran, Iraq, Sudan or Syria as a journalist for reporting purposes;
- Individuals who traveled to Iran for legitimate business-related purposes following the conclusion of the Joint Comprehensive Plan of Action (July 14, 2015); and
- Individuals who have traveled to Iraq for legitimate business-related purposes.

A CBP-led interagency cell, called the Foreign Terrorist Fighter Travel Prevention Cell (TTPC), provides waivers based upon verification of the traveler meeting the national security waiver criteria.

2. Pre-Verify Hotlist

NTC is also testing a new program, Pre-Verify Hotlist, to expedite passenger processing. The Pre-Verify Hotlist Pilot matches Advance Passenger Information System manifest data against the Department of Homeland Security (DHS) Biometric Watch List prior to the departure of travelers from foreign airports, enabling NTC to identify and remove lookouts for travelers who are determined not to be a match to a watch-listed individual. This effort saves time by facilitating lawful travel and avoiding unnecessary inspections of legitimate travelers while concurrently identifying inadmissible travelers who are not detected through biographic screening.

The pilot was originally implemented in Miami International and John F. Kennedy International (JFK) airports. During FY 2014, the pilot enabled Miami International Airport and JFK to avoid,

respectively, 12,888 and 13,161 unnecessary inspections, saving an estimated 4,500 hours (3.6 CBPOs). In FY 2015, the NTC expanded the pilot to 13 airports and enabled CBPOs to remove unproductive lookouts for 57 percent of the DHS Biometric Watch List travelers prior to arrival, avoiding over 14,000 inspection hours (equivalent of 12 CBPOs). The pilot will expand to eight more airports in FY 2016.

D. CBP Mobile Program

The CBP Mobile Program is an enterprise-wide program with the strategic vision to add mobility to mission critical CBP operations. The deployment of appropriate real-time technology removes the constraints of time and location facing all CBP frontline personnel in the performance of their duties and the execution of CBP's mission. Deployed mobile devices include ruggedized tablets, jump kits, smart phones and biometric scanning peripherals. These mobile device solutions provide:

- Handheld license plate and document reading capability through the Land Border Mobile Client enabling CBP Officers and Agents to query vehicles and persons entering and departing the United States at Outbound, Pedestrian and Border Patrol checkpoints. (ruggedized tablets)
- Cargo Exam Findings enabling CBPAS to perform and capture all cargo inspections by providing real-time query, processing and verification capability through flexible web-based applications for all passenger and cargo processing. (ruggedized tablets)
- E-3, a comprehensive, multimodal identification and enrollment platform for Border Patrol. (biometric scanning peripherals)
- Enforcement Link Mobile Operations (ELMO) capability suite for use by CBP Officers, Border Patrol and Air and Marine Agents for comprehensive person queries in the air, land and maritime operational environments. (smart phones and biometric scanning peripheral)

The use of mobile devices facilitates enforcement actions, including identification of subjects of National Crime Information Center warrants and the interdiction of undocumented aliens, narcotics interdictions, unreported currency, and weapons violations. In addition, the mobile devices significantly decrease time delays due to travel time between terminals and warehouse inspections. Perishable cargo is released up to 4 hours sooner and wait times during peak travel periods are reduced significantly using mobile devices.

During FY 2015, the CBP Mobile Program was able to deploy a significant number of mobile devices to support or augment day-to-day operations and special events. The CBPOs assigned to IAP locations, who typically perform interviews at terminals where travelers are departing, utilize the mobile technology to have immediate access to traveler manifests and law enforcement queries, rather than having to return to the office. Over 400,000 queries of travelers were conducted on mobile devices in FY 2015; 72 percent of those queries were conducted by IAP CBPOs, avoiding over 11,500 inspection hours domestically, equivalent to 9 CBPOs (slightly over 25 percent of total equivalent CBPOs avoided in FY 2015 due to the mobile program).

In addition, over 2,400 ruggedized tablets were shipped to the field, in support of agricultural operations, U.S. Border Patrol enforcement operations, cargo examinations (testing and development), and Air and Marine Operations efforts. CBP also deployed additional tablets to the CBP Field Operations Academy for students at all of their training locations and smart phones with fingerprint capture capability to support CBP's pilot capture of biometrics upon departure from the United States. Finally, CBP Mobile provided full traveler processing laptop kits in support of special operations like the Southwest Border Holy Week traveler surge operations, the U.S. Papal Visit, and train and cruise ship operations across the Northern Border.

CBP expanded the mobile capability for capturing cargo inspections with the Cargo Exam Findings mobile application to outfit CBPAS with mobile devices. The mobile devices allows CBPAS to release more cargo in a shorter amount of time since they do not have to return to the office. Since FY 2012, the mobile program has avoided over 80,000 inspection hours, equivalent to 71 CBPOs. Full deployment of mobile devices to all CBPAS is expected to be completed by the end of 2016.

Finally, in support of the Agriculture mission, CBP automated functionality to reduce the operational burden of paper processing by completing CBP Form 288, Garbage Compliance Mobile App. Previously, when CBPAS boarded a ship at the POE, they filled out a 6-part form, Ship Inspection Form 288, a tedious, manual, paper-based process. The Ship Inspection App makes the process completely electronic and accessible through a mobile device, providing an efficient and intuitive user-experience which will save CBP approximately \$2.5 million dollars annually.

E. Automation of I-94/I-94W

In 2010, CBP eliminated manual processing of paper Form I-94Ws from Visa Waiver country passport holders in the air environment through the institution of the ESTA. This automation reduced the time of the overall primary inspection processes for VWP travelers by 58 percent. In addition, this initiative results in a cost avoidance of approximately \$8 million per year because data entry costs are no longer incurred.

CBP automated Form I-94 for foreign nationals arriving from non-Visa Waiver countries in the sea passenger environment in FY 2012. CBP expanded this automation to air passengers at the end of FY 2013. The data collected from the Form I-94s have been used for over 20 years as a key source of information regarding immigration status. The automation of the Form I-94 in the air environment has significantly improved the accuracy and timeliness of the data because the I-94 is created in real-time using the same information the CBPO uses for the primary inspection. In addition to the CBPO savings, CBP avoids an annual cost of \$12.0 million to \$15.0 million in data entry costs to process the forms.

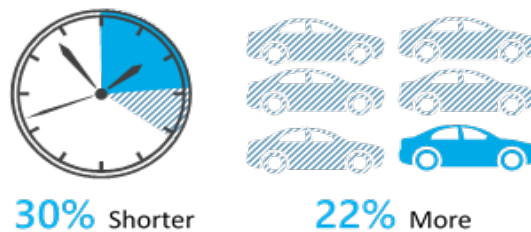
In FY 2013, the elimination of the paper Form I-94 decreased the time spent processing visitors from non-visa waiver countries arriving on commercial airlines by an average of 6-10 seconds when comparing the same timeframe in previous calendar years which resulted in a total avoidance of over 90,000 inspection hours and 78 CBPOs since implementation.

The current land border I-94 process, to include the I-94W, unfortunately remains labor intensive for the CBPO. To create a more efficient land border process, CBP intends to enhance the existing I-94 web portal to include additional functionality that allows a traveler to submit information to CBP and pay the required fee prior to arrival at a POE. CBP intends to launch the online I-94 application and fee payment by September 2016. This will reduce the I-94 process time by almost 50 percent. CBP estimates a first year savings equivalent to 170 CBPOs with a cost avoidance of over \$21 million in CBPO salaries and expenses.

F. Ready Lanes

Before 2006, CBP performed passenger-name law enforcement queries on approximately five percent of travelers arriving to the United States by vehicle. The promotion of the Western Hemisphere Travel Initiative technologies, as well as the increased use of RFID travel documents, has led to over 22 million travelers obtaining RFID-enabled documents (Passport Cards, enhanced driver’s licenses, Border Crossing Cards, and Permanent Resident Cards, trusted travelers cards (Global Entry (GE), Secure Electronic Network for Traveler’s Rapid Inspection (SENTRI), NEXUS and Free and Secure Trade program)), and two-thirds of all Southern border crossings are now made with an RFID document.

Figure 5
Ready Lane Wait Time and Throughput



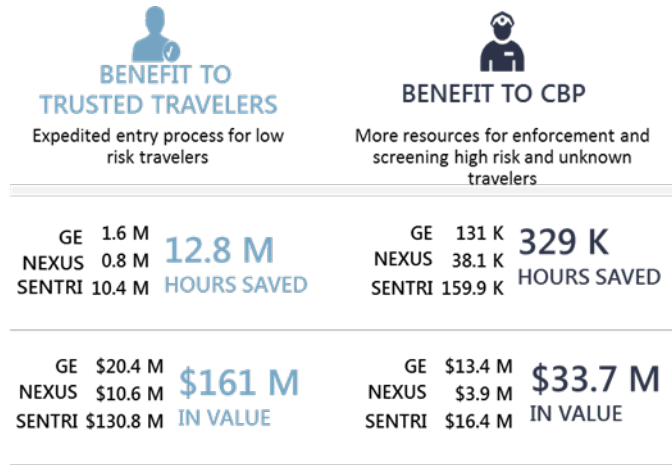
CBP is leveraging its TTPs and the growing prevalence of RFID travel documents to initiate the “active lane management” (ALM) concept at our land border POEs. ALM involves monitoring and making adjustments to a POE’s lane designations as traffic conditions and infrastructure limitations warrant. Ready Lanes, Dedicated Commuter Lanes, and Light Emitting Diode signage are established best practices being deployed so port directors can re-designate lanes and communicate to the public to expedite both trusted and “ready” traffic. ALM is analogous to the segmentation of traffic at toll plazas on a highway. TTP (see following paragraph) lanes are similar to EZ-Pass lanes with the shortest lines. Ready Lanes are similar to exact change lanes, which are also expedited, and general lanes would be similar to full-service lanes where longer waits can occur. CBP will continue to promote its TTPs and increased use of RFID-enabled documents to continue to promote ALM principles, expedite traffic, and enhance security.

CBP continues to see an expansion of the Ready Lanes. Ready Lanes offer an expedited inspection process for travelers who possess RFID documents but are not a member of a Trusted Traveler Program. It is similar to an “EZ Pass Lanes” on a toll road. Ready Lane traffic share (not including NEXUS and SENTRI traffic) has increased from 6 percent in 2010 to 38 percent today. In 2015, POEs with Ready Lanes have taken measures (such as traffic segmentation, improved signage, and more responsive ALM) to increase Ready Lane benefits for participating travelers. While Ready Lanes provide a wait time benefit to travelers, they also assist CBP. Since Ready Lanes are more efficient than general lanes, they process more vehicles (about 10

more) per hour than general lanes. This efficiency benefits CBP managers who are constrained by available booths and staff. Ready lanes have avoided over 80,000 inspection hours which is the equivalent to 69 CBPOs.

Leveraging the success of Ready Lanes, CBP implemented Pedestrian Ready Lanes which is a transit-style dual-gate systems and stand-alone kiosks query travel documents before pedestrians arrive at the inspection booth. The share of Pedestrian Ready Lane traffic continues to grow as a percentage to total pedestrian traffic. This has allowed for the reduction in both wait times and booth hours. Travelers in pedestrian Ready Lanes wait an average of 12.5 minutes compared to general lane travelers who wait an average of 14.6 minutes. Pedestrian Ready Lane cycle time is 27.2 seconds compared to 40.7 seconds in the general lanes which represent an improvement of 33 percent. Pedestrian kiosks have avoided almost 50,000 inspection hours equivalent, to 40 CBPOs.

Table 2
Impact of Trusted Traveler Programs Since Implementation



While not all locations with pedestrian kiosks operate pedestrian Ready Lanes, as of September 30, 2015, kiosks are deployed along the Northern border at Buffalo (Rainbow Bridge and Peace Bridge), Champlain, Detroit (Windsor Tunnel). Port Huron and Blaine (Pacific Highway). Southern border deployments include Brownsville (Gateway Bridge and B&M Bridge), Pharr, Convent Street, Progresso, El Paso (PDN Bridge, BOTA, and Ysleta), Columbus, Douglas, Nogales (Deconcini and Mariposa), San Luis, Andrade, Calexico (East and West), Tecate, Otay Mesa, and San Ysdiro.

G. Trusted Traveler Programs

SENTRI, NEXUS, and GE programs continue to expedite low-risk vetted international travelers while enabling CBP to focus on those unknown or high risk travelers. All TTP participants must be pre-approved for GE, NEXUS, and SENTRI. All applicants undergo a rigorous background check and personal interview before enrollment.

CBP has placed great emphasis on developing and expanding TTP for travelers in both the air and land border environment. TTP helps to identify low-risk, vetted travelers by the voluntary submission of an application and subsequent vetting using automated name and fingerprint-based checks of law enforcement databases, fingerprint/name checks, and an interview with a uniformed officer.

NEXUS, a joint U.S./Canada enrollment program at the Northern border land POE and at all Canadian preclearance ports, identifies low-risk travelers through a complete biographic check,

an interview with a CBPO and a Canada Border Services Agency officer, and a fingerprint check. Enrollees are provided RFID-enabled cards that allow the traveler to use specified primary lanes at land border POEs. At the Canadian preclearance airports, passengers use kiosks instead of dedicated lanes, and iris scans, rather than RFID-enabled cards.

In FY 2015, the average NEXUS crossing was 34 seconds faster than traditional processing, with NEXUS travelers experiencing an average of 4.6 minutes less (60 percent) in wait times than non-participants during FY 2015.

On the Southwest border, SENTRI provides expedited CBP processing for pre-approved, low-risk travelers. Applicants must voluntarily undergo a thorough biographical background check, personal interview with a CBPO, and a fingerprint check. SENTRI users have access to specific, dedicated primary lanes into the United States. The SENTRI program has grown to include a total of 17 lanes at the 10 largest southern border POEs along the U.S.-Mexico border. SENTRI members currently account for 19 percent of all Southwest border traffic. In FY 2015, the average SENTRI processing was 40.7 seconds faster than traditional processing with SENTRI travelers experiencing an average of 19.1 minutes less (73 percent) in wait times than non-participants.

CBP designed GE to allow for expedited clearance of pre-approved, low-risk air travelers into the United States. Through the use of automated kiosks placed in the Federal Inspection Services area of each identified airport, enrolled travelers are often able to bypass queues and process through Passport Control without having to interact with a CBPO. A random screening element is always maintained to ensure program integrity. This program facilitates entry into the United States and is especially beneficial to frequent international flyers. Currently, GE is available at 47 domestics and 13 pre-clearance airports. CBP also has international trusted traveler partnerships with the following countries: the Netherlands, United Kingdom, Germany, the Republic of Korea, Panama, Mexico and Singapore.

Access to the GE Program has grown annually (4.5 million currently) as kiosk locations have increased to meet demand. The number of GE applications continues to grow with a five percent increase in FY 2015. There are currently 60 airports with GE kiosks. During FY 2015, GE travelers waited an average of 23.3 minutes less (88 percent) than non-participants. In total, 4.5 million GE travelers waited 1.6 million fewer hours (value to the traveler: \$20.4 million) than if entry were processed

by traditional means. The average GE crossing is 100.6 seconds faster than traditional processing and saved (in total) 131,000 CBP officer hours (valued at \$13.4 million).

| Table 3 | |
|---|--------------|
| Global Entry | |
| Traveler Crossings: | 4.5 M |
| Traffic Share: | 5.5% |
| Traveling Public | |
| Per Traveler Wait Time Savings (minutes): | 22.3 (88%) |
| Total Reduced Traveler Wait (Hours): | 1.6 M |
| Value of Traveler Time Savings: | \$20.4 M |
| CBP Efficiency | |
| Per Inspection Time Savings (seconds): | 100.6 (100%) |
| CBPO Hours Saved: | 131.0 K |
| Value of CBPO Hours: | \$13.4 M |

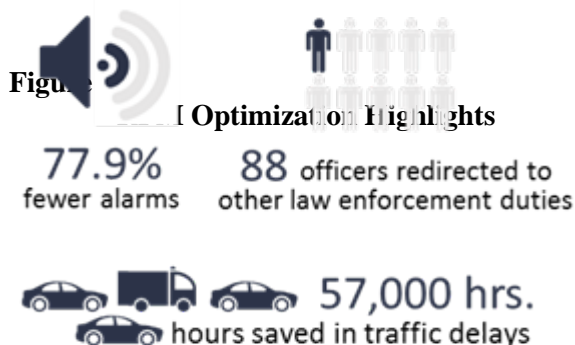
Because Trusted Traveler participants wait significantly less than non-participants, they are likely to make more crossings than if they had to wait in general traffic queues. The need for TTPs is essential to the U.S. economy as the volume of visitors to the United States is expected to grow annually between 3.4 percent and 4.1 percent.

H. Transform the New Immigrant Visa Process

CBP is working with the DOS and U.S. Citizenship and Immigration Services (USCIS) to transform the immigrant visa (IV) process, which is predominantly paper driven and based on the collection, transportation, and storage of hardcopy documents that are transferred between multiple agencies. The current process fails to utilize current technology advances and interfaces already shared by federal agencies, including the DOS Consolidated Consular Database, the Arrival and Departure Information System, and the United States Visitor and Immigration Status Indicator Technology program. The implementation of a paperless immigrant visa process will create a seamless, end-to-end process that streamlines transactions between agencies and beneficiaries, improves security, increases efficiency, and reduces the duplication of efforts.

DOS and CBP are ready to proceed with a paperless solution, as all the information in an IV packet is accessible electronically or can be captured electronically; however, USCIS is working on the capability of accepting and processing electronic documents, photos, and fingerprints. In July 2014, CBP launched a small pilot program to prepare USCIS for an electronic immigrant visa process in support of the Presidential Memorandum, “Modernizing and Streamlining the U.S. Immigrant Visa System for the 21st Century” issued in November 2014. The pilot served as a phased approach to help USCIS move one step closer towards a paperless process.

On June 12, 2015, CBP successfully accomplished an integral step in the project through the elimination of Form I-89. Also, an Integrated Project Team created a Collaborative Test Work Group in FY 2015 to begin testing the functionality of an automated IV process. Once the immigrant visas process is fully implemented, it will eliminate the need to process approximately 425,000 visa packets at the POEs which currently takes a CBPO an average of 15 minutes each. It is anticipated that USCIS will be able to support a fully automated IV process by the end of 2016. CBP estimates this program will result in an avoidance of over 65,000 inspection hours and the equivalent of 57 CBPOs through FY 2017.



I. Radiation Portal Monitor Optimization

Radiation Portal Monitor (RPM) Optimization has been fundamental to increasing the efficiency and accuracy of inspecting cargo. However, a review of the RPM process in FY 2013 found that a significant number of non-threat alarms create extra work for CBPOs and increase transaction costs for private stakeholders. CBP and external stakeholders

developed a new approach for RPM operations consisting of recalibrated equipment that is

projected to reduce non-threat alarms by 70-90 percent, varying by port. Based on the resulting analysis, CBP and Pacific Northwest National Laboratory, in coordination with the Domestic Nuclear Detection Office, developed a near-term, low-cost approach to eliminate the problem while maintaining the capability to detect appropriate threats.

In FY 2014, the RPM Revised Operational Settings initiative recalibrated RPMs at 17 POEs that comprise 90 percent of inbound maritime container volume and 93 percent of historical seaport RPM alarms. At the end of FY 2015, Revised Operational Settings has been deployed to 42 ports (26 seaports and 16 land border crossings) plus the entire fleet of mobile RPMs (59 units). Based on statistics collected and replay analysis of alarm data, the revised operational settings reduced overall alarms by 77.9 percent in FY 2015 or by 231,124 alarms. This has saved over 57,781 hours in traffic delays (based on 15 minutes per alarm) and 115,562 hours in CBPO time for alarm adjudication (based on 15 minutes for two CBPOs). Based on the survey of the ports in early 2015, 88 CBPOs were redirected to other law enforcement duties based on the Revised Operational Settings.

J. Commercial Truck User Fees

One of the upcoming BTIs is the implementation of an automated user fee collection solution to reduce wait times for commercial trucks. If a commercial carrier does not purchase an annual user fee decal, the carrier is required to pay a \$13.05 user fee per crossing (up to an annual cap). The manual collection process of user fees in truck primary at land border POEs is inefficient. The current manual process results in increased wait times and fuel costs for carriers and loss of work hours for CBP. For example, at the Port of Buffalo in FY 2015, approximately 1,700 work hours were spent performing cash collections on primary (each commercial truck inspection took an average of 80 – 90 seconds per vehicle). User fee collections for FY 2015 in the Port of Buffalo was approximately \$774,000. This equates to approximately 72,000 collections (7.6 percent of commercial trucks). Preliminary analysis by an independent contractor indicates that implementing an automated user fee collection solution could result in a potential 6.5 percent decrease in processing times and 5.5 percent increase in throughput in Buffalo alone. The pilot is currently being conducted at ports of Buffalo, Detroit and El Paso with an anticipated national launch to all commercial crossings after a 90-day assessment period.

K. Preclearance

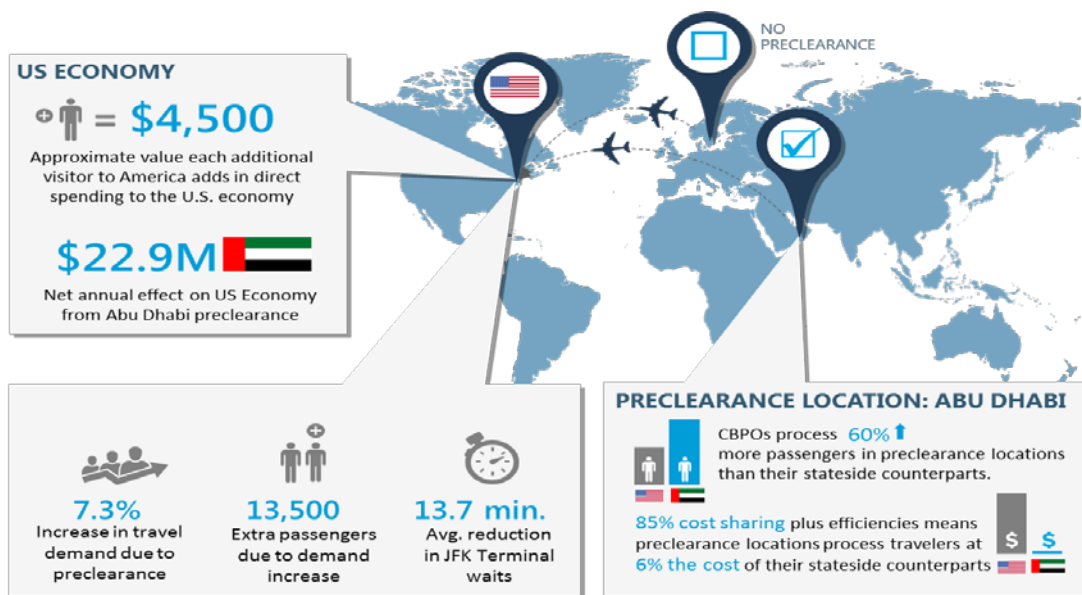
CBP also includes the expansion of Preclearance as an upcoming BTI. Initiated in 1952 at Toronto Pearson International Airport, Preclearance currently permits CBP to conduct inspections at foreign ports prior to passengers boarding a U.S.-bound flight. CBP personnel operate at overseas airports to accomplish the same inspections that would occur upon arrival to the United States. More than 600 CBP personnel operate at 15 airports in 6 foreign countries to process 18 percent of all international air travelers arriving to the United States. The most recent preclearance location (Abu Dhabi, United Arab Emirates) began operations in 2014. In 2015, DHS and CBP announced plans to begin negotiations to expand preclearance operations to 10 additional airports in 9 countries.

Most importantly, Preclearance enhances national security by allowing CBP and its international partners to jointly identify and address threats at the earliest point possible. It increases international law enforcement collaboration to counter global security threats and enhances public-private partnerships to proactively address international security challenges. CBPOs are not only able to interview, capture biometrics, and thoroughly inspect known or suspected terrorists and bad actors encountered in preclearance, they can also examine non-watch listed travelers who present risk factors identified through targeting rules, behavioral indicators, and primary inspection interviews.

In addition to enhancing security, preclearing flights directly increases America’s capacity to receive international air travelers. In fact, 18 percent of today’s international travelers are precleared. Without preclearance, these passengers would require screening at overburdened airports such as JFK, Los Angeles, and Miami. Evidence points to increased demand for travel to the United States with preclearance. An internal economic impact assessment conducted by Grant Thornton suggests that preclearance increases travel demand by 7.3 percent. At the time it converted to preclearance, Abu Dhabi flights to the United States carried approximately 185,000 passengers of which 60 percent were foreign visitors. A 7.3 percent increase would add 13,500 extra passengers, of which 8,100 are visitors and 5,400 are U.S. citizens and Lawful Permanent Residents.

Figure 7

Preclearance Impact and Return on Investment



Removing existing travelers on flights from CBP arrival queues frees up capacity. If that capacity is not back-filled with another flight, the terminal congestion and border delays drop. For example, preclearing a single, daily flight (Boeing 777) from Abu Dhabi to JFK International Airport, reduced JFK Terminal waits by an average of 13.7 minutes (for a 2 hour period). Over the course of a year, passengers processed stateside at JFK will wait a total of 188,000 fewer hours, valued at over \$9.0 million.

L. Agriculture Pest Exclusion Coordinator Specialist Program

The Agriculture Pest Exclusion Coordinator Specialist (APECs) program was expanded during FY 2015. This innovative program expands upon the scientific expertise of our CBPAS cadre, specifically those who actively seek to increase and exercise their Cargo Release Authority (CRA) and take on the additional responsibility of facilitating trade through the identification of less significant, non-reportable plant pests and organisms. The APECs program, coupled with CRA, allows cargo that is found contaminated with a less significant, non-reportable plant pest to proceed more quickly and efficiently through the POE. The expansion of the APECs program to Nogales, Arizona; Otay Mesa, California; and Laredo, Texas POEs has facilitated the release of approximately 600 agriculture shipments a month. Collectively, that equates to about 100 staff hours per month saved which is in turn redirected to high risk agricultural exams and activities within the ports. This program will continue to be expanded through FY 2017.

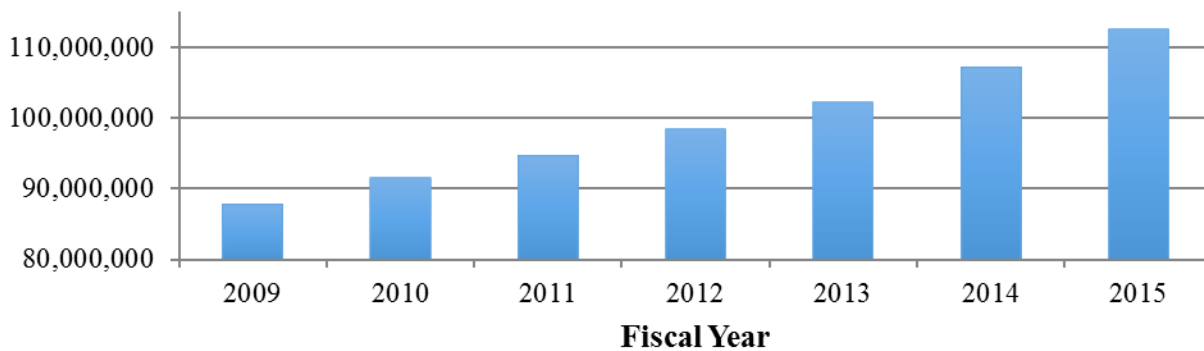
In addition to the above transformative initiatives, CBP looks forward to being transformative by integrating biometric screening capabilities into our security and facilitation operations. CBP recently completed a field test of biometric technology – facial and iris image comparison – for non-U.S. citizens entering and departing the United States through a Southwest land border pedestrian crossing. An evaluation of the field test is currently underway. CBP is also testing biometric technology for non-U.S. citizens departing ten major U.S. airports and will test face/iris “on the move” and contactless fingerprints at a major airport later this year. Finally, in June 2016, CBP began testing the ability of its information systems to compare images of travelers departing the United States against images on file to determine identity in an automated fashion at Atlanta-Hartsfield International Airport. This work builds upon previous CBP efforts at Dulles and JFK and will advance the innovation and transformation of the entry and exit process.

IV. Impact of BTIs and ROS Strategies

The ROS and CBP's cooperative efforts with travel and tourism stakeholders has yielded very promising results. In FY 2015, CBP processed 112,505,462 arriving international air passengers into the United States, setting a new all-time record. This annual passenger volume represents a 5.1 percent increase over FY 2014 and a 28 percent increase since FY 2009. The chart below shows the growth in air passenger volume since FY 2009.

Table 4

Air Passenger Volume Trend

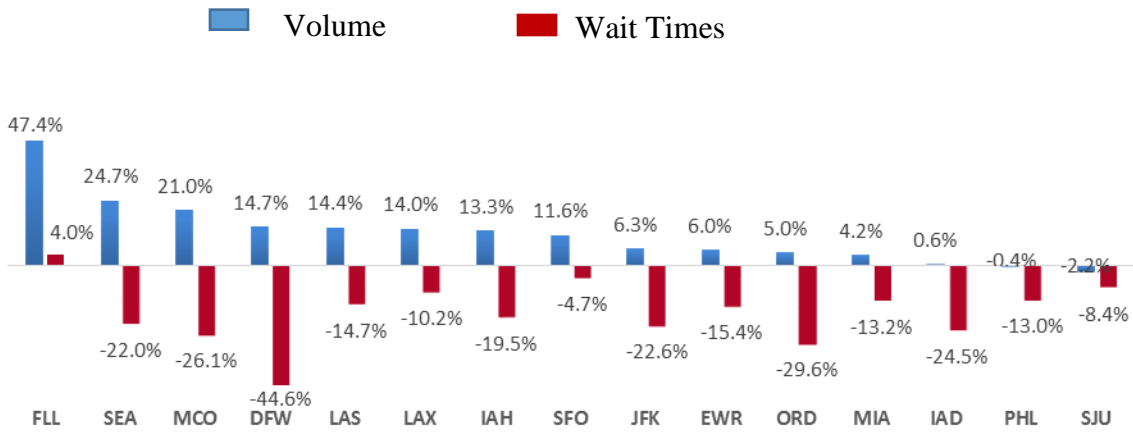


Through CBP's Resource Optimization efforts and significant stakeholder investment, CBP has been able to lower airport wait times despite this growing volume. Overall average wait time in FY 2015 was 19.9 minutes, 3.35 percent lower than FY 2014's level of 20.6 minutes. At the top 25 international gateway airports, where volume grew at an even greater rate – 6.1 percent increase over FY 2014 – than overall, CBP lowered average airport wait times by 3.67 percent, from 20.45 minutes to 19.7 minutes.

CBP conducted an analysis of the 16 international gateway airports which received a share of the 2,000 additional CBPOs funded through the *Consolidated Appropriations Act of 2014*. Of those 2,000 additional CBPOs, CBP allocated 865 to the 16 international gateway airports. Despite some hiring challenges, hiring at these airports has been productive, with most of them at or near their hiring targets (currently over 99%). At the 16 airports, comparing FY 2015 to FY 2014, total passenger volume is up 4.7 percent while average wait time is down 3.5 percent. This continues a multi-year trend at these airports in aggregate, and at most of these airports individually, of increasing passenger volume and decreasing passenger wait times.

Table 5

Impact of Transformation and Stakeholder Investment on Wait Times FY 2013 – FY 2015

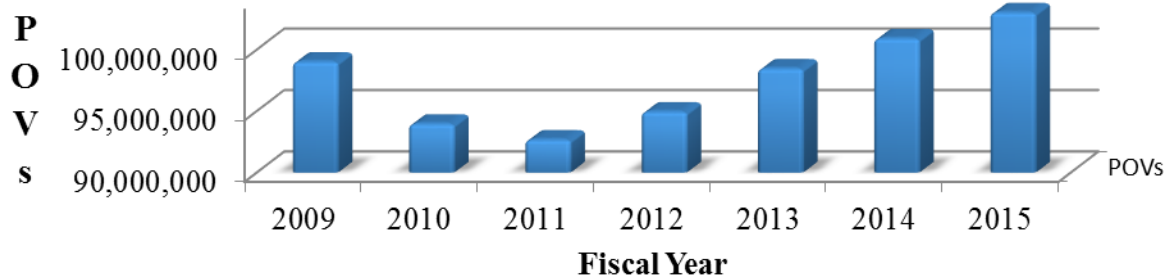


These wait time reductions are primarily attributable to CBP’s business transformations and stakeholder investment in GE kiosks, APC kiosks, and MPC smartphone apps. The fiscal year performance of each of these programs was reviewed in more detail in the BTIs section. Once all of the new CBPOs have been hired and have completed their CBP Field Operations Academy training, CBP will expect to see a noticeable increase in staffing at primary inspection booths, leading to further wait time reductions.

CBP also focused transformation and increased staffing at the land border POEs. The land border also experienced similar positive results. The passenger volume in the land environment increased steadily since FY 2011. Most land passengers arrive in privately-owned vehicles (POVs). The chart below shows the annual POV volume from FY 2009 through FY 2015.

Table 6

**POV Volume
Trend**



Despite this volume growth, as in the air environment, POV travelers have experienced shorter wait times when arriving in the United States. In FY 2015, the national average POV wait time was 10 percent shorter the previous year, at 15.6 minutes. Peak wait times have decreased by 30 percent to 91 minutes. CBP achieved these wait time reductions through increased RFID saturation and the corresponding use of Ready Lanes and an increase in TTP participation.

V. Conclusion

CBP is committed to ensuring the security of our Nation's borders, while continuing to facilitate legitimate travel and trade. The implementation of BTIs, as part of the multi-pronged ROS, is vital to increasing capacity, improving operations at POEs and contributing to economic growth. BTIs are also necessary to improve the international trade and travel experience for our stakeholders.

In summary, CBP's ROS and BTIs have significantly contributed to these efforts as evidenced by the decreases in wait times in both the air and land environments. With the increased use of Ready Lanes, for those with radio frequency identification documents, coupled with increased participation in TTPs, the national average vehicle wait time was 10 percent shorter in FY 2015 than the previous year. Additionally, at the Southwest land border, SENTRI trusted travelers experienced a 73 percent reduction in wait times, compared with non-participants. APCs led to the avoidance of over 5 million hours in traveler wait time and a decrease of over 40 percent in wait times at some locations. Independent analysis predicts moderate use of MPCs can reduce wait times by over 60 percent in Miami alone.

In addition to facilitated travel through decreased wait times, there is evidence that CBP BTIs have contributed to economic growth. The expansion of preclearance to Abu Dhabi produces in excess of \$22 million impact to the U.S. economy on an annual basis. Based on the results of our analysis, CBP predicts the continued expansion will result in 13,500 extra passengers, of which 8,100 are visitors and 5,400 are U.S. citizens and Lawful Permanent Residents. The APCs and GE programs avoided almost \$300 million in value of stakeholder wait times at U.S. airports. Finally, CBP is facilitating the entry and transport of goods into the economy by eliminating 57,000 annual hours of cargo delays through the RPM Optimization project and releasing cargo significantly faster by utilizing CBP Mobile technology to clear goods on-site, immediately after inspection.

It is important to continue to consider BTIs as a part of an overall strategy that also includes accurately identifying staffing needs and alternatives to funding those needs. Taken together, CBP is able to increase workforce capacity while enhancing operations. CBP looks forward to working with Congress and welcomes input from legislators, state and local partners, and private sector stakeholders on transformative initiatives to improve operations in their respective areas of interest.

VI. Appendix- List of Abbreviations/Acronyms

| Acronym | Definition |
|----------------|---|
| ALM | Active Lane Management |
| APC | Automated Passport Control |
| APEC | Agriculture Pest Exclusion Coordinator Specialist |
| BTI | Business Transformation Initiative |
| CBP | U.S. Customs and Border Protection |
| CBPAS | U.S. Customs and Border Protection Agriculture Specialist |
| CBPO | U.S. Customs and Border Protection Officer (GS-1895) |
| CRA | Cargo Release Authority |
| DHS | Department of Homeland Security |
| DOS | U.S. Department of State |
| ESTA | Electronic System for Travel Authorization |
| FY | Fiscal Year |
| GE | Global Entry |
| IAP | Immigration Advisory Program |
| LPR | License Plate Reader |
| MPC | Mobile Passport Control |
| NCTC | National Counter Terrorism Center |
| NTC | National Targeting Center |
| OFO | Office of Field Operations |
| POE | Port of Entry |
| POV | Privately-Owned Vehicles |
| RFID | Radio Frequency Identification |
| ROS | Resource Optimization Strategy |
| RPM | Radiation Portal Monitor |
| SENTRI | Secure Electronic Network for Travelers Rapid Inspection |
| S&T | Science and Technology Directorate |
| TTP | Trusted Traveler Program |
| VWP | Visa Waiver Program |
| USCIS | U.S. Citizenship and Immigration Services |