

# BORDER SECURITY PROGRAM

## *Resources Summary*

(\$ in thousands)

	FY 2008 Estimate	FY 2009 Estimate	FY 2010 Request
Machine Readable Visa (MRV) Fees	920,528	974,817	858,000
Western Hemisphere Travel Surcharge	294,884	300,000	374,415
<b>Enhanced Border Security Program Fees</b>	<b>297,696</b>	<b>297,664</b>	<b>385,100</b>
Passport Security Surcharge	253,596	253,564	340,000
Immigrant Visa Security Surcharge	29,000	29,000	30,000
Diversity Fee	15,144	15,100	15,100
Fraud Prevention Fee	31,244	40,000	40,000
Affidavit of Support Fee	17,400	0	0
<b>Total Border Security Program Expenses</b>	<b>1,561,752</b>	<b>1,612,481</b>	<b>1,657,515</b>

### **Overview**

The Department's Border Security Program is a critical element in the Department of State's fundamental mission of protecting American citizens and safeguarding the nation's borders. The Bureau of Consular Affairs (CA) is responsible for: issuing visas to legitimate foreign visitors and immigrants; denying visas to individuals who pose a threat to this country; protecting American citizens abroad; researching and developing automated systems; and implementing policies, procedures, and processes in coordination with other federal agencies in support of homeland security goals. The Border Security Program strategy focuses on five major objectives: information technology, connectivity, infrastructure, integrity, and human resources.

### **Information Technology**

Enhance data sharing and data analysis initiatives with other agencies and increase the effectiveness and efficiency of the applicant screening process through name checks and biometric technologies (fingerprint scanning, facial recognition). Give consular officials access to information on individuals applying for passports or visas.

### **Connectivity**

Provide worldwide and redundant connectivity in support of passport and visa adjudication, including sufficient bandwidth to support the Consular Consolidated Database (CCD) and other data sharing and remote management initiatives.

### **Infrastructure**

Provide the most modern equipment and software to support consular operations. Ensure an effective replacement and refresh schedule and development of software programs to meet workload and legislative requirements.

### **Integrity**

Strengthen the integrity of passport and visa issuance processes and products through improvements to the documents themselves, enhancements in information storage and retrieval, expanded training in anti-fraud techniques and procedures, and a comprehensive anti-fraud program.

### **Human Resources**

Supply a sufficient number of qualified staff to fill new and vacant consular positions. Work with the Department to hire, train, and assign personnel to meet increasing workload demands and program growth

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domestically and overseas.

The following chart summarizes the costs of the major activities of the Border Security Program:  
(\$ in thousands)

Activities	FY 2008 Estimate	FY 2009 Estimate	FY 2010 Request	Increase/ Decrease
<b>Consular Project Initiatives</b>	<b>666,764</b>	<b>789,177</b>	<b>815,001</b>	<b>25,824</b>
Consular Systems Install and Operations	35,000	69,500	77,040	7,540
Consular Systems Modernization and Support	113,150	144,405	159,399	14,994
Automated Name check Systems: CLASS	15,000	14,000	13,000	(1,000)
MRV Administrative Support	74,114	96,787	96,974	187
Public Information Support	37,315	28,300	33,300	5,000
Document Integrity/Fraud Programs	21,310	26,172	22,460	(3,712)
Consular Training (FSI)	9,581	6,300	6,170	(130)
Passport Operations	213,722	279,829	273,714	(6,115)
Passport Facilities	17,159	13,455	21,788	8,333
Passport Systems	69,500	38,025	33,912	(4,113)
Visa Processing	40,710	43,450	46,050	2,600
American Citizen Services	2,938	3,133	3,714	581
Intelligence Support Unit (INR)	779	662	651	(11)
Facilities Management (A)	16,486	25,159	26,829	1,670
<b>Diplomatic Security</b>	<b>20,536</b>	<b>21,269</b>	<b>23,403</b>	<b>2,134</b>
Investigative Support/Guards	20,536	21,269	23,403	2,134
<b>Technology Backbone – IRM</b>	<b>18,000</b>	<b>18,000</b>	<b>14,000</b>	<b>(4,000)</b>
IRM Computer Systems and Operations/	8,000	8,000	4,000	(4,000)
Diplomatic Telecommunications Support	10,000	10,000	10,000	-
<b>Border Security Staff (American Salaries)</b>	<b>317,760</b>	<b>363,989</b>	<b>375,466</b>	<b>11,477</b>
Consular Affairs	150,019	188,488	193,977	5,489
Bureau of Administration	92	92	92	-
Information Resource Management	3,125	3,219	3,219	-
Diplomatic Security	24,000	30,320	35,241	4,921
Overseas Staff	140,524	141,870	142,937	1,067
<b>Border Security Support</b>	<b>538,692</b>	<b>420,046</b>	<b>429,645</b>	<b>9,599</b>
Consular Affairs	367,098	226,715	234,104	7,389
Diplomatic Security	7,994	15,343	15,343	(40)
Information Resource Management	4,090	4,090	4,090	-
Western Hemisphere Affairs (BCC)	2,000	2,000	2,000	-
Overseas Support	157,510	171,858	174,108	2,250
<b>Total, Border Security Program</b>	<b>1,561,752</b>	<b>1,612,481</b>	<b>1,657,515</b>	<b>45,034</b>
<i>DHS Reimbursement</i>	10,000	0	0	-
<i>FBI Fingerprint Checks Reimbursement</i>	90,788	150,000	150,000	-

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The Department will pursue the following objectives in FY 2010 as part of its continued efforts to protect and assist Americans abroad and to improve U.S. Border Security by preventing the entry of terrorists or others intending to engage in criminal activity in the United States.

### **Consular Systems Installation and Operations: \$77,040,000**

The Department will continue systematic equipment replacement cycles and regular refresh training visits at over 240 Foreign Service posts and appropriate domestic offices including passport agencies, the National Visa Center and the Kentucky Consular Center in FY 2010. This includes enhanced training in consular systems operations and maintenance so consular personnel can serve as an interface between the field and domestic support elements. The Department will also rollout applications to begin the migration to a new generation of visa software, including the Consular Electronic Application Center (CEAC) and Global Visa Systems (GVS), which replaces four current systems for nonimmigrant visas and immigrant visas (NIV, IVO, IVIS, and DVIS). Deployment will require both hardware procurement and sustained installation/training and technical support.

### **Consular Systems Modernization and Support: \$159,399,000**

The Department established a Program Management Office (CA/CST/PMO) to enhance operational efficiency and management control, standardize policies and processes, and to oversee all information technology (IT) programs and associated projects within CA/CST's six Divisions. The PMO oversees more than thirty major Consular systems initiatives that encompass a broad range of complex IT projects and schedules. It will ensure IT initiatives employ good project management principles, are founded on strong business cases, meet expected cost, schedule, and performance goals, and comply with Federal, results-oriented legislation pertaining to the acquisition and use of IT.

Enhancing consular systems is an on-going priority targeted toward improving the overall efficiency and effectiveness of the border security processes, implementing new technologies such as biometrics and rules based processing, and enhancing the value and security of travel documents produced by consular systems. This activity will improve, expand and refine the Consular Consolidated Database's (CCD's) web interfaces for faster and easier information delivery with data mining tools that will enable users to utilize and manipulate the data in the database. The Department will provide IT support and training to domestic offices in Washington, DC, email to the passport agencies and centers across the country, and server support to Customer Systems' production software accessed by the public. These servers must be available to visa applicants across the world 24 hours a day. All systems research and development, consular database development and management as well as data sharing initiatives with other agencies are included in this program activity.

This activity also funds Independent Verification and Validation support services which include operations and maintenance of an independent integration and test Facility. This function consists of validating requirements and testing and validating their implementation in new and/or updated software releases for over 150 applications currently deployed by CA.

### **Automated Name Check Systems CLASS: \$13,000,000**

The Consular Lookout and Support System (CLASS), a centerpiece of the Border Security Program, allows consular officers worldwide to perform automated name check which is required for all visa and passport applicants. CLASS directly supports the Congressional federal government information sharing mandate; CLASS receives data from approximately 12 USG Agencies and provides lookout entries to four agencies. Presidential Directive 63 (PDD-63) specifically listed CLASS as a mission critical system for which contingency resources must be developed and the Department currently manages two mirrored sites to provide a complete contingency capability. CLASS also uses a load sharing technology to ensure that both sites function during normal operations: if one site goes down, the other site assumes 100% of the processing load until the faulted site again becomes operational. Currently, the CLASS name-checking logic operates only against the CA watch list database. The interface CLASS (iCLASS) system operates within the Diversity

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Visa (DV) program to detect individuals who illegally enter multiple applications under variants of their name and will eventually be brought online to detect and report previous applications processed for a current applicant under variants of the name given in the current application.

### **MRV Support Costs: \$96,974,000**

The Machine Readable Visa (MRV) fee, collected from most applicants seeking a nonimmigrant visa, continues to support overseas consular operations, including a substantial portion of overseas consular staffing, expenses incurred by consular agents, and all expenses paid to banks to collect the MRV fee. In FY 2010, MRV fee revenue will fund peak-season staffing, TDY assistance to overseas posts, and the cost of Consular Management Assistance Teams (CMAT) participating in overseas management reviews. It will also fund support costs associated with increased workload in Mexico for Border Crossing Card (BCC) renewals.

### **Public Information Support: \$33,300,000**

CA will continue to rely on internet websites and Web 2.0 tools, traditional on-site outreach, and two contractor-operated contact centers to provide the public with the most responsive information available in the most cost-effective manner. The Overseas Citizen Services (OCS) Call Center provides non-Privacy Act-protected information regarding the safety and welfare of American citizens abroad, and answers general information calls for OCS while forwarding case-specific calls and those requiring action directly to the appropriate OCS officer. The center can be reached via toll-free or toll numbers from 8am to 8pm Monday through Friday; after-hours calls are handled by the OCS Duty Program. For crisis response, the center can escalate to 24 hours/7 days a week operation within three hours of notification. The National Passport Information Center (NPIC) provides information services to the general public via a toll-free telephone number and e-mail correspondence. NPIC also provides an extensive automated passport information service that is available to the public, 24 hours a day. Through this service, customers can obtain answers to general passport questions and may make appointments to be seen at one of the passport agencies.

### **Document Integrity/Anti-Fraud Programs (FPP): \$22,460,000**

The FY 2010 initiatives for this program include passport and visa fraud prevention and expanded H-1B and L visa fraud detection efforts. CA will continue to maintain its emphasis on enhanced U.S. border protection and security through its efforts to uncover and combat fraud in consular documents. The Office of Fraud Prevention Programs (FPP) plans to continue and expand ongoing fraud prevention activities such as enhancing information sharing by organizing and participating in five regional overseas and domestic Fraud Prevention Conferences/Seminars; conducting site visits to high fraud posts; providing consular officers and passport specialists with state of the art data mining capabilities of public records to use in fraud prevention/detection; providing training materials and supplies; and producing intelligence alerts on counterfeit and forged travel documents. The Bureau of Diplomatic Security will substantially and comprehensively strengthen the DS criminal investigations program as it relates to H-1b, H-2b and L visas using revenues retained under the H-1B Visa Reform Act of 2004.

### **FSI Consular Training: \$6,170,000**

Consular training continues to be supported by the Foreign Service Institute (FSI). In FY 2010, FSI will continue to provide training in the form of classes, conferences, workshops, and on-line courses to consular officers, Information Management Specialists (IMS), Foreign Service Nationals (FSN) and consular agents. Courses cover anti-fraud and counter-terrorism techniques, name checking and identity recognition, consular systems applications, and immigrant and non-immigrant visa adjudication policies and procedures. FSI also provides courses on crisis planning, assistance to victims of crime, the Hague Convention on Intercountry Adoption, and the Hague Convention on the Civil Aspects of International Child Abduction.

### **Passport Operations: \$273,714,000**

The passport remains the fundamental internationally accepted document that identifies the nationality of Americans as they travel overseas and enter and exit the United States. The integrity of the passport is essential, as is timely delivery of services to Americans. In 2007, the Department was overwhelmed by an

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unexpectedly large surge in demand for passports caused by new re-entry requirements for Americans traveling abroad as required under the Western Hemisphere Travel Initiative (WHTI). Demand for issued passports jumped from 12.1 million in FY 2006 to 18.4 million in FY 2007. In FY 2008, CA adjudicated 16.2 million travel documents (15.7 million passport books and 500,000 passport cards). The Department estimates passport workload to be near the FY 2008 level in FY 2009 and FY 2010.

In order to further improve the security of U.S. borders, the land border requirement phase of WHTI will be effective no earlier than June 1, 2009, requiring all U.S. citizens to present a passport or similar document when traveling outside of the U.S. In coordination with the Department of Homeland Security (DHS), the Department developed a new, less expensive identity document, the passport card, which was first issued in mid-2008. While the passport card is not expected to generate as much demand as the passport book, as it cannot be used for air travel, it is nevertheless produced with the same high security standards.

With changing demands, the Department requires resources to assess current and new vulnerabilities associated with passport issuance and records management, strengthen internal controls, and bolster our Fraud Program. The Department needs more robust tools to enhance its ability to more readily identify passport fraud through electronic evaluation of applicant data. These tools would be used for items such as the performance of validation studies (record review of previously issued passports), and field agency analyses and reporting. Internal Controls need tools to provide acceptance agent and commercial courier oversight and to maintain continued support and upgrades to the Incident Tracking System and Internal Controls Program Assessment and Compliance Reporting system. Resource requirements would include vulnerability assessment and analysis, recommendations, and implementation assistance with new programs.

### **Passport Facilities: \$21,788,000**

The Department has established two Book Personalization Facilities - in Hot Springs, Arkansas and Tucson, Arizona. Their operations are an integral component of the Department's strategy to meet the increasing demand for U.S. Passports, US Passport Cards, and Border Crossing Cards. As a result of the Western Hemisphere Travel Initiative, these facilities are prepared to meet the demand for travel documents issued by the Department.

To meet the difficult to predict estimated demand levels, the Department has implemented a scalable and flexible production system that allows for the effective distribution of work across Passport Agencies and Centers in the United States. The Book Personalization Centers allow the printing of passport books and cards to occur remotely from the adjudication of the passport applications. The facilities will additionally produce Border Crossing Cards. Funds will also be used to maintain the infrastructure of existing passport agencies located nationwide and headquarters space located in Washington, DC.

### **Passport Systems: \$33,912,000**

During FY 2010, CA will continue operational support, equipment replacement plans, and a Help Desk for 25 regional passport agencies and centers nationwide. New passport facilities and book personalization centers will have new software solutions to accommodate the increased demand. The system will be designed, hardware will be procured and operational and maintenance support will be established to support both passport books and passport cards at the new locations.

Two critical systems, the Passport Records Imaging System Management (PRISM) and the Passport Lookout Tracking System (PLOTS) are high capacity imaging systems that capture vital passport records. Department of State and authorized users worldwide will have access to critical information in PLOTS and PRISM. As access to this information increases, the importance of the availability of this data becomes more vital. It must be of a high level with a low margin of down time. Greater redundancy, improvements to design, and more robust infrastructure will help provide improvements to increase access and availability to this growing system. The PLOTS user interface will be improved to support users from overseas posts and embassies worldwide.

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### **Visa Processing: \$46,050,000**

This program activity covers the visa office operation in Washington, DC and non-immigrant visa (NIV) and immigrant visa (IV) operations at the National Visa Center (NVC) and at the Kentucky Consular Center (KCC). The NVC supports immigrant visa processing through the centralization and management of several consular projects, including a portion of petition processing and the Affidavit of Support review program, which requires sponsors of visa applicants to provide evidence that they can economically support the visa applicant. The NVC also processes all security advisory opinions of immigrant visa applicants and conducts anti-fraud activities related to immigrant visa petitions. The NVC's goal is to provide additional support to overseas posts, including assuming as many non-adjudicatory duties as possible, to allow overseas consular staff to focus on pre-screening, adjudication and fraud prevention, while at the same time improving efficiency and expanding NVC's Fraud Prevention Unit.

The KCC manages the casework of the Diversity Lottery Program, receives and prepares all visa records for storage at NARA and manages the photo examination component of the Facial Recognition Project, which involves screening visa applicant photos against a lookout database of known and suspected terrorists and also against previous visa records. It also scans all visa records that have been refused and shares the information with other federal agencies. The KCC also serves as the Alternate Processing Center for the Consular Lookout and Support System (CLASS), a critical element in the Program's Critical Infrastructure Protection plan. The KCC's goal is to expand support for petition-based NIV operations, provide secure storage and imaging of visa records, and manage other consular programs as required in the most efficient and cost-effective manner possible while improving both border security and customer service.

### **American Citizen Services: \$3,714,000**

The safety and welfare of American citizens abroad, especially in times of crisis, is one of the Department of State's core objectives. The funding requested allows CA to meet its protection responsibilities that exceed Public Information Support by providing internet-based registration and travel information products via email for American citizens residing or traveling overseas, and enhancing crime victim assistance programs. In FY 2009 and FY 2010, the bureau will continue to engage in bilateral and multilateral meetings to strengthen crisis assistance to citizens; monitor international treaty compliance; implement the Hague Convention on Intercountry Adoption; train American and international judges in the Hague Convention on Civil Aspects of International Child Abduction procedures; and train state and local officials on consular notification issues.

### **INR – Intelligences Support Unit: \$651,000**

The Bureau of Intelligence and Research (INR) works to identify individuals who pose potential threats to the United States in order to prevent their entry into the U.S. Funding will be used to operate the CA Watch which is staffed during non-duty hours by individuals with consular training and experience who are able to access consular databases. The CA Watch also act as a point of contact for the Terrorist Screening Center (TSC) and the National Targeting Center (NTC) and recovered intelligence files for security advisory opinion (SAO) reviews. In FY 2009, the Department is shifting the NTC and port of entry support to the Operations Center S Bureau staff and the CA Watch will retain the intelligence interface and VO support. This operational change is reflected in the decrease of this line item and increase in American Salaries.

### **Bureau of Administration – Facilities Management: \$26,829,000**

The Bureau of Administration will continue to provide facilities maintenance, custodial services, and utilities at the National Visa and National Passport Centers in New Hampshire, the Kentucky Consular Center (KCC), and the Charleston Passport Center in South Carolina. These funds also include GSA rent for CA office space in Washington, D.C. Funding requirements in fiscal years 2009 and 2010 include consular rent, operations and maintenance costs for existing consular domestic facilities, and new consular domestic facilities planned to be brought on-line in fiscal years 2009 and 2010.

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### **Diplomatic Security: \$23,403,000**

The Bureau of Diplomatic Security (DS) plays an important role in protecting the nation's borders and preventing passport and visa fraud. The DS bureau plans on providing adequate resources to effectively conduct criminal investigations concerning passport and visa fraud, as well as fraud related with identity documents. This includes activity linked to organized crime or terrorism that attempts to obtain US visas or passports to further criminal activity. In addition, DS will continue to hire and assign guards to protect all of CA's facilities.

### **IRM – Technology Support: \$14,000,000**

Funds for the Bureau of Information Resources Management (IRM) will be used to provide around-the-clock systems monitoring, operational, technical support, and systems software programming as required for the CLASS name check system at BIMC.

### **Border Security Staff – American Salaries: \$375,466,000**

For FY 2010, the Department plans to increase staff by 45 new positions (20 overseas and 25 domestic). This includes 20 overseas positions to support consular workload and another 25 positions added to the Bureau of Diplomatic Security to prevent passport fraud. As a result of these increases, Border Security Program positions will total 4,825 by the end of FY 2010.

### **Border Security Support: \$429,645,000**

Funds requested for this program activity cover basic expenses of the Border Security Program. This activity pays for consumables and supplies for the visa and passport programs, including visa foils, passport cards, and passport books with the embedded contactless chip. A major portion of this line item goes to produce the e-passport, a significantly more expensive book than those produced in past years. The new secure passports, which are printed and bound by the GPO, incorporate a chip to permit officers at ports of entry to use an improved and faster non-touch reader. The Department's cost continue to rise for critical protected supplies used in personalizing passports and passport cards such as foils, ribbons, security devices, and the technology to use them.

These funds also cover the start-up and recurring expenses associated with overseas consular positions, including funding for the regional bureaus to pay the salaries and benefits of locally engaged consular employees as well as the post specific benefits (e.g., cost of living allowances, educational allowances and danger pay) of American consular staff. Funding includes consular operating expenses related to the Border Crossing Card renewals in Mexico including the new Border Crossing Card (BCC) being produced at the new Tucson Passport Center. The responsibility for production of BCCs on October 1, 2008 switched from DHS to State.

### **FBI Fingerprint Checks Reimbursement: \$150,000,000**

The Department will continue to reimburse the Federal Bureau of Investigation (FBI) for checking ten-print scans of visa applicants against the IAFIS and for FBI name checks.

## ***Justification of Program Change***

### **Consular Project Initiatives: \$25,824,000**

The Department's goal is to develop and implement increasingly sophisticated mechanisms to allow Consular officers to effectively screen travelers and pinpoint more efficiently those individuals who may pose a threat to national security. The Department is working with other USG agencies to strengthen border initiatives to secure the homeland. Over the past few years, the Department has invested significant resources into modernizing and improving consular systems and using technology to support Homeland Security goals. The Bureau of Consular Affairs is a fee-funded organization. Retained and non-retained revenues generated by

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consular services topped \$2.5 billion in FY 2008. The Bureau of Consular Affairs will continue to provide consular services, enhance security and technology, and strengthen our visa and passport processes while depending on a revenue stream that is completely reliant on an unpredictable travel demand. We rely solely on revenue collected from visa and passport applicants. Increased costs in FY 2010 represent providing support to rising consular workloads, increased data collection requirements, mandatory interviews, maintenance costs for our modernized systems, and new domestic facility expansion and support.

### **Diplomatic Security: \$2,134,000**

The Bureau of Diplomatic Security provides sustenance to the Border Security Program through passport and visa fraud investigative support and providing physical security for consular domestic agencies. The contractual support expenses provided for this initiative will increase to cover Diplomatic Security's costs at the new passport facilities opening in FY 2010.

### **Technology Backbone – IRM: (\$4,000,000)**

The Bureau of Information Resources Management provides around the clock support for the CLASS name check system used at all visa issuing posts worldwide to determine the security risk level of all visa and passport applicants. The transition from a mainframe to servers has produced the noted savings.

### **Border Security Staff (American Salaries): \$ 11,477,000**

Border Security staff costs fund salaries and benefits of close to 4,825 direct hire positions. These positions include consular overseas and domestic positions, Diplomatic Security, and Information Resources Management employees. Costs for American Salaries in FY 2010 will reflect full year costs for positions established in FY 2008 and FY 2009 to support the Western Hemisphere Travel Initiative (WHTI).

### **Border Security Support: \$9,599,000**

Border Security support expenses include program support items for passport and visa programs such as the secure passport books and cards, visa foils and consumables. This also funds support costs related to overseas consular positions. The anticipated passport and visa workload for FY 2010 call for more supplies than FY 2009 and the increase in consular officer positions at overseas posts will contribute to the necessary increase in costs.