VISION AND STRATEGY 2020

U.S. CUSTOMS AND BORDER PROTECTION STRATEGIC PLAN

Delivering safety, security, and prosperity through collaboration, innovation, and integration

U.S. Customs and Border Protection

Ethos of the U.S. Customs and Border Protection Agency

We are the guardians of our Nation's borders.

We are America's frontline.

We safeguard the American homeland at and beyond our borders.

We protect the American people against terrorists and the instruments of terror.

We steadfastly enforce the laws of the United States while fostering our Nation's economic security through lawful international trade and travel.

We serve the American people with vigilance, integrity, and professionalism.

U.S. Customs and Border Protection

VISION AND STRATEGY 2020

U.S. CUSTOMS AND BORDER PROTECTION STRATEGIC PLAN

Vigilance ★ Service to Country ★ Integrity

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Commissioner's Intent

The U.S. Customs and Border Protection (CBP) *Vision and Strategy 2020* firmly establishes CBP's role as the national leader in safeguarding our borders and promoting economic prosperity. The strategy provides the foundation for a transformative course that will enhance CBP's foresight and agility to meet the increasingly global and complex challenges we face. While we continue to combat the threats of terrorism and transnational crime, safeguarding our economy by enabling lawful trade and travel remains an integral facet of our leadership role in national security. This balance between law enforcement and enhancing economic competitiveness requires a comprehensive understanding of all border threats and potential consequences; the establishment of a network of intelligence and law enforcement capabilities; and complete appreciation of our commercial partners' needs and operating protocols. CBP's innovative approaches to intelligence and targeting must anticipate and counter criminal networks that engage in diverse conspiracies that include terrorism, the importation of counterfeit or unsafe goods, drug smuggling, human smuggling and trafficking, as well as the outbound transfer of prohibited weapons and illicit bulk currency. CBP must continue its leadership role in integrating risk-informed, intelligence-based, agile and adoptable operations to advance public safety, national security, and economic prosperity.

The border is a nexus to a continuum of activities that threaten the national interests of both security and prosperity. In response, CBP will lead collaborative efforts that apply multi-directional pressure on those seeking to do us harm; outside the U.S. borders, at the border, and into interior regions of the country. CBP is fully committed to preventing strategic surprise and will continue to reinforce the principle of extending the "zone of security" in order to transcend the physical borders of the United States. CBP understands the global supply chain system is an interconnected network, and will continue to provide leadership in cultivating partnerships to exchange information and intelligence, build capacity, and increase worldwide security and compliance standards. One integral element of this mutually rewarding security and trade partnership between CBP and its international partners is the implementation of entry / exit strategies that promote greater transparency and enable enforcement and interdiction of both travelers and cargo leaving the United States.

In an ever-changing security and exchange environment, CBP has charted a course to ensure organizational efficiencies, optimized business processes, and prioritized capability development to meet operational priorities and overall mission effectiveness. CBP will continue to foster its shared identity and culture by attracting, hiring, developing and retaining top-quality, diverse, and performance-driven employees. CBP serves in a crucial leadership role for America's national security and trade interests and sets the standard for excellence through the unifying tenets of collaboration, innovation and integration.

R. Gil Kerlikowske
Commissioner

Core Values – Strengthening a Culture of Unity

I. HERITAGE

The creation of CBP in 2003 began a process that brought together previously disparate organizations, each with a rich history and unique culture, to form a unified Federal border authority. Over the past ten years, CBP's greatest strength has come from its diversity and breadth of experiences that our workforce brings to the Agency.

CBP's culture is a reflection of its collective history, which is captured within our stated values of **vigilance, service to country, and integrity**. These core values unify the individual histories and cultures across the Agency. They drive a shared purpose by uniting the beliefs and behaviors of all CBP employees. These core values continue to serve the Agency well, and CBP must continue to promote the health and strength of its culture to ensure unity and mission success across CBP.

II. THE IMPACT OF CULTURE WITHIN CBP

Culture is a key element of CBP's long-term success because it spans all levels of the organization and has a direct and dramatic impact on implementation of strategy and delivery of results. CBP's organizational culture is a system of shared meaning and beliefs held by all personnel that guides how they conduct themselves. A well-established culture and set of shared values shape how CBP personnel perceive and respond to their environment. CBP believes that cultivating a collaborative culture is the foundation for helping the Agency:

- Share a sense of purpose and direction;
- Continuously seek to understand the operating environment to better serve stakeholders;
- Engage personnel in a collaborative community based on trust, which provides a sense of shared ownership and teamwork; and
- Reinforce the values, systems, and processes that promote cooperation in executing the mission.

Adopting and promoting these traits, while shaping the organizational culture, is accomplished by:

a. Identifying existing cultural elements;
b. Defining a vision for change;
c. Implementing the vision by changing behaviors; and
d. Communicating and celebrating positive results.

III. STRENGTHENING OUR CULTURE

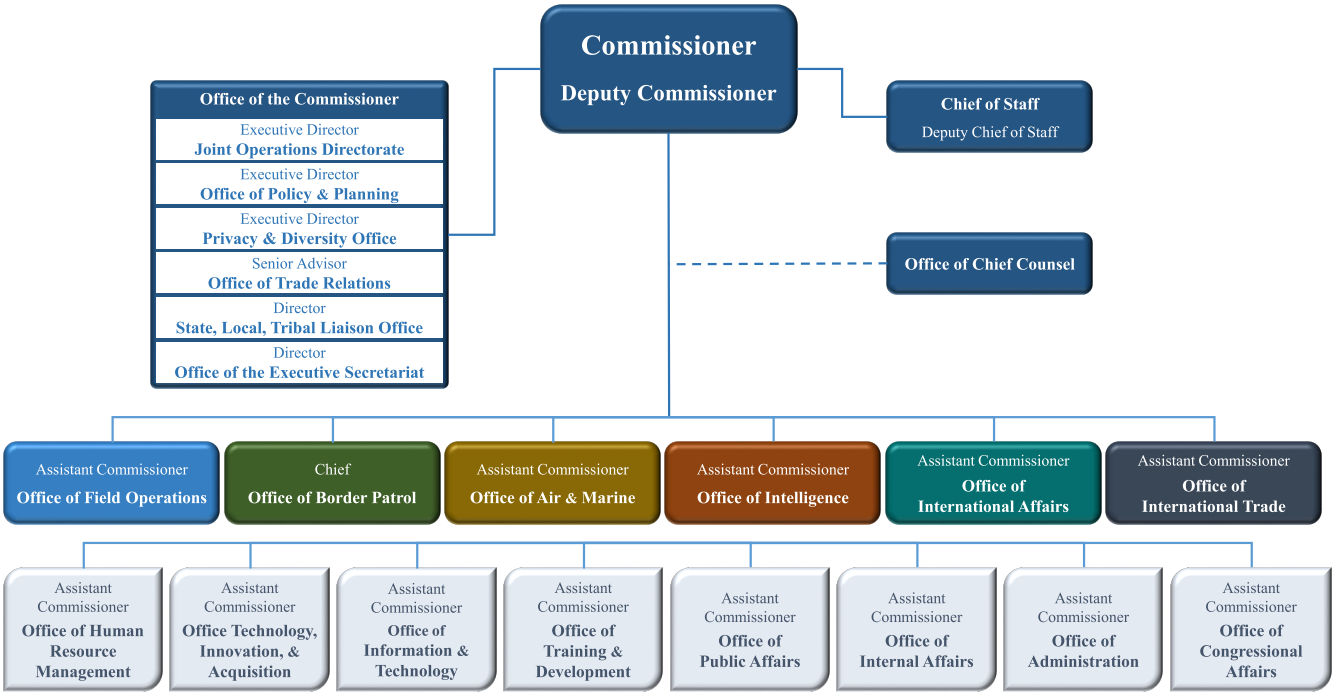
To adapt to increasing complexity in the operating environment and efficiently execute our diverse mission requirements, CBP will continue to develop a dynamic and collaborative culture. This collaborative culture must empower employees to foster innovation, agility, and efficiency. CBP's core values of vigilance, service to country, and integrity will continue to serve as the bedrock of CBP's culture to ensure unwavering commitment to the highest levels of professionalism in protecting our Nation. Promoting a collaborative culture requires that we go beyond these core values. We must begin by identifying our collective beliefs to ensure cohesion. CBP will evaluate and strengthen its collective culture over time and through periodic reassessment. This will enable greater agility in navigating the challenges we face protecting the American people, the national economy, and managing our borders.

Mission and Vision Statements

I. FOUNDATIONS

CBP's rich history of service to America dates back to July 4, 1789, when the First Congress established a system of tariffs on imported goods, which led to the creation of the U.S. Customs Service. Since that time, there have been many organizational and institutional changes that addressed the myriad demands of customs inspections, revenue collection, border security, and Federal law enforcement. In the aftermath of the terrorist attacks of September 11, 2001, there was a clear requirement and demand to unify law enforcement and homeland security efforts across the Federal Government. Following the legislation to establish the Department of Homeland Security (DHS) by the *Homeland Security Act of 2002*, CBP was established by merging the legacy organizations of U.S. Customs Service, major elements of the U.S. Immigration and Naturalization Service, including the Immigration Inspections Program, the U.S. Border Patrol, and the U.S. Department of Agriculture's Animal and Plant Health Inspection Service. Later, CBP added the Air and Marine Operations Division from U.S. Immigration and Customs Enforcement, and most recently, select elements of the former DHS, U.S. Visitor and Immigrant Status Indicator Technology (US-VISIT). The resulting unified Federal law enforcement agency now called CBP became the nation's first comprehensive border security agency focused on securing our country's borders while facilitating legal trade and travel.

CBP Organizational Chart



The establishment of CBP in 2003 did not diminish the diverse mission requirements of its predecessor agencies, but rather expanded the Agency's global influence and authorities to better protect the American people from dangerous people and goods, while promoting our economic competitiveness by enabling legitimate trade and travel. CBP plays a crucial role in supporting the President's *National Security Strategy* [1] and our interagency partners by safeguarding and managing our borders, maintaining domain awareness to prevent terrorist attacks, intercepting malicious actors and materials, and enforcing U.S. laws at our borders. CBP's complex mission set requires that CBP develop partnerships with the public and private sectors and the international community to enhance the Agency's agility, responsiveness, and unwavering commitment to our mutually supporting objectives of safety, security, and prosperity.

II. CBP MISSION STATEMENT

While the demands on CBP for mission execution are complex and diverse, the principal operational requirements can be summarized within three distinct and mutually supporting themes:

- Protect the American people;
- Protect the national economy; and
- Safeguard and manage the U.S. air, land, and maritime borders.

The men and women of CBP pursue this mission every day as they safeguard America at our borders and across the globe with vigilance, selfless service, and unyielding integrity.

> *To safeguard America's borders thereby protecting the public from dangerous people and materials while enhancing the Nation's global economic competitiveness by enabling legitimate trade and travel.*

III. CBP VISION STATEMENT

CBP aspires to be a global leader in promoting strong security and trade partnerships that foster a safe, secure, and prosperous America and global community. CBP will continue to leverage partnerships, technology, and an entrepreneurial spirit to continue maturing into a fully integrated Federal law enforcement agency that consistently and continuously improves mission effectiveness.

> *To serve as the premier law enforcement agency enhancing the Nation's safety, security, and prosperity through collaboration, innovation, and integration.*

[1] Published by the White House, May 2010

Through unyielding commitment to safeguard America's borders while enhancing global economic competitiveness, CBP will continue to mature and advance the following strategic themes:

- ***Collaboration*** – The complexity of CBP's mission requires the Agency to serve as a global leader in delivering border security and expanding strategic partnerships. Improved collaboration throughout CBP and with our stakeholders provides a shared sense of purpose, enhanced understanding of the operating environment, increased trust, and complementary engagement – all of which enable efficient and effective mission execution.

- ***Innovation*** – CBP must remain vigilant through innovative initiatives to continually advance and transform the Agency into a more agile and adaptable organization. Understanding that global challenges and opportunities in trade, security, and immigration are constantly evolving, CBP is committed to leveraging science, technology, and corporate innovation to ensure optimal capabilities development for peak performance.

- ***Integration*** – CBP must lead development of a seamless global network to integrate border enforcement capabilities and meet the demands of a constantly evolving landscape. A unified CBP promoting a shared identity and culture will inspire a fully-integrated, agile, and adaptable workforce serving with unyielding integrity. Integration enables CBP to better leverage global enforcement resources through national "whole-of-government" and international "unity of effort" approaches and practices.

CBP – The Premier Law Enforcement Agency

Strategic Goals and Associated Objectives

CBP's overarching strategic goals represent a continuum encompassing comprehensive national security considerations and the maturation of Agency business and management processes. The detailed objectives outlined within each strategic goal describe the desired outcomes and effects that will assure the achievement of the Agency's aspirational vision to lead national efforts to deliver safety, security, and prosperity to the American people.

GOAL 1 – COUNTER TERRORISM AND TRANSNATIONAL CRIME

Support the President's *National Security Strategy* and counter-terrorism efforts, promote the national elements of power *(to include: diplomatic, information, economic, financial, intelligence, and law enforcement)*, contribute to and lead a whole-of-government approach to national security, and promote the safety of the American people.

GOAL 2 – ADVANCE COMPREHENSIVE BORDER SECURITY AND MANAGEMENT

Safeguard and manage our air, land, and maritime borders through the active administration of U.S. laws, to include cross-border criminal activity, screening and scanning at ports, and comprehensive trade enforcement.

GOAL 3 – ENHANCE U.S. ECONOMIC COMPETITIVENESS BY ENABLING LAWFUL TRADE AND TRAVEL

Advance U.S. economic competitiveness and promoting economic prosperity with our public, private, and international partners.

GOAL 4 – PROMOTE ORGANIZATIONAL INTEGRATION, INNOVATION, AND AGILITY

Mature and develop CBP's culture, capabilities, and business processes to remain agile and adaptable in supporting operational requirements to ensure efficiency and effectiveness.

Goal 1 – Counter Terrorism and Transnational Crime

As the United States continues to move into the 21st century, we face a diverse array of traditional and asymmetric threats to the security of our Nation. Seemingly isolated events can have serious consequences thousands of miles away. Our interconnected and interdependent communities, economies, and infrastructures are critical to U.S. interests, and present unconventional security challenges that exhibit themselves in an increasingly borderless environment. Global tensions are incited by extremist and terrorist ideologies, growing economic inequality and instability, the proliferation of weapons of mass destruction, hazards to public health, as well as transnational criminal networks that threaten global security by illegally transporting people and goods across international borders. More than ever, our adversaries are sustained by interconnected networks intent on destroying, corrupting, or exploiting American interests.

Homeland Security is one facet of national security, and CBP's role directly supports the President's *National Security Strategy* and other complementary homeland security strategies. In this role, CBP must be the Nation's leader in developing a well-informed, agile, and seamless global network to inform and inspire integration, cooperation, and comprehensive actions. This network must be able to persistently evolve its capabilities to serve common interests in combating terrorism and extremism; stopping the spread of weapons of mass destruction; achieving sustainable economic growth; defining, prioritizing, and disrupting transnational criminal organizations (TCOs); and preventing the spread of agricultural pests and diseases.

The security of our homeland and our economic prosperity depends upon CBP's ability to adapt to the extraordinary pace of change and to sustain our leadership role in strengthening global law enforcement capabilities that can anticipate, detect, and disrupt global threats. CBP seeks to ensure that our physical border is the last line of defense, not the first. The border is a nexus to a continuum of activities designed to place multi-directional pressure on those seeking to do us harm; effectively safeguarding the border requires detailed attention to processes that begin far outside the U.S. borders, occur at the border, and continue to all interior regions of the country. CBP extends the zone of security to transcend our physical borders by implementing an outcome-oriented approach that uses actionable information developed through integrated partnerships to enable rapid and effective response to threats around the world. CBP recognizes that no one nation, agency, or locality can meet global challenges alone. To enhance integrated approaches to current and evolving threats, CBP will collaborate with our partners to develop a comprehensive understanding of the threat environment and expand the use of risk informed strategies. The intent is to maximize the use of information and intelligence to analyze risk, prioritize threats, and anticipate emerging trends. To serve our common interests, CBP will continue to collaboratively strengthen risk-informed, intelligence-driven law enforcement efforts that enhance operational integration with domestic and international partners.

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OBJECTIVE A – UNDERSTAND THE THREAT ENVIRONMENT

To maintain a continuous understanding of the dynamic and asymmetric global threat environment, CBP must enhance its ability to collect, analyze, and appropriately share intelligence and information. This includes providing timely warnings of potential threats and proactive enforcement opportunities. No single agency has a complete picture of the entire threat environment. Thus, CBP must lead and aggressively champion strategic partnerships to enhance intelligence and information sharing with our Federal, state, local, tribal, territorial, and international stakeholders. In this regard, the CBP Law Enforcement Intelligence Enterprise serves as a powerful border security partnership connecting the law enforcement and intelligence communities. The Law Enforcement Intelligence Enterprise delivers four essential outcomes:

1. Implementation of an enhanced intelligence and targeting strategy that actually predicts threats;
2. Detection of threats beyond our borders;
3. Integration and coordination of intelligence and law enforcement capabilities; and
4. Establishment of stronger border-centric partnerships that serve as a cohesive and well-informed network able to respond to the criminal networks.

In achieving these outcomes, the Law Enforcement Intelligence Enterprise will leverage CBP's integrated capabilities in conjunction with the intelligence support and expertise provided by our Federal, state, local, tribal, territorial, international, and private sector partners.

Strengthening CBP's interagency partnerships supports a whole-of-government approach and ensures that CBP receives the critical data, information, and intelligence necessary to develop a dynamic and comprehensive understanding of the threat environment. This understanding is necessary to develop integrated threat assessments that provide the foundation for strategy development and ensure CBP operations are intelligence-driven. CBP must also expand its ability to share intelligence and other relevant information with its Law Enforcement Intelligence Enterprise partners. Intelligence sharing will support partners' ability to execute their role in protecting our homeland and to lead efforts in developing a comprehensive understanding of threats across the Federal enterprise. This is accomplished, in part, through the cooperative development and sustainment of common intelligence pictures (CIPs). CIPs are dynamic in nature and provide a common understanding of terrorist and criminal threats including their tactics, techniques, and procedures; their capabilities and vulnerabilities; and indicators regarding their potential courses of action. CIPs established through the collective efforts of integrated law enforcement and intelligence partnerships can be of significant utility in understanding the modus operandi of criminal elements within a specific area. These CIPs also provide a systematic process for collecting, analyzing, and disseminating intelligence. By using CIPs and broadening the dissemination of intelligence, CBP can ensure that decision authorities and policy-makers are fully informed and better able to develop risk-informed strategies and operational plans.

OBJECTIVE B – ENHANCE PROCEDURES AND PARTNERSHIPS THAT WILL FACILITATE INTERAGENCY AND INTERNATIONAL BORDER ENFORCEMENT COORDINATION

Since there is no single nation or agency with the authority or resources to unilaterally eradicate cross-border violations, CBP must lead and aggressively champion strategic partnerships that facilitate integrated, risk-informed, intelligence-driven law enforcement operations. Developing and enhancing a national whole-of-government approach and international "unity of effort" will prove critical to effective border enforcement initiatives as they will provide greater synergy, reduce unintended redundancies, improve communications, and serve as a force multiplier. Ultimately, partnerships and coordination efforts will produce a seamless and layered network of capabilities that "widens the border security capabilities" and supports our "defense in depth" approach to improve our comprehensive understanding of the threat environment and strengthen enforcement.

Integrating intelligence, surveillance, and reconnaissance capabilities into the planning and execution of law enforcement operations is enabled by sound standards, procedures, and processes that require interagency and international coordination. The CBP intelligence cycle

provides a standardized methodical series of steps, companion processes, and interagency actions to acquire information, convert it into intelligence, and prioritize the intelligence for decision makers, border enforcement operators, and our interagency partners. The cycle and its five processes support CBP's enforcement activities at and beyond our borders within strategic, operational, and tactical levels. Although there are no firm boundaries delineating where each step begins or ends as they are mutually supporting and integrated efforts, the five steps of the cycle are:

1. Coordinated Planning and Direction: determining what information should be collected.
2. Cooperative Collection: tasking the appropriate interagency collection assets to acquire the information.
3. Processing and Exploitation: translating data into meaningful information.
4. Analysis and Production: integrating, evaluating, analyzing and interpreting information into finished intelligence products that meet the requirements of planners and enforcement personnel.
5. Dissemination: sharing intelligence with appropriate Law Enforcement Intelligence Enterprise partners in a timely manner.

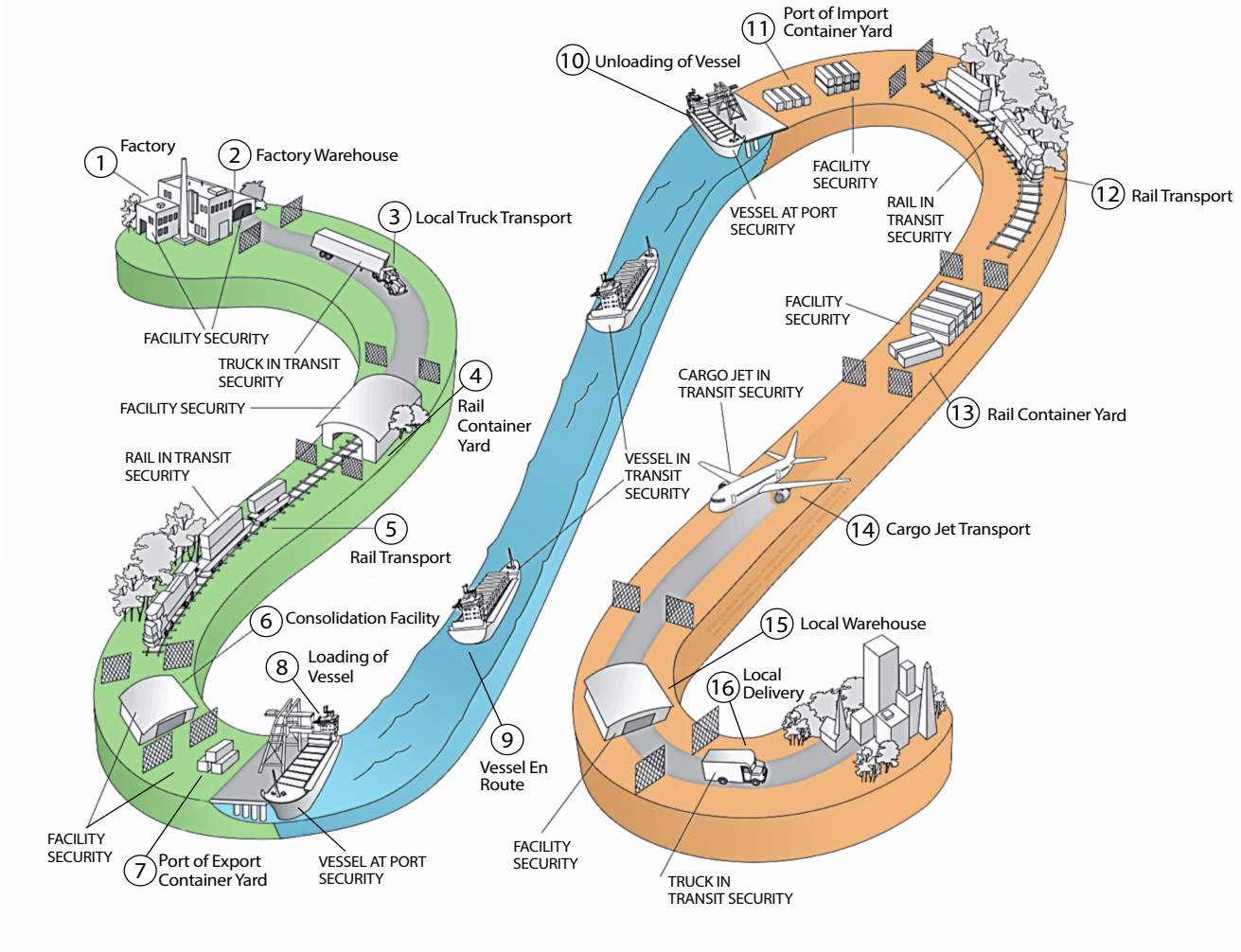
Furthermore, the intelligence cycle enables an integrated synergy within the CBP Law Enforcement Intelligence Enterprise and provides the following mutual benefits:

- Provides a standardized approach to intelligence planning and direction;
- Facilitates a formal collection management process that focuses on specifically defined and carefully prioritized interagency intelligence requirements;
- Serves as a repeatable and efficient process for filtering and synthesizing into actionable intelligence the extensive data and information captured not only by CBP but also by its interagency and international partners; and
- Establishes a comprehensive and effective dissemination structure so that intelligence products are distributed in a timely manner and feedback is incorporated into new priority intelligence requirements, upcoming collection initiatives, and future analytical products.

Enforcement through coordinated and joint operations relies upon integrating the information and intelligence generated by CBP's intelligence cycle and information sharing partnerships. CIPs can be used to develop and sustain common operational pictures (COPs) which provide a coordinated understanding of relevant operational information between CBP and our partners, particularly those within the Law Enforcement Intelligence Enterprise. Integrating operations through the development and use of COPs ensures that our partners in the Law Enforcement Intelligence Enterprise have access to the same information about operational conditions and that CBP has the relevant information about other agencies' activities, border enforcement initiatives, and available resources. The constant collaboration required for effective COP development and maintenance enables dynamic partnerships, fosters

collaborative planning, and results in integrated operational capabilities that are essential to national whole-of-government and, commensurate with sound operational security practices, international “unity of effort” approaches to safeguard the homeland.

In order to fulfill its full range of responsibilities, CBP builds international partnerships to coordinate resources and enhance its ability to detect and interdict threats at the earliest possible point, ideally before they reach our shores or disrupt the critical networks on which we depend. CBP will continue its commitment to support whole-of-government initiatives including dedicating its unique resources to coordinated operations and integrating CBP personnel into national and local level counter narcotics and criminal task forces. In addition, CBP assigns qualified personnel overseas who serve in operational and advisory capacities to identify and interdict threats well before they reach our borders. Integrating operations and assisting our international partners in developing their own capacity is essential to create a strong and resilient network of enforcement capabilities to promote “unity of effort” in detecting, interdicting, deterring, and disrupting terrorist and transnational criminal networks and associated cross-border criminal activity.



OBJECTIVE C – STRENGTHEN GLOBAL SUPPLY CHAIN SECURITY

The global supply chain is critical to our way of life because it provides food, medicine, energy, and other products from around the world. It relies upon a complex network of transportation, information technology, cyber networks, and energy systems that promotes economic prosperity but also presents unique risks. The interconnected nature of the global supply chain means any disruption – whether natural, accidental, or malicious – can have significant ramifications thousands of miles away. Thus, CBP remains vigilant in promoting the efficient flow of legitimate commerce while protecting the global supply chain from exploitation and reducing its vulnerability to disruption. Securing the supply chain protects the lives of people around the world and maintains the stability of the global economy.

CBP layers its security efforts throughout various components of the supply chain to identify high-risk cargo and conveyances as early as possible and simultaneously facilitate the swift movement of legitimate trade across our borders. When expanding security beyond our borders, CBP seeks to strengthen international partnerships to enhance supply chain security and resilience, optimize advance information to identify threats earlier, deploy personnel overseas to stop high-risk cargo before it reaches U.S. borders, and conduct more targeted examinations at our borders. Applying this layered approach provides greater flexibility to protect against a diverse range of traditional and asymmetric threats including counterfeit and unsafe goods, agricultural pests and diseases, as well as fraudulent and criminal trade

schemes. It also enables legitimate imports and exports to move faster across U.S. borders leading to a safer, faster, more resilient, and more economically competitive international trade process. Furthermore, CBP's approach is aligned with the President's *National Strategy for Global Supply Chain Security* [2] that calls for the protection of a global supply chain system that supports innovation and prosperity by securely and reliably moving goods across our borders and around the world in a timely manner.

No single business, customs service, or other law enforcement agency has a complete picture of every facet of the supply chain. By coordinating with our international partners, CBP develops and maintains a more accurate and shared picture of the threats and trends across the global supply chain. Additionally, leveraging trusted partnerships with the trade community enhances the quantity and quality of information available to effectively advance a comprehensive understanding of the complexity and potential risks in the global supply chain. CBP continually gathers information about the global supply chain to enhance its capacity to mitigate systemic vulnerabilities through risk management principles that prevent disruption and exploitation of the supply chain.

CBP is a leader in cultivating a global network of trusted partners to ensure that the efficient flow of legitimate goods around the world is not disrupted or exploited by networks of criminals, terrorists, and other bad actors. In collaboration with our international partners, CBP deploys personnel overseas in operational and advisory roles to screen cargo before it departs for the United States and to support our foreign partners in further developing their own capabilities to secure the global supply chain. CBP also works closely with our international and private sector partners to expand the advance shipping information available for commercial and national security targeting. This enables CBP to better identify high-risk shipments for coordinated enforcement of trade laws at international borders. CBP seeks to strengthen integrated efforts with other Federal authorities to leverage the critical roles that they play in enabling the movement of trade across our borders. Working towards a uniform approach and response to threats to the supply chain supports a culture of mutual interest and shared responsibility that will result in smarter and more cost effective approaches to addressing all aspects of supply chain security.

CBP remains committed to developing and promoting global standards through working with international organizations such as the World Customs Organization that provide flexible and dynamic capabilities for a secure, efficient, and resilient global supply chain. Enhancing the ability to recover from a disruption or exploitation of the supply chain will improve the international community's ability to absorb shock, save lives, and reduce the time, cost, and overall impact of an event. Establishing common processes and procedures as well as increasing mutual recognition and harmonization between countries will enable global supply chain participants to move their legitimate cargo faster and at reduced costs, which will enhance enforcement by focusing limited enforcement resources on the cargo representing the highest risk.

[2] Published by the White House, January 23, 2012

Goal 2 – Advance Comprehensive Border Security and Management

Effective border management requires layers of security that must consider points of origin, modes of transit to the United States, arrival at our borders, as well as routes of egress away from the physical border to a final destination. In support of this layered approach to security, CBP deploys air, land and marine assets to patrol and safeguard U.S. border areas, as well as sophisticated systems to effectively detect and interdict potential threats beyond our borders. In safeguarding America's borders, CBP is responsible for preventing the illegal movement of people and contraband crossing U.S. airspace; approximately 7,000 miles of land border; and in partnership with the U.S. Coast Guard, approximately 95,000 miles of shoreline. While enabling the flow of lawful trade and travel, CBP must continue to ensure proper revenue collection and prevent the illegal movement of people and contraband through 328 air, land, and maritime ports of entry. The diverse array of criminal and illegal activities that CBP must anticipate and respond to includes terrorism, transnational crime, counterfeit and unsafe goods, agricultural pests and diseases, narcotics smuggling, human trafficking, the unlawful transport of immigrants, and the outbound transfer of prohibited weapons and illicit bulk currency.

As the preeminent law enforcement agency responsible for safeguarding and managing America's borders, CBP develops and sustains situational awareness of the threats and associated risks to proactively identify and eliminate cross-border criminal and illegal activity. Enforcing America's immigration and trade laws in the border environment protects American business interests and promotes national security aims by detecting and interdicting the illegal movement of people and cargo across our borders. Since the volume of people and cargo crossing our borders continues to grow, and enforcement resources are finite, CBP will employ an outcome-focused approach in developing integrated, risk-informed strategies to target enforcement and operational capabilities to meet the highest priority threats in the border environment. CBP's partnerships with Federal, state, local, tribal, territorial, and international law enforcement agencies strengthens its ability to safeguard and manage the border by creating a network of resources and capabilities. As a result, CBP leverages all possible capabilities to identify and target threats as early as possible to effectively detect, interdict, and disrupt illegal cross-border activities to protect our homeland and promote economic prosperity.

OBJECTIVE A – INCREASE SITUATIONAL AWARENESS OF THE AIR, LAND, AND MARITIME BORDERS

To fully implement risk-informed, intelligence-driven operations that focus our capabilities against the highest threats, CBP must maintain and constantly enhance situational awareness. Situational awareness is derived from CBP's comprehensive understanding of the threat environment and provides an in-depth picture of the current operating conditions

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within a specific region of the border environment and the near term projections for those conditions in that region. It forms the cornerstone for safeguarding the Nation's air, land and maritime borders because it ensures that CBP operational elements and their leadership are keenly aware of the threats, challenges, opportunities, and capabilities within a given border region.

Building the Foundation of Situational Awareness

Situational awareness begins with the information collected by CBP's intelligence, surveillance and reconnaissance capabilities combined with a thorough analysis of other cross-border trends, especially those concerning illicit trafficking and unlawful crossings along the U.S. borders, in the approaches to the United States. Building upon that information and intelligence CBP will leverage a wide range of tactics, techniques, technologies, and methodologies to improve data collection, formulate actionable intelligence, and enhance situational awareness. This will enable CBP to prevent and disrupt threats in the border environment.

The border environment in which CBP operates is challenged by continuously evolving tactics of terrorists, criminals and other adversaries. To promote and advance situational awareness CBP must lead efforts to collaborate with our domestic law enforcement, intelligence, and local community partners. Additionally, ensuring coordination with our foreign law enforcement partners, especially our North and Central American and Caribbean Basin neighbors, can significantly increase CBP's situational awareness. Furthermore, assisting our international partners in expanding their resources and capacities through coordinated training and exercises will strengthen the network of capabilities for providing effective situational awareness. As CBP enhances its ability to effectively develop situational awareness, it will become better able to predict actions, movements, and intent of TCOs, terrorists and other potential threats.

Sustaining Situational Awareness

A mature capability to maintain situational awareness will enable CBP to identify changes in the border environment and respond rapidly, as appropriate to areas of greatest risk. Detecting changes in threat levels and criminal flows across the border environment requires the use of varied and supporting tactics to gather information and intelligence in both low and high threat areas. These tactics include periodic reconnaissance patrols, sign-cutting and tracking, unmanned aircraft system (UAS) flights, and routine interaction with security partners within local communities. Educating the public about border activities and issues enables CBP to engage the whole border community in increasing situational awareness. As a result, CBP will sustain situational awareness by monitoring both high and low threat regions along the border, and will focus capabilities in areas of high-risk while remaining adaptable and nimble to shifting threats.

The use of technology in the border environment is an invaluable force multiplier to increase situational awareness. The information gleaned from biometrics, mobile surveillance systems, radiation detectors, ground sensors, imaging systems, and other advanced technologies enhances situational awareness and better enables CBP to detect, identify, monitor, and appropriately respond to threats in the Nation's border regions. CBP will continually evaluate its situational awareness posture and adjust its capabilities as required. Effectively generating and sustaining up-to-date situational awareness enables CBP to plan effectively, enhance its agility, and execute law enforcement operations to secure our homeland.

OBJECTIVE B – DETECT, INTERDICT, AND DISRUPT ILLEGAL CROSS-BORDER ACTIVITIES

The illegal cross-border activities conducted and sponsored by TCOs and other actors pose a growing threat to border security and public safety. TCOs control most cross-border trafficking of guns and illegal drugs, and there is evidence of their increased involvement with human smuggling. Detecting and interdicting terrorists and weapons of mass destruction will always be a focused priority due to the potentially devastating consequences of a successful act of terrorism. CBP will remain vigilant in its efforts to anticipate and respond to these increasing threats to our national security and ensure the safety of the U.S. public. These efforts will employ risk-informed approaches that incorporate intelligence, shared information, and situational awareness protocols to enable rapid response, strengthen integrated operations, and discourage future illegal activities.

Integrated Operational Planning and Execution

A crucial element to detecting, interdicting, and disrupting illegal cross-border activities is leveraging partnerships with our Federal, state, local, tribal, and international partners to develop a seamless network of integrated law enforcement capabilities spanning the border environment. Creating unified efforts, such as corridor campaigns that involve joint interagency planning, operational design, and execution, will facilitate contiguous border-security operations. Engaging our partners to conduct risk-informed, targeted enforcement operations will maximize the use of all available resources and magnify CBP's capabilities leading to more effective border management, while decreasing occurrences of crime and violence within the border environment.

When criminal activity approaches our border, CBP and its law enforcement partners will address cross-border threats in an integrated and efficient manner. CBP works closely with other Federal agencies to support the President's *National Strategy to Combat Transnational Organized Crime* [3]. In this role, CBP supports whole-of-government approaches to investigate transnational crime, terrorist activity, and illegal immigration. CBP supports investigative efforts by collaborating with Immigration and Customs Enforcement (ICE) and participating in interagency Border Enforcement Security Task Forces and Integrated Border Enforcement Teams.

[3] Published by the White House, July 25, 2011

Mobility in the Border Environment

Given the dynamic nature of cross-border threats, CBP must continue to expand mobile and rapid interdiction capabilities to further enable a quick and appropriate response to changing threats. This expanded mobility allows for nimble and flexible deployment to target the highest risk regions in the border environment. It also enables CBP to deploy scalable responses to low and medium risk areas to prevent their degradation into a high risk region.

OBJECTIVE C – STRENGTHEN COMPREHENSIVE TRADE ENFORCEMENT

CBP is a truly unique agency within the Federal law enforcement community because of its dual role as both an enabler and a regulator of international trade. Securing and interdicting unlawful cargo and enabling the swift movement of legitimate trade are mutually dependent activities and CBP's focus and strategic approaches to enable lawful trade shape and support its enforcement efforts. Enforcing U.S. trade laws and international trade agreements at the border protects the economy, our national security and the safety of the American people by protecting against counterfeit and unsafe goods, disease and plant pests, and financial schemes that defraud the U.S. government of lawfully owed revenue and undermine lawful business. Building upon the outcomes from CBP's efforts to enable legitimate trade, CBP's trade enforcement efforts seek to better identify, detect, and interdict high-risk shipments through collaborative partnerships with the private sector, advanced technology, and integrated enforcement capabilities.

Enforcement with Trade Intelligence

Trade intelligence leverages industry knowledge and expertise to enhance the effectiveness of CBP enforcement actions. Representatives from the private sector work with CBP to identify issues of mutual interest and to provide CBP with targeting, enforcement, and intelligence information. CBP can apply this intelligence more uniformly across the Agency through reorganized processes that align to industry sectors. This enables CBP to better identify and focus enforcement resources on high-risk shipments regardless of the port in which the shipment attempts to enter or exit the United States. This information and intelligence allows CBP to better utilize targeting capabilities, detect bad actors earlier in the supply chain, respond to risks on a real-time basis and anticipate new threats before they fully emerge.

Innovative Approaches to Identify High-risk Shipments

In the constantly growing and changing world of international trade, CBP must drive innovative solutions to address the total volume of trade crossing our borders and identify the small segment of trade that can harm the American people or economy. Risk-segmentation, which helps expedite low-risk trade, also enables CBP to strengthen comprehensive trade enforcement by focusing enforcement resources on the shipments with the highest risk of containing unsafe or dangerous merchandise and detecting fraudulent trade practices that undermine the competitiveness of compliant American industries. Automating CBP's risk segmentation and trade processing capabilities enhances CBP's ability to detect and interdict high-risk cargo faster and earlier in the transit process. Supplemented by trade intelligence from the private sector, CBP's automated systems that target high-risk shipments will be able to automatically adjust to changes in trade patterns and trends. Furthermore, the advanced analytical capabilities that CBP uses to identify high-risk cargo can also be used to better identify emerging or consistent risks and identify new threats before they fully emerge.

Leveraging private sector innovations can significantly improve CBP's ability to detect and interdict high-risk cargo. Many of the tools and techniques the private sector uses to manage their supply chain can help identify risk indicators that CBP can use to enhance trade enforcement. In addition, maintaining a constant awareness of the practices and methods of compliant businesses can help identify non-compliant importers and exporters who do not adhere to those practices.

Integrated Enforcement Operations

Although CBP is the primary Federal agency for enforcing U.S. trade laws at the border, many of our Federal, state, local, tribal, and territorial partners also play a role in protecting our Nation from dangerous and unsafe products, pests and disease, unfair trade practices, and from criminals using strategic and dual-use commodities. CBP works closely with other DHS components, especially U.S. Immigration and Customs Enforcement Homeland Security Investigations, to investigate and prosecute illegal trade activities. Sharing information with our enforcement partners is critical to effectively and accurately identify high-risk cargo. By integrating capabilities across the law enforcement and interagency communities, CBP can lead the development of a seamless enforcement network capable of addressing the challenges and complexity of the modern international trade environment.

In addition to building a network of domestic enforcement agencies, CBP is also a leader in developing an international network of customs authorities and law enforcement agencies capable of defeating the global networks of criminals involved in unlawful international trade practices. Sharing information forms the bedrock of all of CBP's international partnerships, but CBP is also actively engaged in forming more collaborative relationships by integrating enforcement capabilities through forward deployment of CBP personnel to pre-screen and target cargo in international ports before it departs for the United States.

OBJECTIVE D – STRENGTHEN PROCESSES TO CONDUCT OUT-BOUND ENFORCEMENT AND INTERDICTION OF TRAVELERS AND CARGO

CBP must enhance its ability to detect potential threats and facilitate the legitimate flow of people and cargo departing the United States. Identifying lawful visitors and immigration violations prior to departure will result in enhanced enforcement of U.S. immigration laws, while identifying potential terrorists and other criminals for detention. Effectively managing the flow of out-bound trade will result in inhibiting the export of illicit currency, weapons, and other illegal products, while disrupting the global trade in dual-use commodities.

To ensure the establishment of a comprehensive, multi-layered approach, CBP must strengthen its partnerships to develop and share common outbound data and intelligence, support "unity of effort" across a global network of enforcement agencies, deploy innovative and cost-effective solutions, and support a whole-of-government approach.

Enhancing partnerships with border security agencies around the world helps create a global network of enforcement agencies working together to track global trade and travel to better detect and stop illegal activity. In particular, this is aided by partnerships that increase the quality and quantity of information available to improve outbound enforcement and strengthen collaboration, which can also speed the movement of travelers and cargo across international borders, reduce costs to the United States and the public, and enhance facilitation. For example, in response to infrastructure limitations, CBP works with its North American neighbors creating information sharing programs to enhance outbound enforcement by allowing the exit information from one country to serve as the entry data for the other country. This provides a low cost method to validate the people and cargo entering and exiting the United States and it alleviates the need for costly new infrastructure or processes that could interfere with the flow of travel or trade across our land borders.

In addition to information exchange and analysis, CBP is also deploying innovative and cost-effective solutions to improve end-to-end systems processes that will enhance validation of outbound cargo and passengers and better identify illegal or illicit activities, including travelers who overstay their lawful admission into the United States. CBP works closely with the DHS Science and Technology Directorate to implement integrated biometric capture capabilities to confirm the departure of non-U.S. citizens at airports and seaports and to more efficiently screen travelers entering the United States. CBP is also modernizing the information technology systems that support export processing by bringing exports into the Single Window. Modernized processing of exports via the Single Window will enhance targeting of high-risk outbound cargo and increase collaboration with our Federal partners.

CBP integrates its outbound enforcement capabilities through programs designed to coordinate verification of outbound travelers and cargo with the U.S. law enforcement and intelligence communities. This significantly strengthens the U.S. immigration system and deters individuals seeking to live and work illegally in the United States by linking inquiries about employment status with CBP and other Federal databases. Integrating outbound enforcement capabilities across the Federal enterprise supports a whole-of-government approach to strengthen outbound enforcement through appropriate responses that generate stronger penalties, consequences, and improved deterrence. For example, an enhanced traveler entry / exit program will allow CBP to better identify and target overstays and share more accurate and timely information with other DHS components, the Department of State, the intelligence community and the Department of Defense to support immigration enforcement through visa revocation, adjudication of immigration benefits, and placing suspect individuals on look-out lists.

OBJECTIVE E – ADVANCE A COMPREHENSIVE, PREDICTIVE TARGETING STRATEGY TO IDENTIFY THREATS AS EARLY AS POSSIBLE

CBP continues to build a more seamless and integrated Targeting Enterprise capable of accurately and efficiently identifying possible high-risk passengers and cargo, separating that small minority from legitimate travelers and commerce, and enabling international passengers and cargo to move more quickly through the inspection process. To optimize our targeting capabilities, CBP's Targeting Enterprise employs a layered approach that allows for collecting, analyzing, operationalizing, and disseminating information to CBP personnel and law enforcement partners with a border nexus:

- Partnerships;
- Advanced Information;
- Technology – Screening and Analyzing Information;
- Forward Deployments; and
- Examination of High Risk Travelers, Shipments, and Conveyances at the Earliest Point Possible.

This layered approach relies upon collaboration with our domestic, international, and private sector partners. These partnerships serve as force multipliers by increasing the quantity and quality of advanced information and intelligence to enable CBP to generate timely and actionable intelligence. CBP uses this information and intelligence to conduct joint or collaborative targeting programs with our foreign partners to identify high-risk passengers and cargo in real time as they move through the transit process. CBP is building trusted partnerships with the trade and travel communities to expand the Agency's knowledge and expertise across industries. By working with trusted partners to align systems, processes, and procedures CBP can ensure that the necessary information we gather, as well as what we do with it, are as efficient as possible while simultaneously impacting our partners operations as minimally as possible. This enables CBP to better assess potential trends and indicators that pose a threat to national security and to the economy, including the transit of terrorists and criminals, the trade in counterfeit and unsafe products, and the fraudulent trade schemes.

While CBP strives to build both domestic and international partnerships to obtain advance information, CBP also pursues innovative solutions, techniques, and methodologies to enhance the Targeting Enterprise to better confront a persistently shifting threat environment. First, CBP continues to update its automated systems with more advanced risk models and algorithms, predictive forms of automation, and adaptive technology that reduces the need for human analysis and speeds identification of new and emerging threats. Second, CBP applies advanced data analytics to combine shipment data, biographical and biometric data, past importation and travel patterns, and enforcement action information to stay ahead of emerging threats. Third, integrating advanced security information with the information used for regulatory risk assessment will result in improved detection rates of dangerous, unsafe, and fraudulently entered merchandise. CBP will benefit by obtaining more comprehensive awareness of all the threats and actors involved – or potentially involved – in fraudulent financial schemes and unfair trade practices that affect duty collection and undermine the competitiveness of businesses. Further, by integrating operations through the development and use of COPs, CBP will be better positioned to share pertinent information in real-time across the Law Enforcement Intelligence Enterprise and make more effective and efficient enforcement decisions at the border. In short, pursuing innovative solutions, techniques, technologies, and methodologies will better enable CBP's automated systems and Targeting Enterprise to anticipate new threats before they fully emerge, which will allow CBP to mitigate their impact.

Integrating CBP's targeting capabilities across the Agency and with the law enforcement and intelligence communities will streamline intelligence gathering and reduce redundancies without creating gaps. This will enable the efficient decision making on risk segmentation, while at the same time providing the highest level of confidence in accurately identifying high-risk passengers and cargo.

Lastly, CBP promotes collaboration and integration of capabilities with our international partners by deploying personnel overseas to screen, inspect, and prevent high-risk passengers or cargo from leaving the country of origin. CBP also provides advice and assistance in helping our partners better develop their own targeting capacity.

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Goal 3 – Enhance U.S. Economic Competitiveness by Enabling Lawful Trade and Travel

Efficiently and effectively processing goods and people across our borders is crucial to support our Nation's economy, promote job growth, and help the private sector remain competitive in an evolving global economy. In 2014, CBP processed more than $2.4 trillion in trade and almost 375 million passengers, while collecting nearly $44 billion in revenue. Anticipated growth in the volume of trade and travel is accompanied by growing complexity in the global supply chain and international travel patterns. CBP recognizes that it has a direct responsibility for enhancing America's economic competitiveness. This requires reducing barriers to the efficient flow of trade and travel, streamlining and unifying processes and procedures, and managing the volume of cargo and passengers by separating goods and travelers according to the risks they pose.

OBJECTIVE A – REDUCE COSTS FOR THE U.S. GOVERNMENT AND THE TRADE AND TRAVEL COMMUNITIES BY STREAMLINING PROCESSES IN COLLABORATION WITH PUBLIC AND PRIVATE SECTOR PARTNERS

Eliminating barriers to the flow of lawful cargo and passengers will help create a modern, efficient, and cost effective international trade and travel system. By creating a common sense approach that complements the international environment, CBP will provide businesses and individuals with greater predictability and transparency to advance American economic competitiveness. This will require transformative thinking in collaboration with the private sector to leverage innovative technology and processes. CBP must strengthen its focus on integrating processing capabilities for trade and travel across the Federal enterprise to reduce administrative burdens. Additionally, leading a unified whole-of-government approach to move lawful cargo and passengers more quickly across our borders will support a dynamic and resilient economy.

Leverage Cutting Edge Technology

A cornerstone of streamlining processes for cargo is the development of a "Single Window" that will enable importers to electronically submit all their shipment information at once through CBP's Automated Commercial Environment (ACE). The Single Window will automate much of the present day manual processing of trade and eliminate the reliance on paper forms for the submission of trade data. It will also enable CBP to collect all necessary trade data before the shipment arrives at the border and efficiently disseminate that information to the relevant Federal agencies that have a role in regulating imported and exported goods. Automating the collection and dissemination of information enhances data quality, which helps streamline the process of making risk-informed decisions for expediting the flow of legitimate cargo.

Advanced technology also supports streamlined identification of high-risk passengers, thereby facilitating the expedited travel of low-risk passengers. CBP leads efforts to integrate systems and information databases with other U.S. agencies to validate visa eligibility and verify passports to ensure entry decisions are made more quickly and accurately. In addition, by collecting more advanced passenger and biometric information through automated systems, CBP can better identify and validate low-risk passengers earlier in the transit process to ensure their swift movement across our borders. Finally, by deploying advanced technology to integrate passenger processing capabilities, CBP can provide more efficient and predictable processing at all inbound and outbound operating sites.

Integrated Processing Capabilities

In addition to using technology to simplify and enhance data collection and dissemination, CBP also leads efforts to integrate and unify processing capabilities and requirements across the Federal enterprise. To streamline trade processing, CBP leads the drive to present "One U.S. Government" at the border through its Single Window, which will free industry from unnecessary administrative burdens of submitting import, export, and transit-related shipment data multiple times to multiple government agencies. It also provides industry with swift, unified decision making on releasing cargo, which reduces barriers to the free flow of legitimate trade. To reduce barriers to the efficient flow of travelers, CBP will strengthen coordination with our interagency partners to more accurately and efficiently facilitate low-risk passengers through unified screening endeavors.

Transforming and Simplifying Processes

CBP is committed to reducing the overall costs to the trade and travel communities by transforming importing, exporting, and travel and revenue collection processes to make them simpler and more accessible. To expedite low-risk trade, CBP will adjust its business processes to harness the opportunities presented by the private sector's innovative supply chain solutions. Aligning with modern business practices will enable CBP to obtain advance data and make risk-informed decisions earlier, which results in reduced costs and more predictable cargo clearance. Similarly, collaborating with the travel industry will increase the quantity and quality of advance passenger information necessary to quickly and easily move low-risk passengers across our borders.

OBJECTIVE B – PROMOTE HARMONIZATION THROUGHOUT PORTS OF ENTRY AND OTHER U.S. GOVERNMENT AGENCIES

In a fast-paced, interconnected global economy, uniform and predictable decision-making is critical to creating the business certainty necessary to support America's economic competitiveness. This requires that CBP harmonize processes across the ports of entry supporting a unified facilitation and enforcement posture. It also requires that CBP lead efforts to unify approaches across the Federal enterprise to ensure a whole-of-government approach and to lead the international development of common practices. CBP's Centers of Excellence and Expertise (CEEs) are instrumental in developing these common practices. CEEs transform the way CBP approaches trade operations and works with the international trade community. The CEEs represent CBP's expanded focus on "Trade in the 21st Century" by aligning with modern business practices, focusing on industry-specific issues, and by providing tailored support to unique trading environments. The CEEs were established to increase uniformity of practices across ports of entry, facilitate the timely resolution of trade compliance issues nationwide, and further strengthen critical agency knowledge on key industry practices.

Harmonizing Operational Approaches to Risk-Management

Harmonization begins by organizing operations in ways that complement private sector practices. For international trade, this means organizing trade processing by account and industry, rather than by individual transactions, to enhance uniformity across all ports of entry and to better manage the growing volume of international trade. This industry and account management focus will enable CBP to develop industry-specific processing solutions. The result is more consistent and effective risk segmentation decisions that enable the swift movement of legitimate cargo. Additionally, CBP will offer the private sector comprehensive trusted trader and traveler programs that provide CBP with enhanced supply chain and compliance information to more readily identify low-risk cargo and passengers earlier and expedite their movement across our borders.

Leading Development of Common Practices

In addition to creating consistent processes and decision making across the ports of entry, CBP must also lead efforts to standardize processing requirements across all Federal agencies to support a whole-of-government approach to economic prosperity. By increasing information sharing with our interagency partners, CBP will lead efforts to identify risks in the global supply chain and the travelling public. CBP is also implementing trusted trader and traveler programs and will integrate these programs into a whole-of-government approach to advance the use of effective risk management principles and enable the flow of low-risk trade and travel.

In the global economy of the future, CBP must lead global harmonization and mutual recognition to enhance global economic growth by reducing transaction costs within the global supply chain and speeding the movement of people around the world. Encouraging and driving mutual recognition of trusted trader and traveler programs will also help streamline processes and reduce costs for industry and the public by reducing the administrative burden of registering for multiple programs. As CBP leads harmonization efforts on an international stage, it will be guided by its core principle that harmonization is possible only through effectively cultivating relationships with our international partners. CBP's efforts to drive harmonization of cargo and passenger processing across international borders in partnership with other government partners and global industry will assure continued transformation of business processes that enhance America's economic competitiveness.

OBJECTIVE C – EXPAND RISK-SEGMENTATION THROUGH ADVANCED TECHNOLOGY TO ENABLE LOW-RISK TRADE AND TRAVEL

CBP is acutely aware that the majority of our cross-border traffic is composed of lawful and compliant trade and travel. Categorizing goods and travelers according to the risks they pose through risk segmentation allows CBP to expedite legitimate passengers and cargo. Enhancing identification of the portion of border traffic that should be expedited requires an accurate risk assessment for every traveler and cargo shipment over land, water, or air that crosses the U.S. border. Information and data are central to the evaluation of risk and the functional assessment of actionable intelligence. How we manage that flow of information and data to enable risk-segmentation is fundamental to the efficient management of people and goods crossing our borders.

Segment Risk through Automation

The use of cutting edge technology to automate manual processes for trade and travel, increase information sharing and collaboration, and provide advanced access to data will allow CBP to more quickly and easily identify high-risk cargo and passengers. These advanced technologies will provide more accurate data earlier in the transit process that can easily be shared with other government agencies that have a role in clearing cargo and passengers for entry into the United States.

Maximize Information and Data Collection Capabilities through Partnerships

Despite the strength of CBP's capabilities for analyzing trade and travel data, CBP would be left with an incomplete picture of the trade and travel environments if we did not collaborate and appropriately share information with our interagency partners. In addition to the data routinely collected by CBP, there is abundant and expanding data available from alternative sources, including private industry and our partners around the world. Data and information becomes more valuable and leads to more actionable intelligence when additional sources are leveraged to develop more comprehensive risk profiles leading to more effective risk segmentation. CBP's trusted traveler and trader programs support these efforts because they are premised upon the notion of freely sharing trade intelligence and traveler information to enhance risk segmentation, which allows CBP to offer expedited movement. Thus, CBP must continue to develop and cultivate information sharing partnerships that will enhance CBP's ability to accurately and timely identify and validate low-risk importers and travelers.

Apply Advanced Analytics to Identify Emerging or Constant Risks

As our data collection efforts are refined, and CBP develops a more accurate understanding of the behaviors and actions that indicate risk, advanced analytics can be used to better detect and predict trends that can identify high-risk passengers and cargo earlier in the transit process. Enabling the unencumbered flow of goods and travelers across our borders reduces barriers to continued economic growth and expansion. Additionally, expediting lawful trade and travel also enables CBP to focus our enforcement resources on high-risk traffic and reduce the negative impact that illegal and illicit activities have on the health and safety of the American people and America's economic prosperity.

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Goal 4 – Promote Organizational Integration, Innovation, and Agility

Understanding the challenges and requirements of operating within a constantly changing environment, CBP must diligently pursue organizational efficiencies, optimized business processes, and mature functional capabilities to fully support operational needs and assure overall mission effectiveness. CBP's committed personnel and inherent culture are regarded as its most valuable resources and must be cultivated through progressive training to ensure a fully capable, integrated and collaborative Agency.

OBJECTIVE A – MATURE CBP'S STRATEGIC RESOURCE MANAGEMENT FRAMEWORK

CBP faces the challenges of dynamic domestic and global conditions that require planning and adjusting to meet these shifting conditions. CBP is determined to meet these challenges and enhance performance through the Planning, Programming, Budgeting and Accountability (PPBA) business structure and associated processes. CBP's business model is based on the Department of Defense and DHS Planning, Programming, Budgeting and Execution (PPBE) systems with customization to meet Agency needs. This strategic resource management framework ensures the Commissioner's vision, goals, and objectives are clearly articulated; programs and activities are aligned to the goals and objectives; resources are appropriately allocated to achieve the desired goals and objectives; and a performance measurement and program evaluation capability enables the assessment of progress made in executing the DHS and CBP mission and operational priorities.

CBP's utilization of shared mission, capabilities-based portfolios ensures a holistic and comprehensive approach to integrated planning and supports the Agency's business structure from strategy development to accountability. Empowering the portfolio managers and improving analytic capability will ensure well-informed decisions regarding strategy and policy, resource allocation, matching investments to homeland security objectives, and balancing risk against specified performance goals. This approach delivers the optimal mix of people, training, facilities, equipment, and support attainable in any fiscal environment to achieve CBP's goals and objectives.

CBP will continue developing an effective performance management process that establishes realistic and achievable parameters within which programs, investments, and acquisitions can be measured for reaching the desired results in support of strategic goals. Measuring performance has many benefits. First, it highlights areas for improvement, which leads to more informed decision making in establishing priorities and ensuring that resources are allocated to best support mission execution. Second, performance measurement can also highlight opportunities to increase efficiency and efficacy to improve return on investment for resource allocation decisions. Finally, performance measurement provides critical information to external stakeholders, which can lead to improved oversight and more accurate assessment of organizational effectiveness. Effective performance management is more than simply collecting and reporting information, it requires integrated structures that ensure alignment of strategy to implementation, resource allocation, and assessment of effects. CBP's shared mission, capabilities-based portfolios will provide a venue for aligning strategy to performance to better integrate all facets of PPBA throughout the Agency.

OBJECTIVE B – OPTIMIZE CBP'S ORGANIZATIONAL STRUCTURE TO ENSURE AGILE AND EFFICIENT OPERATIONS

The anticipated complexities of CBP's future operating environment will require the Agency to optimize its effectiveness through agility and innovation. Achieving agility begins with organizational design – understanding the manner in which management achieves the right combination of differentiation and integration of the organization's operations, in response to the level of uncertainty in its external environment. Designing an effective organization involves defining and promoting links between the organization's purpose and what it strives to become, requirements to achieve those goals, and the methods for reaching the desired end state. Organizational design is more than an organizational structure or strategic plan – it encompasses all formal and informal systems and processes as well as their inherent interactions. By defining the optimal hierarchical arrangement of lines of authority, communications, responsibilities and functions of its offices, CBP will streamline command and control for daily operations. The principal purpose for creating and implementing an organizational design effort is to ensure the organization provides unique, significant value to stakeholders while optimizing performance.

OBJECTIVE C – STRENGTHEN CBP'S CULTURE OF UNWAVERING INTEGRITY AND PROFESSIONAL GROWTH

CBP's most valuable attributes in protecting the American people are the integrity and professionalism of its workforce. The Agency will not be fully successful in carrying out its complex mission requirements unless it continues to earn and maintain the trust of the public it serves. CBP's renewed focus on integrity, accountability and professionalism is only as good as its commitment to exemplifying and standing by those principles. Additionally, the pursuit of complete transparency and maintaining a higher standard of performance, in particular with the use of force, will further strengthen the public's trust in CBP.

Integrity at CBP begins with every employee being held to the highest standards of professionalism and ethical conduct. The elements of CBP's culture of integrity are founded in the Oath of Office and Standards of Conduct to which every employee is expected to adhere and include: accountability, trustworthiness, transparency, adherence to ethics, and a code of professionalism. These principles guide the conduct of every member of the Agency, from the very last employee hired to the Commissioner.

Based on these principles, CBP developed its first unified *Integrity and Personal Accountability Strategy* [4], which establishes a comprehensive, agency-wide, multi-layered approach and provides clear direction and resources. Employee misconduct or lack of professionalism, in addition to corruption, destroys public trust. Thus, the *Integrity Strategy* underscores the need for personal responsibility by every employee for ethical behavior, on and off duty and recognizes that our obligation to act with integrity does not stop at the end of the workday.

CBP must recommit to holding all employees to a higher standard by continuing to move toward greater transparency. CBP has already taken strides in this effort by releasing a newly revised *CBP Use of Force Policy, Guidelines and Procedures Handbook*, as well as sharing investigative findings regarding use of force incidents. The Agency has adopted best practices by establishing a unified, formal review process for use of force incidents. This review process ensures a unified and measured CBP-wide approach to effectively respond to, investigate, coordinate, report, review, and resolve use of force incidents in a timely, comprehensive manner.

CBP's ability to achieve its mission directly depends upon its people. The Agency's leadership if fully committed to strengthening employee morale and engagement to recruit, train, and retain the exceptional personnel needed to achieve organizational objectives. The Agency must diligently ensure that all personnel have the doctrine, guidance, training, requisite resources and equipment to effectively protect themselves and others while serving the American public. Additionally, leadership is committed to promoting both policies and practices to recruit and retain women in frontline positions at CBP to remain competitive with modern professional law enforcement organizations. To accomplish these objectives, CBP will remain focused on employee growth and development, diversity initiatives, engaged leadership, and a collaborative culture.

[4] Published by the White House, October 2014

OBJECTIVE D – ADVANCE CBP MISSION EFFECTIVENESS THROUGH TRANSFORMATIVE TECHNOLOGIES AND INNOVATIVE BUSINESS PRACTICES

In an era of declining and competing financial resources, it is imperative that CBP promote organizational excellence and operational agility by leveraging technological advances and innovative practices. These efforts will include optimizing resource allocation with the greatest return on investment and delivery of prioritized operational capabilities. CBP will anticipate and prepare for the organizational requirements of the future through collaboration with partners and promoting an entrepreneurial spirit among its members.

Innovation within CBP involves creating opportunities to generate value that was not previously available, expected, anticipated, or perceived. These opportunities will span a continuum from adaptive to revolutionary, modular to systematic, product to business process. However, innovation is not simply the process of buying the newest technology. Rather, it is an artifact of a collaborative culture that supports creativity and extrapolating beyond current experiences. Supporting an innovative facet within our culture entails encouraging creative and critical thinking through training and rewarding thinking outside the box.

One type of innovation that will result in reduced costs to the Agency and greater return on investment to the American people involves transforming CBP's business practices and processes to be more forward looking and streamlined. Implementing agile processes and practices will enable CBP to perform more efficiently by reducing the reliance on burdensome bureaucratic protocols that do not allow for expedient solutions. Business transformation involves moving away from stove-piped and location-centric processes to enterprise approaches that promote information exchange and enable strategic objectives. CBP will maintain operational effectiveness and organizational excellence by leveraging tools, technologies, and best practices to ensure optimal performance across the diverse mission space. These process improvements and practices will serve to maintain a focus on strategic priorities and ensure the Agency is optimizing its resources.

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Managing Risk

I. BACKGROUND

CBP's commitment to risk-informed, intelligence-driven operations allows the Agency to focus its finite resources on the threats that present significant risk. As detailed previously, CBP faces a wide array of diverse and asymmetric threats ranging from networks of terrorism and transnational crime to individuals attempting illegal immigration; from the illicit movement of weapons of mass destruction to the introduction of agricultural pests and diseases; from trafficking in drugs, weapons, and human slavery to the transit of prohibited, restricted, and unsafe goods. CBP's application of risk management principles has enabled sound, timely operational planning and focused tactical execution against these diverse threats. The next evolution of CBP's integrated risk management planning protocol must deliver comprehensive, Agency-wide processes for identifying, assessing, and managing strategic risks across the global environment.

CBP must anticipate and proactively react to strategic risks that impact mission accomplishment. These risks include internal functions affecting organizational effectiveness and external pressures related to homeland security threats. The risk management planning process enables risk-informed strategic decisions that enhance the Agency's ability to prioritize efforts to protect the American people, enhance our economic competitiveness, and effectively manage our borders. This supports our innovative business practices, including the Planning, Programming, Budgeting, and Accountability (PPBA) strategic resource management structure.

II. PRINCIPLES TO MATURE RISK MANAGEMENT

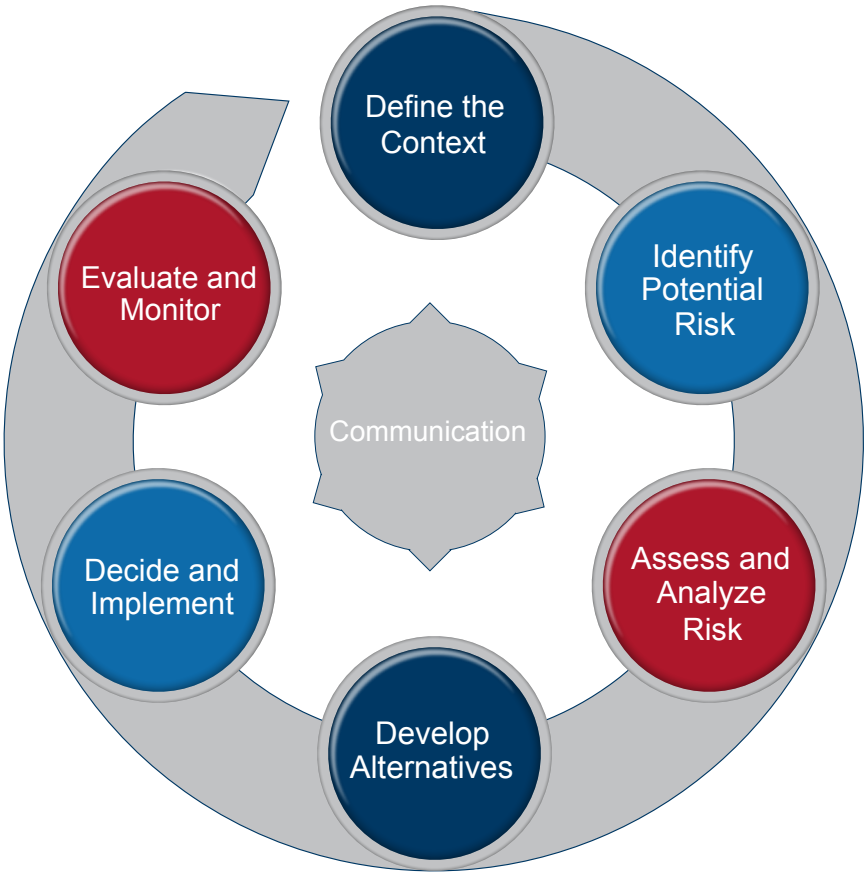
Risk management is the process for identifying, analyzing, and communicating risk and accepting, avoiding, transferring, or controlling it to an acceptable level considering associated costs and benefits of any actions taken[5]. Managing risk at CBP does not preclude adverse events from occurring, but it does enable the Agency to more efficiently focus its resources to address the threat environment. When conducted at a strategic, Agency-wide level, risk management is an excellent tool for planning and decision support processes that enable decision makers to distinguish between alternative actions, assess capabilities, and prioritize organizational activities and associated resources.

[5] DHS Risk Lexicon, 2010 Edition

CBP adheres to the following principles for maturing risk management practices and capabilities:

- Risk management must be a critical component of CBP's planning and decision making processes to ensure more efficient use of resources.
- Risk management must promote integrated efforts across CBP and with our Federal, state, local, tribal, territorial, international, and private sector partners.
- Risk management processes must remain transparent to all participating stakeholders through effective communication.
- Risk management must be adaptable to a particular decision environment and take into account changing internal and external factors.
- Risk management must be an iterative process to ensure timely, accurate information.

III. THE CBP RISK MANAGEMENT CYCLE



CBP's risk management cycle is intended to standardize the planning process across the Agency and harmonize approaches to risk management with our law enforcement and intelligence community partners. In adherence to our principles for maturing risk management at CBP, this cycle remains customizable based on the decision context involved. The steps in the cycle are not always sequential, but they are mutually supporting and integrated efforts. Risk management planning includes:

- Defining and framing the context of decisions and related goals and objectives;
- Identifying the risks associated with the goals and objectives;
- Analyzing and assessing the identified risks;
- Developing alternative actions for managing the risks and creating opportunities, and analyze the costs and benefits of those alternatives;
- Making decisions among alternatives and implementing those decisions; and
- Monitoring the implemented decisions and comparing the observed or expected effects to help influence subsequent risk management alternatives and decisions.

IV. EFFECTIVE RISK MANAGEMENT ENABLES COMPREHENSIVE DECISION MAKING

Establishing effective risk management at the strategic level will enhance implementation of plans and strategies. Understanding how strategic risks can impact mission accomplishment and organizational effectiveness lays the foundation for appropriately defining outcome-driven performance goals. Risk management requires comprehensive analysis of planning considerations to enable decision makers to prioritize between competing requirements. The collaborative effort to generate this analysis provides the opportunity to develop integrated approaches to measure performance. Furthermore, the cyclical nature of risk management provides a feedback mechanism that can be used to track and detail progress.

CBP will continue to hone its planning capabilities and risk management approaches to support comprehensive decision making to deliver the goals and objectives detailed in this strategy. Through effective risk management processes, the Agency will better define operational and institutional performance expectations and requisite capabilities development to achieve the CBP strategic vision.

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U.S. Customs and Border Protection

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