

SUPPORTING STATEMENT - PART A

Automated Biometric Identification System (ABIS) – OMB Control Number 0702-0127

Summary of Changes from Previously Approved Collection

- Significant reduction in burden. The previous submission had an annual collection number of about 2.4 million respondents whereas we now estimate around 1.4 million respondents. This is due to a decrease of military collections and operations generally since 2014. Additionally, estimated wage was adjusted to the Federal Minimum Wage unlike previous submissions.
- EBTS version 4.1 was published in 2019, updating possible information that can be collected from subjects and entered into ABIS. This changed a few data fields for sensitive information collected. See sections 3 and 11 for more information.

1. Need for the Information Collection

In a 13 January 2012 DoD Memorandum [OSD 14940-11], the Deputy Secretary of Defense (DSD) authorized all Combatant Commanders and Military Components to employ DoD biometric capabilities across the full range of military operations unless otherwise prohibited by law or agreement. The DoD Automated Biometric Identification System (ABIS) is an authoritative biometrics data repository that processes, matches, and stores biometric identity information data, collected by global U.S. forces, during the course of military operations. Biometric data may also be collected for use in field identification and recovery of persons, or their physical remains, who have been captured, detained, missing, prisoners of war (POW), or personnel recovered from hostile control. The biometric data collected in accordance with these policies, stored as approved by the Records Retention Schedule, supports military operations including, but not limited to, counterterrorism and installation base access.

Additional authorities to operate and maintain DoD ABIS are derived from: Section 112 of Public Law 106-246, Emergency Supplemental Act of 2000; 10 U.S. Code (U.S.C.) Sections 113 and 3013; Pub. L. 108-458, The Privacy Act of 1974, as amended, (“Privacy Act”) (5 U.S.C. 552a), Pub. L. 93-579; Intelligence Reform and Terrorism Prevention Act of 2004; Executive Order (E.O.) 13388, Further Strengthening the Sharing of Terrorism Information to Protect Americans; E.O. 13764, Amending the Civil Service Rules, E.O. 13488 and E.O. 13467 to Modernize the Executive Branch-Wide Governance Structure and Processes for Security Clearances; E.O. 9397, Numbering System for Federal Accounts; E.O. 9397 (SSN), as amended; Homeland Security Presidential Directive (HSPD)-6, Integration and Use of Screening Information; HSPD-11, Comprehensive Terrorist-Related Screening Procedures; National Security Presidential Directive (NSPD)-59/HSPD-24, Biometrics for Identification and Screening to Enhance National Security; National Security Presidential Memorandum (NSPM) 7, Integration, Sharing, and Use of National Security Threat Actor Information to Protect Americans; NSPM 9, Presidential Policy Directive 30, Hostage Rescue Activities; National Vetting Enterprise; 32 Code of Federal Regulations (CFR) Part 310 (84 FR 14728); DoD Directive (DoDD) 8521.01E, DoD Biometrics; DoDD 8500.1, Information Assurance; DoDD 5205.15E, Defense Forensics Enterprise (DFE); DoD 5200.08-R, Physical Security Program; DoDD 5110.10 Defense Prisoner of War/Missing Office Personnel Office (DPMO); DoDD 8500.01, DoDD 2310.07, Personnel Accounting—Losses Due to Hostile Acts; DoDI 2000.12,

DoD Antiterrorism (AT) Program; DoDI 2310.05, Accounting for Missing Persons; DoDI 5200.08, Security of DoD Installations and Resources and the DoD Physical Security Review Board (PSRB); Cybersecurity; AR 10-90, DoD Executive Agent Responsibilities of Secretary of the Army; Army Regulation (AR) 25-2, Information Assurance; AR 190-8, Enemy Prisoners of War, Retained Personnel, Civilian Internees and Other Detainees; AR 525-13, Antiterrorism; and USD(I) Directive-Type Memorandum (DTM) 09-012: Interim Policy Guidance for DoD Physical Access Control; AR 190-8, Enemy POW, Retained Personnel, Civilian Internees and Other Detainees; AR 525-13, Antiterrorism; Department of the Army General Order (DAGO) No. 2020-01, Assignment of Functions and Responsibilities Within DA, 06 March 2020; and USD(I) Directive-Type Memorandum (DTM) 09-012: Interim Policy Guidance for DoD Physical Access Control.

2. Use of the Information

The information processed by DoD ABIS (biometric, biographic, behavioral, and contextual data) is collected by DoD military personnel worldwide using hand-held biometric collection devices across the full range of military operations for DoD warfighting, intelligence, law enforcement, security, force protection, base access, homeland defense, counterterrorism, business enterprise purposes, and also in information environment mission areas. It also includes biometric data from individuals collected from interagency or foreign partners' data repositories.

The information collected and processed by DoD ABIS is shared, accessed, and leveraged by DoD partners, U.S. Government inter-agency agency and departmental stakeholders, and approved multi-national partners, such as the Federal Bureau of Investigation (FBI), Department of Homeland Security (DHS), and Office of the Director of National Intelligence (ODNI) for intelligence, counterterrorism, military force protection, national security, and law enforcement purposes. DoD provides collected and processed information to the FBI/Terrorist Screening Center (TSC) to place individuals on National Watchlists. Required biometric fields for every record include: Name, ten (10) fingerprints, and two (2) iris scans. All other data fields in DoD ABIS, such as Social Security Number (SSN), are optional and vary based on each record and situation.

3. Use of Information Technology

DOD ABIS is an authoritative biometrics data repository that uses software applications to: process, match, and store biometrics modalities (i.e., fingerprints, palm prints, iris scans, and facial recognition data) from collection assets across the globe; update the biometric database repository with new biometrics data; produce biometrics match results (against stored data); share responses among approved DOD, interagency, and multi-national partners, in accordance with applicable law and policy; and provide tools to monitor the health and status of the system.

DoD ABIS biometric data submissions and responses are nearly 100% (>99%) electronic and automated. There are a small number of exceptions for respondents who cannot provide electronic records or records that require manual input. Manual processes are constantly reviewed to determine if they can be automated. For biometric data submissions that are unable to produce a match using automated processes, biometric examiners (i.e., subject matter experts)

use DoD ABIS workstations with specialized software to attempt to manually match the respective submissions.

For possible biometric data fields collected from respondent(s), reference the mandated version of the “DoD Electronic Biometric Transmission Specification (EBTS)” (Version 4.1, April 2019) in the DoD IT Standards Registry (DISR). In most cases, numerous biometric data fields are not completed due to limited information at the time and/or the expediency of operational collection activity. Different types of data enrollments result in various data field entries. In sum, record types, modalities, and other contextual and biographical information are binned and divided into specific record type categories and are defined in more detail in accordance with American National Standards Institute/National Institute of Standards and Technology Information Technology Laboratory (ANSI/NIST-ITL) standards.

4. Non-Duplication

The information obtained through this collection is unique and is not already available for use or adaptation from another cleared source. As a biometric search system, one of the primary functions of DoD ABIS is to de-duplicate records. All biometric submissions are searched and queried against previous biometric submissions with any positive matches, consolidated into one record, with appropriate markers denoting each record in the set.

5. Burden on Small Business

This information collection does not impose a significant economic impact on a substantial number of small businesses or entities.

6. Less Frequent Collection

Without this collection, matching, and sharing of biometric and associated contextual data there would be significant implications to national security and the force protection of our military forces deployed abroad.

7. Paperwork Reduction Act Guidelines

This collection of information does not require collection to be conducted in a manner inconsistent with the guidelines delineated in 5 CFR 1320.5(d)(2).

8. Consultation and Public Comments

Part A: PUBLIC NOTICE

A 60-Day Federal Register Notice (FRN) for the collection published on Friday, May 7, 2021. The 60-Day FRN citation is 86 FR 24598.

No comments were received during the 60-Day Comment Period.

A 30-Day Federal Register Notice for the collection published on Thursday, October 14, 2021. The 30-Day FRN citation is 86 FR 57128.

Part B: CONSULTATION

No additional consultation apart from soliciting public comments through the Federal Register was conducted for this submission.

9. Gifts or Payment

No payments or gifts are being offered to respondents as an incentive to participate in the collection.

10. Confidentiality

Pursuant with The Privacy Act, data will be protected and respondents will be notified to the extent permitted by law, regulation, policies, directives, and all other applicable DoD authorities. A Privacy Act Statement is included in the ICR package for OMB's review. Respondents that have voluntarily given biometrics are notified of the Privacy Act Statement at that time. The PAS and ABIS SORN are available to the public through the Federal Register.

The applicable SORN (A0025-2 PMG (DFBA), Defense Biometric Identification Records System) is undergoing revisions and is included in the ICR package for OMB's review. The previously approved version can be accessed at:

<https://dpcl.dod.mil/Privacy/SORNsIndex/DOD-wide-SORN-Article-View/Article/581425/a0025-2-pmg-dfba-dod/>

In accordance with the E-Government Act of 2002, the applicable Privacy Impact Assessment (PIA), Department of Defense Automated Biometrics Identification System (DoD ABIS), is undergoing revisions. A draft copy is included in the ICR package for OMB's review. The current DoD ABIS PIA is also included.

In accordance with the Federal Records Act, the Records Retention Schedule: DoD ABIS has received approval for its disposition schedule: destroy one hundred and ten (110) year(s) after the cutoff or when no longer needed for military operations or DoD business functions occurs, whichever is later.

11. Sensitive Questions

Social Security Number (SSN) is a potential data field in DoD ABIS but is optional and varied based on each record and situation. Pursuant to DoDI 1000.30, The Social Security Number Justification Memo is included in the ICR package.

As provided by Federal Bureau of Investigation (FBI), Race remains a single alpha character data field in DoD ABIS for Electronic Biometric Transmission Specification (EBTS) 2.025 version submissions. However, all EBTS 4.1 version data submissions in DoD ABIS now

recognize the Race as a legacy data field. Race is found in over 13 million files within DoD ABIS and is still collected as a part of non-sensitive personally identifiable information.

12. Respondent Burden and its Labor Costs

Part A: ESTIMATION OF RESPONDENT BURDEN

1) Collection Instrument(s)

DoD ABIS

- a) Number of Respondents: 1,400,000
- b) Number of Responses Per Respondent: 1
- c) Number of Total Annual Responses: 1,400,000
- d) Response Time: 7 minutes
- e) Respondent Burden Hours: 163,333.33 hours

2) Total Submission Burden

- a) Total Number of Respondents: 1,400,000
- b) Total Number of Annual Responses: 1,400,000
- c) Total Respondent Burden Hours: 163,333 hours

Part B: LABOR COST OF RESPONDENT BURDEN

1) Collection Instrument(s)

DoD ABIS

- a) Number of Total Annual Responses: 1,400,000
- b) Response Time: 7 minutes
- c) Respondent Hourly Wage: \$7.25
- d) Labor Burden per Response: \$0.85
- e) Total Labor Burden: \$1,184,166.67

2) Overall Labor Burden

- a) Total Number of Annual Responses: 1,400,000
- b) Total Labor Burden: \$1,184,167

All information was derived using the Federal minimum wage of \$7.25 as the estimated hourly wage.

13. Respondent Costs Other Than Burden Hour Costs

There are no annualized costs to respondents other than the labor burden costs addressed in Section 12 of this document to complete this collection.

14. Cost to the Federal Government

Part A: LABOR COST OF THE FEDERAL GOVERNMENT

- 1) Collection Instrument
DoD ABIS
 - a) Number of Total Annual Responses: 1,400,000
 - b) Processing Time per Response: 7 minutes
 - c) Hourly Wage of Worker(s) Processing Responses: \$31.20
 - d) Cost to Process Each Response: \$3.64
 - e) Total Cost to Process Responses: \$5,096,000
- 2) Overall Labor Burden to the Federal Government
 - a) Total Number of Annual Responses: 1,400,000
 - b) Total Labor Burden: \$5,096,000

The Respondent hourly wage was derived from the Bureau of Labor Statistics (BLS) for the mean hourly rates for a Forensic Science Technician (\$31.20).

Part B: OPERATIONAL AND MAINTENANCE COSTS

- 1) Cost Categories:
 - a) Equipment: \$1,988,375
 - b) Printing: \$0
 - c) Postage: \$0
 - d) Software Purchases: \$0
 - e) Licensing Costs: \$3,745,257
 - f) Other: \$11,361,344
- 2) Total Operational and Maintenance Cost: \$17,094,976

Section 14 Part B (O&M) figures were provided by Product Manager Biometric Enabling Capability (PM Bio), Program Executive Officer (PEO) for Intelligence, Electronic Warfare and Sensors (IEW&S) and was re-verified by DFBA for accuracy purposes.

Part C: TOTAL COST TO THE FEDERAL GOVERNMENT

- 1) Total Labor Cost to the Federal Government: \$5,096,000
- 2) Total Operational and Maintenance Costs: \$17,094,976
- 3) Total Cost to the Federal Government: \$22,190,976

15. Reason for Change in Burden

Changes in respondent burden are the result of revised estimates since the 2014 submittal. Significant reduction in burden. The previous submission had an annual collection number of about 2.4 million respondents whereas we now estimate around 1.4 million respondents. This is due to a decrease of military collections and operations generally since 2014. Additionally, estimated wage was adjusted to the Federal Minimum Wage unlike previous submissions. This is

due to a misunderstanding in the 2014 submittal that resulted in the collecting individual's wage estimate to be used to calculate respondent burden.

16. Publication of Results

The results of this information collection will not be published.

17. Non-Display of OMB Expiration Date

We are not seeking approval to omit the display of the expiration date of the OMB approval on the collection instrument.

18. Exceptions to “Certification for Paperwork Reduction Submissions”

We are not requesting any exemptions to the provisions stated in 5 CFR 1320.9.