

NASCIO Recognition Award Nomination
Cover Page

Title: NYS Enhanced Drivers License – A Smart Way To Travel



Category: Data, Information and Knowledge Management

State: New York

Agency: New York State Department of Motor Vehicles (DMV)

Prepared and Submitted by: Kelly Smith-Lawless (518-474-8328)
NYS DMV Project Management Office
June 3, 2009

Executive Summary

On March 26, 2008 Federal Western Hemisphere Travel Initiative (WHTI) Land and Sea Final Rules established strict requirements for presenting a passport or a limited number of other acceptable travel document for land or sea border crossings, with enforcement beginning June 1, 2009. Recognizing the tremendous impact these new rules would have on citizens and the free flow of commerce and tourism between NYS and Canada, on May 27, 2008 New York State publicly announced a federal agreement to participate in WHTI and to issue an Enhance Driver License (EDL) as an acceptable WHTI travel document.

- In partnership with Department of Homeland Security (DHS), NYS DMV worked together to develop solutions. Recognizing that the WHTI rules were to take effect in 2009; something needed to be done to ensure that the thousands of travelers (personal cars, walkers, busses and trains) and millions of dollars of goods crossing NYS borders daily could continue unimpeded. Before embarking on this journey, NYS conducted extensive customer surveys and also met with numerous DHS officials, state and local officials, tourism and trade officials and even Canadian officials to determine the best and most expeditious course of action.

From a data management perspective, the EDL created the catalyst for DMV to move our license data from an outdated flat file format to a robust, relational data model that moved us towards creating a single client database. This goal was on our agenda for over a decade, however the cost and effort as a standalone event was too daunting to tackle. However, with the EDL as the driver, and the need to capture additional DHS required data elements, we were able to move into this highly desirable direction. Currently DMV maintains separate databases for drivers licenses, vehicle registrations and our title file.

Issuing the EDL was one of the largest single projects undertaken in DMV's history. The intense effort lasted 13 months from the initial meeting with Homeland Security until issuing the first EDL. DMV was able to move forward quickly due to the extensive license modernization analysis/planning that had been completed prior to EDL initiation. Offering the EDL allowed us to revisit the issuance policies and procedures from top to bottom, in a way that further strengthened the already secure processes and did not unduly impact the customer. On September 16, 2008 New York State began issuing EDL which provided WHTI extensions to the DMV DL/ID document.

The EDL solution encompasses a model process for an identification source document proofing workflow, issuance of the enhanced driver license/ID with high security features that meet strict travel identification requirements, use of next generation anti-fraud automation which leverages a multi-factor integration of validation, biometric, and information technologies to establish a highly trusted identification document which strengthens the support for "one driver, one license."

Description of Business Problem and Solution

Making the new travel document available to customers in a timeframe consistent with the new regulations taking effect that met the Department of Homeland Security's strict requirements required significant effort but also provided significant opportunity! Prior to 9/11, NY residents crossing the border had to little beyond identifying themselves as a US citizen going to Canada for business or pleasure. With the advent of the WHTI rules, the acceptable proofs of identity and citizenship were going from thousands (birth certificates, drivers licenses, others) to just six federally approved documents that contain RFID tags. At the time the DMV chose to make an EDL available, it was estimated that only 11% of our citizens had WHTI compliant documents.

The solutions selected in the EDL project resulted in:

- The establishment of the NYS Driver License & Identification (DL/ID) document as an accepted identification for secure travel as an alternative to a passport:
- Reduction of the need to carry multiple identification credentials when traveling
- Strengthening of the overall value of a driver license as a secure identification credential
- Document security features providing multiple levels of covert, overt, and electronic validation
- Service offered to customers at over 130 outlets statewide.

In addition to the consumer benefits noted above, offering the EDL allowed NYS DMV to revisit the issuance policies and procedures from top to bottom, in a way that further strengthened the already secure processes. Additional requirements for EDL issuance included:

- Defining a master data management model, which includes standardization of legacy data stores and the establishment of a master client database
- Inclusion of a Radio Frequency Identification (RFID) vicinity chip in the EDL
- A Machine Readable Zone (MRZ) in the document, which is similar to that in a passport, adhering to the International Civil Aviation Organization (ICAO) 9303 Standard.
- Integration of Document Authentication/Scanning technology (installed over 200 DSWs; with authentication library of over 1,200 documents)
- Data exchange with the federal Department of Homeland Security (DHS)
- Electronic Fingerprinting support - EDL requires all "covered" employees to have new checks and be a US citizen
- Proof of Residency
- Proof of Citizenship
- Capture of Full Name
- Residence Address on License
- Automated two-stop identification proofing workflow to establish anti-fraud support, audit oversight, and minimize any possibility for manual discrepancies
- Implementation of facial recognition technologies to further identify multiple identity discrepancies and further automate document production auditing

- Address standardization validation against United States Postal Service (USPS) data sources

The overall project challenged DMV to look at how we could quickly get this new product to market, while enhancing our issuing processes, making this fit within our existing infrastructure and not unduly increasing transaction time for the customer.

To achieve these tasks, DMV established over a dozen cross functional project teams involving over 100 associates that were all coordinated by a core project team. Some best practices incorporated included: involving quality assurance staff (or “addressing quality assurance” right at the beginning) when project teams were formed, validation of our proposed approaches with a wide variety of stakeholders, expanding Project Management capability outside of the Information Technology organization, partnering with other EDL offerers for ideas of how each would solve similar challenges, and establishment of a coordinated public information campaign involving print, web, and other media outlets.

Significance of Project To Government Operations

As noted in the Business Problem section above, as a result of opting to make these documents available to NYS residents, the DMV made significant changes to our operations and technological capabilities in an effort to meet negotiated requirements. The beneficiaries of these enhancements are essentially every person that presents or accepts a NYS EDL as proof of identity and citizenship and those stakeholders focused on reducing fraud and other criminal activity that needed DMV to be able to generate household searches. Examples of the sweeping changes made, and the impact they have on how we do business today and in the future, by technology employed, are as follows:

A master data management strategy to establish a client centric framework for alignment of DMV systems and establishment of CRM opportunities:

- Conversion of legacy data stores with expansion to support full legal name, address, and other client centric information such as birth date, document numbers, etc. has enabled longer term alignment of DMV systems.
- Design and conversion of license systems to a single client database establishes the building blocks for Customer Relationship Management (CRM) capabilities as other systems subscribe to the master data model.
- Standardization and inclusion of additional elements associated with a client has provided additional capability to integrate with external entities, such as DHS/CBP data exchanges that provide document information needed to expedite travel security checks.
- Address standardization and verification against USPS sources at point of entry establishes accuracy controls and reduced data entry capability. Capabilities for future extensions to support additional verifications such as National Change Of Address (NCOA) are established.

- The master database solution provides for enhanced searching and reporting capabilities, such as for example household searches.

Anti-Fraud Protections to identify cases of identity fraud and defray identity theft:

- Document Scanning Workstations authenticate and scan source identity documents, and have been integrated into the EDL issuance workflow.
- Automated two-stop identity proofing workflow is a unique alternative proposed by NYS DMV as an alternative to a lengthy interview process. Includes an independent 2-stop blind recording and review of identity proofs presented with supervisor override requirements to address any discrepancies.
- A centralized proofing system, which includes a proofing image repository, establishes audit reporting and capability for authorized people to retrieve presented proofs of identity.
- Facial recognition technology applied to DMV photo image repository further prevents the issuance of multiple identification credentials through substitution or identity fraud.
- Employee background checks include Electronic Fingerprint Transmission (EFT) for expedited and more effective capture and review.
- Opportunity to add additional security features to our license document, including features to disable the RFID kill command, securing a chip set that minimizes the possibility of cloning as well as offering a RFID blocking sleeve that prevents unanticipated reading of the tag.

Development of a workflow that minimized customer wait time while enhancing security:

- A proactive information campaign aimed at ensuring customers arrived prepared.
- DMV carefully monitors transactions so as to make it easy for our customers to obtain an EDL, while not lowering our identity standards. For example, 4 months after launch, we allowed customers to submit alternate proofs of Social Security Numbers, rather than requiring the actual card.
- DMV makes forms and information available on the web so that customers could complete their paperwork before arriving at an office.
- Bar code scanning is incorporated into our processes to minimize data entry time by our associates
- DMV is piloting an “Open Pass” program where customers who are conducting other in person business transactions are informed about the new EDL program. Recognizing that most would not be prepared during this unrelated visit, they are given an “EDL Pass” that allows them to get expedited service at any participating office on a future visit.

Identifying opportunities to maintain the privacy and security of our customer information:

- Limiting the number of associates that touch or can view a customer’s personal, private and sensitive information to the two individuals processing the transaction, possibly a supervisor and a handful of central office staff performing audits

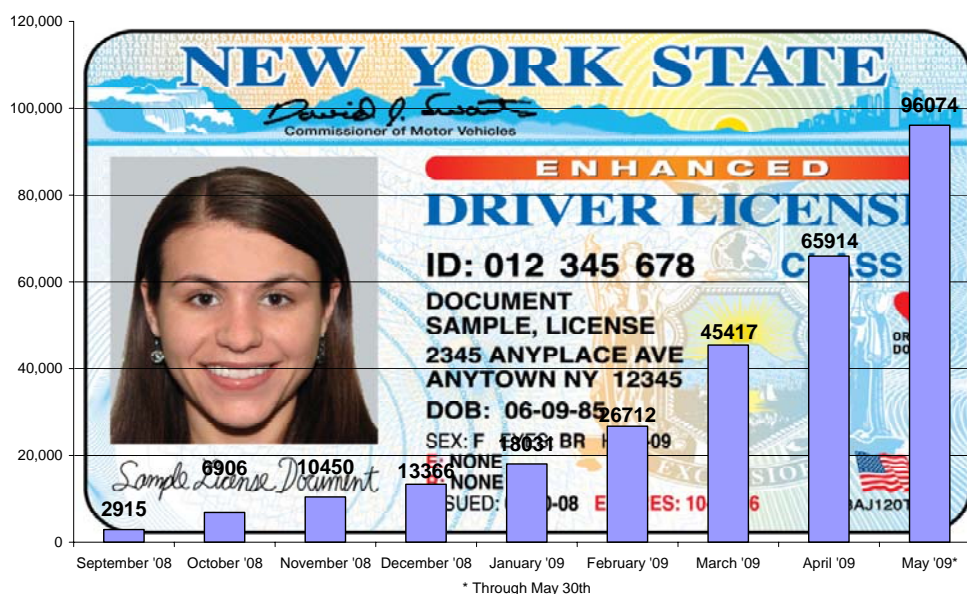
- Notifying the customer up front about how their information will be used as a result of applying for an EDL
- Encouraging motorists to deface key information from source documents presented (e.g. credit card account numbers from invoices) as proof of address
- Implementing a unique key for storage of motorist's proofs that are separate from the license file
- Employing end to end encryption of proof data within our semi private network
- Installing security locks on devices that temporarily hold motorist proofs until they can be sent to secure storage in central office

Benefit of the Project

The project has already begun to achieve some measurable results since NYS DMV implemented a little more than 8 months ago.

- The single client data model foundation allows capture of a customer's full name and address, which will allow for updates by USPS and an ability to verify addresses. This new data model offers DMV the ability to extend name and address search capabilities, for example perform queries such as "household searches" not previously possible. Plans are underway to convert the vehicle registration database and link to the license file in 2010.
- DMV has a plan to covert sub files (e.g. enforcement) and other larger databases to expand our ability to have a single client for all pertinent systems is underway.
- Despite launching at the height of rising gas prices and a declining economy, the number of customers opting for an EDL has exceeded 96,000. It should be noted that NYS is now the largest issuer of enhanced drivers licenses (currently WA, VT, MI and 4 Canadian Provinces offer this travel document), and sales have undergone tremendous growth as displayed below:

NYS Enhanced Drivers Licenses Issued



- The use of the EDL as a border crossing document continues to grow; 5/29/09 statistics from CBP indicate 5,796 NYS EDLs were presented the week of May 29th, up from the 700 a week in January and clearly up from the first week when 5 were presented (including a sailor landing on the Caribbean Island of St. Johns).
- Each day, thousands of vehicles move millions of dollars of good across the NYS/Canada border. Additionally, Canadian Provinces are moving forward with EDLs for their citizens, allowing new partnerships to flourish.
- With the concurrent development of an RFID infrastructure at the border, the speed at which goods can cross has been enhanced. Time and motion studies noted a reduction in the average inspection time from 1 minute for a manual query to 38.6 seconds using RFID. For cross border emergency response, these seconds matter.
- A tangential benefit is reduced pollution as a result of reduced idling at border crossing locations.
- Since implementing, fingerprinting rejections have been reduced from 33% (using ink and roll) to 6.5% (using electronic fingerprinting) and as a result turnaround timeframe was reduced from 30 days to 1 day. When the project began, less than 30% of associates had undergone a background check, now there is 99% compliance.
- The electronic two stop allows two service reps to independently verify source documents and, behind the scenes, compare to ensure consistency. The DSWs give us the opportunity to review, capture, forward and securely store source documents and eventually data capture of metadata on source documents. In future releases, the units will have capability to kick-off electronic verifications (SSN, Passport, other state's databases). As source documents are currently stored there is an ability to conduct post transaction audits of proofs for additional security.
- NYS chose to embark on this project primarily to meet the needs of our citizens. That being said, it has also resulted in additional benefits to the state and our local governmental partners, the County Clerks that operate as agents for the Commissioner of Motor Vehicles in carrying out motor vehicle administration. While there has been additional revenue (over \$2 million as of 5/30/09) to the state, and also revenue accrued for our local government partners (\$707,004), our primary goals were to modernize our license file while facilitating trade and travel to Canada and other countries in the Western Hemisphere by offering a low cost travel document that would be "A Smart Way To Travel".