



Homeland Security

Module 1: One DHS Solution (APIS Pre-Departure and Secure Flight)

Section 1: One DHS Solution Briefing
August 2007

Course Overview

Audience: **Aircraft Operators**

Objective: ***Outline the One DHS Solution for APIS
Pre-Departure Final Rule and
Secure Flight Proposed Rule***

- Purpose of One DHS Solution
- Stakeholder Support Activities
- Overview of One DHS Solution Process
- One DHS Solution Training Support



Purpose of One DHS Solution

Under the guidance of its Screening Coordination Office, DHS has directed U.S. Customs and Border Protection (CBP) and the Transportation Security Administration (TSA) to develop a guidance document that would combine the Advance Passenger Information System (APIS) Pre-Departure and proposed Secure Flight concepts and systems to provide “One DHS Solution” to the commercial aviation industry consistent with applicable authorities and statutes.

This joint approach seeks to:

- Standardize Secure Flight and APIS Pre-Departure: CBP and TSA are coordinating their airline industry needs with the intent of providing a single DHS system to the fullest extent possible
- Reduce unnecessary programming by aircraft operators
- Provide consistent treatment for passengers across all covered aircraft operators



One DHS Solution

To enhance the security of commercial air travel, the Department of Homeland Security (DHS) is implementing the APIS Pre-Departure Final Rule and issuing a Notice of Proposed Rulemaking for Secure Flight to prevent high-risk travelers from boarding an aircraft in the following phases:

- Phase I: From the time that an aircraft operator has implemented compliance with APIS Pre-Departure, DHS will perform watch list matching for international itineraries to and from the United States. Until the Secure Flight Final Rule is effective, aircraft operators will continue to perform domestic watch list matching internally for wholly domestic itineraries
- Phase II: Once the Secure Flight Final Rule is effective and the aircraft operator has complied with it, DHS would perform watch list matching for itineraries between two U.S. airports



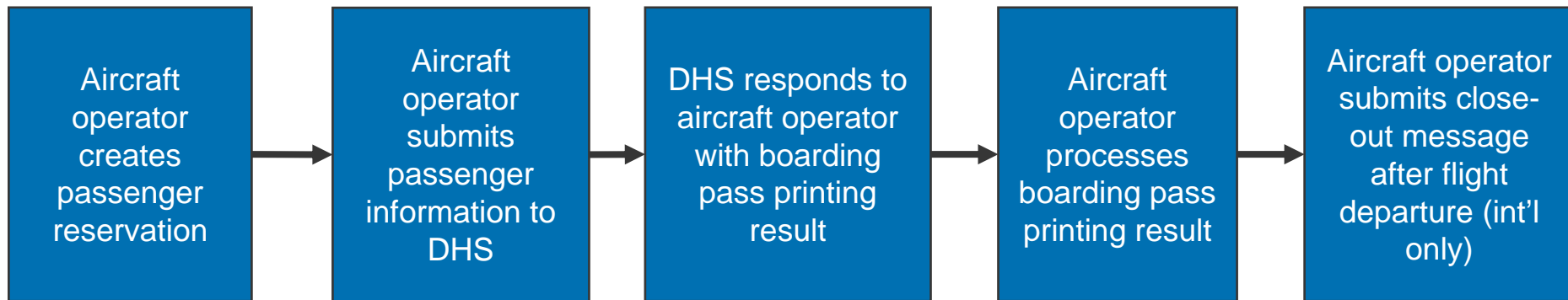
Stakeholder Support Activities

- Coordinated Rule Making activities
 - Same day publication of APIS Pre-Departure Final Rule and Secure Flight Notice of Proposed Rule Making
- Consolidated User Guide
 - Technical and operational guide to assist aircraft operators in planning compliance with the APIS Pre-Departure Final Rule and proposed technical and operation guide for Secure Flight based on the Secure Flight NPRM provided to aircraft operators for their comments
- Combined Training Support
 - Orientation and informational materials to aircraft operator personnel responsible for establishing operational procedures that comply with DHS regulations



Overview of One DHS Solution Process

The same high-level process will apply to both
APIS Pre-Departure and Secure Flight



One DHS Solution Training Support

DHS will develop training modules that align with implementation milestones for APIS Pre-Departure and Secure Flight

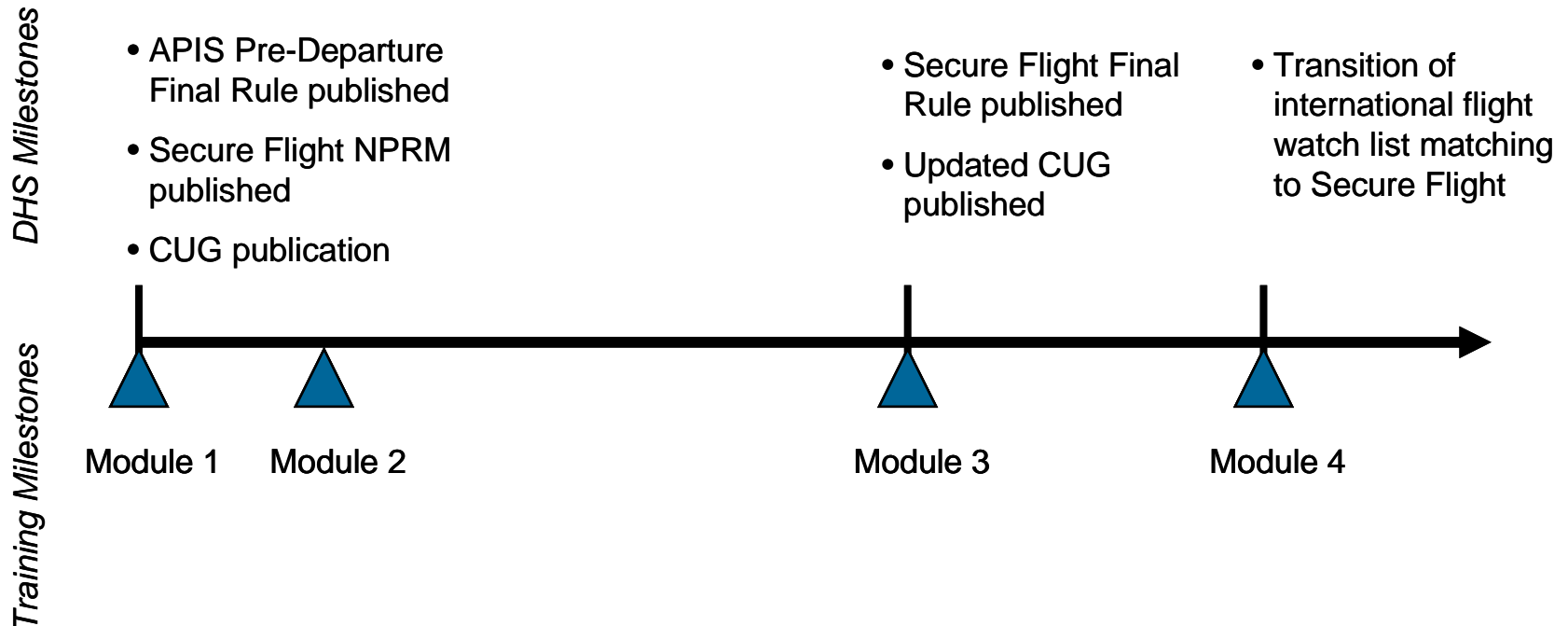
- Module 1: Briefing of One DHS Solution (APIS Pre-Departure and Secure Flight)
- Module 2: APIS Pre-Departure Aircraft Operator Compliance Requirements
- Module 3: Secure Flight Implementation
- Module 4: Transition of International Watch List Matching

Note: Please refer to the Consolidated User Guide for additional details



One DHS Solution Training Support Timeline

The following is the proposed timeline for the development of training modules:





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Module 1: One DHS Solution (APIS Pre-Departure and Secure Flight)

Section 2: APIS Pre-Departure Briefing
August 2007

APIS Pre-Departure Final Rule

The APIS Pre-Departure Final Rule dictates new data collection and timing requirements that apply to the submission of passenger and crew information prior to departure from or arrival in to the United States.

Key changes include the requirement to provide a Flight Close-Out Message, the capability to receive automated messages from DHS, and the assignment of a unique identifier to each passenger.

The APIS Pre-Departure Rule is available at the following location:

www.cbp.gov/xp/cgov/travel/inspections_carriers_facilities/apis/



Consolidated User Guide

The Consolidated User Guide is published to assist aircraft operators in achieving technical and operational compliance with the APIS Pre-Departure Final Rule and to provide the aircraft operators with the proposed technical and operational guidance for Secure Flight based on the Secure Flight NPRM.

CBP's technical guidance and requirements and TSA's proposed guidance and requirements are published together in this guide to give aircraft operators the information necessary to perform required changes to their IT systems, networks, and business operations to comply with CBP's APIS Pre-Departure Final Rule and to provide the aircraft operators the opportunity to comment on TSA's proposed requirements and guidance.

The Consolidated User Guide is available on the TSA Secure Web Board. For companies not having access to the TSA Secure Web Board and with a need to know, please contact a CBP National APIS Account Manager.



UN/EDIFACT Guide

The updated UN/EDIFACT Guide contains the technical guidelines for aircraft operators to follow in the preparation and transmission of the passenger/crew manifest data for processing by DHS. The technical guidelines are based on the Consolidated User Guide for the APIS Pre-Departure Final Rule and the proposed Secure Flight rule.

The updated UN/EDIFACT Guide is available at the following location:

http://www.cbp.gov/xp/cgov/travel/inspections_carriers_facilities/apis/



Technical Implications

To achieve technical compliance with the APIS Pre-Departure Final Rule aircraft operators must meet the following requirements:

- Submit passenger information prior to issuing a boarding pass
- Assign a unique identifier to each passenger record
- Receive automated responses from DHS
- Provide a Flight Close-Out Message to DHS



Operational Implications

To achieve operational compliance with the APIS Pre-Departure Final Rule aircraft operators must implement procedures for:

- Submission of passenger information prior to issuing boarding pass
- Handling of selectee travelers
- Handling of inhibited travelers
- Handling of unsolicited responses
- Handling of outages



Additional Information

Training Module 2, “DHS Pre-Departure Aircraft Operator Compliance Requirements”, as referenced in the Consolidated User Guide, will be posted to the TSA Secure Web Board no later than 30 days after the publication of the APIS Pre-Departure Final Rule and will consist of additional guidance to assist aircraft operators with APIS Pre-Departure Final Rule compliance requirements.

Carrier information sessions with Subject Matter Experts (SMEs) will also be scheduled.



Next Steps

The next steps for aircraft operators are:

- Become familiar with the guides referenced in this section
- Direct APIS Pre-Departure Final Rule questions to National APIS Account Managers





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Module 1: One DHS Solution (APIS Pre-Departure and Secure Flight)

Section 3: Secure Flight Briefing
Based on the Notice of Proposed Rulemaking
August 2007

Pre-Decisional

Information in the following presentation is based on the Secure Flight Notice of Proposed Rulemaking and will not be finalized until TSA issues the Final Rule.

This presentation will be updated upon publication of the Secure Flight Final Rule.



Course Overview

Audience: Aircraft Operators

Objective: *Build common understanding of the Secure Flight Program*

- Background
- Mission, Goals and Scope
- Potential Secure Flight Design Benefits
- Proposed Business Processes and Roles
- Operations Management and Support
- Industry Implementation Concept



Legislative Background

- The Intelligence Reform and Terrorism Prevention Act (IRTPA) of 2004 requires the Department of Homeland Security (DHS) to assume from aircraft operators the function of conducting pre-flight comparisons of airline passenger information to federal government watch lists for domestic and international flights
- The Transportation Security Administration (TSA) is developing the Secure Flight program and has issued a Notice of Proposed Rule Making (NPRM) to propose implementation of this Congressional mandate



Secure Flight Overview

The Secure Flight NPRM proposes to implement the Secure Flight program, under which TSA would:

- Receive certain passenger and non-traveler information from aircraft operators
- Conduct watch list matching for covered domestic and international flights
 - Match identifying information of aviation passengers and certain non-travelers against the No Fly and Selectee portions of the watch list maintained by the Terrorist Screening Center (TSC)
- Transmit watch list matching results back to aircraft operators

Note: Non-travelers are individuals authorized to enter the sterile area of an airport in order to escort a passenger or for some other purpose approved by TSA



Secure Flight Mission & Goals

- Secure Flight's mission is to enhance the security of commercial air travel by matching passenger information against the No Fly and Selectee List components of the watch list maintained by the TSC
- Secure Flight's goals are to:
 - Identify known and suspected terrorists
 - Prevent individuals on the No Fly List from boarding an aircraft
 - Subject individuals on the Selectee List to enhanced screening to determine if they are permitted to board an aircraft
 - Facilitate passenger air travel
 - Protect individuals' privacy



Secure Flight Proposed Scope

Secure Flight procedures would apply to all domestic and international passengers traveling on covered aircraft operator flights arriving in or departing from the United States or overflying the continental United States

- All passengers traveling on covered aircraft operator flights would be matched against the watch list by TSA prior to receiving a boarding pass
- Non-traveling individuals authorized to enter the sterile area of an airport in order to escort a passenger or for some other purpose approved by TSA would also be matched against the watch list by TSA prior to receiving a gate pass



Potential Secure Flight Design Benefits

- **Enhances the security of commercial air travel**
 - Raises the baseline standard for the algorithms, technology, and automation used in watch list matching
 - Decreases the chance for compromised watch list data by limiting distribution
 - Expedites law enforcement notification by gaining earlier insight to potential matches
- **Provides consistent customer service**
 - Provides fair, equitable, and consistent watch list matching across all aircraft operators
 - Facilitates an expedited and integrated redress process for misidentified passengers

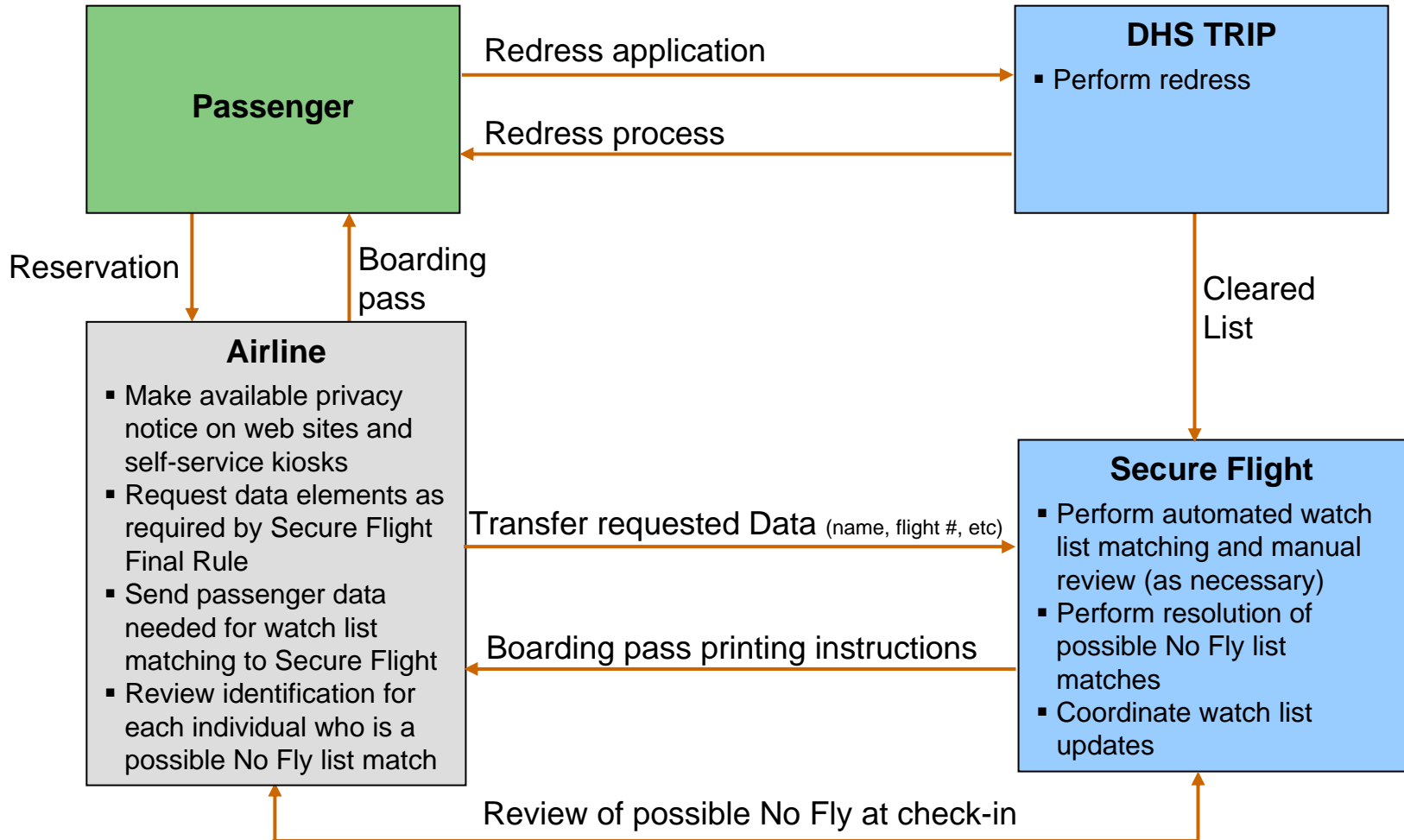


Potential Secure Flight Design Benefits, Cont.

- **Protects the privacy of the traveling public**
 - Adheres to strict privacy standards for use of personally identifiable information (PII); demonstrate traceability and auditability of data
 - Uses the minimal amount of personal data needed to perform its mission
 - Protects personal data against unauthorized use and disclosure with execution of comprehensive Security Plan
 - Limits retention of passenger information for the least amount of time necessary to perform its mission
- **Supports travel industry's operational needs**
 - Relieves aircraft operators of the responsibility to perform watch list matching
 - Provides 24 x 7 operational and technical support



Secure Flight Proposed Business Process



Secure Flight Proposed Roles

▪ **Passengers**

- Provide personal data at time of booking
- Request redress as needed (then provide redress number when booking reservation)

▪ **Aircraft operators**

- Make privacy notice available on web sites and self-service kiosks
- Collect reservation data from passengers
- Send Secure Flight Passenger Data to DHS
- Review identification as necessary for the resolution process
- Receive boarding pass printing instructions from Secure Flight

▪ **DHS Traveler Redress Inquiry Program (TRIP)**

- Receive and process redress applications from passengers
- Send Cleared List to Secure Flight



Secure Flight Proposed Roles, Cont.

- **Secure Flight Automated Name Matching Engine**

- Receive Secure Flight Passenger Data from aircraft operators
- Process Secure Flight Passenger Data through automated watch list matching (and manual review, as required)
- Transmit boarding pass printing instructions to aircraft operators

- **Secure Flight Operations**

- Provide resolution for passengers who are possible matches to watch list
- Provide implementation support and review post-cutover performance
- Provide aircraft operators with technical support and customer service



Operations Management and Support

- Secure Flight Operations Team would provide:
 - Passenger Resolution
 - Manual review of automated matches
 - Passenger resolution at check-in
 - Technical Support to system and business users
 - Secure Flight would have dual site operations providing:
 - Load balance and redistribution in case of site outage
 - 24 x 7 access
 - Process assistance and customer service questions



Operations Management and Support

- Secure Flight Airline Industry Relations Team would:
 - Partner with the aviation and travel industry to facilitate a smooth transition while maintaining the highest level of performance
 - Manage the transition of watch list matching from aircraft operators to Secure Flight
 - Provide technical guidance during implementation
 - Liaison to industry organizations including global distribution systems, travel agencies, corporate travel departments
 - Monitor quality of aircraft operator data submissions and implement strategies to improve automated engine results to reduce passenger inconveniences



Industry Implementation Concept

- Aircraft operators would begin submitting Secure Flight Passenger Data to Secure Flight after completing their system changes
- Secure Flight performs automated vetting and compares results (parallel operations) to those of aircraft operator for purposes of:
 - Benchmarking and comparing false positive rates
 - Verifying transmission for advanced and immediate transactions
- After completing parallel operations Secure Flight would begin cutting over the aircraft operators
- After cutover, Secure Flight would transmit boarding pass printing instructions to aircraft operators to manage boarding pass issuance
- Cutover would occur in controlled stages to ensure Secure Flight and aircraft operators' performance is maintained



Comments on the Proposed Secure Flight Rule

TSA is inviting comments on the Secure Flight NPRM

- Any of the following methods may be used to submit comments:
 - DMS Web Site: <http://dms.dot.gov>
 - Mail: U.S. Department of Transportation
Docket Operations, M-30,
West Building Ground Floor, Room W12-140
1200 New Jersey Ave SE
Washington, D.C. 20590
 - Fax: 202-493-2251



Secure Flight Point of Contact

- Contact Secure Flight Operations Manager, Tim Cossairt, for any further questions:
 - E-mail: Tim.Cossairt@dhs.gov
 - Phone: 240-568-5638



“We will strengthen watch list screening and vet all domestic air travelers by end of 2008.” – DHS Secretary Michael Chertoff





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Module 1: One DHS Solution (APIS Pre-Departure and Secure Flight)

Section 4: Department of Homeland Security Traveler
Redress Inquiry Program (DHS TRIP) Briefing
August 2007

Course Overview

Audience: Aircraft Operators

Objective: *Build common understanding of the redress process via DHS TRIP and how to direct travelers to DHS TRIP*

- What is Redress
- What is DHS TRIP
- How to Submit a DHS TRIP Inquiry
- Required Documentation and Information
- Which Agencies will Use DHS TRIP
- Privacy Notice
- Additional Information



What is Redress

- Redress provides a forum for individuals identified as a threat or a potential threat to transportation security to appeal that determination and petition to have erroneous information corrected
- The Department of Homeland Security Traveler Redress Inquiry Program (DHS TRIP) provides individuals (not limited to U.S. citizens) who have experienced difficulties during travel screening at transportation facilities, such as airports, seaports, or points of entry at U.S. borders, the opportunity to seek redress



What is DHS TRIP

- DHS TRIP is a voluntary, web-based customer service program that provides a one-stop mechanism to request redress for individuals who believe they have been:
 - Denied or delayed in boarding transportation (e.g., aircraft, etc.) due to DHS screening programs
 - Denied or delayed entry into or departure from the U.S. at a Port of Entry or border checkpoint due to DHS screening programs
 - Identified for additional (secondary) screening at our nation's transportation facilities
- Individuals who receive redress through DHS TRIP may still be referred for additional screening for unrelated security reasons in the future



How to Submit a DHS TRIP Inquiry

Below are the steps an individual would complete to submit an inquiry:

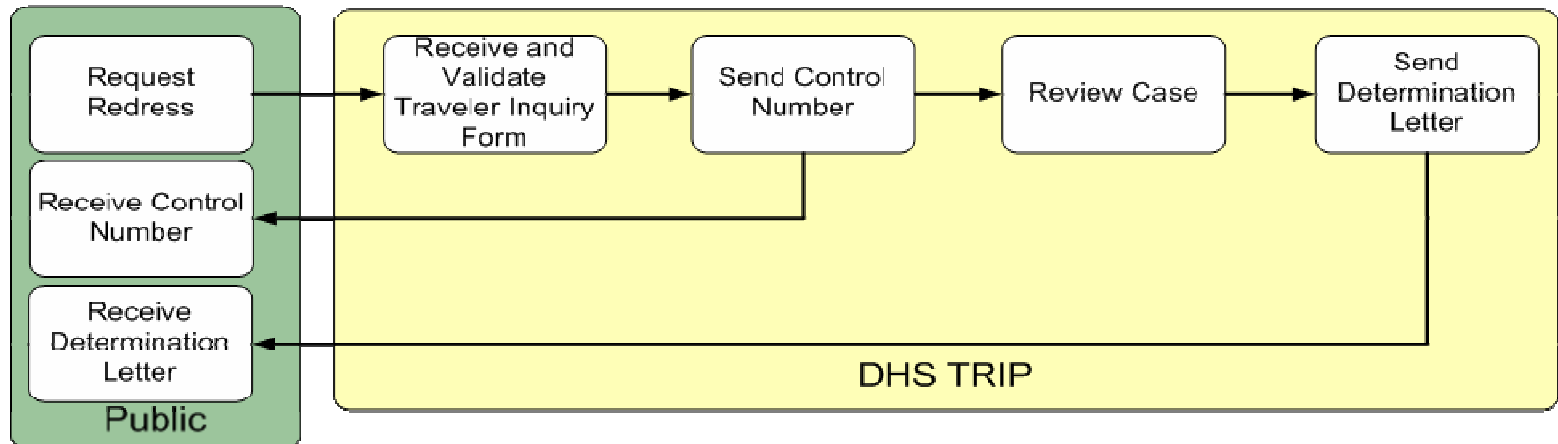
- To initiate an inquiry, the individual must log onto the DHS TRIP web site at www.dhs.gov/trip
- The individual will be asked to fill out a Traveler Inquiry Form (TIF), provide additional personal information, and provide various forms of identification (e.g., passport, birth certificate, etc.)
- Upon submitting a TIF, the individual will receive a Redress Number (also known as a Control Number), as defined in the Secure Flight NPRM



How to Submit a DHS TRIP Inquiry Cont.

Below are the steps an individual would complete to submit an inquiry:

- The individual may use the Control Number to check the status of the request at any time through the DHS website www.dhs.gov/trip
- DHS TRIP will process the individual's request once supporting documentation is received
- When the case is reviewed, the individual will be sent a Determination Letter



Required Documentation and Information

To assist in addressing instances of misidentification and to authenticate the redress inquiry, the individual may be asked to provide at least one government issued identity document. For example, individuals who possess a valid passport may be only required to submit that document.

- | | |
|--|---|
| <ul style="list-style-type: none">▪ Passport▪ Driver's License▪ Birth Certificate▪ Voter Registration Card▪ Military Identification Card▪ Certificate of Release or Discharge from Active Duty (DD Form 214)▪ Government Identification Card▪ Certificate of Citizenship▪ Naturalization Certificate | <ul style="list-style-type: none">▪ Immigrant/Non-immigrant Visa▪ Alien Registration▪ Petition or Claim Receipt▪ I-94 Admission▪ Free and Secure Trade (FAST) Card▪ Secure Electronic Network for Traveler's Rapid Inspection (SENTRI) Card▪ NEXUS Card▪ Border Crossing Card▪ Student and Exchange Visitor Information System (SEVIS) Number |
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Which Agencies will Use DHS TRIP

The following agencies will use DHS TRIP:

- Transportation Security Administration (TSA)
- U.S. Customs and Border Protection (CBP)
- U.S. Citizenship and Immigration Services (USCIS)
- U.S. Immigration and Customs Enforcement (ICE)
- U.S. Visitor and Immigrant Status Indicator Technology Program (US-VISIT)
- Department of State
- DHS Office for Civil Rights and Civil Liberties (CRCL)
- DHS Privacy Office



Privacy Notice

DHS TRIP will collect only as much information as needed to process and resolve a request:

The Department of Homeland Security safeguards the privacy of any personal information that you provide in your inquiry to DHS TRIP. This information will be protected and will only be shared in accordance with the provisions of the Privacy Act of 1974 (5 U.S.C. § 552a) and as provided in the Privacy Impact Assessment.



Additional Information

- To learn more about the DHS TRIP's privacy and redress policies and procedures and to access Frequently Asked Questions, visit the website at www.dhs.gov/trip
- DHS TRIP Tear Sheet will be provided to travelers and non-travelers





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