April 22, 2015

AMTRAK

Mr. Edward Hasbrouck
The Identity Project
1736 Franklin Street
9th Floor
Oakland, CA 94612

Re: Freedom of Information Act Request – Interim Response #2
Tracking Number: 15-FOI-00021

Dear Mr. Hasbrouck:

We are further responding to your October 29, 2014 request for information made under the Freedom of Information Act (FOIA), which was received via e-mail by Amtrak's FOIA Office on the same date.

Your request seeks the records described below:

(1) Any records of policies, procedures, technical specifications, contracts (including agency appointment agreements), or directives to staff, contractors, or agents pertaining to transfers of data about Amtrak passengers or customers to the Department of Homeland Security (DHS), any DHS component including US Customs and Border Protection (USCBP), the Canadian Border Services Agency (CBSA), any other Canadian government agency, or any other foreign government, or the subsequent handling or use of such data, including without limitation Advanced Passenger Information (API) and any personally identifiable data obtained or derived from the ARROW reservation system.

(2) Any records pertaining to the legal basis for such data transfers, including any e-mail messages pertaining to this subject within or between Amtrak, Amtrak agents, Amtrak contractors, and any third party or parties.

(3) Any records of policies, procedures, technical specifications, contracts (including agency appointment agreements), or directives to staff, contractors, or agents (including without limitation travel agencies and agents authorized to sell Amtrak tickets, and other ARROW users) regarding disclosures to be made concerning transfers of data about Amtrak passengers or customers to government agencies including DHS.

(4) Any records of policies, procedures, reports, or directives to staff, contractors, or agents (including without limitation travel agencies and agents authorized to sell Amtrak tickets, and other ARROW users) regarding compliance with the Personal Information Protection and Electronic Documents Act (PIPEDA) of Canada, including handling of requests for records or other requests or complaints made pursuant to PIPEDA and any disclosures to be made to passengers or customers.

(5) Any e-mail messages within or between Amtrak and Amtrak agents, Amtrak contractors, and any third party or parties containing any of the text strings "Personal Information Protection and Electronic Documents Act", "PIPEDA", or "Privacy Commissioner of Canada".

(6) Any electronic file in which any of the above records are included.

(7) All metadata pertaining to any such file, such as file system information indicating the creation data, modification date, etc.

You were advised in my April 15, 2015 e-mail communications that we are continuing to reach out to Amtrak Offices for responsive records and that we would provide nonexempt responsive records as they are processed. Accordingly, we are releasing in part, the enclosed records that have been determined to be responsive to items 1, 3 and 4 of your request. As information, pages, 1, 2, 5, 6, 12 and 13 were retrieved from the Manifest Document. Pages 29 and 30 were retrieved from Amtrak's Passenger and Crew Information.

The names and personal identifying information of Amtrak passengers have been redacted from the enclosed records pursuant to exemption 6 of the FOIA on the basis that disclosure would constitute a clearly unwarranted invasion of the personal privacy of these individuals. In weighing the public interest, it was determined that there was no public interest in disclosing this information.

Pursuant to Amtrak's FOIA regulations (49 CFR 701.10), if you wish to appeal the decision to withhold the above-mentioned information, you may file an appeal with Eleanor D. Acheson, Executive Vice President, Chief Legal Officer, General Counsel and Corporate Secretary, within thirty days (30) of the date of this letter, specifying the relevant facts and the basis for your appeal. Your appeal may be sent to Ms. Acheson at the above address. The President and CEO of Amtrak have delegated authority to the General Counsel and Corporate Secretary for the rules and compliance to the FOIA.

We will continue to keep you updated on the status of your request. If you have any questions please feel free to contact me at (202) 906-3741 or via e-mail at Hawkins@amtrak.com.

Sincerely,

Sharron Hawkins
Lead FOIA Specialist

Enclosure

4.PASSENGER NAME LISTS

4.1   DESCRIPTION

When Passenger Name Records are created, they are stored in random
locations. To facilitate subsequent retrieval of such records,
pointers are created in the form of passenger name indices which are
filed in train/date order, that is, for every passenger in a record,
an index item is created for each segment in the itinerary.

Each of these index items contains such information as name of
passenger(s), number of people with this name, total number of
accommodations, board and off points, accommodation code, PNR
reservation number, ticketing, etc.

Agent set entries are provided to allow agents to obtain several
types of selective name lists. This list may be displayed, or the
PNR's may be sent to queue.

A list may be requested for passengers going to a particular
destination, passengers traveling in groups, unticketed passengers,
passengers who require notification, and several other functions for
a train on a given date, or date range.

The alphabetical name lists will have the pass rider matrix color
codes for the coach and accommodations on the train. If there are no
accoms on the train, the color will default to white.

Pets are treated as passengers regarding counts and name lists.

This Document covers the following entries: —

        SOL*A   Advanced Payment Name List
        SOL*B   Border Crossing List
        SOLD   Destination Name List
        SOL*E   Emergency Name List (Currently restricted)
        SOL*G   Group Booking List
        SOL*I   Inbound Connection Train Manifest
        SOL*N   Passenger Name List
        SOL*O   Outbound Connection Train Manifest
        SOL*U   Unticketed Name List
        SOL*V   Vehicle Name List
        SOL*X   Cancelled Passenger Name List
        SOLZ   Other Carrier Manifest

4.2 INPUT FORMATS

4.2.1 SOL* - GENERAL NAME LIST ENTRIES

           SOL*func train#(/(date)((brd)(off)(-)))

SOL*	-	Action code for Passenger Name Lists
func	-	Special function requested
		A - Advanced Payment List
		N - Passenger Name List
		U - Unticketed Passenger List
		V - Vehicle Passenger List
		X - Cancelled Passenger List
train#	-	Required
date	-	Optional - Defaults to train origin date or city-train date if city is selected
brd	-	Optional - Passengers boarding city code (NOT OPTIONAL FOR func I, O, G)
off	-	Optional - Passengers deboarding city code
-	-	Optional - The dash (-) option is used to indicate a limited name list. Entry of the city code is required. The limited report shows all persons on board the train when departing from requested location.

4.2.2 SOL*B - BORDER CROSSING LIST

           SOL* B tttt / (ddmmm) ccc (/SEND)

Where:

SOL*B	Action code for Border Crossing Manifest
tttt	Train number (1 - 4 numerics)
/	Delimiter
ddmmm	Optional date; default to "train origin date" or "city train date"
ccc	Display all passengers (including the crew) on-board at, or after this city
/SEND	Optional parameter to transmit Border Crossing Manifest to APIS CBP(Customs Border Protection)
/EDSP	Optional parameter to display Border Crossing Manifest (only available for users with the CS duty code)

4.3 INPUT EXAMPLES

4.3.1   **SOL*A 100**

Request a list in alphabetical order of all Advanced Payment Passengers who will travel on train 100 today.

4.3.2   **SOL*N 100/24SEP BWI**

Request a list in alphabetical order of passengers who will be boarding at BWI on Train 100 on 24th September.

4.3.3   **SOL*N 100/BWI-**

Request a list in alphabetical order of passengers who will be on board Train 100 when it leaves BWI.

4.3.4   **SOL*U 56/25SEPBWIPHL**

Request a list in alphabetical order of passengers who will be boarding at BWI and deboarding at Philadelphia on Train 56. (e-TICKET will not be shown in this display)

4.3.5   **SOL*U 100/25SEPBWIPHL-**

Request a list in alphabetical order of Unticketed passengers who will be on board Train 56 on 25th September when it leaves BWI and arrives at Philadelphia.

Passengers whose reservations indicate prepaid (P), advance paid (A), or "firm" (F) or have no specific indication are included in this list; passengers whose reservations indicate ticketed (T)or etickets(E, C, L) are excluded from this list. The Unticketed passenger display is modeled after the SOL*N display, with one exception: for auto trains, only the reserved passengers are included in this list. All SOL*N display options are available to the SOL*U display.

4.3.6   **SOL*V 52**

Request a list in alphabetical order of all vehicles items on train 52 for today's date.

4.3.7   **SOL*X 100**

Request a list in alphabetical order of all cancelled passenger items on train 100 for today's date.

4.3.8   **SOL*B 69 / 06OCT NYP**

Request a list in alphabetical order of all border crossing passengers, who are supposed to be on board train 69 at or after the city NYP, with date of birth and country of

citizenship information. Crew members will be designated with 'C', infants with 'I', primary names (in the PNR) with '*'. Names of people traveling in a group will be preceded by a hyphen and will appear in the order that they occur in the PNR (not alphabetically, usually) under the group name, which will be in the list in its proper place alphabetically.

4.3.9   **SOL*B 69 / 06OCT NYP /SEND**

Electronically transmit to CBP (Customs and Border Protection) in EDIFACT format, both a Crew List and a Passenger List of individuals booked on train 69 at or after NYP, with date of birth and country of citizenship information. Each list will be in alphabetical order (with the exception of group members).

4.3.10   **SOL*B 69 / 06OCT NYP /SEND**

Display to the screen the EDIFACT data, containing both the Crew List and Passenger list of individuals book on train 69 at or after NYP, with date of birth and country of citizenship information. Each list will be in alphabetical order (with the exception of group members).

4.3.11   **SOLD3/CHI-M**

Request a destination name list of all passengers traveling from Chicago on Train 3 on today's date

4.3.12   **SOLD3/05OCT CHIABQ-M**

Request a destination name list of all passengers traveling from Chicago to Albuquerque on train number 5 on 5th October.

4.3.13   **SOLD3.0332EC.7/5OCTCHILMY-M**

Request a destination name list of all passengers traveling from Chicago TO Lamy on car 332, with an "EC" accommodation type in room 7 on the 5th October.

4.3.14   **SOLD3.0332EC.7/5OCTCHILAX-Q/WA7**

Queue all PNR's to Q36 of Queue city WA7 for passengers traveling from Chicago to Los Angeles on car 332, with an "EC" accommodation type in room 7 on the 5th October.

4.3.15   **SOL*E 100/WAS** (Entry currently restricted)

Request a list in destination order of all persons on Train 100 when it departs Washington.

4.3.16   **SOL*E69/NYP-MTR** (Entry currently restricted)

Request a list in destination order of all persons on Train 69 when it departs New York. Also display, in boarding city order, all passengers waiting to board Train 69 thru and including Montreal.

EXPLANATION OF BORDER CROSSING LIST OUTPUT FORMAT

(1)   Title
(2)   Train Number.
(3)   Date
(4)   Boarding City - border crossing passengers onboard on or after this city.
(5)   Passenger type indicator (* = prime name item (only displays if signed in as SC or CS duty codes), I = infant, C = Crew)
(6)   Passenger name
(7)   PNR reservation number
(8)   Reservation Booking Designator
(9)   Date Of Birth
(10) Country of Citizenship
(11) Gender
(12) ID (identification form, ie passport, birth certificate)
(13) Number of ID (ie passport number)
(14) Members of a group
(15   Group Name (note: this is in alpha order within the list while the member names are not.)

4.4.8   **SOL*B69/06OCTNYP (Border Crossing List)**

(1)		(2)	(3)	(4)				
BORDER CROSSING NAME LIST		TRAIN 69/6OCT		NYP				
COACH-BLUE/ACCOM-WHITE								

(5)	(6)	(7)	(8)	(9)	(10)	(11)	(12)	(13)	Exemption 6
	NAME	PNR#	RBD	DOB	CC	G	ID/	#	
C			YD		US	M	PP	Y	
*			YD		US	M	BC	N	
*			YD		GB	M	PP	Y	
			YD		GB	F	PP	Y	
C			Y		US	F	PP	Y	
*			Y		US	M	BC	N	
*			Y		US	M	BC	N	
	FUNTIME TOURS (15)		YF						
	(14)				US	M	BC	N	
	(14)				US				
	(14)								
	(14)				US				
*			YD		US	F	BC	N	
			YD		US	M	BC	N	
I	INFANT		YF		US	F	BC	N	
*			YF		US	M	PP	Y	
*			Y		AU	M	PP	Y	
*			Y		GB	F	PP	Y	
C			YD		US	F	PP	Y	
			YD		US	F	BC	N	
*			YD		US	M	BC	N	
			Y		GB	M	PP	Y	
*			Y		BD	F	RA	Y	

4.4.9   **SOL*B69/06OCTNYP/SEND (Successful Manifest Transmission)**

      BORDER CROSSING NAME LIST   TRAIN 69/01APR NYP
      TRANSMISSION SUCCESSFUL 06/14/05

4.4.10 **SOL*B69/06OCTNYP/SEND (Unsuccessful Manifest Transmission)**

      BORDER CROSSING NAME LIST   TRAIN 68/28MAR MTR
      TRANSMISSION FAILURE   06/14/05
      MANUALLY FAX MANIFEST TO CBP - CALL HELP DESK TO REPORT ERROR

4.4.11 **SOL*B69/14JANNYP/SEND (Edifact Display)**

```
APIS
UNA:+.? #
UNB+UNOA:4+APIS AMT:2V+USCSAPIS:ZZ+110105:0655+065543++APIS#
UNG+PAXLST+APIS AMT:2V+USCSAPIS:ZZ+110105:0655+00000001+UN+D:02B#
UNH+065543+PAXLST:D:02B:UN:IATA++01:C#
BGM+250++#
NAD+MS+++ARROW? ON? CALL#
COM+202 438 0192:TE+202 438 0192:FX#
TDT+20+2V69#
LOC+125+NYP#
DTM+189:1101140815:201#
LOC+87+MTR#
DTM+232:1101141910:201#
CNT+41:000#
UNT+00003+065543#
UNA:+.? #
UNB+UNOA:4+APIS AMT:2V+USCSAPIS:ZZ+110105:0655+065543++APIS#
UNG+PAXLST+APIS AMT:2V+USCSAPIS:ZZ+110105:0655+00000001+UN+D:02B#
UNH+065543+PAXLST:D:02B:UN:IATA++02:F#
BGM+745++#
NAD+MS+++ARROW? ON? CALL#
```

4.4.12 **SOLD3/CHI-M (Destination Name List)**

(1)

DESTINATION LIST		TRAIN	3	23SEP		CHI		
NAME			PNR	CAR	RBD	RM/SEAT	PHONE NUMBER	INDICATORS
(2)	**(3)**		**(4)**	**(5)**	**(6)**	**(7)**	**(8)**	**(9)**
KCY								
███████	████████		████		YD		NONE	T Exemption 6
					YD		█████████	T
NEW								
██								
████████			████		YF		█████████	F
HUT								
███████	███		████		YD		█████████	T
LAJ								
█████████			████		YD		█████████	A
ABQ								
█████████			████		YD		NONE	A
					YB		█████████	T
WLO								
█████████			████	0331	EB 4		█████████	T
				0331	EB 4		NONE	T
LAX								
████████████			████	0331	EB10		NONE	F

2G.1.49   5PID (*INF) ii / nn / ddd...d (/dd mmm ccyy) /g /Pxxx ····┄[Formatted: Highlight]

Where:

5	Primary action code
PID	5-field data type of Passenger ID
(*INF)	Optional delimiter used to indicate PID data belong to an infant in the specified Name-field
ii	Type of ID offered

    RA – US Resident Alien Card
    PR – LPR (Legal Permanent Resident) Card
    PP – Passport
    RE – Re-entry Permit
    RT – Refugee Travel Document
    NC – Naturalization Certificate
        Note
    BC – Birth Certificate (requires photo id)
        Note
    MO – Military Orders   (requires photo id)
    PC – US Passport Card
    TT – Trusted Traveler Card
    ED – Enhanced Drivers License (requires US State code)
    ET – Enhanced Tribal Card
    MM – Merchant Mariner
    AI – American Indian Card

/	delimiter
nn	2-character country/state code of the supporting document
/	delimiter
ddd...d	ID number or data (Max 15 chars)

    Required for the following types:
    RA – US Resident Alien Card
    PR – LPR (Legal Permanent Resident) Card
    PP – Passport
    RE – Re-entry Permit
    RT – Refugee Travel Document
    NC – Naturalization Certificate
    PC – US Passport Card
    TT – Trusted Traveler Card
    ED – Enhanced Driver's License (requires US State code)
    ET – Enhanced Tribal Card
    MM – Merchant Mariner
    Optional for the following types:
    BC – Birth Certificate (requires photo id)
    MO – Military Orders   (requires photo id)
    AI – American Indian Card

/	delimiter
(dd mmm ccyy)	Document Expiration date.

    Mandatory for the following document types:
    PP – Passport
    PC – US Passport Card
    TT – Trusted Traveler Card
    ED – Enhanced Driver's License
    ET – Enhanced Tribal Card
    MM – Merchant Mariner

Not accepted for the following document types:
BC - Birth Certificate
Optional for all other types
/   delimiter
g   Gender
M - Male
F - Female
/p   delimiter for Passenger Association number
xxx   Passenger Association number (1 to 255)

Note

The following ID types will no longer be accepted adult travel after May 31 2009, however they are valid for some children – see below:

* US or CA Birth Certificate
    * Regular PNRs – passengers must be under 16 years of age on first departure date
    * Group PNRs – passengers must be 18 years of age or under on first departure date
* US Naturalization Certificate
    * Regular PNRs – passengers must be under 16 years of age on first departure date
    * Group PNRs – passengers must be 18 years of age or under on first departure date