

Streamlined Travel Trial

Report on Key Findings

30 June 2018



Purpose

This report notes key data, information, insights and evidence provided by the Streamlined Travel Trial, a cross-border initiative which ran as a live trial from 7 July 2017 until 31 March 2018. The trial was undertaken as part of the wider Trusted Border Programme.

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Key Points

New Zealand is attracting increasing volumes of visitors, alongside an increasing level and diversity of risk. It will continue to be challenged by the need to meet these demands. The Streamlined Travel Trial ('the trial') was designed to test a proof of concept for a 'trust-based' model which streamlined the arrivals process for 'low-risk' travellers without compromising risk management.

405 pre-approved participants were entitled to use an eLane¹ upon arrival in Auckland during their normal business trips returning from Australia and when they had nothing to declare.² **Figure 1** (page 8) illustrates the streamlined arrival process and key trial statistics.

The trial provided an opportunity to obtain live data in a number of areas, including on the operation of technology, traveller experience and compliance. Key trial findings (and the opportunities arising from them) are summarised at **Figure 2** (page 10).³ The size of the trial cohort limits the findings, however it is a sufficient sample to provide insights into the attitudes and motivations of these travellers.

Trialists were highly satisfied with the streamlined travel experience. Time savings,

by-passing queues and the certainty provided by the eLane, were highlighted as key contributors to satisfaction. Interestingly, the trialists' *perception* of their time savings was much higher than the reality. The eLane was used 1190 times by 327 trialists. Twelve trialists went through the eLane at least ten times.

"Very easy, made my life a whole lot simpler. Anything that gives me less time in the airport is a bonus..."

Trialist



While this was a proof of concept trial, significant controls were in place to ensure risk was tightly managed and stakeholders' interests and concerns were taken into account. This included various verification, compliance and assurance processes. However, the trial confirmed the 'trust-based'

¹ The 'eLane' comprised two key features. First, a kiosk (a modified Customs Smartgate Kiosk) where trialists were identified (initially via a biographics and later a biometrics process) and reconfirmed they had no biosecurity risk items. This was connected electronically to an 'eGate' (a gate immediately adjacent to the kiosk), which opened when the kiosk deemed a trialist to be eligible. Exit via the eLane did not involve a one-on-one biosecurity risk assessment. The process was only available when detector dogs were operational.

² The trial group consisted of New Zealand passport holders who frequently travelled between Auckland and Australia and who had been vetted to determine their past compliance with border requirements. The pre-approved participants were expected to present a low risk to New Zealand's border security, safety and biosecurity.

³ Scores and percentages are replicated from the report entitled *Evaluation of the Trusted Traveller Project and Streamlined Travel Trial 2017-2018*, 16 May 2018. References to results presented as scores out of 5 (all mean average scores) are based mainly on a final trialist online survey (n = 214, 54% response rate) and 25 "deep dive" phone interviews undertaken with more frequent users in April 2018. The survey data are representative of the 'frequent business travellers' cohort as best we can determine, noting the relatively high response rates (29%, 54% and 58%) and consistency across iterative repeats of the surveys. There is no guarantee of representation of wider traveller cohorts. Quotes (from trialists or others) are also taken from research and workshops undertaken by the trial evaluators.



model cannot provide sufficient certainty over risk management to meet the Ministry for Primary Industries' (MPI's) tolerance, nor the social or Ministerial expectation to protect New Zealand's natural habitat and economy:

- a. Predictive risk modelling is currently geared towards intentional non-compliance. The trial has confirmed that the model, utilising pre-arrival risk assessment processes, is currently unable to either predict or adequately address hitchhiker or inadvertent biosecurity risk. Even the most compliant travellers can make a mistake - during the trial, a tired traveller forgot to declare fruit added to their bag at an airport departure lounge. This resulted in an infringement and removal from the trial.

"Risk with biosecurity is really about unintentional risk..."

Agency staff member



- b. Trialists' self-perceptions and behaviour around compliance with 'the rules' were complex and not always well-aligned. The

vast majority were highly confident about understanding their border obligations and many exhibited an appreciation for border and biosecurity rules and an understanding of their role in keeping New Zealand safe from harm. However, nine trialists breached trial conditions (including the biosecurity breach) and some attitudes - such as a lack of attention to detail and over-confidence by some - presented the risk of further non-compliance

The real time savings over the normal MPI lanes were limited (71 seconds faster on average) and gained through queue avoidance at the secondary line - however, the experience seemed faster and more satisfying. Other insights suggest the operational benefits were not such that the model, based on the trial undertaken, would be operationally justified.

Other initiatives currently underway in the border sector are well-placed to face the challenges provided by increasing border pressure and limited resources while also contributing positively to the traveller experience. Although segregation through 'trust' is not viable, the learnings from the trial have already encouraged agencies to consider other ways of segregating passengers according to the risk they present and processing them accordingly. New concepts and technologies are at proof of concept stage in the ThinkSmash initiative.⁴

⁴ ThinkSmash is a joint industry-government initiative that has a vision to 're-imagine a seamless travel experience that protects New Zealand.' Current projects under this initiative are described in Appendix A.



The findings in this report may inform other border initiatives. Many confirm what may already be known to the sector, now supported through a dedicated operational trial. The live trial has also provided a new and richer picture of the frequent business traveller. This includes indicators as to what their enablers and barriers to compliance might be, and confirmation of their pain points and levels of expectation. The project has also increased understanding of border agency risk paradigms and tolerances and increased the border sector's future capacity and capability to run or collaborate on similar cross agency projects.

In general, and provided risk can be managed, there are two options for the future of streamlined travel: risk-based differentiation of travellers, or fast-tracking or expediting travellers.

In either case, the following would need to be established:

- a. the appropriate infrastructure, including resolving issues relating to the constraints of the physical airport space jointly with the airport company
- b. what the service would cost, who should pay (government, airport/airlines, travellers) and how it should be funded including the appropriateness and level of any cost recovery.

A number of enablers would need to be in place for a model similar to the trial to work in future. These include improvements in information (which may come through new opportunities being explored in border intelligence and data analytics) and technology (to better detect risks and to provide a more seamless experience for the traveller). Any such investment would also need to be considered alongside other improvement options as well as possible operational impacts on business-as-usual.

Several other countries - including Canada, the United States, Australia, the United Kingdom, Japan and Korea - have successfully implemented streamlined, 'trusted,' or 'premium' traveller services for fast-track, expedited entry. Any comparisons are limited as these countries do not have New Zealand's unique biosecurity settings.

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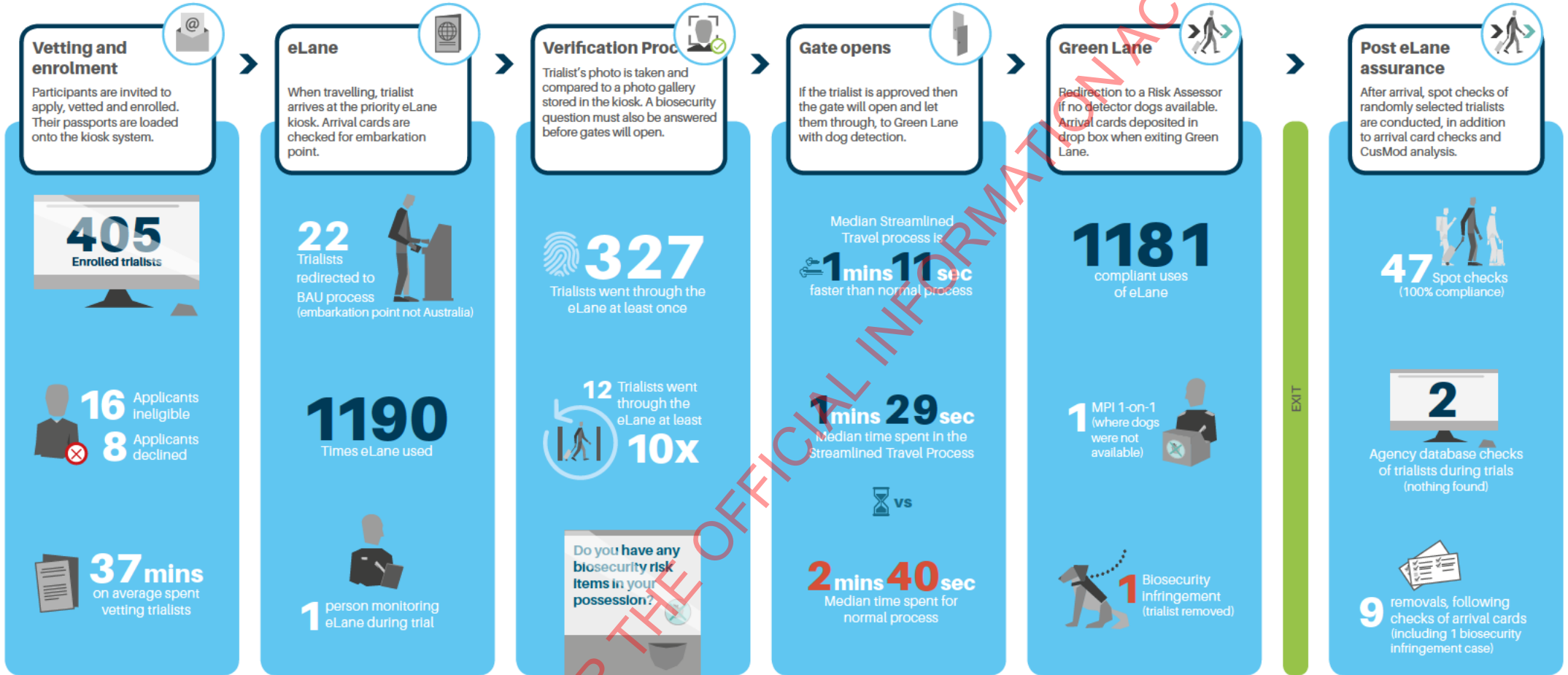
Process and Key Statistics

Figure 1.

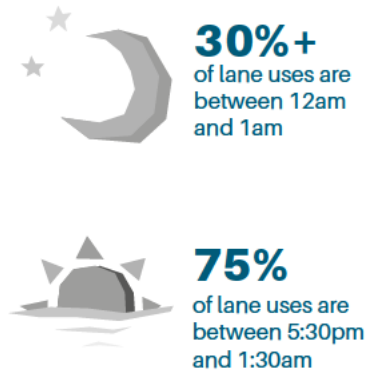
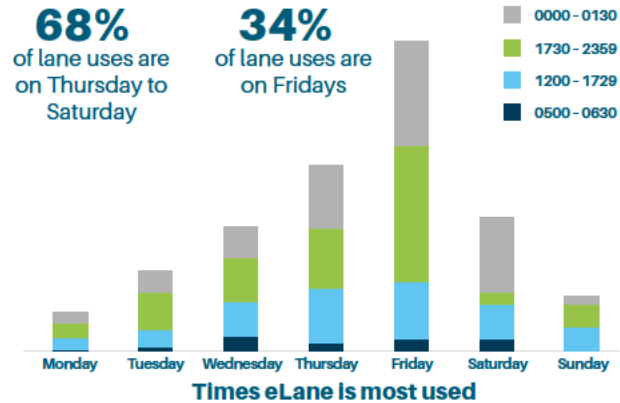
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Streamlined Travel Trial Process and Key Statistics



About the trialists



Summary of Key Findings

Figure 2.

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Streamlined Travel Trial

Summary of Key Findings

Trial/Functional

01

- The vast majority of trialists were highly satisfied with the streamlined travel experience
 - 4.5/5** Trialists' rating of satisfaction across most aspect of trial (mean score)
- The technology (kiosk and gate) performed well – Improvements would include adoption of face-on-the-fly and integration with agency systems
- Assurance and other risk management processes established:
 - there was 1 biosecurity infringement (picked up by a detector dog), resulting in a fine and removal from trial (otherwise no known breaches of biosecurity or customs law)
 - there were 8 breaches of trial terms and conditions, resulting in removals from the trial
- The real time savings were limited and gained through queue avoidance at the secondary line (but the experience seemed faster and more satisfying)
 - 71secs** average time saved compared to normal MPI lane
- Preferences regarding interacting with humans versus technology were somewhat contradictory
 - 3.9/5** Trialists' rating of enjoyment of human interaction with eLane welcoming staff
 - 3.06/5** Trialists' rating of ability to not interact with staff asking compliance related questions
- While acknowledging the two processes cannot be directly compared, the eLane was slower (average 26 seconds) to process travellers than MPI risk assessors (average 12 seconds)
- Vetting was highly resource intensive (average 7 minutes for Customs, 30 minutes for MPI)
- Inter-agency relationships and understanding were strengthened

Operational/ Cross Agency

02

- A 'trust-based' model cannot manage hitchhiker or inadvertent border risk – we have no clear profile of this traveller and enrolment and vetting processes are unable to predict random unintentional/forgetful behaviour
- Trial cohort (frequent business travellers) was assumed to be 'very low-risk,' evaluators consider it to now be 'low-risk'
- This traveller cohort is highly willing to use technology to improve their travel experience and somewhat willing to provide personal information
 - 4.7/5** Trialists' rating of willingness to use other technologies (such as facial recognition and digitised arrival cards)
- Trialists identified time savings as their primary benefit (other benefits included ease/flow/convenience, avoiding queues and avoiding extra walking distance of the 'Disney lanes')
- Trialist perception had a major contribution to their satisfaction (the process felt faster, bypassing queues and 'feeling special' was valued) – perceptions were variable and not necessarily accurate
- Certainty was a major driver of trialist satisfaction (eg, certainty of arrival ensured they made meetings or domestic connections)
- Trialists were highly confident they understood their border obligations and knew what was in their bag (about half checked-in bags), but some misunderstood their obligations (eg, interpreting a clearance as an implicit permission to not declare the item next time)
 - 99%** of trialists felt 'very confident' they understood their border obligations
 - 4.5/5** Trialists' rating of confidence in paying attention to details (such as knowing what was in their bag)
 - 64%** of trialists did not buy risk items as a way to manage their biosecurity risk
- Attitudes are indicators of likely behaviour change – some trialists demonstrated problematic attitudes (eg, lack of attention to detail and over-confidence) which also raise issues for a 'trust-based' model
- Major barriers to this cohort's compliance are complexity of message and attitudes; a major enabler is the use of technology for education and reminders (eg, text reminders/push notifications)
 - 23%** of trialists indicated they might be tempted to not declare a low risk item in order to use eLane
- Queues had the greatest impact on streamlining arrivals for frequent travellers
 - 89%** of trialists turned on their phones before leaving the plane (relevant for text reminders/push notifications)

Strategic/Sector/ Governance

03

- Aviation industry partners see the future as seamless and digital
 - 84%** At least 84% of trialists are willing to be contacted for future border trials
- The vast majority of trialists are willing to be contacted to participate in wider border improvements
- There is emerging mutual understanding of differing risk profiles and tolerances amongst the border agencies
 - 34%** of trialists not willing to pay to access a similar service
 - 44%** of trialists willing to pay to access a similar service (less than \$300 annually)
- There was tension between paradigms of 'facilitated customer service' and 'biosecurity protection'
 - Some trialists were willing to pay a relatively small amount to access streamlined travel, while others would not pay (some felt it was for the government or airport companies to fund as part of continuous improvement)
- Cross-border and cross-discipline projects provide opportunities for:
 - sharing of ideas and broader experiences
 - increasing mutual understanding and stronger inter-agency relationships

Independent Trial Evaluation

The evaluators:

- considered the project and trial made a **good contribution** to better understanding of the profile and behaviour of frequent travellers
- rated the project **good** for the extent to which the Trusted Traveller project and related trial provided useful project learnings or insights
- found there is **emerging evidence** that there are wider border learnings that were not known before, which may be useful to apply to similar concepts or initiatives in the future.

Opportunities

04

- Build on the stakeholder appetite for streamlined travel (faster, seamless, digital, effortless, certain)
- Consider using this traveller cohort to test other streamlining initiatives
- Continue to collaborate as a sector to build mutual understanding of:
 - each other's risk profiles and tolerances, priorities and parameters
 - traveller risk profiles and who the 'customer' is
- Build on the frequent traveller cohort's comfort with technology and providing personal information to:
 - facilitate travel
 - increase compliance
- Continue to leverage the risk assessors' influence to assist travellers to comply
- Consider a sector-wide research and development opportunity on traveller preferences between interacting with a human and/or technology
- Continue to cross-apply trial learnings to other relevant border initiatives
- Continue to build understanding of (and where possible agreement on) where the balance between protection/security/border assurance and facilitation lies and the respective roles of government and industry
- Continue to invest in, and capture learnings through, adaptive monitoring and evaluation



Background

Increasing pressure is being put on the border

Border sector pressures are changing. Increasing volumes and diversity of trade and tourism, and the increasing complexity of global supply chains and pace in the trade and travel lanes, are exposing New Zealand to more and different risks. International visitor numbers alone were 3.65 million in the year ending June 2017 and are expected to grow to 5.1 million annually by 2024.⁵ These environmental changes are putting increasing pressure on our border systems and processes.

Agencies are acutely aware of this and have a range of new and innovative solutions which are being explored, are undergoing trial, or are being implemented. Some of these initiatives are noted at **Appendix A**.

The 'trust-based' model

The trial was part of the Trusted Border Programme, a two-year programme commencing in July 2016 intended to streamline border processing for low-risk travellers and traders. Funds for the Trusted Border Programme were secured through Budget 2016. The analysis provided in support of the appropriation proposed "a trial of 1000 - 2000 regular trans-Tasman travellers who are New Zealand citizens...

Travellers would create an online profile with detailed information through a secure portal allowing risk assessment for acceptance into the scheme... Those admitted to the scheme will receive preferential treatment on arrival through dedicated biosecurity lanes and less attention from border officials..."

The trial prototyped a 'trust-based' model. Following identification, invitation and vetting, approved travellers were deemed to be 'low-risk,' and were 'trusted' to self-manage their own compliance with border (and trial) requirements. This was monitored through various verification, compliance and assurance processes. The model built off the work done in the Quicker Kiwis and Accredited Traveller initiatives.⁶

The proof of concept was primarily a joint venture between MPI and the New Zealand Customs Service (Customs), with the impacts and potential benefits falling predominantly on MPI.

Following a discovery phase, the project team proposed initiatives related to a reduction in queueing (a separate arrivals lane, moving to earlier risk assessment, and a facilitated departures experience) and a reduction in paper (removing arrival and departure cards, and considering biometrics). In March 2017, it was agreed that the trial would focus on testing only the processes set out in the initial analysis. MPI and Customs accordingly became the

⁵ Growth projection from New Zealand Tourism Forecasts 2018-2024 - Ministry for Business, Innovation and Employment (MBIE) - released 8 May 2018.

⁶ Quicker Kiwis was an R9 accelerator project developed under the then government's Better Public Services Result 9 Area (making it easier for businesses to interact with government). The solution was taken in-house by MPI and developed, in part, as the Accredited Traveller project later in 2016. The project did not proceed.



main stakeholders. Immigration New Zealand (INZ), the Aviation Security Service (AvSec) and Statistics New Zealand (Statistics) have remained involved in governance and/or advisory capacities throughout the project.

Key trial drivers were operational efficiency and stakeholder expectations

In light of border pressures and efficiency drivers, the trial was seen as a way to test a different way of managing increasing volumes and risk. Resources might then be better targeted, over time, towards managing high risk travellers.

Stakeholder expectations around a seamless travel experience, including from both the travel industry and the travelling public, were also a key driver.

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The Trial

The live trial ran from 7 July 2017 until 31 March 2018. An initial cohort of 190 trialists was enrolled by late September 2017, and a further 215 were enrolled in January/February 2018 – taking the total set of trialists to 405.⁷ The trial’s objective was to prototype a ‘trust-based’ model in order to gain knowledge, skills, insights and evidence which could contribute to the border sector’s goals. While this was a proof of concept trial, significant controls were in place to ensure risk was tightly managed and stakeholders’ interests and concerns were taken into account. This included, for example, a tight and staged initial approach to invitations to participate in the trial, a kiosk and gate prior to entry to the Green Lane for more visible border management, and the streamlined process only being available to travellers when detector dogs were working.⁸

Overall, it was found that a ‘trust-based’ model cannot sufficiently meet MPI’s risk management needs, in light of the potentially significant impact of a serious biosecurity breach at the border to New Zealand’s natural environment, society and economy.

Many of the findings confirm what may already be known to the sector, now supported

through a dedicated operational trial. Additionally, a richer picture of the frequent business traveller has emerged – including the cohort’s view of this kind of concept, indicators as to what their enablers and barriers to compliance might be, and confirmation of their pain points and levels of expectation.⁹ It also highlighted the validity of existing risk management systems, both in terms of their efficacy and efficiency. 405 trialists provides a highly limited sample from which to draw conclusions around operational efficiencies, risk management and traveller compliance. However, it is a sufficient sample to provide insights into the attitudes and motivations of the frequent business traveller. The key findings are supported by independent research and evaluation.¹⁰

The project also provided a positive opportunity for closer collaboration, both between border agencies and with Auckland International Airport Limited (AIAL), and created a high level of positive goodwill. It had the spill-over benefits of strengthening relationships, providing opportunities for sharing broader ideas and experiences, and developing better mutual understanding of drivers, challenges, priorities and parameters.

⁷ Following a tight and staged start to the trials, approximately 600 uses of the eLane were made by the initial cohort from July to December 2017. Throughput ramped up when another 600 uses were made by the expanded set of trialists between January and March 2018, including 300 uses in February 2018 alone. In total, 327 trialists made use of the eLane 1190 times. 126 trialists used the eLane four or more times, including twelve trialists who used the eLane ten or more times.

⁸ The Green Lane is an exit channel for low-risk, or with mitigated risk, passengers and crew – those meeting the criteria are able to exit without their baggage being x-ray screened following risk-assessment by an MPI assessor. Those who used the streamlined arrival process under the trial were entitled to use the Green Lane when detector dogs were operational in the lane.

⁹ The trial project team did not target ‘frequent business travellers’ to enrol in the trial. It targeted frequent travellers and required they only use the eLane when travelling on business. The evaluators note it would be interesting if future trials recruited non-business frequent travellers, to assess any variations in attitudes and behaviour.

¹⁰ An MPI senior evaluator and an independent evaluator led the design of an evaluation framework and analysed data for the evaluation. Data collection was carried out between August 2017 and April 2018. Five progressive evaluation reports were provided, culminating in a final evaluation report provided on 16 May 2018.



The evaluators found the project increased the border sector's future capacity and capability to run or collaborate on similar cross agency projects.

"Participating for strategic relationships and contacts has been a big win for us"

Agency interview feedback



INZ notes that its interest lies in facilitating genuine travellers, and that all interactions travellers have with a government agency are of interest from this perspective. AvSec notes it intends to use the learnings from this trial to inform future data capture, collection and management approaches and risk modelling. Both agencies would have a strong interest in managing possible risks arising from any extension of the model (i.e., to include non-New Zealanders or the departures process).

A key learning sought from the trial related to operational efficiencies with the expectation of being able to divert resources to higher risk areas. This was not possible to specifically assess within trial design limitations. However,

wider insights into the lack of viability of the 'trust-based' model, and what it may take to operationalise it, indicate it would not be more operationally efficient than the current system.

Future viability of streamlined travel

In general, and provided risk can be managed, there are two options for the future of streamlined travel:

- a. risk-based differentiation of travellers – one example is the 'trust-based' model trialled, which essentially seeks to segment travellers on a low-risk basis prior to travel; another example is to look at a "whole of population" solution, segregating travellers based on risk on a transactional basis as they approach the border and processing them accordingly (ThinkSmash proofs of concept point to this, using new technologies and approaches)
- b. fast-tracking or expediting travellers – one example of this would be a 'premium' service whereby travellers would 'skip the queues' while regulatory processes remain in place.¹¹

While the traveller experience was proven to be highly satisfactory and there is customer demand, the 'trust-based' model is not currently viable in the New Zealand setting. However, trial learnings suggest enablers set out at **Appendix B** may increase the viability

¹¹ In the 2016-17 Budget, the Australian government announced an initiative to establish Premium Border Clearance Services. This provides for the government to raise revenue by charging a commercial fee to airport operators to provide premium border clearance services for international air passengers, initially at Sydney, Perth and Melbourne airports. Processing would be under established clearance procedures; there would not be exemptions from customs, immigration, biosecurity or aviation security screening.



of a similar model, although there is not sufficient insight to *ensure* viability. Potential enablers include opportunities being explored in border intelligence and data analytics, technology improvements, and incorporation of a risk assessor empowered to intervene with streamlined travellers at any time.

Any such investment would need to be considered alongside other improvement options as well as possible operational impacts on business-as-usual. Concerns about possible increases in risk exposure (as a greater diversity of travellers and arrival points would be expected from any scale-up) and the extent to which prior vetting (and other processes) could replace assessment by a risk assessor would likely remain.

Airports play a vital role in managing traveller flows. Active queue management alone can have a material impact for all travellers. AIAL staff manage the 'Disney lanes' (along with a number of other elements of traveller facilitation) which the trial found were the source of most time delays or savings.¹² Existing queue management strategies, including the recently introduced MPI Green Card Lane, activated at times of very high volume, provide further improvements to the traveller experience.

Whether travellers were differentiated by risk or fast-tracked, the following would need to be established:

- a. the appropriate infrastructure, including resolving issues relating to the constraints of the physical airport space, jointly with the airport company
- b. what the service would cost, who should pay (government, airport/airlines, travellers) and how it would be funded, including the appropriateness and level of any cost recovery.¹³

The trial was funded from a two-year appropriation of \$1.62m allocated in Budget 2016, as part of the wider Trusted Border Programme. Overall, border sector agencies are seeking to make system-wide improvements to facilitate travel and trade across the border, as well as managing risk, in the face of increasing volumes and complexity. A range of new concepts and innovative solutions are at various stages of exploration and implementation, and ongoing investment and new ways of working will be needed to ensure ongoing resilience to changing pressures.

¹² 'Disney lanes' are a zigzag system used for managing queues.

¹³ Four key principles guide MPI's and Customs' approach when setting cost recovery fees, charges or levies: equity; efficiency; justifiability; and transparency. The general guidance on cost recovery for public entities published by the Treasury and Controller and Auditor-General is also applied, requiring consideration of: authority; effectiveness; simplicity; accountability; and consultation.



Acknowledgements

The Programme Manager ([Denise Hing](#), Customs) and Project Manager ([Wayne Levick](#), Ministry of Business, Innovation and Employment) would like to thank the expert staff seconded or assigned from the border agencies to the project team:

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The project team would also like to thank all those people and organisations, including the border agencies and our suppliers, involved in developing, implementing, advising on and evaluating the live trials. Special thanks goes to AIAL and Air New Zealand for their support and assistance throughout.

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Appendix A

Other Border Improvement Initiatives

Opportunities	Initiative examples
<p>Managing risks earlier, streamlining low risk clearance processes and reducing queues, delays and blockages</p>	<p>ThinkSmash is a joint industry-government initiative that has a vision to 're-imagine a seamless travel experience that protects New Zealand.' It involves AIAL, the Board of Airline Representatives NZ, Air New Zealand, Datacom, IDEMiA, MPI, Customs, INZ and AvSec</p> <p>ThinkSmash is identifying and trialling a number of viable proofs of concept. The current projects are:</p> <ul style="list-style-type: none"> • combined inward baggage screening, for early risk assessment (MPI lead) • digital arrival card, including a traveller app (Customs lead) • biometric capture and multiple sharing/use by border agencies (Customs lead) • customer-centric integrated communications with Indian national travellers (INZ lead). • biometric boarding, using facial recognition (AIAL lead).
	<p>MPI Border Clearance Initiatives include:</p> <ul style="list-style-type: none"> • adjustment of the Green Lane eligibility profile from that of only being Australian /New Zealand passport holders to risk assessed passengers of all passport types, directing an average of up to 1,000 additional low-risk passengers per day to the Green Lane exit rather than having to be processed via the x-ray exit (on average 4 minutes 22 seconds faster) [December 2017] • a new lane configuration at Auckland International Airport which has seen significant improvements in processing times despite a 10% increase in passenger arrivals [2017] • a green card concept (in conjunction with AIAL) which significantly improves processing times for New Zealand/ Australian passport holders [2017/18] • installation of a dedicated hand luggage X-ray machine at Auckland International Airport as a further means of segmenting passengers [November 2017].

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Opportunities

Initiative examples

Customs' Assurance Model is aimed at informing and refining Customs' intelligence through the introduction of random sampling across the import streams of Passengers, Cargo, Mail and Craft ensuring better understanding of levels of compliance and non-compliance.

The work will support data analytics and intelligence assessments of risk within each stream, enabling a future where Customs officers know more about what they are looking for and have higher strike rates. Sampling methodologies are being developed, tested and validated to ensure robustness.

Removal of the departure card (Statistics, MBIE, Customs)

The departure card collects information used to generate economic, population, labour market and tourism statistics, and advises departing passengers about their obligations around cash reporting. Most of the information collected can be derived from other sources.

This work contributes to the broader border vision of easier travel with fewer touchpoints, and will remove around 6.5 million passenger movement cards per annum.

To enable the removal of the physical cards, Statistics is investing in new IT systems and is developing a new statistical model to measure permanent and long term migration. Officials are working towards the collection of arrival information through digital mechanisms in the future, and at that point Statistics will realise savings from its investment.

Co-opting public participation

Biosecurity 2025's strategic direction

'A biosecurity team of 4.7 million,' aims to make all New Zealanders aware of the importance of biosecurity and to get them involved in pest and disease management.

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Opportunities

Exploring new technologies to expedite efficiency and effectiveness in managing the border system

Initiative examples

Customs' EGate expansion

In 2015/16 and 2016/17 the EGate next-generation technology was rolled out to airports. This includes 29 new gates as well as replacing the 22 existing gates with the new technology. By the end of 2016/17, 50 of the 51 gates were installed. The new technology provides an improved experience for travellers through a faster, simpler one-step process, and the greater capacity enables Customs to redeploy staff from primary processing of passengers to other high-priority areas (such as profiling and secondary searches of passengers).

Work is underway on testing the lowering of the age for eligibility to use SmartGate to 10 years. More nationalities are now able to use the system and, over time, it is expected eligibility will be further expanded.

AvSec's Screening Point Modernisation Programme

Increasing automation and use of advanced imaging technologies, supporting greater variance in the screening process and opportunities for increasing output. The Programme comprises implementation of smart lanes, increasing automation for cabin baggage screening and new detection capability, introduction of body scanners, and updates to metal and explosive detection capability.

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Appendix B

Potential enablers for risk-based differentiated streamlined travel

Conditions	Including...
Information	<ul style="list-style-type: none"> • wider understanding and agreement on the profile(s) of the 'low-risk' traveller • intelligence and data capable of supporting better identification of possible deceptive and inadvertent risk (noting the opportunities arising from continuous improvement in data analytics and intelligence) • information-sharing between the border agencies for risk management and facilitation purposes • ongoing research and evaluation into efficacy of interventions
Technology	<ul style="list-style-type: none"> • technology to better manage risk (e.g., increased capability to detect more risk items or to detect them better, digital passenger biosecurity declarations) or to provide officers with information earlier • technology to provide a quicker and more seamless/effortless experience to the traveller (e.g., face-on-the-fly, hand-held luggage x-ray)¹⁴ • technology to help travellers comply with their obligations (eg, text reminders or app push notifications) • Integration of any technology with existing border agency systems
Space	<ul style="list-style-type: none"> • agreement on the best use of airport space between government and the airport company
Education and Communications	<ul style="list-style-type: none"> • further evaluation of underlying attitudes of travellers, to assess how travellers can best understand the consequences for breaches, and improve pro-compliance attitudes and behaviours • target education and communications at known issues and delivered through known opportunities (e.g. text reminders)
Systems	<ul style="list-style-type: none"> • integration of service into the existing secondary area processes • mutual buy-in and a shared approach to the 'problems' and 'solutions' across agencies and private sector (including aviation and industry partners)

¹⁴ Any operationalised scheme would need to clearly define technology requirements (technical specification and performance).



Conditions	Including...
Processes and procedures	<ul style="list-style-type: none"> • a bespoke vetting process (taking account of risk tolerances, resource/cost and cost recovery options, ease of entry by applicant, ongoing review systems and incorporation of the principles of natural justice).¹⁵ The need for or scope of vetting would also be dependent on the state of other information/technology (which could reduce or obviate the vetting burden). Post-enrolment vetting (either regular or event-based) would also need to be considered. • additional assurance and risk management processes: <ul style="list-style-type: none"> — a formally trained officer to manage exceptions, troubleshoot, identify travellers of interest for further processing and to intervene if they so chose — establish a formal assurance process, aligned if possible with other border sector assurance processes (for example, MPI's Performance Verification) and carried out on a regular but randomised schedule • consideration of directing random participants to a risk assessor at the secondary area on a periodic basis • formalised policies and procedures around traveller breaches: <ul style="list-style-type: none"> — level of intention applying to breach (whether from border legislation or from terms and conditions of entry) — consequences for breaches which, in addition to infringement and fines, might range from permanent expulsion from a scheme for breach of border requirements through to suspension for breach of (other) terms and conditions of entry • cross-agency policies and procedures to manage shared business (e.g. vetting, privacy requests) • collection of relevant information about travellers for monitoring and evaluation

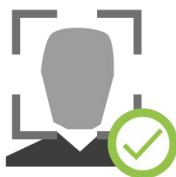
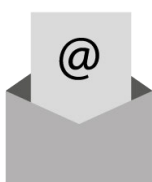
¹⁵ The level of tolerance for possible adverse outcomes includes: the possibility the scheme could be used to take advantage of a perceived 'hole in the border' (for example, by organised crime or a terrorist organisation); and possible reputational risk to government by allowing people of 'bad character' (unrelated to border risk) the privilege of using a streamlined service. Vetting staff advises a team of 20 (10 each from MPI and Customs) would be required for initial (and likely ongoing) vetting of 10,000 participants. Efficiencies would need to be explored, including greater automation and use of lower-cost resources (for example, support officers assisting intel officers in decision-making, or requiring applicants to get their own Police checks). Were such a scheme to be expanded beyond the current cohort, vetting would become more complex and require additional specialities (for example, INZ).

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STREAMLINED TRAVEL TRIAL 2017 – 2018

SUPPLEMENTARY INFORMATION TO THE REPORT ON KEY FINDINGS



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30 June 2018

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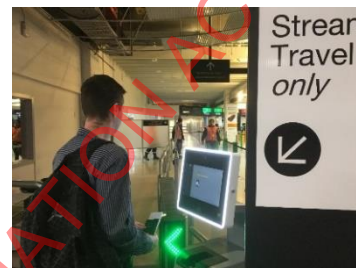
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Purpose

1. This document is intended to be read in conjunction with the *Streamlined Travel Trial – Report on Key Findings, 30 June 2018* provided to the Trusted Border Programme Governance Group in July 2018 (the ‘*Report on Key Findings*’). It provides border agencies with supplementary information on trial processes, data, information, insights and evidence.

The Trial

2. The Streamlined Travel Trial (‘the trial’) ran from 7 July 2017 until 31 March 2018.¹ **Figure 1 (over)** illustrates the streamlined arrival process and key trial statistics and **Table 1 (over)** summarises the key criteria and risk management processes in place during the trial.



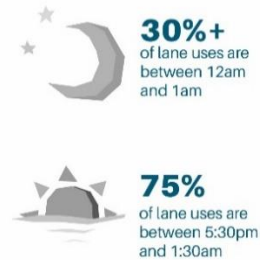
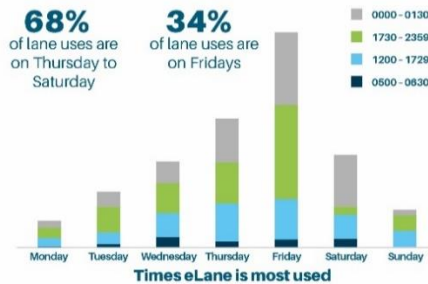
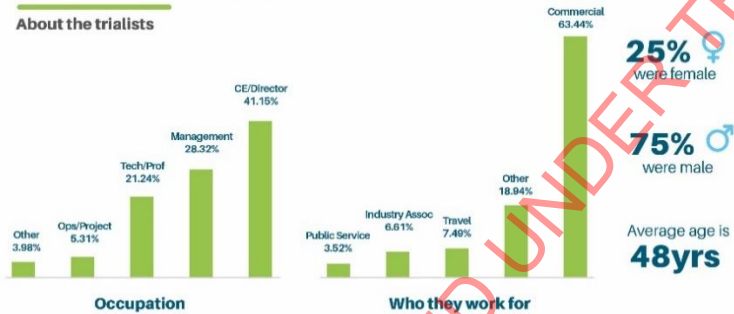
¹ The trial was originally intended to run from March – 30 November 2017. Governance decisions extended the trial to 21 Dec 2017 and then to 31 March 2018.

Figure 1 – Streamlined Travel Trial – Process and Key Statistics

Streamlined Travel Trial Process and Key Statistics



About the trialists



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Table 1 – Streamlined Travel Trial – Assurance and eLane Use Restrictions

Pre-approval assurance	eLane use restrictions	Post-eLane assurance and other risk management processes
<p>Participants were assessed as being low risk of infringing border requirements.</p> <p>This included applicants:</p> <ul style="list-style-type: none"> ▪ meeting certain enrolment requirements (New Zealand citizens living in New Zealand, who were frequent trans-Tasman business travellers)² ▪ verifying they had read and accepted the terms and conditions of entry ▪ passing a border agency vetting process (verifying good compliance with border laws and regulations) <p>Note: prior risk assessment was a key component of the trial.</p>	<p>Participants were able to access the eLane after passing through Customs, if:</p> <ul style="list-style-type: none"> ▪ they were travelling into New Zealand directly from Australia (without having been to any other country on that trip) ▪ their main purpose for the trip was business ▪ they had nothing to declare on arrival into New Zealand. 	<p>Trialists were not permitted to use the eLane if detector dogs were not present. If the dogs were not present, the trialist would be escorted for one-on-one risk assessment by an MPI officer. This occurred once in 1190 eLane uses.</p> <p>This also included:</p> <ul style="list-style-type: none"> ▪ a spot-check of randomly selected trialists (mid-Feb – end-March 2018) ▪ compliance checking of arrival card declarations (for compliance with border requirements and trial terms and conditions) and Cusmod (to ensure no border infringements)

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² Trialists would ideally have made at least monthly trans-Tasman flight arrivals (into Auckland) over the previous 6-12 months.

Introduction to the trial findings and insights

3. Key trial findings, and the opportunities arising from those findings, are summarised in the *Report on Key Findings*. This document provides agencies with further detail on the trial processes, findings and data. The findings throughout are supported by independent research and evaluation as well as project team analysis of collected data and information and input provided by the Trusted Traveller Reference Group and the Trusted Border Programme Governance Group.³
4. Many of the findings may confirm what is already known to the sector, now supported through a dedicated operational trial. The trial provided an opportunity to test prior assumptions about frequent business travellers as well as develop a better understanding of their profile and behaviour (including indicators as to what their enablers and barriers to compliance might be and confirmation of their pain points and levels of expectation)⁴. So a richer picture of the frequent business traveller has emerged. Prior to the trial, little was known about them. Trial design, including the size of the trial cohort, limits the ability to provide conclusive evidence around operational efficiencies, risk management and traveller compliance. It is, however, a sufficient sample to provide insights into the attitudes and motivations of the frequent business traveller.
5. References to results presented as scores out of 5 (all mean average scores) are based mainly on a final trialist online survey (n = 214, 54% response rate) and 25 'deep dive' phone interviews undertaken in April 2018. The scores and percentages referred to throughout are from the Final Evaluation Report. Quotes, from trialists or others, are also taken from research and workshops undertaken by the trial evaluators.
6. The evaluators advise that survey responses are representative of the 'frequent business travellers' cohort as best they can determine, noting the relatively high response rates (29%, 54% and 58%) and consistency across iterative repeats of the surveys. There is no guarantee of representation of wider traveller cohorts.
7. Key research and evaluation statistics, overall performance ratings, and 'actionable learnings' recommended by the evaluators are attached as **Appendix A**.

The evaluators:

- considered the project and trial made a **good contribution** to better understanding of the profile and behaviour of frequent travellers
- rated the project **good** for the extent to which the Trusted Traveller project and related trial provided useful project learnings or insights
- found there is **emerging evidence** that there are wider border learnings that were not known before, which may be useful to apply to similar concepts or initiatives in the future

³ **Evaluation** involved an MPI senior evaluator and an independent evaluator designing, implementing and analysing data for the evaluation. As a developmental evaluation, the approach was iterative and drew on the support of the project team. This style of evaluation informs and supports innovation and adaptive development in complex and dynamic environment such as the Trusted Traveller project. Data collection was carried out between August 2017 and April 2018. Five progressive evaluation reports were provided, culminating in a final evaluation report (*Evaluation of the Trusted Traveller Project and Streamlined Travel Trial 2017 – 2018*, 16 May 2018. In this document, it is referred to as the 'Final Evaluation Report.')

The membership of the **Trusted Traveller Governance Group** and the **Trusted Traveller Reference Group** includes: MPI, Customs, INZ and AvSec. The Reference Group also had a member from Statistics New Zealand.

⁴ The trial project team did not target 'frequent business travellers' to enrol in the trial. It targeted frequent travellers and required they only use the eLane when travelling on business. The evaluators note it would be interesting if future trials recruited non-business frequent travellers, to assess any variations in attitudes and behaviour.

Operational Efficiency

8. A key learning sought from the trial was related to operational efficiencies. This included allowing diversion of resources to high risk areas and possible gains through synergies and adoption of new technologies.⁵

The technology performed well - with room for improvement

9. On the ground, the trial tested an 'eLane' – an electronic screen for biosecurity declarations (adapted from a SmartGate kiosk) and a physical gate located next to the normal MPI lane. While the trial was not intended as a technology performance test, there were some general learnings, which are recorded here.
10. Biographic scanning was introduced at trial outset and was upgraded in October 2017 to biometric scanning.⁶ Biometrics processing was expected to decrease the time trialists spent interacting with the kiosk and to confirm the identity of the trialist - something the biographics process was unable to do. Biometrics was found to be, on average, 17 seconds faster than biographics (after the initial use).
11. While the two processes cannot be directly compared, the trial did find that the eLane was slower to process travellers than MPI risk assessors - eLane average 26 seconds vs MPI risk assessor average 12 seconds.⁷ Potential time improvements could come from utilising alternative technologies, such as "face-on-the-fly", thereby removing the kiosk and need to scan identifying material. Although operating with greater numbers of travellers and in settings with less biosecurity risk than New Zealand, overseas experience suggests that streamlined travel at scale does allow for diversion of resources to higher-priority risk areas or different functions, and a lift in enforcement statistics.
12. During the trial, one suspected biometric false accept occurred and was subsequently detected by CCTV review. A false accept is the situation where a person - in this case, a trialist legitimately using the eLane - is incorrectly matched against another (in this case, another trialist). To avoid this issue in an operationalised environment, a more sophisticated process would need to be deployed. For example, if the eLane was linked to SmartGate/CusMod, this issue would be addressed, and the facial enrolment and recognition algorithms and exception-handling processes would be set at industry best practice standards.
13. ELane facilitators recorded 38 separate instances where the eLane or Kiosk did not run smoothly (3.2% of 1190 uses). The most common errors were trialists having to insert their passport more than once and gate malfunctions (e.g. not opening or closing too fast, sometimes due to thoroughfare of large baggage).⁸ Some of these issues were related to trialist familiarity, while others required technical adjustments. The technology was deployed



⁵ Streamlined Travel Live Trial Benefits Plan.

⁶ On the first use of the biometrics process, the kiosk took a live image and matched it to the trialist's passport photo (which also needed to be scanned). Once verified, the kiosk saved the live image. On subsequent uses, the live image was matched with the gallery image and no passport was required.

⁷ The normal MPI lane takes on average 51 seconds to exit travellers vs 58 seconds for trialists. This is likely due to the placement of the eLane.

⁸ It was assumed that most trialists would only have carry-on luggage, however half of trialists checked-in bags.

to support the operational trial, and it should again be noted that the trial was not intended as a technology performance test.

This traveller cohort is comfortable with technology

14. Trialists exhibited a high willingness to use technology to improve their travel experience – including comfort and willingness to use fingerprints and other biometric recognition technology. They were somewhat willing to share personal information (although they were more circumspect about how this might occur and potential risks).

Trialist willingness to use technology to improve their travel experience

4.7/5

(eg facial recognition and digitised arrival cards)

Trialist comfort and willingness to use fingerprints and other biometric recognition technology to improve their travel experience

4.4/5

The future is seen as seamless and digital

15. From an airline and airport perspective, the future of the exit process on arrival is focused on travellers enjoying a seamless, frictionless and effortless experience, supported by automation and biometrics.
16. Insights from the initial customer-centric discovery phase of the streamlined travel trial also point to these features as being key to the future traveller experience. Internationally, there is a move by agencies to tokenless travel with reduced officer touchpoints or no officer engagement, supported by information, technology, roving officers and random referral programmes, and collaboration with industry partners. Compliance history and “good character” are key to schemes where eligibility criteria apply. Infrastructure is also a critical component. There are many trials or proofs of concept in train, with testbeds and pilots to trial concepts in a manageable and low risk way before scaling.
17. The border agencies’ shared vision for 2025 includes together, taking a systems approach to delivering border services by coordinating investments in infrastructure and technology; sharing and enabling better access to information, expertise and training; future-focused so opportunities offered by a new generation of technology are taken up; and being well-placed to operate in a fast-paced, dynamic and technology-driven environment.
18. This general approach is being reflected in the proof of concepts in the ThinkSmash initiative.

Trialist willingness to share personal information with a phone app supplier to improve their travel experience

3.2/5

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Risk management

19. The trial tested a new way of managing risk. This comprised identification of low-risk travellers, enrolment and vetting processes, and assurance and other risk management processes.

The “trust-based” model does not address hitchhiker or inadvertent risk

What emerged was a clearer realisation of the fundamentally different, *unintentional* nature of biosecurity risk with travellers; and that technology and human error can be limited in how well the potential biosecurity risk of frequent business travellers can be anticipated and managed.

Final Evaluation Report, 16 May 2018, paragraph 95

20. Most non-compliance with biosecurity requirements is unintentional. This risk arises randomly – the one infringement during the trial was a trialist, tired from international travel, forgetting about the apple picked up at a Sydney Airport departure lounge. This incident caused the trialist significant embarrassment and contrition, but also provided learnings (for example, what kind of reminder might better trigger memory to ensure compliance: “have you added anything to your bags *since you packed them?*”).⁹
21. While prior risk assessment can signal deliberate behaviour and even establish a pattern of careless behaviour, it cannot currently manage truly inadvertent or hitchhiker risk - although see comments at para 34 regarding developments in predictive risk modelling. Building on the work of the trial evaluators,¹⁰ [Table 2](#) (over) illustrates the fundamentally different nature, impact and approach to Customs and MPI/biosecurity risks at the border as a key learning of the trial:

⁹ This micro-learning might be of interest in, for instance, the ThinkSmash integrated communications proof of concept.

¹⁰ Final Evaluation Report, 16 May 2018, paragraph 70.

Table 2: Nature, impact and approach to risk for Customs vs MPI/Biosecurity

Customs	MPI/ Biosecurity
<p>Intent/ Trustworthiness: intentionally deceptive or criminal behaviour (e.g. unlawful smuggling of firearms, medicines/drugs, objectionable material, money).</p> <p>Uses a risk-based integrated approach to facilitate the passage of goods, people, and craft across the border while managing the associated law enforcement, security and revenue risks.</p>	<p>Intent/ Trustworthiness: usually unintentional (e.g. tired or distracted traveller forgetting to declare fruit in a bag or bringing plant matter in on the sole of their shoe). 'Trust' is not the issue; it is about human inattention to detail.</p>
<p>Potential Impact: finite and limited e.g. \$13.4 million harm from all border interceptions of non-drug related breaches¹¹</p> <p><i>Note: Customs risk may not always be so finite or limited, as the costs and consequences of a realised threat may build up more slowly and indirectly but be significantly harmful.¹²</i></p>	<p>Potential Impact: potentially high stakes and ongoing or irreversible impact on New Zealand's natural environment, economy, primary industries and reputation.¹³</p> <p>For example:</p> <ul style="list-style-type: none"> • 79% of NZ's merchandise exports are from the primary sector [vulnerable to biosecurity incursions], and are worth approximately \$38 billion (from a total of \$48.4 billion)¹⁴ • Approximate cost of \$45 million on the major responses (eg myrtle rust, mycoplasma bovis) during the 17/18 year¹⁵ - the estimated cost of eradicating mycoplasma bovis is \$886 million over ten years • 2015 Queensland fruit fly response for 14 adult flies found in New Zealand cost \$13.6 million and avoided jeopardising a horticulture industry worth \$5 billion a year in domestic sales and exports (not including social harms)
<p>Intelligence capability: Strong cross-agency intel sharing/ analysis and ability to predict likely risk.</p>	<p>Intelligence capability: Limited intel and virtually impossible to predict the risk of a well-intentioned traveller making a mistake 'on the day'.</p>

¹¹ NZ Customs Service Annual Report 2017. Customs data relating to drug-related activity does not distinguish between cargo and passenger sources.

¹² Harms include the drug trade and reputational risks with partners for being seen as a weak link. \$1.15 billion in potential harm is avoided to New Zealand through illicit drugs seized by Customs. This includes social and economic costs, and takes account of all sources (eg, cargo, passengers). Customs also plays a role in counter-terrorism (which could have catastrophic impact) and manages risks for other partners (including detecting person smuggling, the export of cultural items, and pandemic risks).

¹³ Possible consequences include disease or loss of native species or eco-system (including those of cultural significance), loss of use of a public space, loss of productivity, loss of reputation as a safe exporter of high-quality food and as a unique natural environment, and/or suspension of trade with international partners leading to hundreds of millions of dollars lost. The government response to each incursion also numbers in the millions of dollars.

¹⁴ Refer:

http://archive.stats.govt.nz/browse_for_stats/industry_sectors/imports_and_exports/OverseasMerchandiseTrade_MRDec16.aspx.

¹⁵ Response operational costs for 2017/18 year to date as at 30 April 2018 were \$34,125, 171 (bonamia, myrtle rust, mycoplasma bovis). Summary of compensation across all live responses was \$11,284,110 (pea weevil, Myrtle Rust, bonamia ostreae, mycoplasma bovis). This did not estimate the number claims still to be received or the value of claims still to be received or assessed.

22. Trialists exhibited a high willingness to do various things to access a service like the eLane, including completing education requirements. Education and communications might raise traveller awareness, mitigating the risk to some small extent.
23. However, the very randomness of this type of risk coupled with the limited attention to detail exhibited by some trialists (see [Traveller Compliance](#) page 15) are likely to lessen the extent to which education and awareness could make an appreciable difference.
24. At present, the MPI one-on-one risk assessors, working in tandem with the detector dogs, mitigate the risk that otherwise unpredictable threats will cross into New Zealand. This is complemented by other interventions in this pathway such as; social marketing, amnesty bins, x ray, physical intervention, performance verification and enforcement. New technologies are in the pipeline, which might provide a greater level of assurance and increase our ability to detect and neutralise these threats before they cross the border.

Trialist willingness to complete an online education module or allowing fuller vetting checks

4.1/5

Trialists' willingness to attend an initial education briefing/ yearly refresher

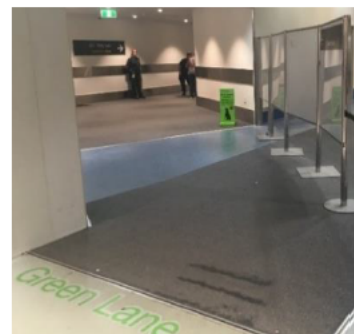
2.7/5

Trialist willingness to use a one-stop website for information

3.38/5

A detector dog picked up the one biosecurity infringement

25. Detector dogs perform four main roles at the airport: biosecurity screening, increasing awareness among travellers, the deterrent factor, and brand recognition. The dog programme has evolved over a twenty year period. Dogs are trained to detect 60 scents.¹⁶ Plant and meat products are prioritised scents as that is where the majority of the risk lays - for instance, over 80% of fruit fly enters through carriage of fresh food. Different factors affect the dogs' ability to detect odours, including how deeply an item is held in luggage and the elevation of the luggage.
26. Trialists were only permitted to proceed through the Green Lane if a dog was present. Dogs were present 100% of the time the lane was used - although it cannot be guaranteed that the dogs provided a one-to-one screening of 100% of trialists and their luggage. If no dogs were present, the eLane facilitator was required to escort the trialist to a risk assessor - this happened once. The one MPI infringement notice issued to a trialist (March 2018) was the result of a dog detecting the forgotten apple.



Assurance and risk management processes established 9 trial breaches (1 breach of law)

27. Significant controls were in place to ensure risk was tightly managed. In addition to the vetting process carried out prior to approving each trialist onto the trial, a measure of assurance on trialist compliance was provided through one formal assurance process and four other risk management processes, both at the eLane and following the traveller's exit from the airport. A summary of the processes used and their outcomes from the trial is set out in [Table 3](#) (over).

¹⁶ The dogs are trained in some scents (e.g. lemons) which will allow them to detect other related scents (eg mandarins). The dogs are not trained in some scents (e.g. honey, as a number of cosmetic products contain it).

Table 3 – Trial assurance and risk management processes

Assurance process	Outcome from trial
<p>1. Detector dogs Dogs present in eLane. See above section.</p>	<ul style="list-style-type: none"> • 1 biosecurity infringement • 1 trialist attempted to avoid the dog
<p>2. Spot-checks Customs officers searched (randomly sampled) trialists' baggage. This process also involved an MPI officer check for biosecurity compliance.¹⁷ 47 checks were carried out randomly during 12 February – 31 March 2018. A minimum of 42 checks were required for the exercise to be considered statistically robust. 43 individual trialists were searched (four were searched twice). The average search time was 9.4 minutes.</p>	<ul style="list-style-type: none"> • 100% compliance rate against arrival card declarations for the 47 arrivals sampled (4% of trialist movements confirmed as compliant) • We can be 95% confident that this result could be applied to the whole of the trialist population, within the margin of error of +/- 2.4%
<p>3. Checks performed at the eLane ELane facilitators performed a brief check of trialist arrival cards/reminded trialists to fill in all sections ELane facilitators were also there to manage exceptions/troubleshoot.</p>	<ul style="list-style-type: none"> • 22 trialists were re-directed to other lanes as a result of the check • ELane facilitators, not being trained MPI or Customs Officers, had limited ability to perform troubleshooting functions.
<p>4. Arrival card analysis Trialists put their arrival card in the dropbox at the Green Lane exit. Statistics New Zealand forwarded the cards to the project team, who assessed the declarations for compliance with the trial's terms and conditions.¹⁸</p>	<ul style="list-style-type: none"> • Analysis of the arrival cards was the best tool to determine compliance with the trial's terms and conditions: <ul style="list-style-type: none"> • The vast majority of trialists were compliant with the trial's terms and conditions • Eight trialists completed their arrival cards completely and complied with the law, but did not adhere to the trial's terms and conditions (refer Traveller Compliance for more detail). • Cards are the only source of information (if answered truthfully) about countries travellers have been in, unless the full itinerary is captured in tickets (and recorded in agency computer systems) <p><i>Note: some arrival cards are missing (there are several points at which a card can be lost).</i></p>
<p>5. CusMod General Query Manual General Query carried out on all trial participants on two occasions during the trial. This was to check that no border infringements had arisen since vetting process took place.</p>	<ul style="list-style-type: none"> • No non-compliant records

¹⁷ The sampling methodology was reviewed and validated by Customs and MPI.

¹⁸ The project team checked: port of departure (was required to be Australia); main purpose of travel (was required to be business); country spent most time in and countries visited in the last 30 days; nothing to declare for MPI and/or Customs.

Vetting cannot predict unintentional behaviour

28. The cohort chosen to participate in the trial were considered 'low-risk,' based on their profile and their border compliance and personal history.¹⁹ They were required to provide information up-front to support advance risk assessment through the vetting process.
29. A low level of individual traveller screening was considered effective for the purposes of the trial. The agreed focus for vetting purposes was border risk (through identification of past compliance history and known associations).
30. Customs and MPI each vetted 416 prospective trialists; eight were considered unsuitable. Those accepted onto the trial were being 'trusted' to fully understand and to not breach border requirements.
31. The MPI and Customs vetting staff involved in the trial strongly recommend a higher level of vetting should a similar scheme be operationalised. This would include an element of vetting for character, for example, Police checks.²⁰ Any expansion of the scheme would lead to increased risk and vetting needs.
32. The trial did not provide any clear evidence that would support findings on the appropriate level of vetting. It did find:
- the vetting process was highly satisfactory from a trialist point of view
 - the vetting process was highly resource-intensive for agencies²¹
 - some trialists showed traits, such as lack of attention to detail, which are known risk indicators for vetting purposes.
33. As noted above, the enrolment and vetting processes were unable to predict 'trustworthiness' or risk around frequent business travellers' compliance with border and trial obligations, particularly around potential (unintentional) biosecurity related risks. A higher level of vetting would not have picked up any propensity to breach or misunderstand the rules displayed by the nine trialists who breached the rules. The one biosecurity incident was accidental and no previous adverse findings had been found against the traveller.

Trialist willingness to allow police, criminal history and financial checks, as indicators of good character

4.1/5

Trialist willingness to share personal information to access a similar scheme

3.7/5

Trialist willingness to do things that required more of their time and attention, such as attending a face to face interview

3.6/5

Average Customs vetting process

7 minutes

Average MPI vetting process

30 minutes

¹⁹ The initial identification and segmentation of the frequent traveller cohort was based on MPI analysis, using verifiable data of biosecurity breaches amongst cohorts.

²⁰ In some other jurisdictions, the assessment process to access a "trusted traveller" type programme is based upon past enforcement action (e.g. a background check related to compliance history) and interview. Good character" is seen to be a relevant criterion, although there are potential challenges as to how it is defined and judged in a transparent way.

²¹ The timing was related to the number of systems that needed to be searched for an individual's past compliance history or known associations.

34. Predictive risk modelling is currently geared towards intentional non-compliance (i.e. Customs). Growth in intelligence, data analytics and tools (for example, luggage pre-screening) may provide new opportunities in the future to better target risk, at which point manual vetting may not be required at all. An MPI pilot project looking at fresh produce and cut flowers provided insights around risk factors such as seasonality and exporter supply chains, demonstrating the ability of analytics to model unintentional non-compliance (although it should be noted that a model successfully detecting unintentional non-compliance in one pathway does not mean modelling will also detect this in other pathways). The recently announced Biosecurity Intelligence Unit may contribute to this capability. These opportunities also make it possible that some form of streamlined travel might become available to *all* travellers in future.

Perception of class/status bias was surprising

35. The frequent traveller cohort was chosen because they represented low risk to the border agencies.
36. However, because most trialists had professional/ business status, including a high proportion of senior executives, there was a perception from some staff and stakeholders that the trial was favouring the 'business elite' (including some who had involvement in or influence on the trial) and was non-representative.
37. There was also a perception in some quarters that a 'premium service' was being developed for the benefit of those who could afford to pay for it.
38. These perception risks should be noted for similar future trials to ensure active management from the outset.



Early understanding around management and sharing of traveller information is valuable

39. The trial surfaced the need to collaboratively develop policies and procedures for managing privacy requests spanning more than one agency. There was a need to facilitate requests being addressed in a coordinated and consistent manner, in accordance with the legal authorising environment. Both of these aspects of proper protection and management of traveller information should ideally be addressed early in project design.

Mutual understanding of risk profiles and tolerances across the border agencies increased

40. The border sector works together in a number of important ways in order to manage risks, including through shared resources, common facilities and coordinated processes. At the strategic level the border sector has similar drivers, while at an agency level there are diverging risk profiles which can lead to competing priorities. The trial surfaced the issue that different agencies had different perceptions of what constituted 'risk', or perhaps more accurately 'low-risk'. There was also some tension between paradigms of 'facilitated customer service' and 'biosecurity protection.'

41. Developing a common understanding of risk paradigms provides an important contextual framework, which will be key to success in any cross-border management setting. This project has gone some way to developing that understanding. The Border Sector Strategy, which came into effect in late 2017, and new advisory committees set up to support the Border Sector Governance Group, are also intended to provide greater clarity and direction. Adopting the approach taken in the context of national security management, which focuses on first articulating 'all hazards/threats,' could form a useful precedent for further work.²²
42. Although the trial was intended to be cross-border, once its scope was narrowed to the streamlined arrivals process, the potential risk and responsibility fell on MPI. It is clear that it would have been advisable to address the asymmetry more sharply as it emerged. The multi-agency approach did, however, also bring in a broader church of ideas, increase cross-border awareness, provide an opportunity for testing and filtering ideas, and highlight opportunities for a broader environment both for the immediate project, and for opportunities beyond.

A shared language is important

43. Differences in terminology or paradigm can have a surprisingly large effect on how a project is perceived and the challenges it faces during development and implementation. For the trial, the use of the word 'trust' (as in 'Trusted Border Programme' and 'trusted traveller') was particularly problematic, notwithstanding the notion and concept of "trusted" is in play internationally.²³ The terminology had different connotations for different audiences and could be emotive, both within agencies and for the public. 'Risk', 'customer' and 'co-design' were other terms where there were different understandings.
44. Key terminology should be identified, explored and resolved as part of an early design process. Consistency in communications on joint initiatives - eg via joint briefings - might also assist in this process.

Traveller Compliance

45. Trialists were informed of the trial criteria for using the streamlined arrival process (including border and biosecurity requirements) in communications at the invitation and approval phases, with reminder cards given to them when they used the eLane. The kiosk also included a question confirming trialists had no biosecurity risk items. Regular communications were sent throughout the trial to remind trialists of their obligations.
46. Future compliance of the cohort may be inferred from a mixture of their past compliance and their attitudes and other behaviours.

²² Refer National Security System Handbook, accessed through www.dpmc.govt.nz on 21 June 2018.

²³ The trial was conducted under the Trusted Traveller project, part of the two-year Trusted Border Programme.

Most trialists complied with trial and border requirements

47. The eLane was used by 327 trialists and the vast majority complied with both trial and border requirements. This finding aligns with the assumption that the frequent business traveller cohort are 'low risk' travellers who will meet their legal obligations willingly provided that government makes it straightforward for them to do so.

Trialist: "[I] travel so much that this is second nature. Personally just would not do anything to put our country's biosecurity at risk."

Nine breaches

- One MPI infringement
The trialist was infringed for having an apple on their person; they were indicated on by a dog in Green Lane. There were no other known breaches of either biosecurity or customs law.
- Eight breaches of trial terms and conditions:
 - i. *Something to declare - three trialists used the streamlined process when they had ticked 'something to declare' on their arrival card*
 - ii. *Reason for travel - one trialist whose purpose of travel was not for business*
 - iii. *Travel to Australia and another country - four trialists embarked the aircraft in Australia, however had visited other countries prior to this*

48. Eight trialists were removed from the trial, and one additional trialist would have been removed had their breach of trial terms and conditions been detected before the trial ended.

Trialists were highly confident they understood their border obligations, but some didn't

49. The trial provided mixed evidence of the risk profile of the trialists – their attitudes to compliance were, in the words of the evaluators, 'complex and not always well-aligned.'
50. The trialist cohort were frequent travellers who could (or should) have been expected to know border rules. Based upon the assurance process and other risk management processes used, we know that most trialists followed the rules. However, attitudes are also important as indicators of both motivation and likely behaviour change or compliance. The nature of this cohort led to some unexpected risks, including lower attention to detail and, over-confidence by some. These attitudes are a challenge for a 'trust-based' model.
51. Trialists were highly confident they understood their border obligations, believed they were good at paying attention to details (such as knowing what was in their bag), and many deliberately did not buy risk items as a way to manage their biosecurity risk. Some expressed strong pro-New Zealand and biosecurity protection views and knowledge.

52. However, there were a number of issues relating to understanding and applying the rules in addition to the incidents of actual non-compliance:

- a. some trialists admitted not being fully aware of the trial's terms and conditions/not fully reading the information sent to them. Slightly less than 10% of the observations recorded by eLane facilitators noted they needed to remind trialists about the trial criteria/limitations or to complete their biosecurity declarations.
- b. some trialists admitted delegating their responsibilities (e.g., an executive assistant dealt with the invitation and enrolment process, which was an important part of understanding the terms and conditions of use)
- c. some trialists felt their familiarity with cross-border travel allowed them to self-assess their biosecurity risk and weigh it against their self-interest in using a streamlined service (as many as 23% might be tempted)
- d. some trialists did not understand 'the rules' they were not entitled to breach, included the Trial's terms and conditions.

53. As signalled in the [Risk Management](#) section, vetting staff consider behaviour such as lower attention to detail and delegation of tasks to be known risk indicators of non-compliance. This is consistent with 2014 research at Auckland Airport, which found repeat travellers were twice as likely to breach departure rules for what items they put in their cabin baggage (11% non-compliance rate).

Trial has provided opportunity to learn about barriers and enablers to traveller compliance

54. Some of the issues noted above relate to traveller understanding of 'the rules' and, accordingly, might be expected to be mitigated somewhat as traveller understanding increased through multiple uses of the eLane and as agency communication matured. A communications approach, which more comprehensively included pre-travel, in-journey and arrival communications, could be explored if a similar scheme was scaled.



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55. From the trial, we know that, for this cohort, barriers and enablers to compliance include:

- a. *Focusing on creating simple/easy to follow rules.* For instance, several trialists were confused by the requirement that they travel mainly for business when some had engaged in other activities eg visiting family. Sixteen incident reports (out of 34 total) were for this reason.²⁴ This resulted in additional communications with trialists on what business travel meant for the purposes of the trial.
- b. *Education and communications.* While a focus on biosecurity and border rules would be a given, issues of over-confidence would also need to be directly addressed. An approach incorporating messages of reward and risk - eg that education and self-compliance contributes to the privilege of accessing streamlined travel, while non-compliant behaviour faces clear punitive action - may be useful. As noted above, education alone may have a limited effect on issues of attitude. The effect of any interventions would need to be the subject of ongoing evaluation.
- c. *Technology.* The vast majority of trialists turned on their phone before leaving the plane. This provides opportunities around providing compliance messaging via text messaging or app push notification.
- d. *Interactions with Customs or biosecurity officers.* Some trialists misinterpreted messaging from airport risk assessment staff at the airport, i.e. interpreting a clearance (not needing to inspect the item) as implicit permission to not declare the item next time. For these trialists, this interaction appears to have had the unintended consequence of encouraging them to substitute their own judgement for that of the biosecurity officer. However, for other trialists, past interactions had positively solidified their understanding of and respect for biosecurity rules.

Trialist rating of willingness to complete online education to access a service like the eLane

4.1/5

Trialist willingness to use attend an initial education briefing and yearly refresher

2.7/5

Percentage of trialists indicating they most commonly turned on their

phone before leaving the plane

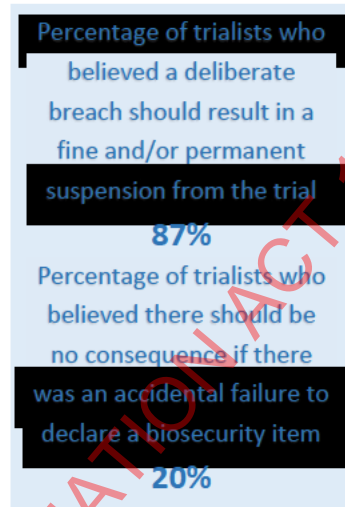
89%

Trialist: "I knew [unopened cereal items] were okay ... having previously declared the same items on earlier trips and was told to go through the 'green lane'. I would always ask if I thought an item had any possible chance of not complying with the rules."

²⁴ One removal resulted from these reports. The trialist was not travelling for business, which was a trial condition.

Intent of breach made a difference to the trialists' perception of fairness of the consequence

- 56. In general, trialists drew a distinction based on whether the breach was deliberate or accidental. A fair consequence was not always seen as straightforward.
- 57. Border legislation and regulations determine the level of intent (or lack thereof) required for a breach of legal requirements. If such a scheme was to be operationalised, it could consider drawing a distinction between different intentions - eg, deliberate behaviour, recklessness, carelessness - in relation to breach of terms and conditions. Both the level of intent required to form a breach and the consequences thereof would need to be clearly communicated to travellers accessing any such service.



Customer Experience

Vast majority of trialists highly satisfied with streamlined travel experience

- 58. Trialist satisfaction with the streamlined experience was very high. Feedback included hundreds of positive comments, including the desire that the streamlined service be made permanent.
- 59. Some trialists commented they would like the trial criteria extended - for example, for arrivals from ports other than Australia, for non-business purposes, for travel with a companion.



The real time savings are limited

- 60. The average time saving using the streamlined arrival process was 71 seconds compared to the normal MPI lane. From a purely processing standpoint, there might be an assumption that there was little for trialists to gain. However, seen through a customer experience lens, the avoidance of queues, together with an overall perception of a faster and better experience, contributed to the high level of satisfaction trialists expressed.

Trialist: "Very easy, made my life a whole lot simpler. Anything that gives me less time in the airport is a bonus..."

- 61. The key customer benefit was time-savings. The eLane saved travellers time in relation to the queue time at the normal MPI lane. When the normal MPI Disney lanes were shortened to expedite travellers during non-busy periods (by Auckland International Airport staff), the average timing for normal travellers also shortened significantly.

62. The evaluators found:
- the average queuing time at the normal MPI lane reduced from 95 seconds to 34 seconds when Disney lanes were shortened by Auckland International Airport staff i.e. reducing the back-and-forth walking distances for travellers
 - the normal MPI lane itself, not counting queues, had a median time of 1:03 minutes (which includes a risk assessor processing travellers and the travellers then walking to the building exit)
 - while acknowledging the two processes are different, the eLane's technology (using an electronic gate, electronic biosecurity question reminder and scanning) took longer to process travellers than a risk assessor - median 26 seconds vs 10-12 seconds.

63. Trialist potential satisfaction:

- remained high where there was no queue or queuing was less than one minute
- dropped dramatically where queues would be longer than 3 minutes.

64. Simply put, travellers are most interested in getting in and getting out of the airport more quickly. There may be opportunities to address other arrivals processes for further time savings or efficiencies - for example, baggage reclaim accounts for about nine minutes.

Most trialists perceived they **saved 5 – 12+ minutes** by using the eLane and over half estimated their entire arrival experience at Auckland Airport was **less than ten minutes**, compared to an overall airport average of **20 – 25 minutes** for all international arrivals.

Trialists' perceptions contributed strongly to their satisfaction

65. Trialists' *perception*, although variable and not always accurate, often guided their satisfaction.
66. Travellers tended to have a wide variation (and over-confidence) in estimating their walking times or time savings from avoided queues. A visible queue of 'normal' travellers created a perceived frustration, rather than actual time delays for trialists.
67. The main drivers of trialist satisfaction were the perceived time saved using the eLane, and its ease, flow and convenience. Trialists also appreciated being able to by-pass the normal secondary process and compliance staff, and avoiding the extra walking distance created by the 'Disney lanes.' There was also a sense that some trialists didn't enjoy being part of 'the crowd' of general travellers, liked feeling special and expected a premium service.

Trialist: "It should be a fulltime service for the 'right' group of travellers ..."

Trialist rating of importance of 'status as a trialist, feeling special' **3.14/5**

68. Perception is highly valuable when considering the customer experience. Perceptions for this cohort are likely to be increasingly negatively impacted by additional people using the eLane and by whether or not their lane is moving more quickly than other lanes.
69. MPI has modelled, at a high level, the “congestion” impacts of 10,000 frequent travellers arriving into New Zealand through a ‘scaled-up’ streamlined travel scheme. The modelling relates to the eLane only, other impacts (e.g. pre-screening or other operational impacts) are not included. The modelling indicates that short queues are almost certain to form during four 10 minute windows each week - two on Friday night, two on Saturday night. Any queues are likely to have receded within ten minutes given average modelled arrival behaviour.

Certainty was a major driver of trialist satisfaction

70. A key driver of certainty was highly valued by trialists - for instance, ensuring they could make an evening domestic connection, enabling them to work the next day.

Preferences for human interaction and technology somewhat contradictory

71. Travellers both enjoyed interacting with eLane facilitators and valued the ability to not interact with compliance staff.
72. This raises questions about whether travellers prefer interacting with technology or whether the difference is because the facilitator was there to help, not to assess, them.

Trialist enjoyment of interaction with eLane facilitators
3.90/5
 Trialist rating of the ability to not interact with staff who asked compliance-related questions
3.06/5

Other factors impact on customer experience

73. Airports also play a role in managing traveller flows. AIAL staff manage the Disney lanes (along with a number of other elements of traveller facilitation), which the trial found were the source of most time delays or savings. AIAL is investing ‘a million dollars a day’ in its physical infrastructure to manage growing (tourist and NZ/ Australian) traveller volumes. Commercial airlines like Air New Zealand also offer various premium services which can improve the traveller’s experience. Other influences on queues at the secondary line are how quickly travellers pass through the Customs process and baggage reclaim.

Trialist: “The next area for improvement lies with the airlines – bag retrieval.”

74. Existing queue management strategies, including the recently introduced Green Card Lane (activated at times of very high volume), provide both the platform to, and the insight for, further improvements to the traveller experience. The performance and presence of active queue management alone can have a material impact for all travellers. Experience has shown that getting more ‘width’ in the areas where travellers will queue leading to secondary processing is a key driver for increased facilitation. More width provides more opportunity to establish greater segregation of the passenger flow, which in turn enables the risk assessors to hone their questions and assessment, potentially reducing the time the traveller will need to interact with the risk assessor. This highlights the importance of collaboration between agencies and airports in the arrivals experience.

Most trialists willing to participate in wider border improvements

75. The vast majority of trialists surveyed indicated they would be willing to or interested in participating in other trials aimed at streamlining travel,²⁵ and also consented to the evaluation team sharing their personal information, for the purpose of seeking their interest in participating in another cross-border travel trial.

76. This provides a valuable opportunity for other border sector trials, particularly as trialists have already been vetted to a certain degree.

77. The initial customer-centric discovery phase, undertaken at the start of the streamlined travel trial project, identified many key insights that informed potential scope of this trial and remain relevant for future initiatives. These included:

- Queues as the biggest customer painpoint, and bottlenecks
- No differentiation for people who are familiar with the process
- Arrival and departure cards – using agency data and reusing data already held to reduce paper and move to digital technology
- Self-service, where checkpoints remain
- Recognition of status – and comfort with losing the ‘personal touch’ in return for walking through with no interaction
- Happiness with providing a lot of information in advance to become a “trusted traveller”
- A willingness to pay for the privilege – as long as it is cost-effective

Percentage of trialists interested in participating in other trials

At least **84%**

Percentage of trialists consenting to their personal information being shared for this purpose

97%

Interviewees:

“You don’t need to remove screening, just do it better”

“Waiting for bags is frustrating”

78. Noting that most trialists are willing to participate in wider border improvements, future trials and proofs of concept that address these opportunities are likely to play to the real interests of travellers. The ThinkSmash initiatives pick up on these themes.

Views of key stakeholders

79. While this trial was a proof of concept, controls were in place to ensure risk was tightly managed and stakeholders’ interests and concerns were taken into account.

80. Managing risk from a biosecurity perspective was paramount. This included a tight approach to inviting participation in the trial, a physical barrier rather than “screening on the move” for more active border management at entry to the Green Lane, staff to manage exceptions at the gate, and the process being available only when detector dogs were working. A statistically based randomised sampling process was undertaken towards the end of the trial for assurance about compliance levels.

²⁵ This included removal of arrival cards, use of technology before flight or in-flight, and faster ways to deal with baggage.

81. For airport and airline operators²⁶, key strategic drivers and interests are around seamless travel and the customer experience. The future of terminal exits is to enable travellers to go through the process in a way that is passive and effortless for them, is seamless and enjoyable – and offers certainty and predictability. Alongside, there is recognition that facilitation needs to include protection, and a streamlined experience can be achieved without diminishing risk management.

The Government Industry Agreement for Biosecurity Readiness and Response

82. The Government Industry Agreement for Biosecurity Readiness and Response (GIA) operates as a partnership between primary industry and government to manage pests and diseases that could badly damage New Zealand's primary industries, economy, and environment. Under the GIA, signatories share the decision-making, responsibilities and costs of preparing for, and responding to, biosecurity incursions. By working in partnership, industry and government can achieve better biosecurity outcomes.
83. Biosecurity is the number one concern for New Zealand horticulturalists. Horticulture New Zealand, as one of the signatories to the GIA Deed²⁷, has commented that it is comfortable to see advancement in systems, techniques and programmes to facilitate border processing – where risk is managed at the right level and to the same standard as currently achieved. The current level of biosecurity compliance is 98.5% with a 95% degree of confidence. In the view of Horticulture New Zealand, a statistically valid cohort is needed to provide assurance of compliance levels; this sample was too small to provide a reliable indication.
84. As stated in its submission in September 2016 on Biosecurity 2025 (the strategic refresh of New Zealand's biosecurity system), Horticulture New Zealand believes the trusted traveller model could be used to highlight biosecurity exemplars from this programme and help with education. For example, under Strategic Direction 1, a Biosecurity Team of 4.7 million, the model provides the opportunity for exemplars and positive drivers to do the right thing – for example, informing people of their obligations and their role in biosecurity, keeping people well-informed from a legal and moral point of view, with positive consequences through education, clear understanding, checks that they understand, and positive action. The model also provides the opportunity for positive messaging, for example, text reminders pushed to travellers as they disembark the aircraft, or a video or announcement on the aircraft.
85. NZ Apples and Pears Inc promotes and represents the New Zealand pipfruit industry – growers, packers and marketers of apples and pears – in domestic and export markets. It is one of the signatories to the GIA Deed. NZ Apples and Pears Inc strongly advocates for tightening, not loosening, of the borders given the growing risk of biosecurity incursions. For that reason, the organisation would ideally like to see more capacity and more, rather than fewer, interventions. It notes that even with detector dogs, x-ray, and physical inspection, risk items will still get through, albeit a relatively small proportion.
86. The organisation endorses the need for ongoing trialling and learning and, from that perspective, notes this trial in itself was not a bad idea. The organisation appreciates the controls that were in place during the trial, including that it was limited to only Australia as the embarkation point for trialists, rather than extending further afield. NZ Apples and Pears Inc is

²⁶ For an indicative view, the project team met with seven people who were from one airline and one airport company

²⁷ As from 11 June 2018

more than open to looking at other options and exploring possibilities as other tools become available. The ever-increasing risk at the border means, however, that there must be ongoing vigilance.

Airport and airline operators

87. Representatives from the airport and airline operators spoken with were enthusiastic about the kind of concept trialled. They also acknowledged that the regulatory and protection responsibilities of border agencies must be upheld, noting, for example, the desirability of more assurance checks to back up a lighter touch process, and consequences for non-compliance by travellers.
88. At the same time, they identified the limitations of scale from this trial, the impacts and requirements of a scaled-up proposition including at ports outside of Auckland, and the criticality of a way to effectively manage risk.
89. For airport and airline operators, there are also opportunities, and provisos, generated by the option of a third-party paid, or cost-recovered, “premium” service. Some of the considerations that might be relevant in private sector thinking about pursuing such a service are highlighted below.
90. The ThinkSmash initiative brings together private sector partners, with agencies, to jointly re-imagine ‘a seamless travel experience that protects New Zealand.’ This will also include looking at how some of the themes from the streamlined travel trial are taken into further proofs of concept, and how scaling or a different approach to segmentation might be approached.

“The proposition is fantastic” – from a customer experience as well as a strategy perspective

“The trial demonstrates the concept works”

“In Nirvana, we would continue absolutely to advocate this at scale”

Future of streamlined travel

91. In general, and provided risk can be managed, there are two options for the future of streamlined travel:
- risk-based differentiation of travellers – one example is the ‘trust-based’ model trialled, which essentially seeks to segment travellers on a low-risk basis prior to travel; another example is to look at a “whole of population” solution, segregating travellers based on risk on a transactional basis as they approach the border and processing them accordingly (ThinkSmash proofs of concept point to this, using new technologies and approaches)
 - fast-tracking or expediting travellers – one example of this would be a ‘premium’ service whereby travellers would ‘skip the queues’ while regulatory processes remain in place.²⁸

²⁸ In the 2016-17 Budget, the Australian government announced an initiative to establish Premium Border Clearance Services. This provides for the government to raise revenue by charging a commercial fee to airport operators to provide premium border clearance services for international air passengers, initially at Sydney, Perth and Melbourne airports. Processing would be under established clearance procedures; there would not be exemptions from customs, immigration, biosecurity or aviation security screening.

92. Whether travellers were differentiated by risk or fast-tracked, the following would need to be established:
- the appropriate infrastructure, including resolving issues relating to the constraints of the physical airport space, jointly with the airport company
 - what the service would cost, who should pay (government, airport/airlines, travellers) and how it should be funded, including the appropriateness and level of any cost recovery (see below at [Meeting the costs of a similar scheme](#)).
93. The *Report of Key Findings* provides more detail on potential enablers for a risk-based differentiated service. Several other considerations might be relevant for a private sector provider in deciding whether to pursue such a service:
- whether the service met the expectations of elite customers (which includes personalisation of services, feeling ‘selected,’ ‘special,’ and ‘included,’ lacking repetition or verification)²⁹
 - exclusivity in offering the service
 - impacts on existing infrastructure
 - consistency of experience across airports and scalability (although a scaled-down experience outside of “flagship” airports is possible as long as the extra service remains)
 - consistency across arrivals and departures.

Meeting the costs of a similar scheme

94. The trial raised questions relating to how a similar service would be funded should it be considered desirable in the future. Any scale-up would need to be compared to investments in other improvement options with regards to the need for operational, financial and spatial resources and comparing the likely relative benefit to the system as a whole.
95. Understanding how any service would be operationalised, and identifying its true cost, would be necessary to make decisions about who should pay (eg government, airport/airlines, travellers), how it was funded (including the appropriateness and level of any cost recovery) and the feasibility of collection. Relevant contextual information and trial findings are set out below. The trial did not assess the operationalised costs of the eLane.

The Traveller Border Clearance Levy

96. The Border Clearance Levy (‘the Levy’) was implemented on 1 January 2016 to recover MPI and Customs’ costs associated with managing the border and biosecurity risk presented by travellers. The Levy ensures there is sufficient funding to maintain the quality of MPI’s and Customs’ services in an environment of increased traveller volumes and changing risk. These services assess travellers for any biosecurity risks (for arrivals) and customs risks (for arrivals and departures). The Levy is:
- charged according to rates set out in MPI’s and Customs’ Levy Orders.
 - payable by travellers and is collected by airlines and cruise lines through ticket prices on behalf of MPI and Customs.

²⁹ If an element of risk-assessment remained, for example, some travellers could be denied. This would be inconsistent with the elite customer service model airlines use.

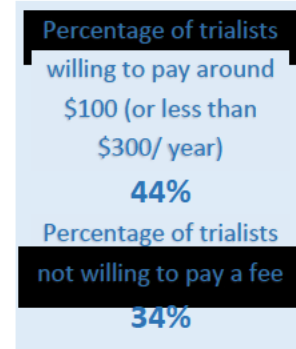
97. The introduction of the Levy reflected the decision that it is appropriate that international travellers who present border and biosecurity risks, and thus generate the need for these services meet the costs of providing them. MPI's activities funded by the Levy include identifying travellers of biosecurity interest, assessment of arrival documentation against biosecurity requirements, verification for compliance and application of interventions such as searches, detector dogs and x-rays. Customs' activities funded by the Levy include identifying persons of interest, completing immigration processes, the training and use of detector dogs, undertaking questioning and search activities and the storage and disposal of seized goods.

Cost recovery for clearance of travellers at the border

98. Four key principles guide MPI's and Customs' approach when setting cost recovery fees, charges or levies. These are:
- a. *equity* – services should be funded from users that benefit from the service, or users that create risks that the service is designed to manage ('risk exacerbators')
 - b. *efficiency* – costs should be charged to ensure that maximum benefits are delivered at minimum cost.
 - c. *justifiability* – charges should only recover the reasonable costs (including indirect costs) of providing the service.
 - d. *transparency* – costs should be identified and allocated to the service for the recovery period in which the service is provided.
99. In addition to these four principles, the general guidance on cost recovery for public entities published by the Treasury and Controller and Auditor-General is applied. That guidance requires consideration of: authority, effectiveness, simplicity, accountability and consultation.

User-pays

100. Some trialists perceived the eLane as a type of premium service they might be prepared to pay for, comparing it to a seat upgrade or Koru Club benefit. Others saw the main benefits from an eLane as a public good or a case of continuous improvement, and therefore the responsibility of the airport company or government.



Ongoing investment and new ways of working

101. Overall, border sector agencies are seeking to make system-wide improvements to facilitate travel and trade across the border, as well as managing risk, in the face of increasing volumes and complexity.
102. A range of new concepts and innovative solutions are at various stages of exploration and implementation. Considerations such as those outlined under *Future of streamlined travel* and *Meeting the costs of a similar scheme* are relevant if a similar service to that trialled is seen as desirable in the future.
103. Ongoing investment and new ways of working will be needed to ensure ongoing resilience to changing pressures.

Glossary

AIAL – Auckland International Airport Limited.

AvSec – Aviation Security Service.

CusMod – the system of record for all goods, craft and passenger movements across the border, and a key repository of data used across Customs, border agency partners, and others. It is central to Customs' function of managing New Zealand's border.

Customs – New Zealand Customs Service.

"Disney-lanes" – A zigzag system used for managing queues.

eLane – The lane trialled during the Streamlined Travel Trial. This comprised two key features. First, a kiosk (a modified Customs SmartGate kiosk) where trialists were identified (initially via a biographics and later a biometrics process) and reconfirmed they had no biosecurity risk items. This was connected electronically to a gate immediately adjacent to the kiosk – which opened when the kiosk deemed a trialist eligible (the eGate).

Face on the fly – A process that allows identification of passengers as they walk past a camera without stopping.

Green Lane – an exit channel for low risk, or with mitigated risk, passengers and crew:

- 1) those meeting the criteria are able to exit without their baggage being x-ray screened following risk-assessment by a risk assessor
- 2) trialists who used the eLane were entitled to use the Green Lane when detector dogs were operational in the lane.

INZ – Immigration New Zealand (part of the Ministry of Business, Innovation and Employment).

MPI – Ministry for Primary Industries.

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Final Evaluation Report Overall Ratings, Key Statistics and Actionable Learnings

Independent research and adaptive evaluation was carried out during the trial. Key statistics and actionable learnings from the report entitled "Evaluation of the Trusted Traveller Project and Streamlined Travel Trial" (16 May 2018) are set out below. These results are average mean scores, based mainly on a final trialist online survey (n = 214, 54% response rate) and 25 phone interviews, in April 2018.



About the Trialists

4.5/5
Rating of satisfaction across most aspect of trial (mean score)

At least **84%** of trialists are willing to be contacted for future border trials

3.9/5
Rating of enjoyment of human interaction with eLane welcoming staff

3.06/5
Rating of ability to not interact with staff asking compliance related questions

4.7/5
Rating of willingness to use other technologies (such as facial recognition and digitised arrival cards)

3.7/5
Rating of willingness to share personal information in relation to technology

Approximately **50%** of trialists checked in bags when travelling

5-12+ mins
Trialists estimated the eLane saved them (actual time 71 seconds)

Trialist Compliance

23% of trialists indicated they might be tempted to not declare a low risk item in order to use eLane

99% of trialists felt 'very confident' they understood their border obligations

20% of trialists reported changing their behaviour around checking in bags

64% of trialists did not buy risk items as a way to manage their biosecurity risk

4.5/5
Rating of confidence in paying attention to details (such as knowing what was in their bag)

89% of trialists turned on their phones before leaving the plane (relevant for text reminders/push notifications)

28% of trialists reported changing their behaviour on whether they travelled with items to declare

Further Service Design Initiatives

Recruit the trialists to a panel for further service design initiatives, now they are identified and virtually all of them are willing to participate. For example:

- Test other border ideas with the panel of trialists. Ideally include technology and operational improvements or efficiencies that are not directly related to the biosecurity/assurance sections of departure or arrival.
- Continue to find out more about customer insights for frequent travellers, e.g. devise useable demographic questions or data categories for frequent travellers in future intel or research endeavours.
- Expand the cohort to include other, non-business frequent travellers to test how representative the current cohort is or isn't; and consider closer collaboration with (potentially inclusion of?) Australian agencies/ travellers

Inform Low Level Initiatives

Use some of the low-level trial learnings about queuing, use of online education modules and cell phone reminders, and declarations forms etc to inform other initiatives. For example:

- Revise wording of declaration forms (ask in a way to jog people's memory of what they've packed, and clarify declarations need to include low-risk packaged foods too)
- Review how well the messaging from airport biosecurity staff about low-risk items is being interpreted by travellers, to ensure travellers understand they do need to always declare low-risk items
- Provide queue clocks to give passengers certainty and accuracy about the expected wait time; and work with Auckland Airport staff to manage Disney lanes to minimise walking and waiting times

Cross-Agency Capability & Understanding

Continue to build cross-agency capability and understanding of service design principles, incorporating flexibility into project and governance structures, and look at initiatives through a customer lens. For example:

- From the customer perspective, what makes it easier for them to comply with rules and regulations? What do they notice about the variety of agency and airport staff they see at the border, and what effect (if any) does that have on their behaviour? Perhaps explore this further with the panel of frequent travellers
- Don't necessarily feel limited by current legislation, it can be amended to achieve 21st century border objectives.

Sharing between Agencies

Continue to explore ways for agencies to improve/ automate information sharing and analysis, including travellers' personal information, as enabled by relevant privacy and other legislation. For example:

- Share personal information between agencies, e.g. Statistics NZ and arrival cards, between agencies and app suppliers etc (noting trialist concerns will require transparency in any processes)
- Use current intel databases and passenger data more pro-actively and strategically, as the trial started to do. Are there additional ways to automate it more or further increase cross agency co-operation?

The Broader Border Strategy

Continue to keep a line of sight on the broader border strategy for New Zealand. This may include having challenging conversations about where the balance lies in government's role in facilitated customer service and compliance versus and border assurance; the balance between government and industry's respective regulatory and non-regulatory roles at the border; and appropriate levels of engagement in/ governance of projects with differing levels of agency-based responsibility or risk.

Adaptive Monitoring and Evaluation

Continue to invest in and capture learnings through adaptive monitoring and evaluation. For example:

- Clarify the problem definition and benefits from the beginning, and capture baseline data, including more detailed demographic and profile data about customers/ respondents
- Communicate with and include a wider range of stakeholders and perspectives in any evaluation of initiatives, including affected operational staff.

Trialist Willingness to Access a Similar Scheme

3.2/5
Rating of willingness to share personal information in relation to application process

44% of trialists willing to pay to access a similar service (less than \$300 annually)

4.1/5
Rating of willingness to do other things to access eLane like service (e.g. online education module or fuller vetting checks)

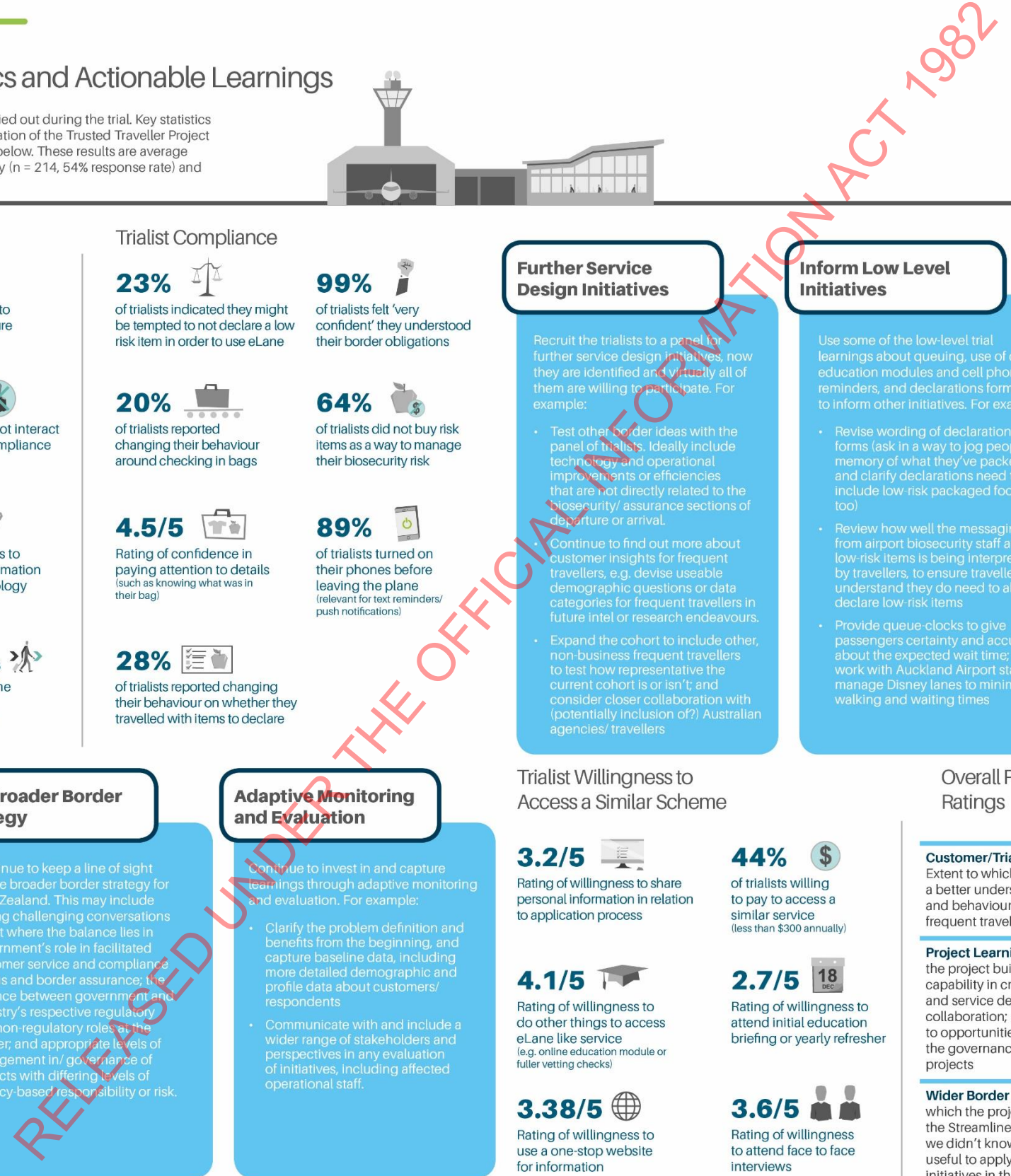
2.7/5
Rating of willingness to attend initial education briefing or yearly refresher

3.38/5
Rating of willingness to use a one-stop website for information

3.6/5
Rating of willingness to attend face to face interviews

Overall Performance Ratings

	Insufficient evidence	Poor	Marginal/adequate	Emerging/too early to tell	Good	Very good or excellent
Customer/Trialists Insights: Extent to which project contributed a better understanding of the profile and behaviour of customers who are frequent travellers					X	
Project Learnings: Extent to which the project built capacity and capability in cross-agency project and service design, and cross-agency collaboration; and provided insights to opportunities and challenges in the governance and delivery of sector projects					X	
Wider Border Learnings: Extent to which the project team learned from the Streamlined Travel Trial things that we didn't know before, and would be useful to apply to similar concepts or initiatives in the future				X		





Close Out Report

Trusted Traveller Project (Streamlined Travel Trial)

s9(2)(a)

Project Manager

July 2018

Growing and Protecting New Zealand



www.mpi.govt.nz



Background

Drivers

- Pressures in the passenger pathway
- Increasing stakeholder expectations – Budget 2016 :

Trusted Border Programme Objective

- Trial a “trust-based” model – proof of concept
- Improved experience for “low-risk” travellers, while maintaining risk management
- Data, knowledge, insights, evidence to inform future initiatives

Approach

- Cross-agency project, in co-operation with AIAL and with support from Air New Zealand
- Joint agency governance

Achievements, Benefits

Achievements

- Stood up live trial
- 400 frequent travellers: New Zealand citizens, ex Trans-Tasman, business, nil to declare
- Tested technology, travel experience, compliance
- 1190 uses of eLane by 327 trialists (July 17 – March 18)
- Trialists highly satisfied with experience
- Inter-agency project team worked extremely well - lots of learnings and knowledge taken back to agencies for future sector benefit

Benefits

- Confirmed, through a dedicated operational trial, a “trust-based” model as trialled, not currently viable in the New Zealand setting
- Potential enablers signalled - ThinkSmash

- Positive evaluation findings



Performance

Performance against:

- **Cost:** \$1.62m (2 years)
- **Scope:** focused on trialling proposal outlined in business case; numbers consciously kept tighter than business case envisaged in order to manage risk
- **Time:** trials July 17 to March 18. Initially consciously tight and staged enrolment; ramped up over this period
- **Quality:** controls in place to manage risk and test assurance

Key findings and lessons learnt

Key findings include:

- Real time savings limited, but perceptions and certainty important
- Vetting resource intensive, and cannot yet address some key risks
- Problematic attitudes amongst some trialists
- Cohort highly willing to use technology, and to stay engaged
- Some willing to pay to access streamlined process
- Relationships and understanding strengthened
- Potential enablers for the future may increase viability
- Future options could include risk-based differentiation as a “whole of population” solution; or fast-tracking services
- Need to address user pays vs Government/airport continuous improvement

For a summary of key findings, including opportunities and the final evaluation report see Appendix One and Two.

Conclusion and Next Steps

Conclusion of the Trusted Border Programme

- The Trusted Trader trial transitioned to agencies effective 1 November 2017.
- The Streamlined Traveller trial ended 31 March 2018 and its final report is being distributed to the Border Sector Operations Advisory Group this week.
- This concludes the Trusted Border Programme and it is therefore recommended that the Programme close out of MPI's Strategic Portfolio.

Next steps

- Learnings from the Streamlined Traveller trial have, and will continue to be fed into related initiatives e.g. Think Smash.
- Following acceptance by the Border Sector Operations Advisory Group, the final report for the Streamlined Traveller trial will be shared with managers across key agencies.

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Streamlined Travel Trial Summary of Key Findings

Trial/Functional

01

- The vast majority of trialists were highly satisfied with the streamlined travel experience
 - 4.5/5 Trialists' rating of satisfaction across most aspect of trial (mean score)
- The technology (kiosk and gate) performed well - improvements would include adoption of face-on-the-fly and integration with agency systems
- Assurance and other risk management processes established:
 - there was 1 biosecurity infringement (picked up by a detector dog), resulting in a fine and removal from trial (otherwise no known breaches of biosecurity or customs law)
 - there were 8 breaches of trial terms and conditions, resulting in removals from the trial
- The real time savings were limited and gained through queue avoidance at the secondary line (but the experience seemed faster and more satisfying)
 - 71secs average time saved compared to normal MPI lane
- Preferences regarding interacting with humans versus technology were somewhat contradictory
 - 3.9/5 Trialists' rating of enjoyment of human interaction with eLane welcoming staff
 - 3.06/5 Trialists' rating of ability to not interact with staff asking compliance related questions
- While acknowledging the two processes cannot be directly compared, the eLane was slower (average 26 seconds) to process travellers than MPI risk assessors (average 12 seconds)
- Vetting was highly resource intensive (average 7 minutes for Customs, 30 minutes for MPI)
- Inter-agency relationships and understanding were strengthened

Operational/ Cross Agency

02

- A 'trust-based' model cannot manage hitchhiker or inadvertent border risk - we have no clear profile of this traveller and enrolment and vetting processes are unable to predict random unintentional/forgetful behaviour
- Trial cohort (frequent business travellers) was assumed to be 'very low-risk,' evaluators consider it to now be 'low-risk'
- This traveller cohort is highly willing to use technology to improve their travel experience and somewhat willing to provide personal information
 - 4.7/5 Trialists' rating of willingness to use other technologies (such as facial recognition and digitised arrival cards)
- Trialists identified time savings as their primary benefit (other benefits included ease/flow/convenience, avoiding queues and avoiding extra walking distance of the 'Disney lanes')
- Trialist perception had a major contribution to their satisfaction (the process felt faster, bypassing queues and 'feeling special' was valued) - perceptions were variable and not necessarily accurate
- Certainty was a major driver of trialist satisfaction (eg, certainty of arrival ensured they made meetings or domestic connections)
- Trialists were highly confident they understood their border obligations and knew what was in their bag (about half checked-in bags), but some misunderstood their obligations (eg, interpreting a clearance as an implicit permission to not declare the item next time)
 - 99% of trialists felt 'very confident' they understood their border obligations
 - 4.5/5 Trialists' rating of confidence in paying attention to details (such as knowing what was in their bag)
 - 64% of trialists did not buy risk items as a way to manage their biosecurity risk
- Attitudes are indicators of likely behaviour change - some trialists demonstrated problematic attitudes (eg, lack of attention to detail, complacency, over-confidence and self-entitlement) which also raise issues for a 'trust-based' model
 - 23% of trialists indicated they might be tempted to not declare a low risk item in order to use eLane
- Major barriers to this cohort's compliance are complexity of message and attitudes; a major enabler is the use of technology for education and reminders (eg, text reminders/push notifications)
 - 89% of trialists turned on their phones before leaving the plane (relevant for text reminders/push notifications)
- Queues had the greatest impact on streamlining arrivals for frequent travellers

Strategic/Sector/ Governance

03

- Aviation industry partners see the future as seamless and digital
 - At least 84% of trialists are willing to be contacted for future border trials
- The vast majority of trialists are willing to be contacted to participate in wider border improvements
- There is emerging mutual understanding of differing risk profiles and tolerances amongst the border agencies
- There was tension between paradigms of 'facilitated customer service' and 'biosecurity protection' Some trialists were willing to pay a relatively small amount to access streamlined travel, while others would not pay (some felt it was for the government or airport companies to fund as part of continuous improvement)
 - 44% of trialists willing to pay to access a similar service (less than \$300 annually)
 - 34% of trialists not willing to pay to access a similar service
- Cross-border and cross-discipline projects provide opportunities for:
 - sharing of ideas and broader experiences
 - increasing mutual understanding and stronger inter-agency relationships

Independent Trial Evaluation

The evaluators:

- considered the project and trial made a **good contribution** to better understanding of the profile and behaviour of frequent travellers
- rated the project **good** for the extent to which the Trusted Traveller project and related trial provided useful project learnings or insights
- found there is **emerging evidence** that there are wider border learnings that were not known before, which may be useful to apply to similar concepts or initiatives in the future.

Opportunities

04

- Build on the stakeholder appetite for streamlined travel (faster, seamless, digital, effortless, certain)
- Consider using this traveller cohort to test other streamlining initiatives
- Continue to collaborate as a sector to build mutual understanding of:
 - each other's risk profiles and tolerances, priorities and parameters
 - traveller risk profiles (including whether the 'low-risk' traveller exists) and who the 'customer' is
- Build on the frequent traveller cohort's comfort with technology and providing personal information to:
 - facilitate travel
 - increase compliance
- Continue to leverage the risk assessors' influence to assist travellers to comply
- Consider a sector-wide research and development opportunity on traveller preferences between interacting with a human and/or technology
- Continue to cross-apply trial learnings to other relevant border initiatives
- Continue to build understanding of (and where possible agreement on) where the balance between protection/security/border assurance and facilitation lies and the respective roles of government and industry
- Continue to invest in, and capture learnings through, adaptive monitoring and evaluation

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Final Evaluation Report

Overall Ratings, Key Statistics and Actionable Learnings

Independent research and adaptive evaluation was carried out during the trial. Key statistics and actionable learnings from the report entitled "Evaluation of the Trusted Traveller Project and Streamlined Travel Trial" (16 May 2018) are set out below. These results are average mean scores, based mainly on a final trialist online survey (n = 214, 54% response rate) and 25 phone interviews, in April 2018.



About the Trialists

4.5/5
Rating of satisfaction across most aspect of trial (mean score)

At least **84%** of trialists are willing to be contacted for future border trials

3.9/5
Rating of enjoyment of human interaction with eLane welcoming staff

3.06/5
Rating of ability to not interact with staff asking compliance related questions

4.7/5
Rating of willingness to use other technologies (such as facial recognition and digitised arrival cards)

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Rating of willingness to share personal information in relation to technology

Approximately **50%** of trialists checked in bags when travelling

5-12+ mins
Trialists estimated the eLane saved them (actual time 71 seconds)

Trialist Compliance

23% of trialists indicated they might be tempted to not declare a low risk item in order to use eLane

99% of trialists felt 'very confident' they understood their border obligations

20% of trialists reported changing their behaviour around checking in bags

64% of trialists did not buy risk items as a way to manage their biosecurity risk

4.5/5
Rating of confidence in paying attention to details (such as knowing what was in their bag)

89% of trialists turned on their phones before leaving the plane (relevant for text reminders/push notifications)

28% of trialists reported changing their behaviour on whether they travelled with items to declare

Further Service Design Initiatives

Recruit the trialists to a panel for further service design initiatives, now they are identified and virtually all of them are willing to participate. For example:

- Test other border lanes with the panel of trialists, ideally include technology and operational improvements or efficiencies that are not directly related to the biosecurity/assurance sections of departure or arrival.
- Continue to find out more about customer insights for frequent travellers, e.g. devise useable demographic questions or data categories for frequent travellers in future intel or research endeavours.
- Expand the cohort to include other, non-business frequent travellers to test how representative the current cohort is or isn't; and consider closer collaboration with (potentially inclusion of?) Australian agencies/ travellers

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Use some of the low-level trial learnings about queuing, use of online education modules and cell phone reminders, and declarations forms etc to inform other initiatives. For example:

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