



Implementation Status of Public Recommendations

Supplement to Annual Budget Justification for
Fiscal Year 2026

May 30, 2025

Fiscal Year 2024 Report to Congress



**Homeland
Security**



Implementation Status of Public Recommendations Supplement to Annual Budget Justification for Fiscal Year 2026

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I. Legislative Requirement

This report responds to the reporting requirements set forth in section 2(b) of the Good Accounting Obligation in Government Act (Pub. L. 115-414), which provides:

- (b) **REQUIRED REPORTS.**—In the annual budget justification submitted to Congress, as submitted with the budget of the President under section 1105 of title 31, United States Code, each agency shall include—
- (1) a report listing each public recommendation of the Government Accountability Office that is designated by the Government Accountability Office as “open” or “closed, unimplemented” for a period of not less than 1 year preceding the date on which the annual budget justification is submitted;
 - (2) a report listing each public recommendation for corrective action from the Office of Inspector General of the agency that—
 - (A) was published not less than 1 year before the date on which the annual budget justification is submitted; and
 - (B) for which no final action was taken as of the date on which the annual budget justification is submitted; and
 - (3) a report on the implementation status of each public recommendation described in paragraphs (1) and (2), which shall include—
 - (A) with respect to a public recommendation that is designated by the Government Accountability Office as “open” or “closed, unimplemented”—
 - (i) that the agency has decided not to implement, a detailed justification for the decision; or
 - (ii) that the agency has decided to adopt, a timeline for full implementation, to the extent practicable, if the agency determines that the recommendation has clear budget implications;
 - (B) with respect to a public recommendation for corrective action from the Office of Inspector General of the agency for which no final action or action not recommended has been taken, an explanation of the reasons why no final action or action not recommended was taken with respect to each audit report to which the public recommendation for corrective action pertains;
 - (C) with respect to an outstanding unimplemented public recommendation from the Office of Inspector General of the agency that the agency has decided to adopt, a timeline for implementation;
 - (D) an explanation for any discrepancy between—
 - (i) the reports submitted under paragraphs (1) and (2);
 - (ii) the semiannual reports submitted by the Office of Inspector General of the agency under section 5 of the Inspector General Act of 1978 (5 U.S.C. App.); and
 - (iii) reports submitted by the Government Accountability Office relating to public recommendations that are designated by the

Government Accountability Office as “open” or “closed, unimplemented”; and

- (E) for the first 12 months after a public recommendation is made, if the agency is determining whether to implement the public recommendation, a statement describing that the agency is doing so, which shall exempt the agency from the requirements under subparagraphs (B) and (C) with respect to that public recommendation.

(c) COPIES OF SUBMISSIONS.—Each agency shall provide a copy of the information submitted under subsection (b) to the Government Accountability Office and the Office of Inspector General of the agency.

II. Background

This report, submitted pursuant to Section 2(b) of Pub. L. 115-414, provides a description of the implementation status of each public “open” recommendation from the U.S. Government Accountability Office (GAO) and the Department of Homeland Security (DHS) Office of Inspector General (OIG) that was more than 1 year old as of September 30, 2024 (the Department’s annual budget justification is based on the Fiscal Year (FY)).¹ This report also provides justification for the decision not to implement those recommendations, which GAO and OIG closed as “unimplemented” from October 01, 2023,² to September 30, 2024.

Office of Management and Budget (OMB) Circular A-50 (Revised), “Audit Followup,” dated September 29, 1982, describes policies and procedures that the executive agencies should use when considering reports issued by an OIG, GAO, and other auditors where follow-up is necessary.

DHS Delegation #00109, “Delegation to the Under Secretary for Management to Act as the Audit Follow-up and Resolution Official for Office of Inspector General Report Recommendations,” dated May 28, 2010, designates the Under Secretary for Management (USM) as the Department’s follow-up and resolution official for OIG audit reports and recommendations.

DHS Designation #00-00901, “U.S. Department of Homeland Security Designations,” dated September 26, 2012, designates the USM as the Department’s follow-up and resolution official for GAO audit reports and recommendations.

DHS’s implementation of OMB Circular A-50 (Revised) is governed by:

- DHS Directive 077-01, “Follow-Up and Resolution for Office of Inspector General Report Recommendations,” dated October 07, 2010;
- DHS Instruction 077-01-001, “Instruction on Follow-Up and Resolution for Office of Inspector General Report Recommendations,” dated January 31, 2011;
- DHS Directive 077-02, “Relations with the U.S. Government Accountability Office (Revision # 02),” dated July 31, 2017, and;
- DHS Instruction 077-02-001, “Relations with the U.S. Government Accountability Office (Revision # 01)” dated July 02, 2010.

This report presents the status of the applicable recommendations as of, and through, September 30, 2024. It may reflect language or terminology used as of September 30, 2024, by the Department or outside originators, which is no longer used by the Department. In addition,

¹ DHS is also including 15 recommendations from the Treasury OIG report OIG-22-033 “Revenue Collection: The U.S. Customs and Border Protection’s Oversight of the Merchandise Transported In-Bond Program Needs Improvement to Better Ensure the Protection of Revenue,” dated March 31, 2022, to provide more complete disclosure of the OIG recommendations it tracks and monitored.

² Justification for decisions not to implement recommendations that GAO and OIG closed as “unimplemented” prior to October 01, 2023, were addressed in prior year reports.

recommendations that GAO or OIG agreed to close subsequent to this date, but prior to the publication of this report are also highlighted to let readers of this report know about recommendations that are no longer open.

III. Implementation Status of GAO’s Public Recommendations

A. Recommendations “Closed, Unimplemented”

From October 01, 2023, to September 30, 2024, GAO designated eight public recommendations addressed to DHS as “closed, unimplemented.”³ These recommendations are listed below, along with the Department’s justification for not implementing each recommendation.

DHS strictly adheres to a self-imposed practice of not closing any GAO recommendations without first reaching agreement with GAO staff to do so and has followed this practice since 2010. This provides Congress and the public added confidence that appropriate actions were taken to implement these recommendations or otherwise to resolve any disagreements.

³ In December 2023, GAO changed the official wording of “closed, unimplemented” recommendations from “Closed – Not Implemented” to “Closed – No Longer Valid.” Per GAO, the definition remains the same: “While the intent of the recommendation has not been satisfied, time or circumstances have rendered the recommendation invalid.”

Component	Countering Weapons of Mass Destruction (CWMD)
Report Number	GAO-21-513
Report Title	Biodefense: After-Action Findings and COVID-19 Response Revealed Opportunities to Strengthen Preparedness
Report Received/ Issued Date	08/04/2021
Rec #	1
Recommendation	The Secretary of Homeland Security, should, with input from key nonfederal partners, work through the Biodefense Steering Committee to ensure that the Biodefense Coordination Team defines the set of capabilities needed to prepare for and respond to nationally significant biological incidents.
Date Closed	05/15/2024
Narrative of Implementation Status	During January 2023, CWMD provided the National Biodefense Strategy for Countering Biological Threats, Enhancing Pandemic Preparedness, and Achieving Global Health Security (published October 2022), to GAO as evidence of corrective action. CWMD also provided information about how the governance structure and agencies' role and responsibilities have changed; and at the same time requested that GAO close this recommendation. GAO closed this recommendation as no longer valid because (1) the Biodefense Steering Committee and Biodefense Coordination Team no longer exist under the updated 2022 National Biodefense Strategy and their respective responsibilities were not transferred to another entity; and (2) DHS no longer has the authority to lead actions to implement this recommendation.
Component	CWMD
Report Number	GAO-21-513
Report Title	Biodefense: After-Action Findings and COVID-19 Response Revealed Opportunities to Strengthen Preparedness
Report Received/ Issued Date	08/04/2021
Rec #	5
Recommendation	The Secretary of Homeland Security should work through the Biodefense Steering Committee to ensure that the Biodefense Coordination Team establishes a process to periodically assess and communicate exercise priorities among the capabilities they identify to support nationally significant biological incidents.
Date Closed	05/15/2024

Narrative of Implementation Status	During January 2023, CWMD provided the National Biodefense Strategy for Countering Biological Threats, Enhancing Pandemic Preparedness, and Achieving Global Health Security (published October 2022), as evidence of corrective action. CWMD also provided information about how the governance structure and agencies' role and responsibilities have changed; and at the same time requested that GAO close this recommendation. GAO closed this recommendation as no longer valid because (1) the Biodefense Steering Committee and Biodefense Coordination Team no longer exist under the updated 2022 National Biodefense Strategy and their respective responsibilities were not transferred to another entity; and (2) DHS no longer has the authority to lead actions to implement this recommendation.
Component	CWMD
Report Number	GAO-21-513
Report Title	Biodefense: After-Action Findings and COVID-19 Response Revealed Opportunities to Strengthen Preparedness
Report Received/ Issued Date	08/04/2021
Rec #	9
Recommendation	The Secretary of Homeland Security should work through the Biodefense Steering Committee to ensure that the Biodefense Coordination Team provides guidance for federal and nonfederal partners for how to report on capabilities in after-action reports for exercises and real-world incidents in a consistent manner.
Date Closed	05/15/2024
Narrative of Implementation Status	During January 2023, CWMD provided the National Biodefense Strategy for Countering Biological Threats, Enhancing Pandemic Preparedness, and Achieving Global Health Security (published October 2022), as evidence of corrective action. CWMD also provided information about how the governance structure and agencies' role and responsibilities have changed; and at the same time requested that GAO close this recommendation. GAO closed this recommendation as no longer valid because (1) the Biodefense Steering Committee and Biodefense Coordination Team no longer exist under the updated 2022 National Biodefense Strategy and their respective responsibilities were not transferred to another entity; and (2) DHS no longer has the authority to lead actions to implement this recommendation.
Component	CWMD
Report Number	GAO-21-513
Report Title	Biodefense: After-Action Findings and COVID-19 Response Revealed Opportunities to Strengthen Preparedness
Report Received/ Issued Date	08/04/2021

Rec #	13
Recommendation	The Secretary of Homeland Security should work through the Biodefense Steering Committee to ensure that the Biodefense Coordination Team routinely monitors the results of interagency biological exercises and real-world incidents to identify patterns of challenges and potential root causes of identified challenges, and reports these to the Biodefense Steering Committee along with recommendations for addressing the root causes that also identify the responsible agencies.
Date Closed	05/15/2024
Narrative of Implementation Status	During January 2023, CWMD provided the National Biodefense Strategy for Countering Biological Threats, Enhancing Pandemic Preparedness, and Achieving Global Health Security (published October 2022), as evidence of corrective action. CWMD also provided information about how the governance structure and agencies' role and responsibilities have changed; and at the same time requested that GAO close this recommendation. GAO closed this recommendation as no longer valid because (1) the Biodefense Steering Committee and Biodefense Coordination Team no longer exist under the updated 2022 National Biodefense Strategy and their respective responsibilities were not transferred to another entity; and (2) DHS no longer has the authority to lead actions to implement this recommendation.
Component	Management Directorate (MGMT)-Office of the Chief Procurement Officer (OCPO)
Report Number	GAO-23-105292
Report Title	Disaster Contracting: Action Needed to Improve Agencies' Use of Contracts for Wildfire Response and Recovery
Report Received/ Issued Date	04/13/2023
Rec #	1
Recommendation	The Secretary of Homeland Security should take steps to resolve the discrepancy between its practice of requiring two agencies that have exercised, or intend to exercise, their emergency acquisition flexibilities to request a National Interest Action code and its criterion as written in the associated memorandum of agreement, which does not specify that two agencies need to request a code.
Date Closed	09/27/2024
Narrative of Implementation Status	On January 23, 2024, OMB notified agencies that effective January 27, 2024, the National Interest Action code would be removed from the Federal Procurement Data System (FPDS). Consequently, OCPO issued policy to the DHS acquisition workforce, detailing those changes. On September 27, 2024, GAO closed this recommendation as no longer valid.
Component	MGMT-CPO

Report Number	GAO-23-105292
Report Title	Disaster Contracting: Action Needed to Improve Agencies' Use of Contracts for Wildfire Response and Recovery
Report Received/ Issued Date	04/13/2023
Rec #	2
Recommendation	The Secretary of Homeland Security, in coordination with the Secretary of Defense, should revise the National Interest Action code memorandum of agreement to clarify the process and criteria for requesting a National Interest Action code.
Date Closed	09/27/2024
Narrative of Implementation Status	On January 23, 2024, OMB notified agencies that effective January 27, 2024, the National Interest Action code would be removed from FPDS. Consequently, OCPO issued policy to the DHS acquisition workforce, detailing those changes. On September 27, 2024, GAO closed this recommendation as no longer valid.
Component	U.S. Coast Guard (USCG)
Report Number	GAO-23-105289
Report Title	Coast Guard: Additional Actions Needed to Improve Commercial Fishing Vessel Safety Efforts
Report Received/ Issued Date	11/02/2022
Rec #	2
Recommendation	The Commandant of the Coast Guard should ensure that the Assistant Commandant for Prevention Policy develops and implements an alternate safety compliance program, as required by law.
Date Closed	12/01/2023
Narrative of Implementation Status	On December 23, 2022, the James M. Inhofe National Defense Authorization Act of FY 2023 repealed the provision requiring USCG to implement an alternate safety compliance program. As a result, GAO closed this recommendation because it was no longer valid.
Component	USCG
Report Number	GAO-23-105805
Report Title	Coast Guard Acquisitions: Offshore Patrol Cutter Program Needs to Mature Technology and Design
Report Received/ Issued Date	06/20/2023
Rec #	3

Recommendation	The Commandant of the Coast Guard ensured that the Offshore Patrol Cutter (OPC) stage 2 program follows shipbuilding leading practices by successfully demonstrating integrated prototypes of all critical technologies identified by the program or shipbuilder in a realistic environment no later than preliminary design review.
Date Closed	05/03/2024
Narrative of Implementation Status	The functional baseline for the vessel is not set prior to preliminary design review; therefore, expecting the shipbuilder and the selected davit subcontractor to demonstrate a fully integrated davit in a realistic environment ahead of preliminary design review is not practical. Stage 2 of preliminary design review was successfully completed on August 10, 2023. USCG's Ship Design Team is working closely with the shipbuilder and its selected davit subcontractor on a variety of technical and design topics to ensure an efficient and compliant davit is provided for the OPC. Future testing will demonstrate a fully integrated davit, allow the davit to be tested under realistic demands of the intended operational environment, and will be conducted to meet the shipbuilder's production schedule. Since the program closed the preliminary design review for stage 2 without testing an integrated prototype of the davit in a realistic environment, GAO closed this recommendation as no longer valid.

B. Recommendations “Open”

As of September 30, 2024, 322 GAO public recommendations were designated as “open” for a period of not less than 1 year (i.e., since September 30, 2023). These recommendations are listed below along with a description of actions taken, ongoing, or planned to address them; an estimated completion date (ECD); and a brief discussion of resource and budgetary implications, as appropriate.

Component	U.S. Customs and Border Protection (CBP)
Report Number (Public)	GAO-16-514
Report Title	Immigration Detention: Additional Actions Needed to Strengthen DHS Management of Short-Term Holding Facilities
Report Received/ Issued Date	05/26/2016
Rec #	2
Recommendation	The Secretary of Homeland Security should direct CBP and U.S. Immigration and Customs Enforcement (ICE) to develop and issue guidance on how and which compliant mechanisms should be communicated to individuals in custody at holding facilities.
Estimated Completion Date (or Date Closed)	01/31/2025
Next Step is Up To	DHS
Narrative of Implementation Status	<p>CBP has made significant progress in ensuring that information is posted within its holding facilities to inform individuals in custody how to contact the OIG. Both the OIG and CBP Office of Professional Responsibility (OPR), contact information is available to report allegations of sexual abuse and assault. As part of its Prison Rape Elimination Act program, CBP launched the Keeping Detention Safe poster series, which includes posters in numerous languages providing the toll-free telephone number for the OIG Hotline. These posters were updated during 2019, and their presence is verified during routine Prison Rape Elimination Act audits held at CBP holding facilities. Although the Keeping Detention Safe poster is focused on sexual abuse and assault specifically, it does provide detainees and staff with contact information to report criminal activity, including waste, fraud, abuse and allegations concerning civil rights and civil liberties.</p> <p>CBP developed and implemented the public-facing website and complaint form for reporting allegations of misconduct and other issues of concern. The public-facing website is being integrated into OPR's new Case Management System, which is expected to be operational February 2025. This integration should help ensure a timely response to public concerns and eliminate lags in reporting.</p> <p>CBP anticipates additional posters, which are in the approval process, for CBP holding facilities by January 31, 2025. The new posters will provide additional methods for reporting issues, concerns, and allegations to CBP and DHS oversight entities.</p>
Component	CBP

Report Number (Public)	GAO-16-542
Report Title	Antidumping and Countervailing Duties: CBP Action Needed to Reduce Duty Processing Errors and Mitigate Nonpayment Risk
Report Received/ Issued Date	07/14/2016
Rec #	3
Recommendation	The CBP Commissioner should, consistent with U.S. law and international obligations, take steps to use its data and risk assessment strategically to mitigate AD/CV duty nonpayment, such as by using predictive risk analysis to identify entries that pose heightened risk and taking appropriate action to mitigate the risk.
Estimated Completion Date (or Date Closed)	09/29/2024
Next Step is Up To	GAO
Narrative of Implementation Status	<p>In May 2023, GAO closed this recommendation. Subsequently, GAO reopened the recommendation in the 2023 Comptroller General's Priority Recommendation Letter. CBP met with GAO during September 2023 to discuss why this recommendation was closed and then subsequently re-opened. As background, in May 2021, CBP adjusted its approach for the implementation of risk-based bonding by leveraging existing authorities to develop a sustainable approach and focus on near-term deliverables. In support of the request to GAO to close the recommendation, CBP completed the following actions:</p> <ol style="list-style-type: none"> 1. As of May 2021, the bond policy no longer permits persons suspended or debarred by CBP (or another Federal agency, as applicable) to use a continuous bond to secure customs activities. 2. As of September 2021, CBP completed development to automate the continuous bond reviewer and analytical formulas. 3. In October 2021, CBP published an updated internal Antidumping/Countervailing Duty (AD/CVD) Single Transaction Bond Memo to clearly define when use of Single Transaction Bonds (using the existing formula/process) is to be considered for AD/CVD entries. 4. As of September 28, 2022, CBP increased the number of CBP personnel trained on bonding authority and enforcement options by completing a 13-part Bond Educational Webinar Series for CBP personnel that increased the understanding and enforcement of the agency's current authorities. Some of the topics covered in the series include Statutory and regulatory

	<p>authorities, the various activity type bonds, bond sufficiency and saturation, additional bonding for AD/CVD, superseding, and substitution bonds/bond riders.</p> <ol style="list-style-type: none"> 5. On October 20, 2023, CBP issued updated CBP Directive 3510-006, Monetary Guidelines for Setting Bond Amounts, which addresses policy gaps, clarifies what various CBP offices are responsible for when setting and maintaining sufficient bond coverage, provides what the minimum bond amounts are, and the steps required to increase a bond. 6. In February 2024, CBP issued A Guide for the Public: How CBP Sets Bond Amounts, the corresponding public document that aligns with CBP Directive 3510-006 to advance the trade community's understanding of bond policy and responsibilities. To address GAO's remaining concerns, in the March 2024 update, CBP provided examples of how CBP Headquarters and Field locations routinely use data and conduct risk assessments on import transactions, including those subjects to AD/CVD, to identify entries that pose a heightened risk and take action to mitigate those risks. <p>CBP continues to work to complete two remaining initiatives: (1) Testing and deployment of the automated continuous bond reviewer and analytical formulas that will replace the existing manual computations; and (2) CBP clearance for a Notice of Proposed Rulemaking (NPRM) to incorporate bond in 19 Code of Federal Regulations (C.F.R.) 113 Regulations that will update eBond functionality from a test to a requirement, eliminate the majority of paper bond processing, and ensure bonds are on file. Upon completion of CBP clearance, this NPRM will require further review outside of CBP prior to publication. Since the issuance of the GAO-16-542 report, CBP has pursued five predictive risk models, and since 2021 has successfully leveraged CBP's existing authorities to advance risk mitigation efforts for the protection of the revenue of the United States, including AD/CVD specific efforts. On September 12, 2024, CBP requested GAO close the recommendation as implemented.</p>
Component	CBP
Report Number (Public)	GAO-17-439SU / GAO-17-618
Report Title	Customs And Border Protection: Improved Planning Efforts Needed to Strengthen Trade Enforcement
Report Received/ Issued Date	04/27/2017
Rec #	2

Recommendation	The Commissioner of CBP should direct the Office of Trade and the Office of Field Operations to develop a long-term hiring plan that articulates how CBP will reach its staffing targets for trade positions set in the Homeland Security Act and the agency's resource optimization model.
Estimated Completion Date (or Date Closed)	01/31/2025
Next Step is Up To	DHS
Narrative of Implementation Status	<p>CBP Office of Field Operations (OFO) and Trade (OT), in coordination with the CBP Hiring Center, have collaborated on formal hiring plans, in order to meet the targets laid out in the Homeland Security Act of 2020 for trade enforcement positions under each office's purview. In January 2021, an OFO Import Specialist Hiring Plan was implemented. With the implementation of OFO's Import Specialist Hiring Plan: (1) Centers of Excellence and Expertise are able to expedite the filling of vacant import specialist positions; (2) CBP's Hiring Center and OFO Human Capital Division have been able to formulate a hiring schedule for FY 2022; and (3) OFO import specialist vacancies are at their lowest level since 2014.</p> <p>With the significant partnership success of the Recruitment and Retention Advisory Committee co-chaired by the Regulatory Audit and Advisory Services Executive Director, OT has overcome previous hiring challenges, in anticipation of meeting the 364-staffing floor for Customs Auditors. Regulatory Audit and Advisory Services remains strategically focused on potential external risk factors that may impact its goal. These focus items include potential agency budget salary shortfalls, any further hiring freeze, significant changes in U.S. economic job market, potential resolutions to any Coronavirus Disease 2019 (COVID-19) implications or derivative pandemic outbreaks. As leading indicators to these events unfold, OT will review and work to develop mitigation efforts to minimize the impact of the risk as much as possible within the flexibilities allowed by statute, regulation, and policy, and will finalize its hiring plan for the auditor positions. Trade Regulatory Audit (TRA) staffing levels for auditors is currently at 344. OT continues to prioritize recruiting new auditors and have made multiple selections from the various job announcements it has issued during the last FY. OT expects to remain at or exceed that level of staffing going forward (funding permitting). TRA is aware that potential external risk factors may affect this, including agency budget salary shortfalls, hiring freezes, and significant changes in the U.S. economic job market. OT will monitor leading indicators and work to mitigate the impacts within the flexibilities allowed by statute, regulation, and policy.</p>

	<p>OT has developed a comprehensive strategy to address shortfalls and gaps by implementing a Strategic Hiring plan, which mirrors the creation of the Talent Acquisition Lifecycle. The cycle will afford OT to get a head start on recruiting and allows for a 15-month window to recruit and onboard employees within the specific time frame identified within the plan. As OT is taking this proactive approach, all key stakeholders know exactly what positions are needed, expected to attrite, and the key timeframe of when recruitment needs to start and end to meet hiring levels.</p> <p>On March 19, 2024, CBP requested that GAO close the recommendation as implemented. In August 2024, GAO stated it believes OT has met the intent of the recommendation but would like to see similar action from OFO. OFO is currently developing a formal hiring plan as part of its overall Human Capital Division strategic plan for FY 2025. The plan will include entry level hiring goals for CBP Officers, Agriculture Specialists, CBP Technicians, and Import Specialists as part of the frontline strategy.</p>
Component	CBP
Report Number (Public)	GAO-18-216
Report title	Intellectual Property: Agencies Can Improve Efforts To Address Risks Posed By Changing Counterfeit Market
Report Received/ Issued Date	01/30/2018
Rec #	1
Recommendation	The Commissioner of CBP should take steps to evaluate the effectiveness of CBP's IPR enforcement efforts, such as by improving its metrics to track the overall effectiveness of its IPR enforcement efforts, evaluating selected activities to enhance IPR enforcement, and developing a process to assess and share information on port-led initiatives to enhance IPR enforcement.
Estimated Completion Date (or Date Closed)	06/28/2024
Next Step is Up To	GAO
Narrative of Implementation Status	CBP evaluated and updated the measures used to track and report effectiveness of Intellectual Property Rights (IPR) enforcement efforts and continues to actively monitor and assess overall metrics for the program. CBP also conducted a strategic risk assessment of the IPR Priority Trade Issue and developed a risk register to monitor the program and adjust metrics and priorities as needed. The IPR Division Metrics Report and IPR Risk Register are living documents that will continue to be updated to reflect the current operational environment and CBP's overall efforts to combat the

	importation of counterfeit goods. Furthermore, CBP established an IPR Priority Trade Issue Coordinators working group, made up of port and field office personnel, to discuss IPR enforcement issues, share best practices and lessons learned from port-led initiatives, and inform overarching strategic planning for the IPR program. In addition to the monthly Priority Trade Issue Coordinators meetings, CBP holds an annual Trade Enforcement Workshop that provides a forum for field personnel to provide critical inputs and feedback into the enforcement priorities for the upcoming FY. In FY 2024, CBP provided GAO an updated set of metrics to demonstrate the expansion of IPR measures, information on alternatives to seizure CBP tracks, and additional supporting documentation for closure.
Component	CBP
Report Number (Public)	GAO-18-405
Report Title	DHS Components Could Improve Monitoring of the Employee Misconduct Process
Report Received/ Issued Date	08/30/2018
Rec #	4
Recommendation	The Commissioner of CBP should monitor the duration of all cases beginning-to-end by stage and by case type.
Estimated Completion Date (or Date Closed)	01/31/2025
Next Step is Up To	DHS
Narrative of Implementation Status	CBP's OPR conducted a detailed analysis of the various timeliness tracking spreadsheets maintained by its Special Agent-in-Charge offices to help it adopt a reasonable and simplified timeliness standard for an administrative investigation. Effective October 1, 2020, the new timeliness standard for an administrative investigation was changed to 120 days (with no pending statuses allowed). This process change saves time, reduces complexity, and ensures a consistent standard exists for the completion of administrative investigation cases. OPR is also working closely with CBP's Office of Information Technology (OIT) and a contracted vendor to develop a new case management system; data migration and system integration is all taking place simultaneously. The system is targeted to launch during the second quarter of FY 2025.
Component	CBP
Report Number (Public)	GAO-18-405
Report Title	DHS Components Could Improve Monitoring of the Employee Misconduct Process

Report Received/ Issued Date	08/30/2018
Rec #	5
Recommendation	The Commissioner of CBP should monitor the timeliness of misconduct cases according to established targets for management inquiries, administrative inquiries, and criminal and non-criminal investigations using case management system data.
Estimated Completion Date (or Date Closed)	01/31/2025
Next Step is Up To	DHS
Narrative of Implementation Status	CBP's OPR conducted a detailed analysis of the various timeliness tracking spreadsheets maintained by its Special Agent-in-Charge offices to help it adopt a reasonable and simplified timeliness standard for an administrative investigation. Effective October 1, 2020, the new timeliness standard for an administrative investigation was changed to 120 days (with no pending statuses allowed). This process change saves time, reduces complexity, and ensures a consistent standard exists for the completion of administrative investigation cases. OPR is also working closely with CBP's OIT and a contracted vendor to develop a new case management system; data migration and system integration is all taking place simultaneously. The system is targeted to launch in the second quarter of FY 2025.
Component	CBP
Report Number (Public)	GAO-18-405
Report Title	DHS Components Could Improve Monitoring of the Employee Misconduct Process
Report Received/ Issued Date	08/30/2018
Rec #	6
Recommendation	The Commissioner of CBP should define and document the case management system data fields to be used for monitoring all established performance targets and provide related guidance to staff.
Estimated Completion Date (or Date Closed)	01/31/2025
Next Step is Up To	DHS
Narrative of Implementation Status	CBP's OPR conducted a detailed analysis of the various timeliness tracking spreadsheets maintained by its Special Agent-in-Charge offices to help it adopt a reasonable and simplified timeliness standard for an administrative investigation. Effective October 1, 2020, the new timeliness standard for an administrative investigation was changed to 120 days (with no pending statuses allowed). This process change saves time, reduces complexity, and ensures a consistent standard exists for the

	completion of administrative investigation cases. OPR is also working closely with CBP's OIT and a contracted vendor to develop a new case management system; data migration and system integration is all taking place simultaneously. The system is targeted to launch in the second quarter of FY 2025.
Component	CBP
Report Number (Public)	GAO-19-470
Report Title	Northern Border Security: CBP Identified Resource Challenges but Needs Performance Measures to Assess Security Between Ports of Entry
Report Received/ Issued Date	03/28/2019
Rec #	1
Recommendation	The Chief of Border Patrol should develop and implement performance measures to assess its effectiveness at securing the northern border between ports of entry.
Estimated Completion Date (or Date Closed)	11/28/2025
Next Step is Up To	DHS
Narrative of Implementation Status	<p>Since 2019, U.S. Border Patrol (USBP) officials have provided updates on various initiatives to develop Northern Border performance measures to include USBP's collaboration with key stakeholders to develop and test a prototype of the Metrics Catalog, which demonstrates the inter-connected relationships between existing metrics and numerous variables that can be used as search criteria and an initial release of the USBP Metric Catalog.</p> <p>USBP continues to develop measures to assess effectiveness at securing the northern border between ports of entry. USBP Sectors will develop operational objectives and tasks that will serve as a framework for development of overarching Northern Border performance measures to assess effectiveness at securing the border.</p>
Component	CBP
Report Number (Public)	GAO-19-470
Report Title	Northern Border Security: CBP Identified Resource Challenges but Needs Performance Measures to Assess Security Between Ports of Entry
Report Received/ Issued Date	03/28/2019
Rec #	2

Recommendation	The Executive Assistant Commissioner of AMO should develop and implement performance measures to assess its effectiveness at securing the northern border between ports of entry in the air and maritime environments.
Estimated Completion Date (or Date Closed)	11/29/2024
Next Step is Up To	DHS
Narrative of Implementation Status	CBP's Air and Marine Operations (AMO) has been actively engaged with GAO on implementing this recommendation. On August 2, 2024, AMO met with GAO to discuss AMO's intent to use the AMO Northern Region Executive Director's annual performance plan to establish AMO's Northern Border objectives and measure performance against those goals. In this discussion, AMO used the FY 2024 Executive Director's performance plan as an example of how AMO would develop, implement, and assess performance measures annually. After this discussion, GAO changed the status of this recommendation to "Open - Partially Addressed" but requested elaboration on how the FY 2024 goals and objectives assess AMO's effectiveness in securing the Northern Border between the ports of entry, and how AMO would continue to measure performance in future years. On September 6, 2024, AMO provided a response to GAO that elaborated on the FY 2024 Northern Region goals, how they measure effectiveness, and how AMO will sustain Northern Region performance evaluation in the years to come. AMO is awaiting GAO's feedback and hopes to request the recommendation be closed as implemented.
Component	CBP
Report Number (Public)	GAO-19-658
Report Title	Land Ports of Entry: CBP Should Update Policies and Enhance Analysis of Inspections
Report Received/ Issued Date	06/13/2019
Rec #	1
Recommendation	The Commissioner of CBP should review and update policies related to land port of entry inspections in accordance with OFO guidance.
Estimated Completion Date (or Date Closed)	03/31/2025
Next Step is Up To	DHS
Narrative of Implementation Status	CBP's OFO completed the preliminary component review of CBP Directive 3340-040B, "Primary Processing of Travelers and Vehicles at Land Ports of Entry," and CBP Directive 3340-030C,

	“Secure Custody, Transport, and Escort Procedures at Ports of Entry.” The directives are still in the review process and expected to be completed during quarter 2 of FY 2025.
Component	CBP
Report Number (Public)	GAO-19-658
Report Title	Land Ports of Entry: CBP Should Update Policies and Enhance Analysis of Inspections
Report Received/ Issued Date	06/13/2019
Rec #	4
Recommendation	The Commissioner of CBP should develop a new target for the land border interception rate for passengers in privately-owned vehicles with major violations that sets an ambitious and realistic goal based on past performance.
Estimated Completion Date (or Date Closed)	12/31/2027
Next Step is Up To	DHS
Narrative of Implementation Status	<p>During early 2020, CBP’s OFO amended the targets for the Compliance Examination Cat-1 Interception Rate measure in the air and personally owned vehicle environments; and requested closure, which GAO declined stating the targets were not raised above recent national performance results and OFO's implemented plan to raise the targets was insufficient. During March 2020, in light of the pandemic, OFO took precautionary actions to suspend the Compliance Examination program at land ports of entry to ensure the health and safety of its workforce and the traveling public. Additionally, the pandemic’s impact on international travel hindered CBP’s ability to forecast travel volumes. The Compliance Examination program remains in suspension due to lower travel volumes that impact statistical sampling integrity. During November 2022, OFO began an initiative to evaluate Compliance Examination to determine its effectiveness in gathering compliance and risk information. OFO needs at least 2 years of reliable Compliance Examination data to establish initial and final targets. During this evaluation, Compliance Examination will remain in suspension, which will require OFO to revisit the timeframes for analyzing land border interceptions and establishing target interception rates.</p>
Component	CBP
Report Number (Public)	GAO-20-182
Report Title	Customs and Border Protection: Risk Management for Tariff Refunds Should Be Improved
Report Received/ Issued Date	12/17/2019

Rec #	2
Recommendation	The Commissioner of CBP should ensure that the Office of Trade assesses the feasibility of flagging excessive export submissions across multiple claims and takes cost-effective steps, based on the assessment, to prevent over claiming.
Estimated Completion Date (or Date Closed)	02/10/2025
Next Step is Up To	GAO
Narrative of Implementation Status	On February 10, 2025, GAO closed this recommendation after the universe of open recommendations for this annual report was identified.
Component	CBP
Report Number (Public)	GAO-20-182
Report Title	Customs and Border Protection: Risk Management for Tariff Refunds Should Be Improved
Report Received/ Issued Date	12/17/2019
Rec #	3
Recommendation	The Commissioner of CBP should ensure that the Office of Trade develops a plan, with time frames, to establish a reliable system of record for proof of export.
Estimated Completion Date (or Date Closed)	09/24/2024
Next Step is Up To	GAO
Narrative of Implementation Status	On September 24, 2024, GAO closed this recommendation as implemented after the universe of open recommendations for this annual report was identified.
Component	CBP
Report Number (Public)	GAO-21-356
Report Title	Southwest Border Security: Actions Are Needed to Address the Cost and Readiness Implications of Continued DOD Support to U.S. Customs and Border Protection
Report Received/ Issued Date	02/02/2021
Rec #	6
Recommendation	The Secretary of Homeland Security, together with the Secretary of Defense, should define a common outcome for DOD's support to DHS, consistent with best practices for interagency collaboration, and articulate how that support will enable DHS to achieve its southwest border security mission in fiscal year 2021 and beyond.

Estimated Completion Date (or Date Closed)	12/31/2024
Next Step is Up To	DHS
Narrative of Implementation Status	<p>On August 23, 2023, CBP informed GAO that the Secretary of DHS and the Secretary of Defense share an understanding of an outcome for Department of Defense (DOD) support to DHS on the Southwest Border (SWB). Both Secretaries desire an end to regular, yearly commitments of DOD capabilities to support the CBP SWB security mission. To that end, CBP sought, and in some instances received from Congress, additional resources to apply to the SWB security mission. Those resources coupled with internal planning and adjustment of DHS capabilities, provide a pathway to the goal of ending regular, yearly DOD support of the SWB security mission. However, should circumstances at the border risk overwhelming DHS capabilities, then, consistent with best practices of interagency collaboration, DHS will reach out to partners for support. CBP also provided GAO a copy of the DHS memorandum to DOD Request for Assistance (RFA) for support to CBP on the SWB during FY 2024. On September 6, 2023, GAO requested CBP continue to coordinate with DOD on the “End of Mission” section of the RFA, so it clearly states how both agencies will know when the mission has been completed. CBP worked with the DHS Military Advisor to update the RFA “End of Mission” section for the FY 2025 RFA, which was signed and sent to DOD on March 22, 2024. CBP provided GAO with a copy of the FY 2025 RFA and requested that GAO close the recommendation as implemented on March 25, 2024. On April 11, 2024, GAO requested additional documentation on how DHS is using DOD assets in developing its own capabilities with the ultimate outcome being the removal of DOD’s assets from the border. On July 31, 2024, the DHS Department Audit Liaison, DHS Military Advisor, and key CBP stakeholders met to discuss a plan forward in implementing the recommendation. CBP will continue to work with the DHS Military Advisor.</p>
Component	CBP
Report Number (Public)	GAO-21-518
Report Title	Facial Recognition Technology: Federal Law Enforcement Agencies Should Better Assess Privacy and Other Risks
Report Received/ Issued Date	04/28/2021
Rec #	10
Recommendation	The Commissioner of CBP should, after implementing a mechanism to track non-federal systems, assess the risks of using such systems, including privacy and accuracy-related risks.

Estimated Completion Date (or Date Closed)	12/17/2024
Next Step is Up To	GAO
Narrative of Implementation Status	On December 17, 2024, GAO closed this recommendation as implemented after the universe of open recommendations for this annual report was identified.
Component	CBP
Report Number (Public)	GAO-22-104725
Report Title	Border Security: CBP Could Improve How It Categorizes Drug Seizure Data and Evaluates Training
Report Received/ Issued Date	05/11/2022
Rec #	3
Recommendation	The Chief of Border Patrol should finalize and implement a plan to regularly evaluate the drug seizures portion of the National Field Training Program.
Estimated Completion Date (or Date Closed)	09/30/2025
Next Step is Up To	DHS
Narrative of Implementation Status	During February 2022, USBP officials updated the Field Training Unit internal operating procedure, which is a post-academy graduation training program for new Border Patrol Agents. Updates to the internal operating procedure included the drug seizures module and a commitment to review the program's curricula on a periodic basis. The internal operating procedure was fully implemented on July 1, 2022. GAO indicated that this is a positive step, to fully address this recommendation. USBP is continuing to update the following internal operating procedures: Supervisory Field Training Unit, Border Patrol Agents Field Training Unit, and Border Patrol Processing Coordinator Field Training Unit. USBP continues to analyze feedback from the field to make necessary adjustments, additions, and/or removals of program content. Updates will continue on an ongoing basis, with internal operating procedure completion and approvals expected by the end of FY 2025.
Component	CBP
Report Number (Public)	GAO-22-104568
Report Title	Border Patrol: Actions Needed to Improve Checkpoint Oversight and Data
Report Received/ Issued Date	06/06/2022
Rec #	1

Recommendation	The Chief of Border Patrol should ensure that sectors and the Checkpoint Program Management Office (CPMO) are overseeing that checkpoint activity data are consistently and accurately recorded. This should include (but not be limited to) overseeing data on apprehensions of smuggled people, canine assists with drug seizures, seizures of trace amounts of marijuana, non-drug property seizures, and attempted checkpoint circumventions.
Estimated Completion Date (or Date Closed)	12/31/2024
Next Step is Up To	DHS
Narrative of Implementation Status	<p>Since issuance of this recommendation, the USBP CPMO issued a memorandum designating CPMO as the focal point for all checkpoint related activities, including checkpoint data and performance management, checkpoint policy management, checkpoint requirements and resource management, checkpoint stakeholder engagement, CPMO administration, checkpoint modernization, and checkpoint health and safety considerations. CPMO also completed the reengagement and establishment of dedicated liaisons to work with sector Data Integrity and Management Team and sector management level (Supervisory Border Patrol Agents and above) subject matter experts (SME); and formally established the USBP Checkpoint Integrated Planning Team. An Integrated Planning Team workshop was hosted by the CPMO (between CPMO and USBP Sector Integrated Planning Team representatives) to establish checkpoint design and layout requirements. CPMO will also host a data and technology checkpoint requirements workshop. The Integrated Planning Team (IPT) will specifically work towards addressing data governance, management, and integrity, checkpoint health and safety, checkpoint modernization (infrastructure and technology), policy, and doctrine development and/or updates.</p> <p>CPMO is completing required sector checkpoint assessments. Completion of these assessments are critical to understanding the totality of the challenges and gaps associated with checkpoint activity data across all USBP checkpoints. Furthermore, these assessments will assist with developing a path forward for safe and efficient collection of data at USBP permanent checkpoints where feasible, and oversight activities.</p> <p>In addition, there is a joint CBP effort to create a single coordinated, efficient, and structured platform that is used by USBP and OFO personnel to standardize case processing and custody management of CBP subjects (e.g., intake, processing, and detention). CBP Unified Processing will standardize common mission functions by providing highly streamlined workflows, data consistency, integrity,</p>

	and reporting capabilities. Furthermore, Unified Processing will replace USBPs “E3” processing platform. The CPMO is in the process of coordinating with USBP Systems Division to identify how checkpoint data to include vehicle secondaries will be documented once Unified Processing is fully implemented.
Component	CBP
Report Number (Public)	GAO-22-104568
Report Title	Border Patrol: Actions Needed to Improve Checkpoint Oversight and Data
Report Received/ Issued Date	06/06/2022
Rec #	2
Recommendation	The Chief of Border Patrol should ensure that Border Patrol uses its data system to document information about all people for whom a checkpoint encounter leads to a subsequent enforcement action.
Estimated Completion Date (or Date Closed)	12/31/2024
Next Step is Up To	DHS
Narrative of Implementation Status	<p>Since issuance of this recommendation, the USBP CPMO issued a memorandum designating CPMO as the focal point for all checkpoint related activities, including checkpoint data and performance management, checkpoint policy management, checkpoint requirements and resource management, checkpoint stakeholder engagement, CPMO administration, checkpoint modernization, and checkpoint health and safety considerations. CPMO also completed the reengagement and establishment of dedicated liaisons to work with sector Data Integrity and Management Team and sector management level (Supervisory Border Patrol Agents and above) SMEs; and formally established the USBP Checkpoint IPT. An IPT workshop was hosted by the CPMO (between CPMO and USBP Sector IPT representatives) to establish checkpoint design and layout requirements. CPMO will also host a data and technology checkpoint requirements workshop. The IPT will specifically work towards addressing data governance, management, and integrity, checkpoint health and safety, checkpoint modernization (infrastructure and technology), policy, and doctrine development and/or updates.</p> <p>CPMO is completing required sector checkpoint assessments. Completion of these assessments are critical to understanding the totality of the challenges and gaps associated with checkpoint activity data across all USBP checkpoints. Furthermore, these assessments will assist with developing a path</p>

	<p>forward for safe and efficient collection of data at USBP permanent checkpoints where feasible, and oversight activities.</p> <p>In addition, there is a joint CBP effort to create a single coordinated, efficient, and structured platform that is used by USBP and OFO personnel to standardize case processing and custody management of CBP subjects (e.g., intake, processing and detention). CBP's Unified Processing will standardize common mission functions by providing highly streamlined workflows, data consistency, integrity, and reporting capabilities. Furthermore, Unified Processing will replace USBPs "E3" processing platform. The CPMO is in the process of coordinating with USBP's Systems Division to identify how checkpoint data will be documented once Unified Processing is fully implemented.</p>
Component	CBP
Report Number (Public)	GAO-22-104568
Report Title	Border Patrol: Actions Needed to Improve Checkpoint Oversight and Data
Report Received/ Issued Date	06/06/2022
Rec #	3
Recommendation	The Chief of Border Patrol should require checkpoints with license plate readers to document secondary inspections by using the Border Enforcement Secondary Tool as intended.
Estimated Completion Date (or Date Closed)	12/31/2024
Next Step is Up To	DHS
Narrative of Implementation Status	<p>Since issuance of this recommendation, the USBP CPMO issued a memorandum designating CPMO as the focal point for all checkpoint related activities, including checkpoint data and performance management, checkpoint policy management, checkpoint requirements and resource management, checkpoint stakeholder engagement, CPMO administration, checkpoint modernization, and checkpoint health and safety considerations. CPMO also completed the reengagement and establishment of dedicated liaisons to work with sector Data Integrity and Management Team and sector management level (Supervisory Border Patrol Agents and above) SMEs; and formally established the USBP Checkpoint IPT. An IPT workshop was hosted by the CPMO (between CPMO and USBP Sector IPT representatives) to establish checkpoint design and layout requirements. CPMO will also host a data and technology checkpoint requirements workshop. The IPT will specifically work towards addressing data governance, management, and integrity, checkpoint health and safety, checkpoint modernization (infrastructure and technology), policy, and doctrine</p>

	<p>development and/or updates.</p> <p>CPMO is completing required sector checkpoint assessments. Completion of these assessments are critical to understanding the totality of the challenges and gaps associated with checkpoint activity data across all USBP checkpoints. Furthermore, these assessments will assist with developing a path forward for safe and efficient collection of data at USBP permanent checkpoints where feasible, and oversight activities.</p> <p>In addition, there is a joint CBP effort to create a single coordinated, efficient, and structured platform that is used by USBP and OFO personnel to standardize case processing and custody management of CBP subjects (e.g., intake, processing and detention). CBP's Unified Processing will standardize common mission functions by providing highly streamlined workflows, data consistency, integrity, and reporting capabilities. Furthermore, Unified Processing will replace USBP's "E3" processing platform. The CPMO is in the process of coordinating with USBP Systems Division to identify how checkpoint data will be documented once Unified Processing is fully implemented.</p>
Component	CBP
Report Number (Public)	GAO-22-104568
Report Title	Border Patrol: Actions Needed to Improve Checkpoint Oversight and Data
Report Received/ Issued Date	06/06/2022
Rec #	4
Recommendation	The Chief of Border Patrol should provide sustained oversight of CPMO and hold it accountable for implementing its checkpoint oversight activities.
Estimated Completion Date (or Date Closed)	12/31/2026
Next Step is Up To	DHS
Narrative of Implementation Status	The USBP Checkpoint Integrated Planning Team was formally established and conducted an initial Integrated Planning Team meeting between the CPMO and all USBP Sector IPT representatives. An IPT workshop was hosted by the CPMO (between CPMO and USBP Sector IPT representatives) to establish checkpoint design and layout requirements. CPMO will host a data and technology checkpoint requirements workshop. This IPT will specifically work towards addressing data governance, management, and integrity, checkpoint health and safety, checkpoint modernization (infrastructure and technology), policy, doctrine development and/or updates, and checkpoint

	oversight activities. The CPMO is in the process of completing required sector checkpoint assessments. Completion of these assessments are critical to understanding the totality of the challenges and gaps associated with checkpoint activity data. Furthermore, these assessments will assist with developing a path forward for safe and efficient collection of data at USBP permanent checkpoints where feasible, and oversight activities.
Component	CBP
Report Number (Public)	GAO-22-104568
Report Title	Border Patrol: Actions Needed to Improve Checkpoint Oversight and Data
Report Received/ Issued Date	06/06/2022
Rec #	5
Recommendation	The Chief of Border Patrol should ensure that CPMO is consistently and adequately staffed.
Estimated Completion Date (or Date Closed)	11/12/2024
Next Step is Up To	GAO
Narrative of Implementation Status	On November 12, 2024, GAO closed this recommendation as implemented after the universe of open recommendations for this annual report was identified.
Component	CBP
Report Number (Public)	GAO-22-104568
Report Title	Border Patrol: Actions Needed to Improve Checkpoint Oversight and Data
Report Received/ Issued Date	06/06/2022
Rec #	7
Recommendation	The Chief of Border Patrol should develop policies and procedures for CPMO's checkpoint oversight activities.
Estimated Completion Date (or Date Closed)	12/31/2025
Next Step is Up To	DHS
Narrative of Implementation Status	The USBP Checkpoint IPT was formally established and conducted an initial IPT meeting between the USBP CPMO and all USBP Sector IPT representatives. CPMO also hosted an IPT workshop between CPMO and USBP Sector IPT representatives to establish checkpoint design and layout

	requirements. CPMO will host a data and technology checkpoint requirements. The IPT will specifically work towards addressing data governance, management, and integrity, checkpoint health and safety, checkpoint modernization (infrastructure and technology), policy, doctrine development and/or updates, and checkpoint oversight activities.
Component	CBP
Report Number (Public)	GAO-23-105472
Report Title	Customs and Border Protection: Actions Needed to Enhance Acquisition Management and Knowledge Sharing
Report Received/ Issued Date	04/25/2023
Rec #	1
Recommendation	The CBP Commissioner should update acquisition guidance, such as the PLP Guide, to accurately reflect how key governance councils are conducting portfolio management.
Estimated Completion Date (or Date Closed)	01/31/2025
Next Step is Up To	DHS
Narrative of Implementation Status	While CBP's Office of Acquisition (OA) did not agree that acquisition guidance is the appropriate mechanism to address portfolio management, OA, in consultation with CBP's lead business authorities and component leadership who are better situated to discuss portfolio management, is making updates to CBP Directive 5220-041A, "U.S. Customs and Border Protection Acquisition Management," dated February 7, 2019 (the "Directive"), and Handbook (HB) 5225-008, CBP "Program Lifecycle Process Guide," dated September 2021 (the "Handbook"), to clarify the concepts of portfolio management and their execution in both documents. This effort includes determining whether updates are needed for CBP's established governance council charters. During June 2024, OA adjudicated comments received on the Directive and is close to releasing it for final review, which will feed into the final updates for the Handbook. OA anticipates releasing the Handbook for review and comment during the first quarter of FY 2025, and when comments are received, they will be adjudicated, and the document finalized for approval. Signature for both the Directive and the Handbook is expected by January 31, 2025.
Component	CBP
Report Number (Public)	GAO-23-105472
Report Title	Customs and Border Protection: Actions Needed to Enhance Acquisition Management and Knowledge Sharing

Report Received/ Issued Date	04/25/2023
Rec #	2
Recommendation	The CBP Commissioner should ensure that the Component Acquisition Executive updates guidance to require that contracting officers be included in the development of information summarized in DHS's Acquisition Strategy Document, to ensure contracting officers have knowledge of and are involved in developing program-level acquisition strategies.
Estimated Completion Date (or Date Closed)	01/31/2025
Next Step is Up To	DHS
Narrative of Implementation Status	CBP's Component Acquisition Executive (CAE) and OA are updating CBP Directive 5220-041A, "U.S. Customs and Border Protection Acquisition Management," dated February 7, 2019 (the "Directive") and HB 5225-008, CBP "Program Lifecycle Process Guide," dated September 2021 (the "Handbook"), to clarify the concepts of portfolio management and their execution in both documents and to ensure contracting officers have knowledge of, and are involved in, developing program level acquisition strategies. This effort, which includes incorporating initial changes from DHS policy, expanding CBP guidance where needed, and clarifying the language, as appropriate, will result in an updated Directive and Handbook that includes guidance to ensure contracting officers have knowledge of, and are involved in, developing program level acquisition strategies. During June 2024, OA adjudicated comments received on the Directive and is close to releasing it for final review, which will feed into the final updates for the Handbook. OA anticipates releasing the Handbook for review and comment during the first quarter of FY 2025, and when comments are received, they will be adjudicated, and the document finalized for approval. Signature for both the Directive and the Handbook is expected by January 31, 2025.
Component	CBP
Report Number (Public)	GAO-23-105472
Report Title	Customs and Border Protection: Actions Needed to Enhance Acquisition Management and Knowledge Sharing
Report Received/ Issued Date	04/25/2023
Rec #	3

Recommendation	The CBP Commissioner should ensure that the CBP Component Acquisition Executive updates acquisition guidance to require CBP to collect, analyze, and validate acquisition programs' lessons learned throughout the acquisition life cycle.
Estimated Completion Date (or Date Closed)	01/31/2025
Next Step is Up To	DHS
Narrative of Implementation Status	CBP's CAE and OA are updating CBP Directive 5220-041A, "U.S. Customs and Border Protection Acquisition Management," dated February 7, 2019 (the "Directive"), and HB 5225-008, CBP "Program Lifecycle Process Guide," dated September 2021 (the "Handbook"), to ensure CBP collects, analyzes, and validates acquisition programs' lessons learned throughout the acquisition life cycle, and to clarify the concepts of portfolio management and their execution in both documents. OA reviewed the current process for tracking lessons learned, and the tracking file has been updated with new items flagged for inclusion in the updated documents. During June 2024, OA adjudicated comments received on the Directive and is close to releasing it for final review, which will feed into the final updates for the Handbook. OA anticipates releasing the Handbook for review and comment during the first quarter of FY 2025, and when comments are received, they will be adjudicated, and the document finalized for approval. Signature for both the Directive and the Handbook is expected by January 31, 2025.
Component	CBP
Report Number (Public)	GAO-23-105472
Report Title	Customs and Border Protection: Actions Needed to Enhance Acquisition Management and Knowledge Sharing
Report Received/ Issued Date	04/25/2023
Rec #	4
Recommendation	The CBP Commissioner should ensure that the CBP Component Acquisition Executive develops a central repository for acquisition programs to archive and share lessons learned.
Estimated Completion Date (or Date Closed)	01/31/2025
Next Step is Up To	DHS
Narrative of Implementation Status	CBP's OA, under the guidance of the CAE, regularly conducts portfolio reviews, which provide the opportunity for acquisition program managers across the enterprise to present the status of their programs, including information that could be useful to the wider acquisition community, such as any

	<p>lessons learned, to the principal acquisition leaders within CBP, including the CAE, Head/Deputy Head of the Contracting Activity, and the Chief Information Officer. These regularly scheduled portfolio reviews are open to the CBP acquisition community and are attended by leadership from the DHS MGMT, Office of Program Accountability and Risk Management (PARM) to maintain insight into CBP programs. Additionally, as part of updates CBP is making to CBP Directive 5220-041A, “U.S. Customs and Border Protection Acquisition Management,” dated February 7, 2019 (the “Directive”), and HB 5225-008, CBP “Program Lifecycle Process Guide,” dated September 2021 (the “Handbook”), OA is clarifying the concepts of portfolio management and their execution in both documents, including guidance to ensure there is a central repository for acquisition programs to archive and share lessons learned within the acquisition community. During June 2024, OA adjudicated comments received on the Directive and is close to releasing it for final review, which will feed into the final updates for the Handbook. OA anticipates releasing the Handbook for review and comment during the first quarter of FY 2025, and when comments are received, they will be adjudicated, and the document finalized for approval. Signature for both the Directive and the Handbook is expected by January 31, 2025.</p>
Component	CBP
Report Number (Public)	GAO-23-105148
Report Title	Steel and Aluminum Tariffs: Agencies Should Take Additional Actions to Ensure Section 232 Exclusions Are Needed and Duties Are Paid
Report Received/ Issued Date	07/20/2023
Rec #	3
Recommendation	The CBP Commissioner should ensure that additional steps are taken, as appropriate, to recover the duties owed by importers as a result of invalid use of Section 232 exclusions, including for liquidated entries beyond CBP's 90-day re-liquidation period.
Estimated Completion Date (or Date Closed)	10/31/2024
Next Step is Up To	DHS
Narrative of Implementation Status	<p>CBP’s OT’s Trade Remedy Branch coordinated with OFO Base Metals Center of Excellence and Expertise (Base Metals Center), as well as the OT Quota and Agriculture Branch, to draft comprehensive guidance to OFO to recover duties owed when an importer exceeds approved quantities of Section 232 exclusions or makes any other invalid use of Section 232 exclusions. On April 30, 2024, CBP issued an internal policy on “Guidance: Enforcement of Section 232 Duties</p>

	when Exclusion Limits Have Been Exceeded.” This policy covers enforcement of Section 232 exclusions on all unliquidated and liquidated entries of steel and aluminum imports within the 90-day re-liquidation period, including imports subject to absolute and tariff rate quotas. Further, OT is coordinating with key stakeholders to develop procedures, as appropriate, for OFO to recover duties for liquidated entries beyond the re-liquidation period, under 19 U.S.C. § 1592(d), when an importer has exceeded approved quantities of Section 232 exclusions. Draft procedures are currently going through stakeholder review.
Component	CBP
Report Number (Public)	GAO-23-105148
Report Title	Steel and Aluminum Tariffs: Agencies Should Take Additional Actions to Ensure Section 232 Exclusions Are Needed and Duties Are Paid
Report Received/ Issued Date	07/20/2023
Rec #	4
Recommendation	The CBP Commissioner should ensure that controls are implemented either to prevent importers from exceeding the approved quantities of their Section 232 exclusions or to promptly assess duties owed because of overages before CBP’s 90-day re-liquidation period expires.
Estimated Completion Date (or Date Closed)	08/30/2024
Next Step is Up To	GAO
Narrative of Implementation Status	CBP issued comprehensive guidance on implementing procedures to prevent importers from using exclusions when the exclusion reaches 95 percent of the exclusion limit per Cargo System Messaging Service #58942510. The new procedures went into effect on February 15, 2024, and require payment of all Section 232 duties after 95 percent of the exclusion has been claimed on non-quota entries. Importers are then able to file a retroactive claim for refund of Section 232 duties paid to claim the remaining exclusion amounts. In addition, the OT Trade Remedy Branch issued internal policy “Guidance: Enforcement of Section 232 Duties when Exclusion Limits Have Been Exceeded” on April 30, 2024, per Cargo ACE Messaging Service #60400190. This internal policy covers all unliquidated and reliquidated entries within the 90-day re-liquidation period of steel and aluminum imports, including absolute and tariff rate quota entries for center personnel to split the entry summary lines to collect duties in assess of the quota or exclusion limits. Since implementation of the internal policy, center personnel have collected \$1.8 million on 153 entries covering over 3.3 million kilograms of section 232 exclusion overages. On August 30, 2024, CBP requested that GAO

	close the recommendation as implemented; and is working to gather additional documentation as requested by GAO.
Component	CBP
Report Number (Public)	GAO-23-105443
Report Title	Southwest Border: Additional Actions Needed to Address Cultural and Natural Resource Impacts from Barrier Construction
Report Received/ Issued Date	09/05/2023
Rec #	1
Recommendation	The Commissioner of CBP jointly document, with Interior, a strategy to mitigate cultural and natural resource impacts from border barrier construction that defines agency roles and responsibilities for undertaking specific mitigation actions; identifies the costs, associated funding sources, and time frames necessary to implement them; and specifies when agencies are to consult with Tribes.
Estimated Completion Date (or Date Closed)	03/31/2025
Next Step is Up To	DHS
Narrative of Implementation Status	USBP's lead coordinator worked with the U.S. Department of the Interior (DOI) to create a joint strategy to mitigate border barrier cultural and natural resource impacts. This included holding strategy sessions with DOI to collaborate on agency roles and responsibilities, mitigation actions, costs and associated funding sources, implementation time frames, and protocols addressing when agencies are to consult with Tribes. On March 8, 2024, the United States District Court for the Southern District of Texas issued a preliminary injunction prohibiting CBP from using its FYs 2020 and 2021 barrier system appropriations for, among other things, mitigation and remediation efforts. See Texas General Land Office, et. al v. Biden, 21-CV-00272. Prior to the injunction, CBP had been using its FY 2020 and FY 2021 barrier system appropriations to fund mitigation activities related to barrier construction. The injunction did not impact the completion of the joint strategy document. The USBP and DOI joint strategy was signed by the CBP Commissioner and is now with DOI leadership for review and signature. Although funding is no longer available for mitigation activities, the joint strategy could be applied to future barrier construction projects.
Component	CBP
Report Number (Public)	GAO-23-105443
Report Title	Southwest Border: Additional Actions Needed to Address Cultural and Natural Resource Impacts from Barrier Construction

Report Received/ Issued Date	09/05/2023
Rec #	3
Recommendation	The Commissioner of CBP, with input from Interior, DOD, Tribes, and stakeholders, evaluate lessons learned from its prior assessments of potential impacts.
Estimated Completion Date (or Date Closed)	06/30/2025
Next Step is Up To	DHS
Narrative of Implementation Status	On March 8, 2024, the United States District Court for the Southern District of Texas issued a preliminary injunction prohibiting CBP from using its FYs 2020 and 2021 barrier system appropriations for, among other things, mitigation and remediation efforts. See Texas General Land Office, et al v. Biden, 21-CV-00272. Prior to the injunction, CBP had been using its FY 2020 and FY 2021 barrier system appropriations to fund mitigation activities related to barrier construction, including the lessons learned document. In light of the preliminary injunction, CBP ceased those activities. A lessons learned document was drafted by USBP's lead coordinator, but it was placed on hold due to the injunction.
Component	CBP
Report Number (Public)	GAO-23-105607
Report Title	Facial Recognition Technology: Federal Law Enforcement Agencies Should Take Actions to Implement Training, and Policies for Civil Liberties
Report Received/ Issued Date	09/05/2023
Rec #	4
Recommendation	The Commissioner of CBP determine the extent that staff use facial recognition services to develop and share information in support of other agencies' criminal investigations (such as number of CBP staff that use the services and how often they do so).
Estimated Completion Date (or Date Closed)	09/27/2024
Next Step is Up To	GAO
Narrative of Implementation Status	On September 27, 2024, GAO closed this recommendation as implemented after the universe of open recommendations for this annual report was identified.
Component	CBP
Report Number (Public)	GAO-23-105607

Report Title	Facial Recognition Technology: Federal Law Enforcement Agencies Should Take Actions to Implement Training, and Policies for Civil Liberties
Report Received/ Issued Date	09/05/2023
Rec #	5
Recommendation	The Commissioner of CBP assess whether training would benefit staff using facial recognition services to develop and share information in support of other agencies' criminal investigations, incorporating information on the extent to which staff use such services.
Estimated Completion Date (or Date Closed)	09/27/2024
Next Step is Up To	GAO
Narrative of Implementation Status	On September 27, 2024, GAO closed this recommendation as implemented after the universe of open recommendations for this annual report was identified.
Component	Cybersecurity and Infrastructure Security Agency (CISA)
Report Number (Public)	GAO-20-453
Report Title	Critical Infrastructure: Actions Needed to Enhance DHS Oversight of Cybersecurity at High-Risk Chemical Facilities
Report Received/ Issued Date	05/14/2020
Rec #	2
Recommendation	The Assistant Director of the Infrastructure Security Division should incorporate measures to assess the contribution that its cybersecurity training is making to program goals, such as inspector- or program-specific performance improvement goals.
Estimated Completion Date (or Date Closed)	01/23/2025
Next Step is Up To	GAO
Narrative of Implementation Status	On January 23, 2025, GAO closed this recommendation as no longer valid after the universe of open recommendations for this annual report was identified.
Component	CISA
Report Number (Public)	GAO-20-453
Report Title	Critical Infrastructure: Actions Needed to Enhance DHS Oversight of Cybersecurity at High-Risk Chemical Facilities

Report Received/ Issued Date	05/14/2020
Rec #	3
Recommendation	The Assistant Director of the Infrastructure Security Division should track delivery and performance data for its cybersecurity training, such as the completion of courses, webinars, and refresher trainings.
Estimated Completion Date (or Date Closed)	1/23/2025
Next Step is Up To	GAO
Narrative of Implementation Status	On January 23, 2025, GAO closed this recommendation as no longer valid after the universe of open recommendations for this annual report was identified.
Component	CISA
Report Number (Public)	GAO-20-453
Report Title	Critical Infrastructure: Actions Needed to Enhance DHS Oversight of Cybersecurity at High-Risk Chemical Facilities
Report Received/ Issued Date	05/14/2020
Rec #	4
Recommendation	The Assistant Director of the Infrastructure Security Division should develop a plan to evaluate the effectiveness of its cybersecurity training, such as collecting and analyzing course evaluation forms.
Estimated Completion Date (or Date Closed)	1/23/2025
Next Step is Up To	GAO
Narrative of Implementation Status	On January 23, 2025, GAO closed this recommendation as no longer valid after the universe of open recommendations for this annual report was identified.
Component	CISA
Report Number (Public)	GAO-20-453
Report Title	Critical Infrastructure: Actions Needed to Enhance DHS Oversight of Cybersecurity at High-Risk Chemical Facilities
Report Received/ Issued Date	05/14/2020
Rec #	5

Recommendation	The Assistant Director of the Infrastructure Security Division should develop a workforce plan that addresses the program's cybersecurity-related needs, which should include an analysis of any gaps in the program's capacity and capability to perform its cybersecurity-related functions, and human capital strategies to address them.
Estimated Completion Date (or Date Closed)	1/23/2025
Next Step is Up To	GAO
Narrative of Implementation Status	On January 23, 2025, GAO closed this recommendation as no longer valid after the universe of open recommendations for this annual report was identified.
Component	CISA
Report Number (Public)	GAO-20-453
Report Title	Critical Infrastructure: Actions Needed to Enhance DHS Oversight of Cybersecurity at High-Risk Chemical Facilities
Report Received/ Issued Date	05/14/2020
Rec #	6
Recommendation	The Assistant Director of the Infrastructure Security Division should maintain reliable, readily available information about the cyber integration levels of covered chemical facilities and inspector cybersecurity expertise. This could include updating the program's inspection database system to better track facilities' cyber integration levels.
Estimated Completion Date (or Date Closed)	1/23/2025
Next Step is Up To	GAO
Narrative of Implementation Status	On January 23, 2025, GAO closed this recommendation as no longer valid after the universe of open recommendations for this annual report was identified.
Component	CISA
Report Number (Public)	GAO-21-12
Report Title	Chemical Security: Overlapping Programs Could Better Collaborate to Share Information and Identify Potential Security Gaps
Report Received/ Issued Date	01/21/2021
Rec #	6

Recommendation	DHS's Cybersecurity and Infrastructure Security Agency should collaborate with the EPA to assess the extent to which potential security gaps exist at water and wastewater facilities and, if gaps exist, develop a legislative proposal for how best to address them and submit it to the Secretary of Homeland Security and Administrator of EPA, and Congress, as appropriate.
Estimated Completion Date (or Date Closed)	1/13/2025
Next Step is Up To	GAO
Narrative of Implementation Status	On January 13, 2025, GAO closed this recommendation as implemented after the universe of open recommendations for this annual report was identified.
Component	CISA
Report Number (Public)	GAO-22-104462
Report Title	Critical Infrastructure Protection: CISA Should Assess the Effectiveness of Its Actions to Support the Communications Sector
Report Received/ Issued Date	11/23/2021
Rec #	1
Recommendation	The Director of CISA should assess the effectiveness of CISA's programs and services to support the Communications Sector, including developing and implementing metrics and analyzing feedback received from owners and operators, to determine the usefulness and relevance of its activities to support sector security and resilience.
Estimated Completion Date (or Date Closed)	12/31/2024
Next Step is Up To	DHS
Narrative of Implementation Status	On September 19, 2024, GAO provided additional guidance following the decision made at the conclusion of the May 3, 2024, meeting regarding the status of this recommendation. It was reaffirmed that, due to CISA's reorganization, the scope of the recommendation had shifted since its original issuance. Both GAO and CISA agreed that the scope should be broadened. As a result, additional divisions within CISA, along with affiliated organizations, are now required to provide performance metrics and gather feedback from infrastructure owners and operators to assess their effectiveness in enhancing the security and resilience of the communications sector. CISA's Audit Team has already begun gathering these responses. However, with the involvement of new divisions and the expanded scope of the recommendation, additional time is needed to collect and coordinate accurate information. To ensure proper coordination, CISA extended the ECD.

Component	CISA
Report Number (Public)	GAO-22-104462
Report Title	Critical Infrastructure Protection: CISA Should Assess the Effectiveness of Its Actions to Support the Communications Sector
Report Received/ Issued Date	11/23/2021
Rec #	2
Recommendation	The Director of CISA should complete a capability assessment for Emergency Support Function #2, such as establishing requirements, maintaining a list of current capabilities, and conducting a capability gap analysis to identify if and where other resources may be needed.
Estimated Completion Date (or Date Closed)	08/12/2024
Next Step is Up To	GAO
Narrative of Implementation Status	<p>CISA completed the necessary work to respond to this recommendation. This includes establishing requirements, maintaining a list of current capabilities, and conducting a capability gap analysis to identify where additional resources may be needed. To demonstrate this, CISA submitted the following to GAO:</p> <ul style="list-style-type: none"> • The CISA National Coordinating Center for Communications Emergency Support Functions (ESF) #2 Mission Gaps document, which outlines capability gaps aligned with mission essential functions and relevant authorities; • A draft of the ESF#2 Concept of Operations, detailing CISA's roles and responsibilities in ESF#2 operations; • A presentation on Electromagnetic Pulse Risk Mitigation, which provides examples of analysis that helped identify gaps; and • A summary of the actions CISA has taken to address these gaps, including upgrades to analytic tools, enhancements to the operations center and intelligence functions, and investments in communications technology for continuity operations. <p>CISA completed this corrective action and on June 10, 2024, requested that GAO close the recommendation as implemented. GAO requested additional documentation, which CISA delivered on August 12, 2024. GAO informed CISA that it will make a determination once it is finished reviewing that additional documentation.</p>
Component	CISA

Report Number (Public)	GAO-22-104462
Report Title	Critical Infrastructure Protection: CISA Should Assess the Effectiveness of Its Actions to Support the Communications Sector
Report Received/ Issued Date	11/23/2021
Rec #	3
Recommendation	The Director of CISA, in coordination with public and private Communications Sector stakeholders, should produce a revised Communications Sector-Specific Plan, to include goals, objectives, and priorities that address new and emerging threats and risks to the Communications Sector and that are in alignment with sector risk management agency responsibilities.
Estimated Completion Date (or Date Closed)	01/31/2025
Next Step is Up To	DHS
Narrative of Implementation Status	On October 26, 2024, CISA will deliver the draft Communications Sector Risk Assessment to DHS, meeting the 180-day requirement. Following this, on January 24, 2025, CISA will submit the Communications Sector-Specific Risk Management Plan, in accordance with the 270-day requirement.
Component	CISA
Report Number (Public)	GAO-22-104279
Report Title	Critical Infrastructure Protection: CISA Should Improve Priority-Setting, Stakeholder Involvement, and Threat Information Sharing
Report Received/ Issued Date	03/01/2022
Rec #	4
Recommendation	The Director of CISA should document, as appropriate, goals and strategies for the National Critical Functions framework.
Estimated Completion Date (or Date Closed)	09/30/2025
Next Step is Up To	DHS
Narrative of Implementation Status	National Security Memorandum (NSM)-22 mandates that by April 30, 2025, the Secretary of DHS must submit a National Infrastructure Risk Management Plan, informed by sector-specific risk assessments and management plans. Each Sector Risk Management Agency (SRMA) must submit its assessments by October 26, 2024, and management plans by January 24, 2025. CISA, through the

	<p>Federal Senior Leadership Council, is tracking these deadlines and engaging with interagency partners.</p> <p>Once complete, the refreshed National Infrastructure Risk Management Plan will provide updated baseline guidance for SRMAs to develop Sector-Specific Plans, translating national guidance into a sector-specific context necessary for SRMAs to lead and manage its sectors. CISA will begin documenting goals and strategies for the National Critical Functions framework concurrently with the development of these assessments and plans. This integration ensures that the goals and strategies are aligned with the broader efforts outlined in the National Infrastructure Risk Management Plan.</p>
Component	CISA
Report Number (Public)	GAO-22-105397
Report Title	COVID-19: Current and Future Federal Preparedness Requires Fixes to Improve Health Data and Address Improper Payments
Report Received/ Issued Date	04/26/2022
Rec #	11
Recommendation	Director of the Cybersecurity and Infrastructure Security Agency should assess and document lessons learned from the COVID-19 pandemic's impacts on the Critical Manufacturing Sector.
Estimated Completion Date (or Date Closed)	06/30/2024
Next Step is Up To	GAO
Narrative of Implementation Status	<p>CISA requested closure on February 14, 2023, and provided additional materials on April 25, 2023. Since then, CISA met with GAO during March and May 2024, providing further supporting documents to address GAO's questions. CISA will follow-up with GAO again during October 2024. CISA is working closely with GAO to close this recommendation. To meet this requirement, CISA submitted the COVID-19 Task Force After-Action Report and related annexes to GAO during April 2024. This was followed by the Incident Coordination Framework and additional After-Action Report annexes during June 2024. CISA is now awaiting feedback from GAO.</p>
Component	CISA
Report Number (Public)	GAO-22-104256
Report Title	Cyber Insurance: Action Needed to Assess Potential Federal Response to Catastrophic Attacks
Report Received/ Issued Date	06/21/2022
Rec #	1

Recommendation	The Director of the Cybersecurity and Infrastructure Security Agency work with the Director of the Federal Insurance Office to produce a joint assessment for Congress on the extent to which the risks to the nation's critical infrastructure from catastrophic cyberattacks, and the potential financial exposures resulting from these risks, warrant a federal insurance response.
Estimated Completion Date (or Date Closed)	12/31/2026
Next Step is Up To	DHS
Narrative of Implementation Status	CISA's Office of Strategy, Policy, and Plans (PLCY) continues to work closely with the Office of the National Cyber Director and the U.S. Department of the Treasury's (Treasury) Federal Insurance Office to assess policy and security options for a federal insurance response to catastrophic cyber risk. During May 2024, CISA's PLCY and the Office of the Chief Economist attended a conference held by Treasury Federal Insurance Office, which facilitated discussions with insurance industry stakeholders on potential forms a federal insurance response might take. Additionally, during June 2024, CISA's PLCY convened a meeting of the Cybersecurity Insurance and Data Analysis Working Group, during which PLCY and Office of the National Cyber Director led a discussion with cyber insurers on potential security mechanisms for a federal insurance response. This meeting was also attended by CISA's Chief Economist and Treasury's Federal Insurance Office.
Component	CISA
Report Number (Public)	GAO-22-104767
Report Title	Ransomware: Federal Agencies Provide Useful Assistance but Can Improve Collaboration
Report Received/ Issued Date	09/14/2022
Rec #	1
Recommendation	The Secretary of Homeland Security direct the Director of CISA to (1) evaluate how to best address concerns raised by SLTTs and facilitate collaboration with other key ransomware stakeholders taking into account its leadership of the new joint ransomware task force and (2) improve interagency coordination on ransomware assistance to SLTTs.
Estimated Completion Date (or Date Closed)	12/02/2024
Next Step is Up To	GAO
Narrative of Implementation Status	On December 2, 2024, GAO closed this recommendation after the universe of open recommendations for this annual report was identified.
Component	CISA

Report Number (Public)	GAO-23-105806
Report Title	Critical Infrastructure Protection: Timeframes to Complete DHS Efforts Would Help Sector Risk Management Agencies Implement Statutory Responsibilities
Report Received/ Issued Date	02/07/2023
Rec #	1
Recommendation	The Director of CISA establish milestones and timelines for its efforts to provide guidance and improve coordination and information sharing that would help SRMAs implement their FY21 NDAA responsibilities, and ensure the milestones and timelines are updated through completion.
Estimated Completion Date (or Date Closed)	09/30/2025
Next Step is Up To	DHS
Narrative of Implementation Status	CISA is awaiting the updates to Presidential Policy Directive 21, “Critical Infrastructure Security and Resilience,” which are scheduled for completion no later than December 31, 2024. Once those updates are finalized, CISA will assess any changes and determine their impact on guidance, coordination, and information-sharing efforts. This will allow CISA to establish appropriate milestones and timelines for these efforts, aimed at assisting SRMAs in implementing their FY 2021 National Defense Authorization Act (NDAA) responsibilities.
Component	CISA
Report Number (Public)	GAO-23-105649
Report Title	Federal Facilities: Improved Oversight Needed for Security Recommendations
Report Received/ Issued Date	05/08/2023
Rec #	1
Recommendation	The Secretary of Homeland Security ensure that the Cybersecurity and Infrastructure Security Agency improves its oversight of security measures by modifying its compliance and verification process to assess the implementation of FPS’s recommended countermeasures.
Estimated Completion Date (or Date Closed)	12/31/2024
Next Step is Up To	DHS
Narrative of Implementation Status	CISA, through the Interagency Security Committee, is following its publication protocols for the update of the compliance questionnaire. The updated compliance questionnaire is fundamentally dependent upon the Interagency Security Committee’s Risk Management Process for Federal

	Facilities: An Interagency Security Committee Standard update, which was delayed in publication by an Interagency Security Committee member. The update was published on July 18, 2024, allowing for continued publication progression of the updated compliance questionnaire. Upon publication of the annual questionnaire during November 2024, CISA will request that GAO close the recommendation as implemented.
Component	CISA
Report Number (Public)	GAO-23-105649
Report Title	Federal Facilities: Improved Oversight Needed for Security Recommendations
Report Received/ Issued Date	05/08/2023
Rec #	2
Recommendation	The Secretary of Homeland Security ensure that the Cybersecurity and Infrastructure Security Agency improves its oversight of security measures by modifying its compliance and verification process to identify the recommendations for which agencies did not implement the recommended countermeasure and did not document the acceptance of the risk.
Estimated Completion Date (or Date Closed)	09/27/2024
Next Step is Up To	GAO
Narrative of Implementation Status	On September 27, 2024, GAO closed this recommendation as implemented after the universe of open recommendations for this annual report was identified.
Component	CISA
Report Number (Public)	GAO-23-105468
Report Title	Critical Infrastructure: National Cybersecurity Strategy Needs to Address Information Sharing Challenges, Performance Measures, and Methods
Report Received/ Issued Date	09/26/2023
Rec #	2
Recommendation	The Director of CISA, in coordination with the 14 agencies, should conduct a comprehensive assessment of whether the current mix of centralized and federated sharing methods used by the agencies is the optimal approach to addressing the cyber threat sharing challenges-including whether existing sharing methods should be retired in favor of centralized or federated approaches.
Estimated Completion Date (or Date Closed)	09/03/2024

Next Step is Up To	GAO
Narrative of Implementation Status	CISA's Cybersecurity Division has actively conducted requirements gathering and listening sessions across the government to inform the development of CISA's Threat Intelligence Enterprise Services. These efforts address the federal cyber threat sharing, analysis, collaboration, and procurement challenges highlighted in the GAO report. CISA's outreach across federal agencies has captured the technical and functional requirements needed for a centrally managed cyber threat intelligence and information-sharing service, aligning with the intent of this recommendation. On September 3, 2024, CISA requested that GAO close the recommendation as implemented, and GAO is currently reviewing the supporting evidence.
Component	Office for Civil Rights and Civil Liberties (CRCL)
Report Number (Public)	GAO-23-105243
Report Title	FEMA Workforce: Additional Actions Needed to Help Prevent and Response to Discrimination and Harassment
Report Received/ Issued Date	10/20/2022
Rec #	2
Recommendation	The Secretary of Homeland Security update mandatory anti-harassment training consistent with EEOC's [Equal Employment Opportunity Commission's] Promising Practices to Prevent Harassment, to ensure it includes: a. examples that are tailored to the DHS specific workplace and workforce; b. explanations of the information that may be requested during an investigation, including: the name or a description of the alleged harasser(s), alleged victim(s), and any witnesses; the dates of the alleged harassment; the location(s) of the alleged harassment; and a description of the alleged harassment; and c. an opportunity for employees to ask questions about the training, harassment policy, complaint system, and related rules and expectations, either during the training or by providing component specific points of contact.
Estimated Completion Date (or Date Closed)	09/20/2024
Next Step is Up To	GAO
Narrative of Implementation Status	On September 20, 2024, GAO closed this recommendation after the universe of open recommendations for this annual report was identified.
Component	CRCL
Report Number (Public)	GAO-23-105243

Report Title	FEMA Workforce: Additional Actions Needed to Help Prevent and Response to Discrimination and Harassment
Report Received/ Issued Date	10/20/2022
Rec #	3
Recommendation	The Secretary of Homeland Security provide an opportunity for employees to evaluate its antiharassment training on a recurring basis.
Estimated Completion Date (or Date Closed)	09/30/2024
Next Step is Up To	GAO
Narrative of Implementation Status	On September 30, 2024, GAO closed this recommendation after the universe of open recommendations for this annual report was identified.
Component	CRCL
Report Number (Public)	GAO-23-105243
Report Title	FEMA Workforce: Additional Actions Needed to Help Prevent and Response to Discrimination and Harassment
Report Received/ Issued Date	10/20/2022
Rec #	4
Recommendation	The Secretary of Homeland Security ensure employee evaluations of antiharassment trainings are regularly considered for future updates to its training.
Estimated Completion Date (or Date Closed)	xx/xx/2025C
Next Step is Up To	GAO
Narrative of Implementation Status	On Month Day, 2025, GAO closed this recommendation as implemented after the universe of open recommendations for this annual report was identified.
Component	CWMD
Report Number (Public)	GAO-21-292
Report Title	Biodetection: DHS Exploring New Methods to Replace BioWatch and Could Benefit from Additional Guidance
Report Received/ Issued Date	05/20/2021

Rec #	1
Recommendation	Secretary of Homeland Security ensure that the BD21 program office clarifies in its acquisition documentation before the ADE 2A decision point, the intention of the situational awareness and common operating picture capability identified as a gap, including the specific functionality, sources of information, and distinction from existing common operating picture functions at DHS.
Estimated Completion Date (or Date Closed)	03/20/2024
Next Step is Up To	GAO
Narrative of Implementation Status	On December 22, 2022, CWMD provided GAO with an Acquisition Decision Memorandum, issued by the DHS Acting USM during October 2022, which is related in part to the strategic deferment of the Biological Detection for the 21st Century's (BD21) pursuit of Acquisition Decision Event-2A. CWMD also informed GAO that it revised the ECD to September 29, 2023. During March 2024, the USM signed the discontinuation of BD21; and CWMD submitted a BD21 Program Discontinuation Recommendation and Closeout Guidance to the DHS Acting Under Secretary for Management. The program has ceased all activities and submitted the Post Implementation Report. On March 20, 2024, CWMD requested that GAO close this recommendation.
Component	CWMD
Report Number (Public)	GAO-21-292
Report Title	Biodetection: DHS Exploring New Methods to Replace BioWatch and Could Benefit from Additional Guidance
Report Received/ Issued Date	05/20/2021
Rec #	3
Recommendation	The Secretary of Homeland Security: Should ensure the BD21 program conducts high-quality TRAs of all critical technologies for BD21 before the ADE 2A decision and before the ADE 2B decision (including a TRA of the overall system level interaction with the anomaly detection algorithm), in accordance with GAO's TRA best practice guide.
Estimated Completion Date (or Date Closed)	03/20/2024
Next Step is Up To	GAO
Narrative of Implementation Status	The CWMD BD21 program completed multiple independent Technology Readiness Assessments, with the last assessment in August 2023. The last assessment identified that not all of the proposed BD21 components had reached an appropriate technology readiness level for the program to move on

	to Acquisition Decision Event-2A. Following this evaluation, on March 1, 2024, CWMD submitted a BD21 Program Discontinuation Recommendation and Closeout Guidance to the DHS Acting USM. The USM signed the discontinuation of BD21 in the same month. The program has ceased all activities and submitted the Post Implementation Report. On March 20, 2024, CWMD requested that GAO close this recommendation.
Component	CWMD
Report Number (Public)	GAO-22-104498
Report Title	Countering Weapons of Mass Destruction: DHS Could Improve Its Acquisition of Key Technology and Coordination with Partners
Report Received/ Issued Date	04/19/2022
Rec #	2
Recommendation	Assistant Secretary for CWMD should specify, in the new strategic plan for the Global Nuclear Detection Architecture, steps to reconstitute the capability gap analysis function, a strategy for outreach to key stakeholders in reconstituting this function, and time frames for the completion of the capability gap assessments.
Estimated Completion Date (or Date Closed)	03/31/2025
Next Step is Up To	DHS
Narrative of Implementation Status	During December 2022, CWMD submitted to GAO the Global Nuclear Detection Architecture (GNDA) Strategy and the GNDA Strategy Domestic Implementation Plan, which outline activities to prevent and deter radiological and nuclear terrorism and identify outreach to key stakeholders for performing gap analysis functions. Subsequently, during February 2023, GAO changed the status of this recommendation to “Open-Partially Addressed.” To close this recommendation, CWMD stood up a new directorate: “Risk, Analysis, Requirements, and Evidence Utilization and Optimization”, to reconstitute and consolidate these analyses, for not just GNDA, but chemical and biological threats as well. This directorate will complete the ongoing simulation and modeling for capability and gap assessments to include gap management, prioritization of requirements, programs, and resourcing that utilizes risk analysis results. Additionally, by March 2025, CWMD’s Strategy, Policy, and Plans Directorate will complete GNDA Strategy tracking and implementation assessments.
Component	The Federal Emergency Management Agency (FEMA)
Report Number (Public)	GAO-09-455

Report Title	Flood Insurance: Opportunities Exist to Improve Oversight of the WYO Program
Report Received/ Issued Date	08/21/2009
Rec #	1
Recommendation	To provide transparency and accountability over the payments FEMA makes to WYOs for expenses and profits, the Secretary of Homeland Security should direct the Under Secretary of Homeland Security, FEMA, to determine in advance the amounts built into the payment rates for estimated expenses and profit.
Estimated Completion Date (or Date Closed)	12/31/2028
Next Step is Up To	DHS
Narrative of Implementation Status	On March 22, 2024, the Federal Insurance Directorate (FID) met with GAO to discuss the status of this recommendation. FID is advancing deliberation and decision making on a new Write Your Own (WYO) compensation methodology in preparation for a rulemaking action. FID will be able to update GAO on the timing of that rulemaking action once it appears in OMB's Unified Regulatory Agenda. In the interim, FID intends to meet with GAO during February 2025 to discuss the possibility of closing the recommendation in mid-2025 without rulemaking.
Component	FEMA
Report Number (Public)	GAO-09-455
Report Title	Flood Insurance: Opportunities Exist to Improve Oversight of the WYO Program
Report Received/ Issued Date	08/21/2009
Rec #	3
Recommendation	To provide transparency and accountability over the payments FEMA makes to WYOs for expenses and profits, the Secretary of Homeland Security should direct the Under Secretary of Homeland Security, FEMA, to consider the results of the analysis of payments, actual expenses, and profit in evaluating the methods for paying WYOs.
Estimated Completion Date (or Date Closed)	12/31/2028
Next Step is Up To	DHS
Narrative of Implementation Status	On March 22, 2024, FID met with GAO to discuss the status of this recommendation. FID is advancing deliberation and decision making on a new WYO compensation methodology in preparation for a rulemaking action. FID will be able to update GAO on the timing of that

	rulemaking action once it appears in OMB’s Unified Regulatory Agenda. In the interim, FID intends to meet with GAO during February 2025 to discuss the possibility of closing the recommendation in mid-2025 without rulemaking.
Component	FEMA
Report Number (Public)	GAO-12-342SP
Report Title	2012 Annual Report: Opportunities to Reduce Duplication, Overlap and Fragmentation, Achieve Savings, and Enhance Revenue
Report Received/ Issued Date	02/28/2012
Rec #	8
Recommendation	The Federal Emergency Management Agency (FEMA) should complete a national preparedness assessment of capability gaps at each level based on tiered, capability-specific performance objectives to enable prioritization of grant funding, and FEMA could identify the potential costs for establishing and maintaining those capabilities at each level and determine what capabilities federal agencies should provide.
Estimated Completion Date (or Date Closed)	12/31/2024
Next Step is Up To	GAO
Narrative of Implementation Status	FEMA developed a draft Investment Strategy for National Preparedness, which identifies resources needed to address national capability gaps, that OMB cleared during December 2023. During May 2024, FEMA sent it to Congress and provided supporting documentation to GAO and requested closure. On June 28, 2024, GAO advised that no further action is required for this recommendation, but that it must wait to update the status of the recommendation until the next “Fragmentation, Overlap, and Duplication” report in 2025.
Component	FEMA
Report Number (Public)	GAO-12-838
Report Title	Federal Disaster Assistance: Improved Criteria Needed to Assess a Jurisdiction’s Capability to Respond and Recover on Its Own
Report Received/ Issued Date	09/13/2012
Rec #	1
Recommendation	To increase the efficiency and effectiveness of the process for disaster declarations, we recommend that the FEMA Administrator develop and implement a methodology that provides a more

	comprehensive assessment of a jurisdiction's capability to respond to and recover from a disaster without federal assistance. This should include one or more measures of a jurisdiction's fiscal capacity, such as total taxable resources, and consideration of the jurisdiction's response and recovery capabilities. If FEMA continues to use the PA per capita indicator to assist in identifying a jurisdiction's capabilities to respond to and recover from a disaster, it should adjust the indicator to accurately reflect the annual changes in the U.S. economy since 1986, when the current indicator was first adopted for use. In addition, implementing the adjustment by raising the indicator in steps over several years would give jurisdictions more time to plan for and adjust to the change.
Estimated Completion Date (or Date Closed)	12/31/2025
Next Step is Up To	GAO
Narrative of Implementation Status	During February 2024, FEMA requested that GAO close this recommendation because it did not plan to implement responsive corrective action. During June 2024, FEMA requested an update from GAO. As of September 30, 2024, FEMA still had no plans to implement relevant corrective action; and had not received an update from GAO.
Component	FEMA
Report Number (Public)	GAO-17-36
Report Title	Flood Insurance: FEMA Needs to Address Data Quality and Consider Company Characteristics When Revising its Compensation Methodology
Report Received/ Issued Date	12/08/2016
Rec #	1
Recommendation	To improve the transparency and accountability over the compensation paid to WYO companies and set appropriate compensation rates, the FEMA administrator should take into account WYO company characteristics that may impact companies' expenses and profits when developing the new compensation methodology and rates.
Estimated Completion Date (or Date Closed)	06/30/2026
Next Step is Up To	DHS
Narrative of Implementation Status	On March 22, 2024, FID met with GAO to discuss the status of this recommendation. FID is advancing deliberation and decision making on a new WYO compensation in preparation for a rulemaking action. FID will be able to update GAO on the timing of that rulemaking action once it

	appears in OMB's Unified Regulatory Agenda. In the interim, FID intends to meet with GAO during February 2025 to provide a more detailed update on the progress to date.
Component	FEMA
Report Number (Public)	GAO-20-396
Report Title	National Flood Insurance Program: FEMA Can Improve Community Oversight and Data Sharing
Report Received/ Issued Date	05/05/2020
Rec #	1
Recommendation	The Administrator of FEMA should assess different approaches, in addition to community assistance visits, for using existing resources to ensure communities' compliance with NFIP [National Flood Insurance Program] requirements. This should include analyzing alternatives to community assistance visits.
Estimated Completion Date (or Date Closed)	09/20/2024
Next Step is Up To	GAO
Narrative of Implementation Status	On September 20, 2024, GAO closed this recommendation after the universe of open recommendations for this annual report was identified.
Component	FEMA
Report Number (Public)	GAO-20-396
Report Title	National Flood Insurance Program: FEMA Can Improve Community Oversight and Data Sharing
Report Received/ Issued Date	05/05/2020
Rec #	2
Recommendation	The Administrator of FEMA should identify appropriate steps to ensure it has complete, up-to-date, and reliable records of community assistance visits, including information on why some visit records remain open for a significant period of time.
Estimated Completion Date (or Date Closed)	09/30/2024
Next Step is Up To	GAO
Narrative of Implementation Status	On September 30, 2024, GAO closed this recommendation after the universe of open recommendations for this annual report was identified.
Component	FEMA
Report Number (Public)	GAO-20-604

Report Title	Disaster Assistance: FEMA Should Take Additional Actions to Strengthen Fraud Risk Management for Public Assistance Emergency Work Grants
Report Received/ Issued Date	09/29/2020
Rec #	3
Recommendation	The Administrator of FEMA should update key training and guidance documents for the PA grant program to include information on where and how to report suspected fraud, and direct PA recipients to include such information in key training and guidance documents they provide to subrecipients.
Estimated Completion Date (or Date Closed)	12/31/2025
Next Step is Up To	DHS
Narrative of Implementation Status	During September 2024, FEMA informed GAO that its Public Assistance (PA) Division expects to complete Version 5 of the Public Assistance Program and Policy Guide (PAPPG) and the Program Delivery Guide by the end of calendar year 2025.
Component	FEMA
Report Number (Public)	GAO-20-604
Report Title	Disaster Assistance: FEMA Should Take Additional Actions to Strengthen Fraud Risk Management for Public Assistance Emergency Work Grants
Report Received/ Issued Date	09/29/2020
Rec #	4
Recommendation	The Administrator of FEMA should update key resources, such as training and guidance documents, FEMA makes available to PA applicants to ensure these resources consistently communicate information on the highest fraud risks to PA emergency work grant funds and applicants' responsibilities for managing those risks. The highest fraud risks may include risks related to procurement and debris removal, and other risks FEMA identifies through fraud risk assessments.
Estimated Completion Date (or Date Closed)	09/18/2024
Next Step is Up To	GAO
Narrative of Implementation Status	On September 18, 2024, GAO closed this recommendation after the universe of open recommendations for this annual report was identified.
Component	FEMA
Report Number (Public)	GAO-20-604

Report Title	Disaster Assistance: FEMA Should Take Additional Actions to Strengthen Fraud Risk Management for Public Assistance Emergency Work Grants
Report Received/ Issued Date	09/29/2020
Rec #	5
Recommendation	The Administrator of FEMA should implement program-specific antifraud training for PA staff who work directly with PA applicants; this training should include information on the highest fraud risks to PA emergency work grants. The highest fraud risks may include risks related to procurement and debris removal, and other risk FEMA identifies through fraud risk assessments.
Estimated Completion Date (or Date Closed)	09/18/2024
Next Step is Up To	DHS
Narrative of Implementation Status	On September 18, 2024, GAO closed this recommendation after the universe of open recommendations for this annual report was identified.
Component	FEMA
Report Number (Public)	GAO-21-116
Report Title	Disaster Housing: Improved Cost Data and Guidance Would Aid FEMA Activation Decisions
Report Received/ Issued Date	12/15/2020
Rec #	1
Recommendation	The Administrator of FEMA should identify and make changes to the applicable data system to capture cost data, including administrative costs for each of its housing assistance programs that will allow the agency to analyze the full cost of providing assistance under each program.
Estimated Completion Date (or Date Closed)	12/31/2024
Next Step is Up To	DHS
Narrative of Implementation Status	On March 6, 2024, the Individual Assistance (IA) Division requested (from FEMA Office of Chief Financial Officer [OCFO]) Financial Services Division a Financial Information Tool report reflecting direct housing Business Object Codes (BOC) for 36 disasters with Direct Housing Assistance from 2015 to 2024. On March 12, 2024, OCFO- Financial Services Division transmitted the Financial Information Tool to IA. Separately, during March 2024, IA exported reports from the FPDS reflecting FEMA contracts that were awarded from 2015 to 2024. The report included Blanket Purchase Agreement numbers and additional detailed descriptions which allowed IA to conduct an

	<p>analysis that compared the outputs from both reports to determine whether the BOCs were consistently implemented.</p> <p>On April 25, 2024, stakeholders from IA, OCFO, Logistics Management Directorate (LMD), and the Recovery Reporting and Analytics Division formed a project team to review the effectiveness of the current list of direct housing related BOCs, identifying updates required to ensure FEMA can accurately, and consistently track and analyze direct housing expenditures for each category of Direct Housing Assistance. The stakeholders reviewed the Financial Information Tool report to analyze (1) obligated funds for direct housing mission activities, (2) BOCs requiring updates, and (3) BOCs that will need to be created. The analysis included a review of individual invoices for each BOC to confirm whether it was consistently used accurately across direct housing missions. As of August 5, 2024, the draft assessment containing summarized conclusions is under review. Due to the high number of disaster declarations that have occurred this year, the IA Division anticipates finalizing this assessment of the effectiveness of the current list of BOCs no later than December 31, 2024.</p> <p>The completed assessment will include required actions and timelines for: establishing BOCs within financial systems to track direct housing costs (including Transportable Temporary Housing Units); developing guidance against the updated BOCs to link specific types of housing (e.g., direct lease with a unique BOC to track the costs); and initiating work with the Enterprise Data Warehouse, Operational Data Store team and the Office of Policy and Program Analysis Enterprise Data and Analytics Modernization Initiative team to ensure Recovery has a workspace to capture the data.</p>
Component	FEMA
Report Number (Public)	GAO-22-104039
Report Title	Disaster Recovery: Additional Actions Needed to Identify and Address Potential Recovery Barriers
Report Received/ Issued Date	12/15/2021
Rec #	1
Recommendation	<p>The FEMA Administrator should, in coordination with the SBA Associate Administrator of the Office of Disaster Assistance and the HUD Assistant Secretary for Community Planning and Development, develop, with input from key recovery partners, and implement an interagency plan to help ensure the availability and use of quality information that includes (1) information requirements, (2) data sources and methods, and (3) strategies for overcoming information challenges - to support federal agencies involved in disaster recover in identifying access barriers or disparate outcomes.</p>

Estimated Completion Date (or Date Closed)	12/31/2024
Next Step is Up To	DHS
Narrative of Implementation Status	Together with Department of Housing and Urban Development (HUD) and Small Business Administration (SBA), FEMA is developing an interagency plan for data collection, sharing and analysis, and a description of routine processes that will be used to address any equity issues highlighted by the data analysis, as well as others that are identified in the future. FEMA, HUD, and SBA are currently routing a draft response for final clearance from each agency. Collectively, the review and clearance process will be in place for the next several weeks with the expectation of implementing the finalized plan by December 2024. FEMA believes that the actions to address this recommendation will be completed by December 2024 and FEMA will request that GAO close this recommendation as implemented at that time.
Component	FEMA
Report Number (Public)	GAO-22-104039
Report Title	Disaster Recovery: Additional Actions Needed to Identify and Address Potential Recovery Barriers
Report Received/ Issued Date	12/15/2021
Rec #	2
Recommendation	The FEMA Administrator should coordinate with the SBA Associate Administrator of the Office of Disaster Assistance and the HUD Assistant Secretary for Community Planning and Development to design and establish routine processes to be used within and across federal disaster recovery programs to address identified access barriers and disparate outcomes on an ongoing basis.
Estimated Completion Date (or Date Closed)	12/31/2024
Next Step is Up To	DHS
Narrative of Implementation Status	Together with HUD and SBA, FEMA is developing an interagency plan for data collection, sharing and analysis, and a description of routine processes that will be used to address any equity issues highlighted by the data analysis, as well as others that are identified in the future. FEMA, HUD, and SBA are currently routing a draft response for final clearance from each agency. Collectively, the review and clearance process will be in place for the next several weeks with the expectation of implementing the finalized plan by December 2024. FEMA believes that the actions to address this recommendation will be completed by December 2024 and FEMA will request that GAO close this recommendation as implemented at that time.

Component	FEMA
Report Number (Public)	GAO-22-105397
Report Title	COVID-19: Current and Future Federal Preparedness Requires Fixes to Improve Health Data and Address Improper Payments
Report Received/ Issued Date	04/26/2022
Rec #	3
Recommendation	Federal Emergency Management Agency Administrator should address deficiencies in the COVID-19 Funeral Assistance data by updating data records as data are verified, and adding data fields where necessary, to ensure that consistent and accurate data are available for monitoring of potential fraud trends and identifying control deficiencies.
Estimated Completion Date (or Date Closed)	12/31/2024
Next Step is Up To	DHS
Narrative of Implementation Status	On September 23, 2024, GAO denied FEMA's request for closure because FEMA lacks assurance that it can use accurate data analytics to prevent and detect potential fraud as part of its oversight of the program. To close it, GAO asked for a formal fraud risk assessment to determine risk tolerance, and a cost estimate of the resources required to make the necessary changes to improve the quality of these data as mentioned below. FEMA requested to meet with GAO to discuss a path forward; however, due to current disaster operation tempo and deployments, the meeting will take place during December 2024 or January 2025.
Component	FEMA
Report Number (Public)	GAO-22-105016
Report Title	Earthquakes: Opportunities Exist to Further Assess Risk, Build Resilience and Communicate Research
Report Received/ Issued Date	05/04/2022
Rec #	2
Recommendation	The Administrator of FEMA should develop and implement a plan to increase awareness among tribes about earthquake risk reduction initiatives.
Estimated Completion Date (or Date Closed)	12/31/2024
Next Step is Up To	DHS

Narrative of Implementation Status	To close this recommendation, GAO asked to see FEMA’s completed National Earthquake Hazards Reduction Program Plan, which is currently under review by leadership, with an expected completion date of December 31, 2024.
Component	FEMA
Report Number (Public)	GAO-22-104241
Report Title	Alaska Native Issues: Federal Agencies Could Enhance Support for Native Village Efforts to Address Environmental Threats
Report Received/ Issued Date	05/18/2022
Rec #	5
Recommendation	The Administrator of FEMA should review FEMA’s programs identified in this report and, where the agency determines it feasible and appropriate, implement relevant changes to address program characteristics that are not established in statute that pose obstacles to Alaska Native villages’ obtaining assistance, including characteristics we identified and others that FEMA may identify. FEMA should also document its review, any related consultation with tribes, and any changes made to its programs.
Estimated Completion Date (or Date Closed)	03/05/2024
Next Step is Up To	GAO
Narrative of Implementation Status	On March 5, 2024, FEMA’s Hazard Mitigation Grant Program (HMGP) requested that GAO close the recommendation as implemented and is currently waiting for a response. In support of the closure, HMGP explained that it completed an equity assessment and drafted a final HMGP Equity Assessment report. Further, in collaboration with FEMA Tribal Affairs and FEMA Regions, HMGP delivered the “HMGP for Tribes” webinar addressing a program overview, the application process, and the availability of additional resources for accessing funding, during November of 2023. This webinar was made available on FEMA.gov. Additionally, it released the Grant Equity Threshold Tool to help potential applicants and sub applicants identify community characteristics and can be used to strengthen project applications. HMGP hosted webinars to demonstrate the tool during December 2023 and January 2024. Both the tool and the HMGP 101 webinar recording are publicly available on FEMA.gov.
Component	FEMA
Report Number (Public)	GAO-22-104694/GAO-22-106037
Report Title	Flood Mitigation: Actions Needed to Improve Use of FEMA Property Acquisitions

Report Received/ Issued Date	09/13/2022
Rec #	1
Recommendation	The Deputy Associate Administrator of FEMA’s Federal Insurance and Mitigation Administration collect property-level data on property acquisition project milestones across FEMA's hazard mitigation assistance grant programs-including the dates when properties are purchased and demolished. FEMA should use this information to support its efforts to reduce the overall length of the property acquisition process, such as by analyzing patterns to identify problems and promising practices and, over time, establishing metrics to encourage and track progress in shortening property acquisition time frames.
Estimated Completion Date (or Date Closed)	09/30/2025
Next Step is Up To	DHS
Narrative of Implementation Status	On August 13, 2024, the Hazard Mitigation Assistance Division updated GAO to confirm that the Grants Management Modernization is on track to fully import legacy data for the HMGP.
Component	FEMA
Report Number (Public)	GAO-22-104694/GAO-22-106037
Report Title	Flood Mitigation: Actions Needed to Improve Use of FEMA Property Acquisitions
Report Received/ Issued Date	09/13/2022
Rec #	2
Recommendation	The Deputy Associate Administrator of FEMA’s Federal Insurance and Mitigation Administration estimate the extent of participant attrition from property acquisition projects across FEMA's hazard mitigation assistance grant programs and use that information to help measure progress in addressing challenges that contribute to such attrition.
Estimated Completion Date (or Date Closed)	09/30/2025
Next Step is Up To	DHS
Narrative of Implementation Status	On August 13, 2024, the Hazard Mitigation Assistance Division updated GAO to confirm that the Grants Management Modernization is on track to fully import legacy data for the HMGP.
Component	FEMA
Report Number (Public)	GAO-22-104694/GAO-22-106037
Report Title	Flood Mitigation: Actions Needed to Improve Use of FEMA Property Acquisitions

Report Received/ Issued Date	09/13/2022
Rec #	3
Recommendation	The Deputy Associate Administrator of FEMA’s Federal Insurance and Mitigation Administration define and report on additional measures, beyond cost-effectiveness, for assessing the outcomes and effects of using property acquisition to mitigate flood risk.
Estimated Completion Date (or Date Closed)	12/17/2024
Next Step is Up To	GAO
Narrative of Implementation Status	On December 17, 2024, GAO closed this recommendation as implemented after the universe of open recommendations for this annual report was identified.
Component	FEMA
Report Number (Public)	GAO-22-104694/GAO-22-106037
Report Title	Flood Mitigation: Actions Needed to Improve Use of FEMA Property Acquisitions
Report Received/ Issued Date	09/13/2022
Rec #	4
Recommendation	The Deputy Associate Administrator of FEMA’s Federal Insurance and Mitigation Administration evaluate the options for improving property acquisitions identified in this report and determine whether and how to implement one or more of them. If FEMA determines that it needs authority for actions it seeks to implement, it should request that authority from Congress.
Estimated Completion Date (or Date Closed)	09/26/2024
Next Step is Up To	GAO
Narrative of Implementation Status	On September 26, 2024, GAO closed this recommendation after the universe of open recommendations for this annual report was identified.
Component	FEMA
Report Number (Public)	GAO-23-105243
Report Title	FEMA Workforce: Additional Actions Needed to Help Prevent and Response to Discrimination and Harassment
Report Received/ Issued Date	10/20/2022
Rec #	5

Recommendation	The FEMA Administrator update the agency's anti-harassment training for supervisors to include information on 1) how to identify mitigate risk factors specific to FEMA's workplace, 2) easy-to-understand and realistic methods for addressing harassment, 3) how to report harassment allegations up the chain of command, and 4) FEMA's confidentiality rules associated with harassment complaints.
Estimated Completion Date (or Date Closed)	04/30/2025
Next Step is Up To	DHS
Narrative of Implementation Status	On September 10, 2024, FEMA provided a 90-day update stating FEMA's Office of Civil Rights has begun the development of new mandatory training courses “Equal Employment Opportunity (EEO) for Supervisors” and “EEO for Employees” and has developed a training plan in coordination with the FEMA training team that includes validated learning objectives, modules, and questions that gauge participant comprehension.
Component	FEMA
Report Number (Public)	GAO-23-105243
Report Title	FEMA Workforce: Additional Actions Needed to Help Prevent and Response to Discrimination and Harassment
Report Received/ Issued Date	10/20/2022
Rec #	6
Recommendation	The FEMA Administrator collect data on time frames for key steps in the adjudication process.
Estimated Completion Date (or Date Closed)	11/25/2024
Next Step is Up To	GAO
Narrative of Implementation Status	On November 25, 2024, GAO closed this recommendation after the universe of open recommendations for this annual report was identified.
Component	FEMA
Report Number (Public)	GAO-23-105243
Report Title	FEMA Workforce: Additional Actions Needed to Help Prevent and Response to Discrimination and Harassment
Report Received/ Issued Date	10/20/2022
Rec #	7

Recommendation	The FEMA Administrator implement a process, using the data on time frames for key steps, to regularly assess and take action to improve the timeliness of key steps in the harassment complaint adjudication process.
Estimated Completion Date (or Date Closed)	09/04/2024
Next Step is Up To	GAO
Narrative of Implementation Status	On September 4, 2024, FEMA provided supporting documentation to GAO and requested that GAO close the recommendation as implemented.
Component	FEMA
Report Number (Public)	GAO-23-105243
Report Title	FEMA Workforce: Additional Actions Needed to Help Prevent and Response to Discrimination and Harassment
Report Received/ Issued Date	10/20/2022
Rec #	10
Recommendation	The FEMA Administrator take steps to mitigate harassment risk factors in its workplace.
Estimated Completion Date (or Date Closed)	04/30/2025
Next Step is Up To	DHS
Narrative of Implementation Status	On September 10, 2024, FEMA provided a 90-day update, which explains that FEMA continues to collect and analyze data related to harassment risk factors and expects to finish during October 2024. This will include data from the annual Federal Employee Viewpoint Survey, OPR Anti-Harassment Report, and the FEMA 462 Report. Any data, analysis, or conclusions will be considered for possible incorporation into the EEO Courses and harassment training modules referenced above.
Component	FEMA
Report Number (Public)	GAO-23-105243
Report Title	FEMA Workforce: Additional Actions Needed to Help Prevent and Response to Discrimination and Harassment
Report Received/ Issued Date	10/20/2022
Rec #	12
Recommendation	The FEMA Administrator establish program goals and outcome-based performance measures for its culture improvement efforts.

Estimated Completion Date (or Date Closed)	12/31/2024
Next Step is Up To	DHS
Narrative of Implementation Status	On September 10, 2024, FEMA provided a 90-day update stating that it continues its implementation of the DEIA Strategic Plan, which includes four main focus areas, and each area relates to a factor that can mitigate or prevent harassment in various aspects of management of the workforce. A member (or members) of the Senior Executive Service (SES) oversees each team leading progress in these areas (1) Expansion of Core Values Training; (2) Development of a FEMA-wide Equity Training Course; (3) Review of Applicant Flow Data; and (4) Review/Analysis of Performance Rating Data.
Component	FEMA
Report Number (Public)	GAO-23-105243
Report Title	FEMA Workforce: Additional Actions Needed to Help Prevent and Response to Discrimination and Harassment
Report Received/ Issued Date	10/20/2022
Rec #	13
Recommendation	The FEMA Administrator establish a plan for evaluating FEMA's culture improvement efforts using establish program goals and outcome-based performance measures, and take steps to do so.
Estimated Completion Date (or Date Closed)	12/31/2024
Next Step is Up To	DHS
Narrative of Implementation Status	On September 10, 2024, FEMA provided a 90-day update stating that it continues its implementation of the DEIA Strategic Plan, which includes four main focus areas, and each area relates to a factor that can mitigate or prevent harassment in various aspects of management of the workforce. A member (or members) of the SES oversees each team leading progress in these areas (1) Expansion of Core Values Training; (2) Development of a FEMA-wide Equity Training Course; (3) Review of Applicant Flow Data; and (4) Review/Analysis of Performance Rating Data.
Component	FEMA
Report Number (Public)	GAO-23-104750
Report Title	Disaster Assistance: Actions Needed to Strengthen FEMA's Housing Inspections Process
Report Received/ Issued Date	10/26/2022

Rec #	3
Recommendation	The FEMA Administrator assess the accuracy of the damage level approach for IHP housing inspections and adjust the approach as needed.
Estimated Completion Date (or Date Closed)	12/31/2025
Next Step is Up To	DHS
Narrative of Implementation Status	During November 2024, FEMA will deliver a Corrective Action Plan to GAO noting that the public comment period associated with the IA Program Equity Interim Final Rule (RIN: 1660-AB07) closed. FEMA received 90 public comment submissions; however, the majority of comments touched on a variety of issues. Accordingly, FEMA received more than 550 comment topic areas, which FEMA is currently reviewing. IA leadership intends to incorporate policy-related feedback from the public comment period into the Individual Assistance Program and Policy Guide (IAPPG) draft prior to publication. In an updated published version of the IAPPG, the IA Division will make applicable programmatic and/or policy changes, and the IA Division will implement applicable programmatic and/or policy changes.
Component	FEMA
Report Number (Public)	GAO-23-104956
Report Title	Disaster Recovery: Actions Needed to Improve the Federal Approach
Report Received/ Issued Date	11/15/2022
Rec #	1
Recommendation	The FEMA Administrator, in consultation with the Recovery Support Function Leadership Group, identify and take steps to better manage fragmentation between its disaster recovery programs and other federal programs, including consideration of the options identified in this report. If FEMA determines that it needs authority for actions that it seeks to implement, it should request that authority from Congress.
Estimated Completion Date (or Date Closed)	11/15/2024
Next Step is Up To	DHS
Narrative of Implementation Status	In direct alignment with GAO's Option #6: "Simplify requirements of federal disaster recovery programs," the Streamlined Registration Intake (Streamlined RI) project on DisasterAssistance.gov was fully implemented in December 2023. Streamlined RI does not require survivors to respond to all questions, only questions aligned with their specific disaster needs and outcomes, which accounts

	<p>for the disparity in time savings between the average and median performance measures. As a response to Executive Order 14058: Transforming Federal Customer Experience and Service Federal Customer Experience and Service Delivery to Rebuilt Trust in Government, this is a major advancement to reduce the burden of applying for disaster assistance and improve the customer experience. Similarly, the Integrated Public Assistance Application formerly known as Information Collection is a series of forms that lay the foundation for a new and improved streamlined application process.</p> <p>The updated forms standardize required information and documentation for consistency and alignment with the PA Program and Policy Guide. The update will reduce the administrative burden of collecting required information by 142,554 burden hours or 20 percent, meeting Paperwork Reduction Act requirements. Questions are displayed in a cascading manner and when configured into PA systems, will eliminate duplicate requests for information by pre-populating answers to questions answered in a previous form, project, or declaration. This integrated approach to collecting required information will reduce program complexities. The information provided in the initial forms provides early identification of an applicant’s critical needs and type of customer support required to dynamically tailor federal support to an applicant based on their specific circumstances and resulting needs.</p> <p>Lastly, in direct alignment with GAO’s Option #9: “Prioritize disaster recovery funding for vulnerable communities across all federal programs,” FEMA PA took lessons learned in Puerto Rico by developing the PA Navigator Team concept to provide additional long-term technical assistance for lower capacity applicants (such as those in rural areas or particularly complicated recovery efforts). PA Navigator Teams consist of PA personnel from the field, headquarters, and regions, including Environmental and Historical Preservation and interagency coordination staff, and start with an in-person presence and then continue to provide assistance in a hybrid environment. In an effort to keep an applicant’s recovery moving forward, the FEMA Navigator Teams serve as a consistent resource in the most complicated recovery scenarios to help those applicants clear barriers.</p> <p>On October 13, 2023, FEMA sent the Operational Draft to all 10 FEMA regions and collected stakeholder feedback and integrated it into the FEMA Navigator Teams Procedure (Operational Draft) October 2023 Version 1.0. The Document Management and Maintenance plan for the FEMA Navigator Teams Procedure (Operational Draft) calls for a review and finalization to the procedure</p>
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	based on feedback during the Operational Draft phase by the two-year mark in October 2025. Subsequently, FEMA deployed proof of concept Navigator Teams to New Hampshire and Hawaii. Through the establishment of FEMA Navigator Teams, FEMA can provide the highest level of tiered support to recovering communities based on applicant-driven needs, consistency, subject matter expertise, and leadership. On April 3, 2024, FEMA requested that GAO close the recommendation as implemented, based on the actions described; however, GAO requested more information about efforts to look across other post-disaster programs, specifically HMGP, to further streamline or align with some of the 11 options from the report. HMGP anticipates providing a full response to GAO by November 15, 2024.
Component	FEMA
Report Number (Public)	GAO-23-104956
Report Title	Disaster Recovery: Actions Needed to Improve the Federal Approach
Report Received/ Issued Date	11/15/2022
Rec #	4
Recommendation	The FEMA Administrator identify and take steps to better manage fragmentation across its disaster recovery programs, including consideration of the options identified in this report. If FEMA determines that it needs authority for actions that it seeks to implement, it should request that authority from Congress.
Estimated Completion Date (or Date Closed)	10/31/2024
Next Step is Up To	GAO
Narrative of Implementation Status	On April 3, 2024, FEMA requested that GAO close the recommendation as implemented. On May 30, 2024, GAO requested additional information in a few areas where they would like to understand more. Specifically, updates so far have been focused on efforts related to IA and PA. They would like to hear more about efforts to look across other post-disaster programs, specifically HMGP, to further streamline or align with some of the 11 options from the report. As of August 12, 2024, HMGP was back briefed on GAO's request and anticipates providing a response to GAO by September 30, 2024.
Component	FEMA
Report Number (Public)	GAO-23-105379
Report Title	Homelessness: Enhanced Coordination Could Improve Disaster Shelter and Housing Assistance

Report Received/ Issued Date	05/16/2023
Rec #	2
Recommendation	The Administrator of FEMA coordinate with HUD on federal disaster shelter and housing assistance for the homeless population, through efforts such as those related to the implementation of USICH's [United States Interagency Council on Homelessness] federal strategic plan to prevent and end homelessness (issued December 2022). Activities could include (1) identifying the needs of those experiencing homelessness and lessons learned related to planning, evaluating, and coordinating efforts to address their disaster shelter and housing needs and (2) disseminating this information to state and local partners.
Estimated Completion Date (or Date Closed)	01/31/2025
Next Step is Up To	DHS
Narrative of Implementation Status	<p>On July 9, 2024, the Pre-Disaster Housing Planning Report, Pre-Disaster Housing Planning Guide, Pre-Disaster Housing Planning Checklist, and the Federal Housing and Sheltering Resource Timeline and Compendium were posted online and made available to the public. All documents can be accessed within the following url: https://www.fema.gov/emergency-managers/national-preparedness/plan#pre-disaster or individually on fema.gov:</p> <ul style="list-style-type: none"> • Pre-Disaster Housing Planning Initiative 2023 Final Report July 2024; • Pre-Disaster Housing Planning Guide April 2024; • Pre-Disaster Housing Planning Checklist April 2024; and • Federal Housing and Sheltering Resource Timeline and Compendium. <p>On August 5, 2024, the Unified Shelter Transition Working Group was renamed to the Multi-Agency Shelter Transition Teams Working Group due to the recommendation of multiple partners and FEMA Regional staff. Furthermore, all 10 listening sessions with FEMA Regions are complete. Working group members (identified from HUD; the Department of Health and Human Services (HHS); state, local, tribal and territorial partners; Non-Governmental Organizations; and FEMA regional staff) provided input and their sections were combined to prepare the first draft “Multi-Agency Shelter Transition Team Guide”, which will provide comprehensive disaster planning guidance for multi-agency Shelter Transition Teams. The Core Working Group is reviewing and updating the draft document to begin the proof-of-concept phase. FEMA Recovery Directorate’s IA Division will complete the final guidance (Multi-Agency Shelter Transition Team Guide) by January 31, 2025.</p>

Component	FEMA
Report Number (Public)	GAO-23-105956
Report Title	Transit Security: FEMA Should Improve Transparency of Grant Decisions
Report Received/ Issued Date	07/26/2023
Rec #	1
Recommendation	Secretary of Homeland Security ensure that the Administrator of FEMA accurately describes all the criteria FEMA uses to score applications in the Transit Security Grant Program's Notice of Funding Opportunity, to include how associated weights are applied.
Estimated Completion Date (or Date Closed)	12/31/2024
Next Step is Up To	DHS
Narrative of Implementation Status	On July 29, 2024, FEMA informed GAO that the FY 2024 applications have not yet been submitted or scored.
Component	FEMA
Report Number (Public)	GAO-23-105956
Report Title	Transit Security: FEMA Should Improve Transparency of Grant Decisions
Report Received/ Issued Date	07/26/2023
Rec #	2
Recommendation	Secretary of Homeland Security ensure that the Administrator of FEMA selects Transit Security Grant Program project applications to recommend for award in accordance with FEMA's publicly disclosed merit review process, to include scoring criteria published in the Notice of Funding Opportunity.
Estimated Completion Date (or Date Closed)	12/31/2024
Next Step is Up To	DHS
Narrative of Implementation Status	On July 29, 2024, FEMA informed GAO that the FY 2024 applications have not yet been submitted or scored.
Component	FEMA
Report Number (Public)	GAO-23-105956
Report Title	Transit Security: FEMA Should Improve Transparency of Grant Decisions

Report Received/ Issued Date	07/26/2023
Rec #	3
Recommendation	Secretary of Homeland Security ensure that the Administrator of FEMA incorporates cyber threats into the Transit Security Grant Program risk model.
Estimated Completion Date (or Date Closed)	09/30/2024
Next Step is Up To	GAO
Narrative of Implementation Status	On September 19, 2024, FEMA requested that GAO close this recommendation as unimplemented. FEMA evaluated ways to incorporate cyber threats into the Transparency of Grant Decisions (TSGP) risk model and concluded that a suitable dataset does not exist.
Component	FEMA
Report Number (Public)	GAO-23-105956
Report Title	Transit Security: FEMA Should Improve Transparency of Grant Decisions
Report Received/ Issued Date	07/26/2023
Rec #	4
Recommendation	Secretary of Homeland Security ensure that the Administrator of FEMA documents the underlying assumptions and justifications for the Transit Security Grant Program risk model, to include the rationale used to assign weights to components.
Estimated Completion Date (or Date Closed)	1/23/2025
Next Step is Up To	GAO
Narrative of Implementation Status	On January 23, 2025, GAO closed this recommendation as implemented after the universe of open recommendations for this annual report was identified.
Component	FEMA
Report Number (Public)	GAO-23-105977
Report Title	Flood Insurance: FEMA's New Rate-Setting Methodology Improves Actuarial Soundness but Highlights Need for Broader Program Reform
Report Received/ Issued Date	07/31/2023
Rec #	1

Recommendation	The Deputy Associate Administrator of FEMA’s Federal Insurance and Mitigation Administration adjust CRS [Community Rating System] by calculating a community's rating based only on community activities that reduce flood risk and by incorporating discounts into the full-risk premium based on the actuarial evaluation of risk reduction.
Estimated Completion Date (or Date Closed)	12/31/2027
Next Step is Up To	DHS
Narrative of Implementation Status	On September 17, 2024, FEMA’s Mitigation Directorate Floodplain Management Division (FPMD) completed the quantitative analysis for the suggested program alternative design concepts and conducted interviews of SMEs to obtain their feedback. FPMD engaged various external stakeholders through conferences and meetings, which included partnering with Association of State Floodplain Managers (ASFPM) to involve State partners and Floodplain managers. In early FY 2025, FPMD will conclude the stakeholder engagements by collecting feedback at two Tribal Consultations. Once these engagements are completed, FPMD will focus on analyzing the data from the Stakeholder engagements.
Component	FEMA
Report Number (Public)	GAO-23-105977
Report Title	Flood Insurance: FEMA’s New Rate-Setting Methodology Improves Actuarial Soundness but Highlights Need for Broader Program Reform
Report Received/ Issued Date	07/31/2023
Rec #	2
Recommendation	The Deputy Associate Administrator of FEMA’s Federal Insurance and Mitigation Administration evaluate other means for incentivizing desirable community activities that cannot be actuarially justified but are currently a basis for discounts in CRS.
Estimated Completion Date (or Date Closed)	08/29/2025
Next Step is Up To	DHS
Narrative of Implementation Status	On September 17, 2024, FEMA’s Mitigation Directorate FPMD completed the quantitative analysis for the suggested program alternative design concepts and conducted interviews of SMEs to obtain their feedback. FPMD also engaged various external stakeholders through conferences and meetings, which included partnering with ASFPM to engage with our State partners and Floodplain managers. In early FY 2025, FPMD will conclude the stakeholder engagements by collecting feedback on the

	suggested program alternative design concepts, with two Tribal Consultations. Once these engagements are completed, FPMD will focus on analyzing the data from the Stakeholder engagements.
Component	FEMA
Report Number (Public)	GAO-23-105977
Report Title	Flood Insurance: FEMA's New Rate-Setting Methodology Improves Actuarial Soundness but Highlights Need for Broader Program Reform
Report Received/ Issued Date	07/31/2023
Rec #	3
Recommendation	The Deputy Associate Administrator of FEMA's Federal Insurance and Mitigation Administration publish an annual actuarial report that includes the loss levels that full-risk premiums are designed to cover and that current discounted premiums are able to cover, and the associated uncertainty; the estimated premium revenue and shortfall for current and future years; and an evaluation of NFIP's fiscal outlook, including projections of future debt.
Estimated Completion Date (or Date Closed)	09/30/2025
Next Step is Up To	DHS
Narrative of Implementation Status	FEMA's Actuarial and Catastrophe Modeling Branch continues to build on the drafted outline of the FID's first annual actuarial report. The FEMA Actuarial and Catastrophe Modeling Branch remains on-track with the planned actions as established in the original response to this recommendation to publish its first annual actuarial report for the current rating plan, to include the items discussed in this draft report. As part of this, FEMA FID will develop the necessary analysis, draft effective accompanying communication, and ensure the actuarial report is consistent with statutory reporting requirements and Actuarial Standards of Practice.
Component	FEMA
Report Number (Public)	GAO-23-105977
Report Title	Flood Insurance: FEMA's New Rate-Setting Methodology Improves Actuarial Soundness but Highlights Need for Broader Program Reform
Report Received/ Issued Date	07/31/2023
Rec #	4

Recommendation	The Deputy Associate Administrator of FEMA's Federal Insurance and Mitigation Administration take steps to directly inform individual policyholders about Risk Rating 2.0 and make them aware of available information.
Estimated Completion Date (or Date Closed)	01/31/2025
Next Step is Up To	DHS
Narrative of Implementation Status	FEMA's FID reviewed the declaration pages across WYO, private flood and Property and Casualty, and produced observations. Currently, FID is in the final stages of reviewing the program's frequently asked questions. The Declaration Page Fact sheet is under development. FID has produced a usability research strategy for collecting customer feedback on the NFIP's declaration page. This strategy is being discussed among experts in the NFIP and Customer Experience.
Component	FEMA
Report Number (Public)	GAO-23-105977
Report Title	Flood Insurance: FEMA's New Rate-Setting Methodology Improves Actuarial Soundness but Highlights Need for Broader Program Reform
Report Received/ Issued Date	07/31/2023
Rec #	5
Recommendation	The Deputy Associate Administrator of FEMA's Federal Insurance and Mitigation Administration take additional steps to make available to policyholders, agents, or both more detailed property-specific flood risk information to help them better understand the justification for individual premiums and potential savings associated with available mitigation options.
Estimated Completion Date (or Date Closed)	08/29/2025
Next Step is Up To	DHS
Narrative of Implementation Status	FEMA's FID completed the design work for the initial online quoting tool, which will enable the generation of property-specific quotes. Quoting tool deployment will be made public through the NFIP's online resource pages (FloodSmart.gov and FEMA.gov), the NFIP's social media presence, and formal communications with stakeholders like the WYO community.
Component	Office of Intelligence and Analysis (I&A)
Report Number (Public)	GAO-23-106625

Report Title	Capitol Attack: Federal Agencies Identified Some Threats, but Did Not Fully Process and Share Information Prior to January 6, 2021
Report Received/ Issued Date	01/31/2023
Rec #	3
Recommendation	The DHS I&A Under Secretary should assess the extent to which its internal controls ensure personnel follow existing and updated policies for processing open source threat information.
Estimated Completion Date (or Date Closed)	12/31/2025
Next Step is Up To	DHS
Narrative of Implementation Status	Following an initial 360 review of the organization and studies of the Collections program, I&A continues to conduct the Verification and Validation (V&V) assessment on the Open Source and Information Sharing processes to test the design and effectiveness of newly implemented mitigating controls as they are updated and implemented. I&A completed initial interviews with all Deputy Undersecretaries and performed walkthroughs to discuss system implementation, processes, procedures and policies, and review corroborating evidence to complete the V&V. However, updates to key controls remain in development, including the revisions to the policy guidance on the open source and human intelligence collection programs in line with the 360 review directives from the Under Secretary of Intelligence and Analysis. The policy guidance for both programs is on track to be completed before the end of January 2025 and will provide the requisite framework for updating training and related procedures prescribed by the implementation plan. Once complete, the V&V will inform I&A with information to address internal control deficiencies and ensure personnel consistently follow existing and updated policies for processing open-source threat information. I&A aims to complete the V&V and publish results for I&A senior leadership by the end of 2025.
Component	I&A
Report Number (Public)	GAO-23-106625
Report Title	Capitol Attack: Federal Agencies Identified Some Threats, but Did Not Fully Process and Share Information Prior to January 6, 2021
Report Received/ Issued Date	01/31/2023
Rec #	4

Recommendation	The DHS I&A Under Secretary should, following its assessment, implement a plan to address any internal control deficiencies identified to ensure personnel consistently follow the policies for processing open source threat information.
Estimated Completion Date (or Date Closed)	12/31/2025
Next Step is Up To	DHS
Narrative of Implementation Status	Following an initial 360 review of the organization and studies of the Collections program, I&A continues to conduct the V&V assessment on the Open Source and Information Sharing processes to test the design and effectiveness of newly implemented mitigating controls as they are updated and implemented. I&A completed initial interviews with all Deputy Undersecretaries and performed walkthroughs to discuss system implementation, processes, procedures and policies, and review corroborating evidence to complete the V&V. However, updates to key controls remain in development, including the revisions to the policy guidance on the open source and human intelligence collection programs in line with the 360 review directives from the Under Secretary of Intelligence and Analysis. The policy guidance for both programs is on track to be completed before the end of January 2025 and will provide the requisite framework for updating training and related procedures prescribed by the implementation plan. Once complete, the V&V will inform I&A with information to address internal control deficiencies and ensure personnel consistently follow existing and updated policies for processing open-source threat information. I&A aims to complete the V&V and publish results for I&A senior leadership by the end of 2025.
Component	I&A
Report Number (Public)	GAO-23-106625
Report Title	Capitol Attack: Federal Agencies Identified Some Threats, but Did Not Fully Process and Share Information Prior to January 6, 2021
Report Received/ Issued Date	01/31/2023
Rec #	5
Recommendation	The DHS I&A Under Secretary should assess the extent to which its internal controls ensure personnel consistently follow the policies for sharing threat-related information with relevant agencies such as Capitol Police.
Estimated Completion Date (or Date Closed)	12/31/2025
Next Step is Up To	DHS

Narrative of Implementation Status	Following an initial 360 review of the organization and studies of the Collections program, I&A continues to conduct the V&V assessment on the Open Source and Information Sharing processes to test the design and effectiveness of newly implemented mitigating controls as they are updated and implemented. I&A completed initial interviews with all Deputy Undersecretaries and performed walkthroughs to discuss system implementation, processes, procedures and policies, and review corroborating evidence to complete the V&V. However, updates to key controls remain in development, including the revisions to the policy guidance on the open source and human intelligence collection programs in line with the 360 review directives from the Under Secretary of Intelligence and Analysis. The policy guidance for both programs is on track to be completed before the end of January 2025 and will provide the requisite framework for updating training and related procedures prescribed by the implementation plan. Once complete, the V&V will inform I&A with information to address internal control deficiencies and ensure personnel consistently follow existing and updated policies for processing open-source threat information. I&A aims to complete the V&V and publish results for I&A senior leadership by the end of 2025.
Component	I&A
Report Number (Public)	GAO-23-106625
Report Title	Capitol Attack: Federal Agencies Identified Some Threats, but Did Not Fully Process and Share Information Prior to January 6, 2021
Report Received/ Issued Date	01/31/2023
Rec #	6
Recommendation	The DHS I&A Under Secretary should, following its assessment, implement a plan to address any internal control deficiencies identified to ensure personnel consistently follow the policies for sharing threat-related information with relevant agencies such as Capitol Police.
Estimated Completion Date (or Date Closed)	12/31/2025
Next Step is Up To	DHS
Narrative of Implementation Status	Following an initial 360 review of the organization and studies of the Collections program, I&A continues to conduct the V&V assessment on the Open Source and Information Sharing processes to test the design and effectiveness of newly implemented mitigating controls as they are updated and implemented. I&A completed initial interviews with all Deputy Undersecretaries and performed walkthroughs to discuss system implementation, processes, procedures and policies, and review corroborating evidence to complete the V&V. However, updates to key controls remain in

	development, including the revisions to the policy guidance on the open source and human intelligence collection programs in line with the 360 review directives from the Under Secretary of Intelligence and Analysis. The policy guidance for both programs is on track to be completed before the end of January 2025 and will provide the requisite framework for updating training and related procedures prescribed by the implementation plan. Once complete, the V&V will inform I&A with information to address internal control deficiencies and ensure personnel consistently follow existing and updated policies for processing open-source threat information. I&A aims to complete the V&V and publish results for I&A senior leadership by the end of 2025.
Component	I&A
Report Number (Public)	GAO-23-104720
Report Title	Domestic Terrorism: Further Actions Needed to Strengthen FBI and DHS Collaboration to Counter Domestic Threats
Report Received/ Issued Date	02/22/2023
Rec #	2
Recommendation	The Under Secretary for Intelligence and Analysis should, in coordination with the Director of the FBI, report domestic terrorism incident data from both agencies in response to the annual update requirement in the NDAA for fiscal year 2020.
Estimated Completion Date (or Date Closed)	06/30/2025
Next Step is Up To	DHS
Narrative of Implementation Status	DHS Components completed their review of the FY 2023 “Strategic Intelligence Assessment and Data on Domestic Terrorism,” report, and the Federal Bureau of Investigation (FBI) is currently reviewing the report. Once the FBI finishes its review, the report will be sent to OMB. Once finalized, I&A will share the report with Congress and release it publicly.
Component	I&A
Report Number (Public)	GAO-23-104720
Report Title	Domestic Terrorism: Further Actions Needed to Strengthen FBI and DHS Collaboration to Counter Domestic Threats
Report Received/ Issued Date	02/22/2023
Rec #	6

Recommendation	The DHS Under Secretary for Intelligence and Analysis should, in collaboration with the Director of the FBI, assess existing formal agreements to determine if they fully articulate a joint process for working together to counter domestic terrorism threats and sharing relevant domestic terrorism-related information and update and revise accordingly.
Estimated Completion Date (or Date Closed)	01/31/2025
Next Step is Up To	DHS
Narrative of Implementation Status	I&A continues its discussions with the FBI on identifying long-term options to improve I&A's access to domestic terrorism investigative data. Consistent with I&A's initiative to position its analysts to better leverage investigative case file information for strategic intelligence following its comprehensive two-year internal 360 review, I&A and FBI have reached a tentative agreement to embed an I&A domestic terrorism analyst with FBI's Domestic Terrorism Strategic Unit, and a memorandum of understanding (MOU) is currently being drafted to codify this agreement. Similarly, the FBI committed to assign a staff member later this year to I&A's Counterterrorism Center to enhance I&A's access to FBI domestic terrorism case files. In the interim, I&A and FBI domestic terrorism analysts and managers, as well as our liaison officers assigned to each other's organizations, continue to engage in regular coordination and collaboration to discuss threat reporting and joint production of finished intelligence and delivery of briefings in support of the White House National Strategy for Countering Domestic Terrorism.
Component	I&A
Report Number (Public)	GAO-23-105475
Report Title	Homeland Security: Office of Intelligence and Analysis Should Improve Privacy Oversight and Assessment of Effectiveness
Report Received/ Issued Date	08/28/2023
Rec #	1
Recommendation	The Under Secretary for Intelligence and Analysis ensure that I&A's intelligence oversight branch documents the reviews it conducts to verify I&A personnel's compliance with I&A's guidelines for protecting privacy, civil rights, and civil liberties.
Estimated Completion Date (or Date Closed)	12/31/2024
Next Step is Up To	DHS

Narrative of Implementation Status	On January 29, 2024, the Under Secretary for I&A issued SOP No. IA-1000-001, “Intelligence Oversight Program Preliminary Inquiries,” (Preliminary Inquiry SOP). The SOP for compliance reviews (Compliance Review SOP) remains in draft and on track for completion by the end of the calendar year. Since September 12, 2023, the Privacy and Intelligence Oversight Branch has submitted four Preliminary Inquiry Reports to the Under Secretary for I&A in accordance with the Preliminary Inquiry SOP. During October 2024, the Privacy and Intelligence Oversight Branch will brief the Under Secretary for I&A on a completed Compliance Review. In addition, the Privacy and Intelligence Oversight Branch conducted a comprehensive audit of Open-Source Intelligence Reports produced during FY 2023 and is finalizing a report on those results. I&A intends to request that GAO close this recommendation as implemented no later than the end of calendar year 2024.
Component	I&A
Report Number (Public)	GAO-23-105475
Report Title	Homeland Security: Office of Intelligence and Analysis Should Improve Privacy Oversight and Assessment of Effectiveness
Report Received/ Issued Date	08/28/2023
Rec #	2
Recommendation	The Under Secretary for Intelligence and Analysis establish a goal for the number of compliance reviews that I&A’s intelligence oversight branch is to conduct during a given period to verify personnel's compliance with I&A’s guidelines for protecting privacy, civil rights, and civil liberties.
Estimated Completion Date (or Date Closed)	12/31/2024
Next Step is Up To	DHS
Narrative of Implementation Status	I&A will include a provision in the forthcoming Compliance Review SOP and update the performance plan to say that I&A will complete at least six compliance reviews or preliminary inquiries during FY 2024. I&A intends to request that GAO close this recommendation no later than the end of calendar year 2024.
Component	I&A
Report Number (Public)	GAO-23-105475
Report Title	Homeland Security: Office of Intelligence and Analysis Should Improve Privacy Oversight and Assessment of Effectiveness
Report Received/ Issued Date	08/28/2023

Rec #	3
Recommendation	The Under Secretary for Intelligence and Analysis assess the intelligence oversight branch's performance against its goal for compliance reviews, including identifying any factors preventing it from meeting this goal and any needed corrective actions.
Estimated Completion Date (or Date Closed)	12/31/2024
Next Step is Up To	DHS
Narrative of Implementation Status	I&A informally finalized its compliance review goal for FY 2024 through the performance plan for its Privacy and Intelligence Oversight Officer. The Director of I&A's Transparency and Oversight Program Office will assess the performance of the Privacy and Intelligence Oversight Officer against this compliance review goal for FY 2024. I&A will formally finalize its compliance review goal for future FYs through its Compliance Review SOP. I&A intends to request that GAO close this recommendation as implemented no later than the end of calendar year 2024.
Component	I&A
Report Number (Public)	GAO-23-105475
Report Title	Homeland Security: Office of Intelligence and Analysis Should Improve Privacy Oversight and Assessment of Effectiveness
Report Received/ Issued Date	08/28/2023
Rec #	5
Recommendation	The Under Secretary for Intelligence and Analysis identify who is responsible for conducting the audits of information systems and bulk data described in I&A's Intelligence Oversight Guidelines, and to whom the results of these audits should be reported.
Estimated Completion Date (or Date Closed)	2/7/2025
Next Step is Up To	GAO
Narrative of Implementation Status	On February 7, 2025, GAO closed this recommendation as implemented after the universe of open recommendations for this annual report was identified.
Component	I&A
Report Number (Public)	GAO-23-105475
Report Title	Homeland Security: Office of Intelligence and Analysis Should Improve Privacy Oversight and Assessment of Effectiveness

Report Received/ Issued Date	08/28/2023
Rec #	6
Recommendation	The Under Secretary for Intelligence and Analysis ensure that the responsible entities conduct audits of information systems and bulk data, as described in I&A's Intelligence Oversight Guidelines.
Estimated Completion Date (or Date Closed)	09/30/2025
Next Step is Up To	DHS
Narrative of Implementation Status	I&A will need to complete the procedure identified in recommendation 5 to identify the entities responsible for conducting audits. I&A's Director of Transparency and Oversight Program Office and Director of the Technology and Data Services Directorate, through the I&A Chief Data Officer, continue discussions about the development of an SOP for conducting audits of information systems and bulk data. Based on these discussions, I&A is pursuing a memorandum to establish auditing requirements for the development of new and of existing I&A systems to facilitate the requirements contemplated by the recommendation. The memorandum will prescribe responsibilities and actions required of the Transparency and Oversight Program Office for establishing a process to conduct compliance audits of I&A information systems and bulk data holdings containing U.S. person information and of the I&A Office of Management over Technology and Data Services for providing technical support and building the technical capabilities for these audits. A draft of the memorandum is currently in internal coordination at I&A as a prelude to staffing for signature. Once the memorandum is issued, the Director of Transparency and Oversight Program Office will ensure that the responsible entities have performed the required audits of information systems and bulk data as prescribed by the memorandum.
Component	I&A
Report Number (Public)	GAO-23-105475
Report Title	Homeland Security: Office of Intelligence and Analysis Should Improve Privacy Oversight and Assessment of Effectiveness
Report Received/ Issued Date	08/28/2023
Rec #	7
Recommendation	The Under Secretary for Intelligence and Analysis develop performance measures for I&A that clearly align with and assess progress toward its strategic goals.

Estimated Completion Date (or Date Closed)	04/30/2025
Next Step is Up To	DHS
Narrative of Implementation Status	<p>Between May and October 2024, the Program and Performance Evaluation Division within I&A's Chief Operating Officer Directorate conducted a review of the current performance measures across I&A's Offices of Analysis, Collection, Management, and Partnerships. Subsequently, I&A proposed adjustments to its current performance measures and added new measures for the upcoming FYs, which will be reflected in FY 2025 based on the Office of the Director of National Intelligence open season. Specifically, Program and Performance Evaluation worked with the I&A Offices of Analysis, Collection, Management, and Partnerships to align each proposed measure to the "FY 2020-2024 Office of Intelligence and Analysis Strategic Plan," and it will continue quarterly reviews to ensure the information reported is relevant and integrated with departmental priorities and goals. During the development of the upcoming FY 2025-2029 Strategic Plan, Program and Performance Evaluation will continue to collaborate with the appropriate I&A personnel to align performance measures and performance data to the Department's mission within the new strategy. The FY 2025-2029 Strategic Plan is currently in draft and continues to undergo leadership review for finalization. After finalizing and releasing the FY 2025-2029 Strategic Plan, Program and Performance Evaluation will submit any adjustments to the measures during the DHS and Office of the Director of National Intelligence respective open seasons.</p>
Component	I&A
Report Number (Public)	GAO-23-105475
Report Title	Homeland Security: Office of Intelligence and Analysis Should Improve Privacy Oversight and Assessment of Effectiveness
Report Received/ Issued Date	08/28/2023
Rec #	8
Recommendation	The Under Secretary for Intelligence and Analysis develop and implement a process to submit the statutorily required annual report related to customer feedback on intelligence products to relevant congressional committees.
Estimated Completion Date (or Date Closed)	12/12/2024
Next Step is Up To	GAO

Narrative of Implementation Status	On December 12, 2024, GAO closed this recommendation after the universe of open recommendations for this annual report was identified.
Component	I&A
Report Number (Public)	GAO-23-105475
Report Title	Homeland Security: Office of Intelligence and Analysis Should Improve Privacy Oversight and Assessment of Effectiveness
Report Received/ Issued Date	08/28/2023
Rec #	9
Recommendation	The Under Secretary for Intelligence and Analysis assess the extent to which customer feedback data meet its need to understand its customers' interests and, if necessary, take steps to collect more appropriate data.
Estimated Completion Date (or Date Closed)	04/30/2025
Next Step is Up To	GAO
Narrative of Implementation Status	As of September 9, 2024, I&A's Program and Performance Evaluation Division within I&A's Chief Operating Officer Directorate onboarded one new staff member and the second staff member is in the clearance process. These two additional staff members enhance and expand the capacity of the Feedback Branch to improve I&A's understanding of its customers' needs and increase feedback response rates. GAO wants to see more evidence that I&A obtained consumer feedback, which I&A will gather and provide during early 2025.
Component	ICE
Report Number (Public)	GAO-18-405
Report Title	DHS Components Could Improve Monitoring of the Employee Misconduct Process
Report Received/ Issued Date	08/30/2018
Rec #	10
Recommendation	The Director of ICE should monitor the duration of all cases beginning-to-end by stage and by case type.
Estimated Completion Date (or Date Closed)	06/30/2025
Next Step is Up To	DHS

Narrative of Implementation Status	The U.S. Immigration and Customs Enforcement's (ICE) OPR documented the investigations process; and the Office of Human Capital documented the disciplinary process in compliance with its policies; and relevant supporting documentation was provided to GAO. ICE also provided GAO with information on efforts to collectively evaluate, recommend, and implement actions related to the policies and processes for addressing allegations of employee misconduct and effecting disciplinary actions across DHS. These efforts include (1) documenting the processes by which allegations of employee misconduct are reported and handled across the Department; (2) assessing policies and procedures for receiving and investigating allegations of employee misconduct and effecting disciplinary actions and developing and implementing a Department-wide policy; and (3) evaluating collected Department-wide data.
Component	ICE
Report Number (Public)	GAO-18-405
Report Title	DHS Components Could Improve Monitoring of the Employee Misconduct Process
Report Received/ Issued Date	08/30/2018
Rec #	12
Recommendation	The Director of ICE should define and document the case management system data fields and methodology to be used for monitoring all established performance targets and provide related guidance to staff.
Estimated Completion Date (or Date Closed)	06/30/2025
Next Step is Up To	DHS
Narrative of Implementation Status	ICE's OPR documented the investigations process; and the Office of Human Capital documented the disciplinary process in compliance with its policies; and relevant supporting documentation was provided to GAO. ICE also provided GAO with information on efforts to collectively evaluate, recommend, and implement actions related to the policies and processes for addressing allegations of employee misconduct and effecting disciplinary actions across DHS. These efforts include (1) documenting the processes by which allegations of employee misconduct are reported and handled across the Department; (2) assessing policies and procedures for receiving and investigating allegations of employee misconduct and effecting disciplinary actions and developing and implementing a Department-wide policy; and (3) evaluating collected Department-wide data.
Component	ICE
Report Number (Public)	GAO-19-297

Report Title	Student and Exchange Visitor Program: DHS Can Take Additional Steps to Manage Fraud Risks Related to School Recertification and Program Oversight
Report Received/ Issued Date	11/20/2018
Rec #	6
Recommendation	The Director of ICE should implement mandatory DSO training and verify that the training is completed.
Estimated Completion Date (or Date Closed)	03/31/2025
Next Step is Up To	DHS
Narrative of Implementation Status	On September 6, 2024, GAO notified ICE that it updated the status of this recommendation to “Open – Partially Addressed”. GAO informed ICE that it wants to see additional progress towards implementation before completely closing the recommendation. ICE will follow-up with GAO to determine exactly what corrective action is required to be responsive to this recommendation.
Component	ICE
Report Number (Public)	GAO-19-297
Report Title	Student and Exchange Visitor Program: DHS Can Take Additional Steps to Manage Fraud Risks Related to School Recertification and Program Oversight
Report Received/ Issued Date	11/20/2018
Rec #	7
Recommendation	The Director of ICE should complete the development and implementation of its plan for mandatory fraud-specific training to DSOs.
Estimated Completion Date (or Date Closed)	03/31/2025
Next Step is Up To	DHS
Narrative of Implementation Status	On September 6, 2024, GAO notified ICE that it updated the status of this recommendation to “Open – Partially Addressed”. GAO requested to see additional progress towards implementation before completely closing the recommendation. ICE will follow-up with GAO to determine exactly what corrective action is required to be responsive to this recommendation.
Component	ICE
Report Number (Public)	GAO-20-36

Report Title	Immigration Enforcement: Arrests, Detentions, and Removals, and Issues Related to Selected Populations
Report Received/ Issued Date	12/05/2019
Rec #	1
Recommendation	The Director of ICE should implement a process to collect and maintain data in a readily available format on detained parents or legal guardians of U.S. citizen and legal permanent resident minors to ensure that information on this population is entered into ICE's data system as required by policy.
Estimated Completion Date (or Date Closed)	12/31/2024
Next Step is Up To	DHS
Narrative of Implementation Status	ICE's Enforcement and Removal Operations (ERO) assembled a "Parental Interest Working Group" to identify the requirements for collecting and maintaining relevant data related to covered individuals that permits continuous monitoring and tracking of non-citizen parents/legal guardians of minor children or incapacitated adults in the United States, without regard to the dependent's citizenship or immigration status. The working group completed the requirements gathering and submitted the requirement to ERO Law Enforcement Systems and Analysis for implementation. During March 2024, ERO Law Enforcement Systems and Analysis determined, based on analysis of the business requirements, enhancements were needed to two systems to update workflows, add new fields, as well as the integration of forms. Due to the complexities of these enhancements, and the concurrent prioritization of system changes necessitated by related directives (e.g., Victim Centered Approach and the Safe Release Directive), ERO planned a three-phase implementation approach. Phase 1 was completed at the end of FY 2024. Timelines for Phases 2 and 3 have not been solidified as there is a dependency with ERO's digital signature effort. ERO Law Enforcement Systems and Analysis will provide the schedule for Phase 2 and 3 by end of FY 2025 quarter one.
Component	ICE
Report Number (Public)	GAO-20-333
Report Title	Trade-Based Money Laundering: U.S. Government Has Worked with Partners to Combat the Threat, but Could Strengthen Its Efforts
Report Received/ Issued Date	04/02/2020
Rec #	2

Recommendation	The Secretary of Homeland Security should direct the Director of ICE to develop a performance monitoring framework for the TTU program that would enable the agency to systematically track program results and how effectively it is achieving the program's goals.
Estimated Completion Date (or Date Closed)	12/31/2024
Next Step is Up To	DHS
Narrative of Implementation Status	ICE's Homeland Security Investigations (HSI) is currently capturing enforcement statistics related to a foreign partner's Trade Transparency Unit (TTU) through the HSI Attaché office having the responsibility for documenting the country action as a foreign assist statistic within the Investigative Case Management system. The HSI Attaché office can ensure the trade-based money laundering and TTU project codes are included within the seizure and/or arrest documentation. This is the process that HSI has implemented to document enforcement statistics and there is a mechanism in place to complete statistical reports based on pertinent searches. The process is dependent upon effective relationship and communication between the foreign partners, HSI Attaché offices, and the HSI TTU.
Component	ICE
Report Number (Public)	GAO-20-596
Report Title	Immigration Detention: ICE Should Enhance Its Use of Facility Oversight Data and Management of Detainee Complaints
Report Received/ Issued Date	08/19/2020
Rec #	4
Recommendation	The Director of ICE should ensure that all Operational Review Self-Assessment results and corrective actions are recorded in a format that is conducive to tracking and analysis.
Estimated Completion Date (or Date Closed)	09/24/2024
Next Step is Up To	GAO
Narrative of Implementation Status	On September 24, 2024, GAO closed this recommendation after the universe of open recommendations for this annual report was identified.
Component	ICE
Report Number (Public)	GAO-20-596
Report Title	Immigration Detention: ICE Should Enhance Its Use of Facility Oversight Data and Management of Detainee Complaints

Report Received/ Issued Date	08/19/2020
Rec #	6
Recommendation	The Director of ICE should require that ERO field offices record any actions taken on, and the resolutions of, detention-related complaints referred to them from the Detention Reporting and Information Line and Administrative Inquiry Unit in a timely manner.
Estimated Completion Date (or Date Closed)	12/31/2024
Next Step is Up To	DHS
Narrative of Implementation Status	<p>On February 29, 2024, ICE OPR confirmed that Form 70-604 requires the ERO field office to identify allegation(s), provide a disposition, identify action taken by management, and return the form to be reviewed and documented within Joint Integrity Case Management System. Additionally, management review case type is in addition to the three case types noted. Management reviews were developed because OPR identified a gap in the reporting of case dispositions. Under the previous model, cases assessed as information only were sent to ERO field offices and the responsible official within the field office would review the allegation and determine whether it warranted follow-up. ERO field offices had no requirement to advise Administrative Inquiry Unit of their decision, or of the results of the follow-up. By adding management reviews as an additional case type, Administrative Inquiry Unit decides whether the allegation warrants follow-up. If Administrative Inquiry Unit determines there is no need for any type of inquiry, action, or disposition, it can assess the case as information only and send the information to the ERO field office for awareness. If the allegation does not rise to the level of a management inquiry, but does need follow-up, Administrative Inquiry Unit can assess the case as a management review and assign it to the ERO field office, which requires a response from the field office via ICE Form 70-604 within 60 days. ICE Form 70-604 will then be added to the Joint Integrity Case Management System case, and a disposition will be documented as appropriate. The new ICE Management Inquiry Directive is in the review process, and it includes the changes ICE OPR made to how it defines and approaches management inquiries as well as codifies management reviews and related documentation (e.g., the final resolution form and instructions). Once the directive is finalized, a copy will be provided to facilitate closure.</p>
Component	ICE
Report Number (Public)	GAO-21-322

Report Title	Firearms Trafficking: U.S. Efforts to Disrupt Gun Smuggling to Mexico Would Benefit from Additional Data and Analysis
Report Received/ Issued Date	12/16/2020
Rec #	4
Recommendation	The Director of ICE should ensure that HSI analyzes additional information - for example, data that ATF shares about U.S.-sourced firearms recovered in Mexico - to supplement its existing analysis identifying smuggling trends and patterns.
Estimated Completion Date (or Date Closed)	11/29/2024
Next Step is Up To	DHS
Narrative of Implementation Status	ICE's HSI is still working on updating the 2009 MOU with the Bureau of Alcohol, Tobacco, Firearms and Explosives (ATF). HSI will discuss this with ATF during its Without a Trace meeting on October 31, 2024, after which HSI will give ICE a timeframe concerning if and when the MOU will be signed.
Component	ICE
Report Number (Public)	GAO-21-322
Report Title	Firearms Trafficking: U.S. Efforts to Disrupt Gun Smuggling to Mexico Would Benefit from Additional Data and Analysis
Report Received/ Issued Date	12/16/2020
Rec #	6
Recommendation	The Director of ICE should ensure that HSI, in consultation with relevant agencies, develops performance measures to assess the results of its efforts to investigate firearms smuggling into Mexico.
Estimated Completion Date (or Date Closed)	11/29/2024
Next Step is Up To	GAO
Narrative of Implementation Status	On September 17, 2024, ICE provided GAO with documentation detailing the performance measures that were established to satisfy this recommendation. ICE is currently waiting for GAO to review the documentation and determine whether it is sufficient to close the recommendation.
Component	ICE
Report Number (Public)	GAO-21-149

Report Title	Immigration Detention: Actions Needed to Improve Planning, Documentation, and Oversight of Detention Facility Contracts
Report Received/ Issued Date	01/13/2021
Rec #	1
Recommendation	The Director of ICE should ensure that ERO consistently uses a process that includes input from relevant stakeholders and documentation of the basis for decisions made before entering into contracts or agreements for new or expanded detention space.
Estimated Completion Date (or Date Closed)	12/31/2024
Next Step is Up To	DHS
Narrative of Implementation Status	ICE informed GAO that it has not stood up a new facility in three years, the last one being Moshannon Valley in 2021, and there are no current plans to stand up any new detention facilities. ICE asked for guidance on how to proceed with the recommendation and GAO's response was to continue to maintain the recommendation as open and resolved.
Component	ICE
Report Number (Public)	GAO-21-149
Report Title	Immigration Detention: Actions Needed to Improve Planning, Documentation, and Oversight of Detention Facility Contracts
Report Received/ Issued Date	01/13/2021
Rec #	2
Recommendation	The Director of ICE should Document and implement a strategic approach for using guaranteed minimums in detention contracts and agreements that supports ICE's strategic plans, goals, and priorities.
Estimated Completion Date (or Date Closed)	09/30/2024
Next Step is Up To	DHS
Narrative of Implementation Status	On July 19, 2024, ERO met with GAO to discuss the information previously submitted to support the recommendation. Specifically, the discussion focused on the mechanics of using a monthly Facility Operating Charge and how the approach compares to using guaranteed minimums in practice; ICE's approach and timeframe for implementing the Facility Operating Charge approach and replacing the guaranteed minimums methodology; vetting process; and the bed rate structure used with the

	approach. Following the meeting, GAO submitted a request to obtain contract documentation. On September 17, 2024, ERO provided GAO with Karnes detention facility contract documentation along with the notification that it would provide the requested additional contract documentation using the Facility Operating Charge approach once it was finalized/awarded.
Component	ICE
Report Number (Public)	GAO-21-149
Report Title	Immigration Detention: Actions Needed to Improve Planning, Documentation, and Oversight of Detention Facility Contracts
Report Received/ Issued Date	01/13/2021
Rec #	3
Recommendation	The Director of ICE should revise its supervisory structure so that the CORs' oversight functions are independent of field office management.
Estimated Completion Date (or Date Closed)	TBD
Next Step is Up To	GAO
Narrative of Implementation Status	ERO continues to non-concur with the recommendation. ERO Field Operations evaluated the supervisory structure for Contracting Officer Representatives (COR) assigned to detention facility contracts and determined the most optimal alignment is for them to remain within the chain of command of field office management. The COR positions were established in each field office to ensure the proper oversight and administration of contracts and contractual agreements supporting each field office, as well as to provide project management support for facility related projects. The positions were intended to reduce the administrative workload of officers that were previously performing COR duties in the field; thereby, now enabling them with more time to engage in detention and removal activities. ERO ensures COR appointments and supervisory notification letters for each detention contract detail the responsibilities of each role. In addition, the ICE's Office of Acquisition Management and the Office of the Principal Legal Advisor created a supervisor training that includes the topics of fiscal law and procurement, as well as Contracting Officer and COR roles and responsibilities. The training has been provided to ERO Field Office Directors. ICE provided supporting documentation to GAO during audit fieldwork and has continued to request that GAO consider this recommendation resolved and closed.
Component	ICE
Report Number (Public)	GAO-21-186

Report Title	Immigration Enforcement: ICE Can Further Enhance Its Planning and Oversight of State and Local Agreements
Report Received/ Issued Date	01/27/2021
Rec #	1
Recommendation	The Director of ICE should establish performance goals and related performance measures to assess and manage the performance of the 287(g) program.
Estimated Completion Date (or Date Closed)	12/31/2024
Next Step is Up To	DHS
Narrative of Implementation Status	With the change in administration, the ERO 287(g) program was placed on hold pending issuance of the Department's immigration enforcement priorities. ICE received immigration enforcement priorities and ERO drafted the 287(g) strategic plan to include the program goals, objectives, and performance measures in accordance with its priorities to ensure alignment. Currently, the strategic plan is undergoing internal review and ERO leadership approval. ICE will share the document with GAO once finalized.
Component	ICE
Report Number (Public)	GAO-21-186
Report Title	Immigration Enforcement: ICE Can Further Enhance Its Planning and Oversight of State and Local Agreements
Report Received/ Issued Date	01/27/2021
Rec #	2
Recommendation	The Director of ICE should assess 287(g) program composition to help leverage program resources, optimize program benefits, and guide 287(g) expansion efforts.
Estimated Completion Date (or Date Closed)	12/31/2024
Next Step is Up To	DHS
Narrative of Implementation Status	With the change in administration, the ERO 287(g) program was placed on hold pending issuance of the Department's immigration enforcement priorities. Future expansions along with maintaining and evaluating the current partnerships remains on hold. ERO will assess the program composition and expansion efforts once guidance is provided on the way forward for the program.
Component	ICE

Report Number (Public)	GAO-21-186
Report Title	Immigration Enforcement: ICE Can Further Enhance Its Planning and Oversight of State and Local Agreements
Report Received/ Issued Date	01/27/2021
Rec #	3
Recommendation	The Director of ICE should develop and implement an oversight mechanism to monitor Warrant Service Officer participants' compliance with their Memorandum of Agreement with ICE.
Estimated Completion Date (or Date Closed)	11/05/2024
Next Step is Up To	GAO
Narrative of Implementation Status	On November 5, 2024, GAO closed this recommendation after the universe of open recommendations for this annual report was identified.
Component	ICE
Report Number (Public)	GAO-21-487
Report Title	Immigration Enforcement: Actions Needed to Better Track Cases Involving U.S. Citizenship Investigations
Report Received/ Issued Date	07/20/2021
Rec #	2
Recommendation	The Director of ICE systematically collect and maintain electronic data on its encounters with individuals for whom there is probative evidence of U.S. citizenship.
Estimated Completion Date (or Date Closed)	12/31/2024
Next Step is Up To	DHS
Narrative of Implementation Status	On August 18, 2024, ERO and GAO met to discuss the status of the recommendation following the submission of the updated ENFORCE Alien Removal Module Training manual. GAO reviewed the updated language in the module and concluded that it did not fully address the intent of the recommendation. GAO indicated that while the update to the module is a positive step, it has not seen guidance to officers requiring them to update the citizenship field when probative evidence of U.S. Citizenship is identified. Consequently, ERO provided GAO a walkthrough of case management with a demonstration of how the data are maintained and updated, as appropriate, by officers. On August 27, 2024, GAO provided its feedback for how ICE could meet the intent of the

	recommendation. ERO is evaluating the options and a follow-on meeting is being scheduled by end of October 2024 to further discuss.
Component	ICE
Report Number (Public)	GAO-22-447
Report Title	Countering Illicit Finance and Trade: Better Information Sharing and Collaboration Needed to Combat Trade-Based Money Laundering
Report Received/ Issued Date	11/30/2021
Rec #	2
Recommendation	The Secretary of Homeland Security should ensure the Director of Immigration and Customs Enforcement takes steps to enable and implement sharing of the Trade Transparency Unit's trade data - including for the purposes of trade data analysis about patterns or trends of illicit activity related to trade-based money laundering and similar schemes - with U.S. agencies with roles and responsibilities related to enforcing trade laws and combating illicit financial activity, as appropriate.
Estimated Completion Date (or Date Closed)	TBD
Next Step is Up To	DHS
Narrative of Implementation Status	ICE non-concurred with this recommendation because the program's primary mission is to establish partnerships with foreign law enforcement and provide them with information tools to facilitate the exchange of data. ICE has access to these data through established data-sharing agreements that clearly document what data are being shared, and how the data can be used. However, the agreements serve to protect the agency providing the data, ensure the data will not be misused, and prevent any miscommunication on the part of the provider and receiver of the data; and ICE protects the integrity and privacy of these data accordingly. As ICE is not the owner of these data and does not have the authority to share it with other entities, it is appropriate that data-sharing agreements with foreign countries prohibit the sharing of their information, and that data sharing agreements among U.S. law enforcement agencies provide a mechanism to request access and authorization if an agency needs access to data related to enforcing trade laws and combating illicit financial activity. These measures were established to protect the data and comply with federal statutes, regulations, and standards, such as 19 USC 1415(a)(3)(F), the 2002 Federal Information Security Management Act (Public Law 107-347), and those defined by the National Institute of Standards and Technology. Ultimately, these measures protect government information, operations, and assets against threats by ensuring that access to these data is at the least privilege and on a need-to-know basis.

Component	ICE
Report Number (Public)	GAO-22-104470
Report Title	Law Enforcement: Federal Agencies Should Improve Reporting and Review of Less-Lethal Force
Report Received/ Issued Date	12/15/2021
Rec #	9
Recommendation	The Director of ICE should modify policies and procedures to ensure that relevant officials document their determination on whether less-lethal force was used in accordance with agency policy.
Estimated Completion Date (or Date Closed)	12/31/2024
Next Step is Up To	DHS
Narrative of Implementation Status	On October 4, 2024, the ICE provided GAO with a copy of the updated Use of Force Handbook – Chapter 4: Use of Force Reporting Requirements. GAO confirmed receipt of the documentation but will not review it until November 2024. ICE will await GAO's review of the documentation.
Component	ICE
Report Number (Public)	GAO-22-104529
Report Title	Alternatives To Detention: ICE Needs to Better Assess Program Performance and Improve Contract Oversight
Report Received/ Issued Date	06/22/2022
Rec #	1
Recommendation	The Director of ICE develop a mechanism for ERO to record the completion of ATD supervision reviews.
Estimated Completion Date (or Date Closed)	12/31/2024
Next Step is Up To	DHS
Narrative of Implementation Status	During FY 2024, the ICE Office of Immigration Program Evaluation was realigned under ERO and continued its efforts to finalize the “Non-Detained Management Standards”, formerly known as the Alternatives to Detention standards, that will facilitate participants’ compliance with their conditions of release as they navigate through their immigration proceedings. Once these standards are approved, ERO will implement the standards across its field offices to ensure program compliance.
Component	ICE
Report Number (Public)	GAO-22-104529

Report Title	Alternatives To Detention: ICE Needs to Better Assess Program Performance and Improve Contract Oversight
Report Received/ Issued Date	06/22/2022
Rec #	2
Recommendation	The Director of ICE regularly monitor the information on ATD supervision reviews to ensure that the reviews occur according to policy.
Estimated Completion Date (or Date Closed)	06/30/2025
Next Step is Up To	DHS
Narrative of Implementation Status	During FY 2024, the ICE Office of Immigration Program Evaluation was realigned under ERO and continued its efforts to finalize the “Non-Detained Management Standards”, formerly known as the Alternatives to Detention standards, that will facilitate participants’ compliance with their conditions of release as they navigate through their immigration proceedings. Once these standards are approved, ERO will implement the standards across its field offices to ensure program compliance.
Component	ICE
Report Number (Public)	GAO-22-104529
Report Title	Alternatives To Detention: ICE Needs to Better Assess Program Performance and Improve Contract Oversight
Report Received/ Issued Date	06/22/2022
Rec #	3
Recommendation	The Director of ICE establish performance goals with measurable targets for the ATD program that cover core program activities and participant outcomes.
Estimated Completion Date (or Date Closed)	06/30/2025
Next Step is Up To	DHS
Narrative of Implementation Status	During FY 2024, the ICE Office of Immigration Program Evaluation was realigned under ERO and continued its efforts to finalize the “Non-Detained Management Standards”, formerly known as the Alternatives to Detention standards, that will facilitate participants’ compliance with their conditions of release as they navigate through their immigration proceedings. Once these standards are approved, ERO will implement the standards across its field offices to ensure program compliance.
Component	ICE

Report Number (Public)	GAO-22-104529
Report Title	Alternatives To Detention: ICE Needs to Better Assess Program Performance and Improve Contract Oversight
Report Received/ Issued Date	06/22/2022
Rec #	4
Recommendation	The Director of ICE include information on absconsions relative to the population of both active and unenrolled participants when externally reporting absconsion information for the ATD program.
Estimated Completion Date (or Date Closed)	12/31/2024
Next Step is Up To	DHS
Narrative of Implementation Status	ERO updated its absconsion methodology as recommended by GAO. ERO is now including the active participant count in compliance metrics when it is reported for the program. This better standardizes the absconder rate to match methods in other ICE units and programs. ERO provided GAO with this information; however, additional information is needed to achieve closure. ERO is scheduled to meet with GAO by end of October 2024 to discuss the remaining necessary documentation.
Component	ICE
Report Number (Public)	GAO-22-104529
Report Title	Alternatives To Detention: ICE Needs to Better Assess Program Performance and Improve Contract Oversight
Report Received/ Issued Date	06/22/2022
Rec #	5
Recommendation	The Director of ICE consistently explain ICE's methodology for calculating absconsion statistics when externally reporting absconsion information for the ATD program.
Estimated Completion Date (or Date Closed)	12/31/2024
Next Step is Up To	DHS
Narrative of Implementation Status	ERO updated its absconsion methodology as recommended by GAO. ERO is now including the active participant count in compliance metrics when it is reported for the program. This better standardizes the absconder rate to match methods in other ICE units and programs. ERO provided GAO with this information; however, additional information is needed to achieve closure. ERO is

	scheduled to meet with GAO by end of October 2024 to discuss the remaining necessary documentation.
Component	ICE
Report Number (Public)	GAO-22-104529
Report Title	Alternatives To Detention: ICE Needs to Better Assess Program Performance and Improve Contract Oversight
Report Received/ Issued Date	06/22/2022
Rec #	6
Recommendation	The Director of ICE ensure that its oversight activities collect the information needed to assess all performance standards in the contract.
Estimated Completion Date (or Date Closed)	12/31/2024
Next Step is Up To	DHS
Narrative of Implementation Status	On April 11, 2024, ERO provided GAO with supporting documentation of its data quality project and compliance reports for the contract performance standards to address the recommendation. On May 21, 2024, a meeting was held with GAO and ERO to discuss the documentation and additional information needed to achieve closure. On September 9, 2024, ERO provided additional documentation to demonstrate that measures have been taken to monitor the requirements outlined in the Quality Assurance Surveillance Plans to address the recommendation, including information on the vendor providing documentation of when site visits occur and Headquarter Alternatives to Detention staff conducting weekly audits to ensure compliance. ICE will follow-up with GAO during October 2024 for a response and/or follow-on requests.
Component	ICE
Report Number (Public)	GAO-22-104529
Report Title	Alternatives To Detention: ICE Needs to Better Assess Program Performance and Improve Contract Oversight
Report Received/ Issued Date	06/22/2022
Rec #	7
Recommendation	The Director of ICE ensure the results of its oversight activities are recorded in a manner that allows for analysis of the contractor's overall performance against each standard.

Estimated Completion Date (or Date Closed)	12/31/2024
Next Step is Up To	DHS
Narrative of Implementation Status	On April 11, 2024, ERO provided GAO with supporting documentation of its data quality project and compliance reports for the contract performance standards to address the recommendation. On May 21, 2024, a meeting was held with GAO and ERO to discuss the documentation and additional information needed to achieve closure. On September 9, 2024, ERO provided additional documentation to demonstrate that measures have been taken to monitor the requirements outlined in the Quality Assurance Surveillance Plans to address the recommendation, including information on the vendor providing documentation of when site visits occur and Headquarters Alternatives to Detention staff conducting weekly audits to ensure compliance. ICE will follow-up with GAO during October 2024 for a response and/or follow-on requests.
Component	ICE
Report Number (Public)	GAO-22-104529
Report Title	Alternatives To Detention: ICE Needs to Better Assess Program Performance and Improve Contract Oversight
Report Received/ Issued Date	06/22/2022
Rec #	8
Recommendation	The Director of ICE use the oversight findings to assess whether the contractor is meeting the acceptable quality levels for all performance standards and document the results.
Estimated Completion Date (or Date Closed)	12/31/2024
Next Step is Up To	DHS
Narrative of Implementation Status	On April 11, 2024, ERO provided GAO with supporting documentation of its data quality project and compliance reports for the contract performance standards to address the recommendation. On May 21, 2024, a meeting was held with GAO and ERO to discuss the documentation and additional information needed to achieve closure. On September 9, 2024, ERO provided additional documentation to demonstrate that measures have been taken to monitor the requirements outlined in the Quality Assurance Surveillance Plans to address the recommendation, including information on the vendor providing documentation of when site visits occur and Headquarters Alternatives to Detention staff conducting weekly audits to ensure compliance. ICE will follow-up with GAO during October 2024 for a response and/or follow-on requests.

Component	ICE
Report Number (Public)	GAO-22-104529
Report Title	Alternatives To Detention: ICE Needs to Better Assess Program Performance and Improve Contract Oversight
Report Received/ Issued Date	06/22/2022
Rec #	9
Recommendation	The Director of ICE take steps to ensure that the ATD program contractor addresses findings identified through case file audits and that ICE documents their resolution.
Estimated Completion Date (or Date Closed)	12/31/2024
Next Step is Up To	DHS
Narrative of Implementation Status	On April 11, 2024, ERO provided GAO with supporting documentation of its data quality project and compliance reports for the contract performance standards to address the recommendation. On May 21, 2024, a meeting was held with GAO and ERO to discuss the documentation and additional information needed to achieve closure. On September 9, 2024, ERO provided additional documentation to demonstrate that measures have been taken to monitor the requirements outlined in the Quality Assurance Surveillance Plans to address the recommendation, including information on the vendor providing documentation of when site visits occur and Headquarters Alternatives to Detention staff conducting weekly audits to ensure compliance. ICE will follow-up with GAO during October 2024 for a response and/or follow-on requests.
Component	ICE
Report Number (Public)	GAO-23-105196
Report Title	Immigration Detention: ICE Needs to Strengthen Oversight of Informed Consent for Medical Care
Report Received/ Issued Date	10/18/2022
Rec #	2
Recommendation	Director of ICE require non-IHSC-staffed detention facilities to collect informed consent documentation for medical care from community providers.
Estimated Completion Date (or Date Closed)	12/31/2024
Next Step is Up To	DHS

Narrative of Implementation Status	On October 11, 2024, ICE informed GAO that ICE Health Service Corps (IHSC) will take a period of time to obtain medical records from community providers (in some instances up to 6 months). As such, IHSC requested documents from community providers to demonstrate to GAO informed consent was obtained by the noncitizen. IHSC anticipates this effort to be completed by November 30, 2024.
Component	ICE
Report Number (Public)	GAO-23-105196
Report Title	Immigration Detention: ICE Needs to Strengthen Oversight of Informed Consent for Medical Care
Report Received/ Issued Date	10/18/2022
Rec #	3
Recommendation	Once ICE establishes and communicates policies and requirements for all detention facilities to collect informed consent documentation for medical care from community providers, the Director of ICE require that oversight mechanisms include a review of this documentation as part of the agency's oversight of detention facilities.
Estimated Completion Date (or Date Closed)	09/30/2024
Next Step is Up To	DHS
Narrative of Implementation Status	<p>On October 11, 2024, ICE informed GAO that IHSC is currently working on including two new questions in the Quality Review Program tool to address whether noncitizens have had any major surgeries by community care providers. IHSC anticipates the Quality Review Program update to be completed in the first quarter of FY 2025.</p> <p>IHSC is also in the process of approving a Quality Review Program directive and guide for how the Quality Review Program process and Quality Review Program review tool will be used in reviewing both IHSC facilities and non-IHSC facilities. IHSC has plans to conduct reviews using the revised Quality Review Program review tool beginning in the second quarter of FY 2025.</p>
Component	ICE
Report Number (Public)	GAO-23-105366
Report Title	Immigration Detention: Actions Needed to Collect Consistent Information for Segregated Housing Oversight
Report Received/ Issued Date	10/26/2022

Rec #	1
Recommendation	The Director of ICE provide specific guidance to ERO field offices on the level of detail needed in the documentation supporting segregated housing placements.
Estimated Completion Date (or Date Closed)	12/17/2024
Next Step is Up To	GAO
Narrative of Implementation Status	On December 17, 2024, GAO closed this recommendation as implemented after the universe of open recommendations for this annual report was identified.
Component	MGMT-Chief Financial Officer (CFO)
Report Number (Public)	GAO-20-417
Report Title	DHS Service Contracts: Increased Oversight Needed to Reduce the Risk Associated with Contractors Performing Certain Functions
Report Received/ Issued Date	05/07/2020
Rec #	6
Recommendation	The Secretary of Homeland Security should direct the DHS Chief Financial Officer to work with Congress to identify information to include in its annual congressional budget justifications to provide greater transparency into requested and actual service requirement costs, particularly for those services requiring heightened management attention.
Estimated Completion Date (or Date Closed)	TBD
Next Step is Up To	DHS
Narrative of Implementation Status	The DHS Budget Director met with GAO on June 26, 2023, to explain how the DHS Congressional Budget Justification is very similar to the Army's. Per OMB Circular A-11, DHS uses budget object class information to display costs associated with services to include those services requiring heightened management attention. GAO asked for a list of changes to service contract information since 2020 and to request input from Congressional staff for any additional service contract information required in the Congressional Budget Justification. On September 5, 2023, DHS provided GAO with the requested information and requested that GAO close this recommendation as implemented. On July 2, 2024, GAO disagreed with the closure request, noting that a lack of response from Congress did not demonstrate that DHS worked with Congress. On July 11, 2024, the DHS Budget Director reached out to the Clerks for concurrence that DHS products contained

	sufficient service contract information. On August 14, 2024, Congressional staff noted that service contract information is useful, but not in the Congressional Budget Justification and noted they will follow up with GAO to determine a better option.
Component	MGMT-CFO
Report Number (Public)	GAO-21-9
Report Title	Coast Guard Acquisitions: Opportunities Exist to Reduce Risk for the Offshore Patrol Cutter Program
Report Received/ Issued Date	10/28/2020
Rec #	7
Recommendation	The DHS Secretary should ensure the DHS Under Secretary for Management directs the Coast Guard, as it develops the next life cycle cost estimate for the OPC program, to update its cost estimate for stage 1 in accordance with best practices for cost estimation, including: (1) conducting a sensitivity analysis, (2) conducting a risk and uncertainty analysis, (3) reflecting information from the program's most recent technical baseline, and (4) conducting an independent cost assessment of the estimate.
Estimated Completion Date (or Date Closed)	12/17/2024
Next Step is Up To	GAO
Narrative of Implementation Status	On December 17, 2024, GAO closed this recommendation as implemented after the universe of open recommendations for this annual report was identified.
Component	MGMT-CFO
Report Number (Public)	GAO-23-105194
Report Title	DHS Financial Management: Actions Needed to Improve Systems Modernization and Address Coast Guard Audit Issues
Report Received/ Issued Date	02/28/2023
Rec #	1
Recommendation	DHS's Under Secretary for Management should ensure that the Joint Program Management Office works with Coast Guard to remediate known issues identified from testing, prior to declaring full operational capability for the ongoing financial systems modernization efforts.
Estimated Completion Date (or Date Closed)	08/29/2025

Next Step is Up To	DHS
Narrative of Implementation Status	The DHS Financial Systems Modernization (FSM) Joint Program Management Office (JPMO) Director is accountable and is responsible for this action. DHS's latest interaction with GAO was a March 1, 2024, status update for various efforts included in the FSM-Trio Breach Remediation Plan. JPMO has worked with USCG, TSA, and CWMD (Trio) to develop a prioritized list of system deliverables called pain point items that will be added to FSM Trio before operational testing begins. In addition, several special projects delivering new content are ongoing, with most planned for release before operational testing. Known severity-1 defects have all been remediated and JPMO will continue to remediate all known high severity defects and deploy important system improvements identified by Components before declaring full operational capability (completed delivery of all planned capabilities to end users) following operational testing during FY 2025.
Component	MGMT-CFO
Report Number (Public)	GAO-23-105194
Report Title	DHS Financial Management: Actions Needed to Improve Systems Modernization and Address Coast Guard Audit Issues
Report Received/ Issued Date	02/28/2023
Rec #	2
Recommendation	DHS's Under Secretary for Management should ensure that the Joint Program Management Office works with FEMA to remediate issues as they arise from user testing prior to moving forward with subsequent milestones for the ongoing financial systems modernization efforts.
Estimated Completion Date (or Date Closed)	12/31/2024
Next Step is Up To	DHS
Narrative of Implementation Status	The DHS FSM JPMO Director is responsible for this action. DHS issued its 180-day letter to Congress, OMB, and GAO during August 2023. With System Integrator support, the program started Discovery engagement with FEMA during January 2024, and Discovery workshops were completed during June 2024. JPMO has developed a System Engineering Life Cycle Tailoring Plan (currently being routed for approval) and an approved Test and Evaluation Master Plan that document plans to ensure that JPMO works with FEMA to remediate issues as they arise from user testing prior to moving forward with subsequent milestones. During November 2024, MGMT will request that GAO close this recommendation.
Component	MGMT-CFO

Report Number (Public)	GAO-23-105194
Report Title	DHS Financial Management: Actions Needed to Improve Systems Modernization and Address Coast Guard Audit Issues
Report Received/ Issued Date	02/28/2023
Rec #	3
Recommendation	DHS's Under Secretary for Management should ensure that the Joint Program Management Office works with ICE to remediate issues as they arise from user testing prior to moving forward with subsequent milestones for the ongoing financial systems modernization efforts.
Estimated Completion Date (or Date Closed)	09/30/2025
Next Step is Up To	DHS
Narrative of Implementation Status	The DHS FSM JPMO Director is responsible for this action. DHS issued its 180-day letter to Congress, OMB, and GAO during August 2023. DHS awarded the integration task order, but a subsequent protest was received and sustained, and DHS is currently in the process of executing corrective action. JPMO and Component stakeholders will perform follow-up, commencing with Discovery at award of the System Integrator task order through the development of requirements and progressing to Acquisition Decision Event 2A.
Component	MGMT-Chief Human Capital Officer (CHCO)
Report Number (Public)	GAO-21-204
Report Title	DHS Employee Morale: Some Improvements Made, but Additional Actions Needed to Strengthen Employee Engagement
Report Received/ Issued Date	01/12/2021
Rec #	2
Recommendation	DHS OCHCO should, through its planned written guidance to components on the employee engagement action planning process, require the approval of OCHCO and the heads of the components to finalize the employee engagement action plans.
Estimated Completion Date (or Date Closed)	9/30/2025
Next Step is Up To	DHS
Narrative of Implementation Status	During July 2024, GAO indicated a desire to continue to monitor the DHS Federal Employee Viewpoint Survey (FEVS) action planning process through a full cycle, particularly focused on ICE's

	progress, as it was the only Component to receive an “approved with reservations” rating from the DHS Office of the Chief Human Capital Officer (OCHCO) Strategic Talent Employee Engagement Retention for its action plan. The 2024 FEVS results show that each Component’s Employee Engagement Index scores either increased or stayed the same compared to 2023. DHS overall improved from 67 percent to 69 percent, with an increased participation rate as well. Notably, ICE’s Employee Engagement Index scores increased four percentage points, to 68 percent in 2024, and its Global Satisfaction Scores increased from 57 percent to 63 percent. OCHCO will continue to require Components to submit employee engagement plans annually, providing technical support and assistance for that process, and will work across DHS to continue to build on successful employee experience efforts.
Component	MGMT-CHCO
Report Number (Public)	GAO-21-204
Report Title	DHS Employee Morale: Some Improvements Made, but Additional Actions Needed to Strengthen Employee Engagement
Report Received/ Issued Date	01/12/2021
Rec #	3
Recommendation	DHS OCHCO should monitor components' implementation of the OPM action planning cycle to ensure the components review and assess the results of their actions to adjust, reprioritize, and identify new actions needed to improve employee engagement.
Estimated Completion Date (or Date Closed)	9/30/2025
Next Step is Up To	DHS
Narrative of Implementation Status	DHS OCHCO conducted mid-cycle reviews with all Components to assess progress towards the action plan goals during 2024. These reviews documented efforts and challenges and showed that all Components are making progress. Specifically, ICE, which was not able to achieve a “fully approved” rating, demonstrated it is working towards three identified goals and continues to make progress despite limited resources. ICE chartered an Employee Engagement Ambassadors Network, and its Employee Engagement Steering Committee members developed Directorate-level action plans. Also, ICE’s 2024 FEVS Employee Engagement Index score improved four percentage points, which is one of the largest increases among the Components. OCHCO will continue to work with ICE and our other Components throughout the 2025 action planning cycle. OCHCO will provide GAO with documentation of the 2024 mid-cycle reviews, as well as the 2024 FEVS data.

Component	MGMT-Chief Information Officer (CIO)
Report Number (Public)	GAO-20-213
Report Title	Agile Software Development: DHS has Made Significant Progress in Implementing Leading Practices, but Needs to Take Additional Actions
Report Received/ Issued Date	06/01/2020
Rec #	5
Recommendation	The Secretary should ensure that the CIO, in collaboration with the Chief Procurement Officer, through the Homeland Security Acquisition Institute, establish Agile training requirements for senior stakeholders.
Estimated Completion Date (or Date Closed)	10/31/2024
Next Step is Up To	DHS
Narrative of Implementation Status	Updates made to the 142-02 IT Integration and Management Directive and accompanying instruction which will help close the GAO Agile Audit recommendations. Draft 142-02 is currently undergoing the Office of the Chief Information Officer's (OCIO) internal review. Following its clearance, it will undergo departmental review.
Component	MGMT-CIO
Report Number (Public)	GAO-20-213
Report Title	Agile Software Development: DHS has Made Significant Progress in Implementing Leading Practices, but Needs to Take Additional Actions
Report Received/ Issued Date	06/01/2020
Rec #	7
Recommendation	The Secretary should ensure that the CIO, in collaboration with the Chief Procurement Officer, through the Homeland Security Acquisition Institute, establish Agile training requirements for staff outside of the acquisition workforce but assigned to Agile programs.
Estimated Completion Date (or Date Closed)	03/31/2025
Next Step is Up To	DHS
Narrative of Implementation Status	Updates made to the 142-02 IT Integration and Management Directive and accompanying instruction which will help close this recommendation. Draft 142-02 is currently undergoing OCIO internal review and then it will undergo departmental review.

Component	MGMT-CIO
Report Number (Public)	GAO-21-171
Report Title	Information and Communications Technology: Federal Agencies Need to Take Urgent Action to Manage Supply Chain Risks
Report Received/ Issued Date	10/27/2020
Rec #	33
Recommendation	The Secretary of Homeland Security establish a process to conduct department-wide assessments of ICT supply chain risks.
Estimated Completion Date (or Date Closed)	12/31/2024
Next Step is Up To	GAO
Narrative of Implementation Status	During June 2024, DHS OCIO Chief Information Security Officer (CISO) Division (CISOD) requested closure and submitted 18 documents supporting a closure request in support of developing department-wide risk assessment processes that take into consideration the criticality and interconnected nature of Information and Communications Technology (ICT) products and services. At GAO's request, DHS OCIO CISOD resubmitted the artifacts again on September 5, 2024. DHS conducted department-wide data calls to determine critical software across Components in which critical suppliers for the Department were identified. The DHS Cybersecurity Supply Chain Risk Management program management office also issued a prioritization memo to ensure critical Information and Communications Technology receives prioritization in being evaluated as part of DHS Technical Reference Model reviews. DHS is also establishing a Cybersecurity Supply Chain Risk Management Governing Council, which will develop the DHS processes that determine and prioritize aggregated supply chain risks across the organization.
Component	MGMT-CIO
Report Number (Public)	GAO-21-171
Report Title	Information and Communications Technology: Federal Agencies Need to Take Urgent Action to Manage Supply Chain Risks
Report Received/ Issued Date	10/27/2020
Rec #	34

Recommendation	The Secretary of Homeland Security establish a process to conduct a SCRM [Supply Chain Risk Management] review of a potential supplier prior to awarding a contract or issuing an order to that supplier for ICT products and services.
Estimated Completion Date (or Date Closed)	09/06/2024
Next Step is Up To	GAO
Narrative of Implementation Status	On September 6, 2024, OCIO submitted 14 documents supporting its request that GAO close this recommendation as implemented. DHS established an assessment methodology to have a means of ensuring that a contractor has key cybersecurity and cyber hygiene practices in place as a consideration for contract award and while performing services for Department. DHS expects GAO to close this recommendation during December 2024.
Component	MGMT-CIO
Report Number (Public)	GAO-21-171
Report Title	Information and Communications Technology: Federal Agencies Need to Take Urgent Action to Manage Supply Chain Risks
Report Received/ Issued Date	10/27/2020
Rec #	36
Recommendation	The Secretary of Homeland Security develop organizational procedures to detect counterfeit and compromised ICT products prior to their deployment.
Estimated Completion Date (or Date Closed)	02/28/2025
Next Step is Up To	GAO
Narrative of Implementation Status	On September 5, 2024, OCIO submitted 39 documents supporting its request that GAO close this recommendation as implemented. DHS continues to work with departments and agencies from the Federal Executive Branch to establish guidance on the detection of counterfeit and compromised Information and Communications Technology. This coordination is occurring through the establishment and implementation of executive orders (e.g., Executive Order 14028 Improving the Nation's Cybersecurity), follow on guidance from OMB memoranda that establishes vendor secure software development attestations for identified critical software, and pending Federal Acquisition Regulation cases (to include Software Bill of Materials).
Component	MGMT-CIO
Report Number (Public)	GAO-23-105482

Report Title	Cloud Security: Selected Agencies Need to Fully Implement Key Practices
Report Received/ Issued Date	05/18/2023
Rec #	12
Recommendation	The Secretary of Homeland Security should ensure that the agency's service level agreements with CSPs define performance metrics, including how they are measured and the enforcement mechanisms.
Estimated Completion Date (or Date Closed)	12/31/2024
Next Step is Up To	DHS
Narrative of Implementation Status	DHS OCIO CISOD is working with DHS partner to develop a plan for remediation. During December 2024, OCIO will provide GAO with specific artifacts in response to this recommendation. OCIO is ready to discuss the supporting documentation with GAO in order to progress toward closure of this recommendation.
Component	MGMT-CIO
Report Number (Public)	GAO-23-105482
Report Title	Cloud Security: Selected Agencies Need to Fully Implement Key Practices
Report Received/ Issued Date	05/18/2023
Rec #	15
Recommendation	The Secretary of Homeland Security should ensure that the agency fully implements the FedRAMP requirements for its selected SaaS [Software as a Service] system 2, to include issuing an authorization for the cloud service.
Estimated Completion Date (or Date Closed)	12/31/2024
Next Step is Up To	DHS
Narrative of Implementation Status	During December 2024 OCIO will request that GAO close this recommendation. In support of this request, OCIO will send certain artifacts to GAO, such as the G-Suite Ongoing Authorization System Admission Letter as evidence of an ongoing authorization, the Security Assessment Report, and a CSAM export of the Ongoing Authorization Year-1 Assessment Motives status for G-Suite in Excel format.
Component	MGMT-CPO
Report Number (Public)	GAO-20-417

Report Title	DHS Service Contracts: Increased Oversight Needed to Reduce the Risk Associated with Contractors Performing Certain Functions
Report Received/ Issued Date	05/07/2020
Rec #	1
Recommendation	The Secretary of Homeland Security should direct the DHS Chief Procurement Officer to, in coordination with the Office of Program Accountability and Risk Management, develop a risk-based approach for reviewing service requirements-through the Procurement Strategy Roadmap or other means-to ensure proposed service requirements are clearly defined and reviewed before planning how they are to be procured.
Estimated Completion Date (or Date Closed)	TBD
Next Step is Up To	GAO
Narrative of Implementation Status	As of September 24, 2024, OCPO maintains its non-concurrence with this recommendation and does not believe an additional review process is necessary, but instead believes it would be duplicative, and is unlikely to yield any significant benefits. OCPO will re-engage with GAO to discuss alternative paths to closure, since GAO recently changed the “closed – not implemented” option to “closed – no longer valid” and limited when GAO will close recommendations based on the passage of time after agencies non concurred.
Component	MGMT-CPO
Report Number (Public)	GAO-20-417
Report Title	DHS Service Contracts: Increased Oversight Needed to Reduce the Risk Associated with Contractors Performing Certain Functions
Report Received/ Issued Date	05/07/2020
Rec #	4
Recommendation	The Secretary of Homeland Security should direct the DHS Chief Procurement Officer to update the Inherently Governmental and Critical Functions Analysis to provide guidance for analyzing, documenting, and updating the federal workforce needed to perform or oversee service contracts requiring heightened management attention.
Estimated Completion Date (or Date Closed)	TBD
Next Step is Up To	GAO

Narrative of Implementation Status	As of September 24, 2024, OCPO maintains its non-concurrence with this recommendation and does not believe that guidance on how to analyze, document, and update the federal workforce needed to perform or oversee service contracts is necessary. Program officials conduct analyses that are best suited for their individual requirements. OCPO maintains that the questions on pages 4 and 5, as well as the third confirmation on page 5, under “Section III: Critical Functions” of the DHS Inherently Governmental & Critical Functions Analysis is adequate information for program officials to effectively evaluate and analyze their internal capacity for critical functions. However, to ensure the analysis remains current, on December 17, 2020, OCPO updated the job aid instructions for the DHS Inherently Governmental and Critical Functions Analysis to require that any analysis, done for the certification, be updated when there is change in the requirement. OCPO will re-engage with GAO to discuss alternative paths to closure, since GAO recently changed the “closed – not implemented” option to “closed – no longer valid” and limited when GAO will close recommendations based on the passage of time after agencies non concurred.
Component	MGMT-CPO
Report Number (Public)	GAO-21-491
Report Title	Federal Contracting: Senior Leaders Should Use Leading Companies' Key Practices to Improve Performance
Report Received/ Issued Date	07/27/2021
Rec #	4
Recommendation	The Secretary of Homeland Security should ensure the DHS Chief Procurement Officer collaborates with end users to develop performance metrics for procurement organizations.
Estimated Completion Date (or Date Closed)	TBD
Next Step is Up To	GAO
Narrative of Implementation Status	OCPO maintains its non-concurrence with this recommendation and does not believe that such collaboration is necessary when developing appropriate and quality performance metrics for procurement organizations. However, on May 31, 2024, OCPO provided GAO with a root cause analysis of the schedule and quality data points in the Contractor Performance Assessment Reporting System. Additionally, on July 31, 2024, OCPO requested that GAO close this recommendation, and on that same day, the two parties met to discuss this system, as well as other corrective actions. Later, GAO stated that OCPO’s actions may satisfy the recommendation’s intent. OCPO awaits GAO’s decision or additional requests for information.

Component	MGMT-CPO
Report Number (Public)	GAO-21-491
Report Title	Federal Contracting: Senior Leaders Should Use Leading Companies' Key Practices to Improve Performance
Report Received/ Issued Date	07/27/2021
Rec #	9
Recommendation	The Secretary of Homeland Security should ensure the DHS Chief Procurement Officer uses a balanced set of performance metrics to manage the department's procurement organizations, including outcome-oriented metrics to measure (a) cost savings/avoidance, (b) timeliness of deliveries, (c) quality of deliverables, and (d) end-user satisfaction.
Estimated Completion Date (or Date Closed)	08/23/2024
Next Step is Up To	GAO
Narrative of Implementation Status	OCPO maintains its non-concurrence with this recommendation and does not believe that these specific four types of metrics essentially capture the most relevant aspects of performance of procurement organizations. However, based on discussions with GAO, OCPO performed several actions to satisfy the intent of this recommendation, and provided all documentation to GAO on August 23, 2024, and requested that GAO close the recommendation as implemented.
Component	MGMT-CPO
Report Number (Public)	GAO-21-528
Report Title	COVID-19 Contracting: Opportunities to Improve Practices to Assess Prospective Vendors and Capture Lessons Learned
Report Received/ Issued Date	07/29/2021
Rec #	10
Recommendation	The Secretary of Homeland Security, in coordination with the Secretaries of Defense and Health and Human Services, should ensure that input from contracting officials on interagency contracting lessons learned in response to COVID-19 is collected and shared as part of government-wide efforts to collect, analyze, and report on lessons learned.
Estimated Completion Date (or Date Closed)	10/02/2024
Next Step is Up To	GAO

Narrative of Implementation Status	On October 2, 2024, GAO closed this recommendation after the universe of open recommendations for this annual report was identified.
Component	MGMT-CPO
Report Number (Public)	GAO-23-105292
Report Title	Disaster Contracting: Action Needed to Improve Agencies' Use of Contracts for Wildfire Response and Recovery
Report Received/ Issued Date	04/13/2023
Rec #	1
Recommendation	The Secretary of Homeland Security should take steps to resolve the discrepancy between its practice of requiring two agencies that have exercised, or intend to exercise, their emergency acquisition flexibilities to request a National Interest Action code and its criterion as written in the associated memorandum of agreement, which does not specify that two agencies need to request a code.
Estimated Completion Date (or Date Closed)	09/27/2024
Next Step is Up To	GAO
Narrative of Implementation Status	On September 27, 2024, GAO closed this recommendation after the universe of open recommendations for this annual report was identified.
Component	MGMT-CPO
Report Number (Public)	GAO-23-105292
Report Title	Disaster Contracting: Action Needed to Improve Agencies' Use of Contracts for Wildfire Response and Recovery
Report Received/ Issued Date	04/13/2023
Rec #	2
Recommendation	The Secretary of Homeland Security, in coordination with the Secretary of Defense, should revise the National Interest Action code memorandum of agreement to clarify the process and criteria for requesting a National Interest Action code.
Estimated Completion Date (or Date Closed)	09/27/2024
Next Step is Up To	GAO
Narrative of Implementation Status	On September 27, 2024, GAO closed this recommendation after the universe of open recommendations for this annual report was identified.

Component	MGMT-Chief Readiness Support Officer
Report Number (Public)	GAO-14-648
Report Title	Federal Real Property: DHS and GSA Need to Strengthen the Management of DHS Headquarters Consolidation
Report Received/ Issued Date	09/19/2014
Rec #	2
Recommendation	In order to improve transparency and allow for more informed decision making by congressional leaders and DHS and GSA decision-makers, before requesting additional funding for the DHS headquarters consolidation project, after revising the DHS headquarters consolidation plans, the Secretary of Homeland Security and the Administrator of the General Services Administration should work jointly to develop revised cost and schedule estimates for the remaining portions of the consolidation project that conform to GSA guidance and leading practices for cost and schedule estimation, including an independent evaluation of the estimates.
Estimated Completion Date (or Date Closed)	12/31/2024
Next Step is Up To	DHS
Narrative of Implementation Status	DHS continues to work with GAO to provide documentation demonstrating that cost/schedule estimates conform with leading practices. DHS previously provided an updated funding profile/estimate to GAO based on the FY 2024 President's Budget submission that was unresolved at the time of preparation. Congress appropriated only \$55 million of the \$195.1 million requested by DHS for the St. Elizabeths development and zero funding for General Services Administration (GSA) on its \$195.4 million request. Inflationary pressures impacting both GSA construction and DHS tenant improvement costs have created the need for DHS to alter its housing strategy for the St. Elizabeths Campus and in the National Capital Region. DHS and GSA are again revising the plan to make progress on the highest priority projects within the funding currently available and aligning the FY 2026 Budget Request in development towards this end. DHS will submit a revised funding profile to GAO upon review/approval by OMB in conjunction with the FY 2026 Budget Submission and any pass back adjustments.
Component	MGMT-Federal Protective Service (FPS)
Report Number (Public)	GAO-23-105361
Report Title	Federal Protective Service: Collaboration Mechanisms for Hiring and Additional Performance Information Needed

Report Received/ Issued Date	12/15/2022
Rec #	1
Recommendation	The Under Secretary for Management should direct OCHCO and FPS to strengthen mechanisms to facilitate collaboration and agreement on hiring processes and document their agreements accordingly.
Estimated Completion Date (or Date Closed)	12/31/2024
Next Step is Up To	DHS
Narrative of Implementation Status	FPS streamlined the recruiting process by standardizing Position Descriptions to mitigate the need for rewrites, reducing time-to-hire ratios, finalizing service level agreements for the hiring processes, and increasing the number of recruiting events nationwide. Documents needed for closure are still in the approval process.
Component	MGMT-FPS
Report Number (Public)	GAO-23-105361
Report Title	Federal Protective Service: Collaboration Mechanisms for Hiring and Additional Performance Information Needed
Report Received/ Issued Date	12/15/2022
Rec #	2
Recommendation	The Director of FPS should fully develop performance measures for each strategic objective in its strategic plan and ensure that each of these measures has a related performance target.
Estimated Completion Date (or Date Closed)	12/30/2024
Next Step is Up To	DHS
Narrative of Implementation Status	FPS developed performance measures and targets for the objectives within its strategic plan. Fifteen of the 20 newly created performance measures have been implemented. The recommendation closure packet is in progress.
Component	MGMT-Office of Biometric Identity Management (OBIM)
Report Number (Public)	GAO-21-386
Report Title	Homeland Security: DHS Needs to Fully Implement Key Practices in Acquiring Biometric Identity Management System

Report Received/ Issued Date	06/08/2021
Rec #	4
Recommendation	The Secretary of DHS should direct the Office of Biometric Identity Management (OBIM) Director to ensure that the HART program office fully reviews and approves or rejects contractor deliverables prior to working on the next system release.
Estimated Completion Date (or Date Closed)	11/17/2023
Next Step is Up To	DHS
Narrative of Implementation Status	OBIM requested that GAO close this recommendation as implemented on November 17, 2023, following the end of the Homeland Advanced Recognition Technology (HART) development contract (Peraton) and the dispositioning of contract deliverables. However, recommendation remains open pending further information requests made by GAO during February 2024. OBIM will provide the requested documentation to GAO no later than November 2024.
Component	MGMT-OBIM
Report Number (Public)	GAO-21-386
Report Title	Homeland Security: DHS Needs to Fully Implement Key Practices in Acquiring Biometric Identity Management System
Report Received/ Issued Date	06/08/2021
Rec #	6
Recommendation	The Secretary of DHS direct the Office of Biometric Identity Management (OBIM) Director to ensure that the HART program defines the extent to which it should be interacting with each of its stakeholders throughout the acquisition process, and, once established, monitors stakeholder involvement against that defined level of involvement.
Estimated Completion Date (or Date Closed)	08/16/2024
Next Step is Up To	GAO
Narrative of Implementation Status	OBIM completed the HART Executive Steering Committee charter and OBIM Executive Stakeholder Board charter updates. The Executive Steering Committee charter was signed August 20, 2023, and the Executive Stakeholder Board charter was signed July 1, 2024. On August 16, 2024, OBIM provided the charters as well as an updated tracker for stakeholder participation in past meetings on

	November 17, 2023. On August 16, 2024, OBIM requested that GAO close this recommendation as implemented.
Component	MGMT-OBIM
Report Number (Public)	GAO-23-105959
Report Title	Biometric Identity System: DHS Needs to Address Significant Shortcomings in Management Program and Privacy
Report Received/ Issued Date	09/12/2023
Rec #	1
Recommendation	The Secretary of DHS should direct the OBIM Director to update the cost estimate for the HART program to account for all costs and incorporate the best practices called for in the GAO Cost Estimating and Assessment Guide.
Estimated Completion Date (or Date Closed)	08/16/2024
Next Step is Up To	GAO
Narrative of Implementation Status	OBIM completed the Cost Estimating Baseline Document and the Life-Cycle Cost Estimate updates to incorporate the best practices called for in the GAO Cost Estimating and Assessment Guide. The Cost Estimating Baseline Document was signed June 27, 2024, and the Life-Cycle Cost Estimate was signed July 24, 2024. Both documents incorporated scope and costs for Increment 1 and Future Capabilities. On August 16, 2024, OBIM provided the Cost Estimating Baseline Document, Life-Cycle Cost Estimate, and a crosswalk between GAO's statements regarding the best practices and the updates made to address them and requested that GAO close this recommendation as implemented.
Component	MGMT-OBIM
Report Number (Public)	GAO-23-105959
Report Title	Biometric Identity System: DHS Needs to Address Significant Shortcomings in Management Program and Privacy
Report Received/ Issued Date	09/12/2023
Rec #	2
Recommendation	The Secretary of DHS should direct the OBIM Director to revise the schedule estimate for the HART program that incorporates the best practices called for in the GAO Schedule Assessment Guide.
Estimated Completion Date (or Date Closed)	09/30/2027

Next Step is Up To	DHS
Narrative of Implementation Status	The HART Program Management Office is implementing an updated scheduling approach based upon the November 2023 “GAO Agile Assessment Guide - Best Practices for Agile Adoption and Implementation.” The program will provide GAO with documentation of its initial implementation of the updated scheduling approach for Increment 1 no later than January 31, 2025. The initial scheduling approach will be refined through completion of Program Initial Operational Capability, which is planned by quarter 4 FY 2026 pending full funding. This scheduling approach will then be used to develop the schedule structure for Future Capabilities development, which will begin after Program Initial Operational Capability. The HART Program Management Office provided an update to GAO on August 16, 2024, during the “DHS’s Homeland Advanced Recognition Technology System (HART)” entrance conference (Job Code 107690).
Component	MGMT-OBIM
Report Number (Public)	GAO-23-105959
Report Title	Biometric Identity System: DHS Needs to Address Significant Shortcomings in Management Program and Privacy
Report Received/ Issued Date	09/12/2023
Rec #	3
Recommendation	The Secretary of DHS should direct the OBIM Director to coordinate with the Privacy Office to establish and implement a timeline for updating the HART PIA to fully describe the categories of individuals whose data will be stored in HART and the partners with whom the system shares information.
Estimated Completion Date (or Date Closed)	08/16/2024
Next Step is Up To	GAO
Narrative of Implementation Status	OBIM updated the HART PIA to fully describe the categories of individuals whose data will be stored in HART and the partners with whom the system shares information. The updated HART PIA was signed by the Chief Privacy Officer on August 14, 2024, and is publicly available on www.dhs.gov: DHS/OBIM/PIA-004 HART System Increment 1 Homeland Security. OBIM requested that GAO close this recommendation as implemented on August 16, 2024.
Component	MGMT-OBIM
Report Number (Public)	GAO-23-105959

Report Title	Biometric Identity System: DHS Needs to Address Significant Shortcomings in Management Program and Privacy
Report Received/ Issued Date	09/12/2023
Rec #	6
Recommendation	The Secretary of DHS should direct the OBIM Director to coordinate with the Privacy Office to establish and implement plans for correcting seven remaining privacy deficiencies identified in the HART PIA.
Estimated Completion Date (or Date Closed)	12/31/2024
Next Step is Up To	DHS
Narrative of Implementation Status	OBIM and PRIV are addressing the privacy deficiencies identified in the HART PIA through the HART privacy compliance review. OBIM informed the GAO on September 16, 2024, that the schedule for completion of the privacy compliance review had moved to December 2024.
Component	MGMT-OBIM
Report Number (Public)	GAO-23-105959
Report Title	Biometric Identity System: DHS Needs to Address Significant Shortcomings in Management Program and Privacy
Report Received/ Issued Date	09/12/2023
Rec #	8
Recommendation	The Secretary of DHS should direct the OBIM Director to establish and implement a timeline for maintaining a reliable inventory of information sharing and access agreements with partners that share data with HART.
Estimated Completion Date (or Date Closed)	08/16/2024
Next Step is Up To	GAO
Narrative of Implementation Status	OBIM established an OBIM SharePoint inventory of Information Sharing Access Agreements (ISAA), added the ISAAs into the Department's enterprise architecture system as data assets, and updated the inventory list of ISAAs to align the agreements with OBIM's stakeholders that share data with Automated Biometric Identification System (IDENT)/HART. OBIM will update the inventory on a continuous basis as stakeholders are added or removed from the IDENT/HART systems and

	agreements are added, updated, or are no longer relevant. OBIM requested that GAO close this recommendation on August 16, 2024.
Component	MGMT-OBIM
Report Number (Public)	GAO-23-105959
Report Title	Biometric Identity System: DHS Needs to Address Significant Shortcomings in Management Program and Privacy
Report Received/ Issued Date	09/12/2023
Rec #	9
Recommendation	The Secretary of DHS should direct the OBIM Director to establish and maintain a process for ensuring that partners that provide data to HART have used the system's services to help to appropriately dispose of PII from the system, in accordance with applicable records retention schedules.
Estimated Completion Date (or Date Closed)	03/31/2025
Next Step is Up To	DHS
Narrative of Implementation Status	OBIM initiated a review of stakeholder data within IDENT/HART during FY 2024. As part of the review, OBIM is working with stakeholder record officers/liaisons and program personnel to verify the National Archives and Records Administration (NARA) records retention schedules for their data within IDENT/HART. OBIM made an initial verification of stakeholder retention schedules and met with stakeholders who have variable retention schedules to discuss their process for managing data in accordance with their NARA-approved retention schedules. OBIM continues to verify records schedules for its stakeholders and stakeholders are reviewing their data within IDENT/HART to determine whether the data are no longer within their records retention period. OBIM provided a status update to the GAO on August 16, 2024.
Component	MGMT-Program Accountability and Risk Management (PARM)
Report Number (Public)	GAO-21-9
Report Title	Coast Guard Acquisitions: Opportunities Exist to Reduce Risk for the Offshore Patrol Cutter Program
Report Received/ Issued Date	10/28/2020
Rec #	1

Recommendation	The DHS Secretary should ensure the DHS Under Secretary for Management directs the Coast Guard to revise OPC's acquisition program baseline for stage 1 to include OPC's delivery dates.
Estimated Completion Date (or Date Closed)	09/19/2024
Next Step is Up To	GAO
Narrative of Implementation Status	On July 23, 2024, the Acquisition Review Board completed a pre-brief to review the USCG OPC program for a combined Acquisition Decision Event 2B and 2C. The Acquisition Review Board approved the revised Acquisition Program Baseline (APB) and Stage 2 Low-Rate Initial Production of OPCs 5-13, while also acknowledging an APB schedule breach for Stage 1. The APB, signed on August 28, 2024, includes delivery dates for Stage 1 OPCs 1 and 4, Stage 2 OPC 5, and the final OPC (#25). On September 19, 2024, DHS formally requested that GAO close this recommendation as implemented.
Component	MGMT-PARM
Report Number (Public)	GAO-21-9
Report Title	Coast Guard Acquisitions: Opportunities Exist to Reduce Risk for the Offshore Patrol Cutter Program
Report Received/ Issued Date	10/28/2020
Rec #	2
Recommendation	The DHS Secretary should ensure the DHS Under Secretary for Management directs the Coast Guard to include in OPC's acquisition program baseline for stage 2 OPC's delivery dates when the stage 2 acquisition program baseline is established and approved at ADE 2B.
Estimated Completion Date (or Date Closed)	09/19/2024
Next Step is Up To	GAO
Narrative of Implementation Status	On July 23, 2024, the Acquisition Review Board conducted a pre-brief to review the USCG OPC program. The Acquisition Review Board approved the revised APB and Stage 2 Low-Rate Initial Production for OPCs 5-13 as part of a combined Acquisition Decision Event 2B and 2C. Additionally, the Acquisition Review Board acknowledged an APB schedule breach for Stage 1 and approved a request to exit breach status. The APB, signed on August 28, 2024, includes delivery dates for Stage 1 OPCs 1 and 4, Stage 2 OPC 5, and the final OPC (#25). DHS formally requested that GAO close this recommendation on September 19, 2024.
Component	MGMT-PARM

Report Number (Public)	GAO-23-106701
Report Title	DHS Annual Assessment: Major Acquisition Programs Are Generally Meeting Goals but Cybersecurity Policy Needs Clarification
Report Received/ Issued Date	03/16/2023
Rec #	1
Recommendation	The Secretary of Homeland Security should ensure that, as the department updates its Instruction 102-01-012: It clarifies when exemptions apply for components to establish cybersecurity teams to address cybersecurity issues across major acquisition programs
Estimated Completion Date (or Date Closed)	12/31/2025
Next Step is Up To	DHS
Narrative of Implementation Status	The PARM Acquisition Oversight Division is updating the Cybersecurity through Acquisition Lifecycle Framework Instruction 102-01-012, Revision 00.1, to address criteria for establishing cybersecurity teams and incorporate Change 1, as outlined in recommendation #2. PARM, in collaboration with OCIO CISOD, is revising this instruction through monthly Cyber Acquisition Lifecycle Framework Integrated Product Team discussions involving cybersecurity SMEs from Headquarters and Components. The revised instruction is expected to be rewritten and signed by the end of calendar year 2025, reflecting a substantial revision of over 25 percent of the original content and incorporating previously approved changes and related DHS policies.
Component	MGMT-PARM
Report Number (Public)	GAO-23-106701
Report Title	DHS Annual Assessment: Major Acquisition Programs Are Generally Meeting Goals but Cybersecurity Policy Needs Clarification
Report Received/ Issued Date	03/16/2023
Rec #	2
Recommendation	The Secretary of Homeland Security should ensure that, as the department updates its Instruction 102-01-012, It clarifies (1) which major acquisition programs are required to have completed cybersecurity risk recommendation memorandums prior to acquisition decision events, and (2) when exemptions apply.
Estimated Completion Date (or Date Closed)	12/30/2024

Next Step is Up To	DHS
Narrative of Implementation Status	PARM updated Instruction 102-01-012 in collaboration with cybersecurity SMEs from Headquarters and Components to address the Cyber Risk Recommendation Memorandum process. The update introduces a Cyber Risk Recommendation Memorandum workflow process and a procedure to request exceptions. This change is minor in scope, affecting less than 25 percent of the original content. PARM expects Change 1 to be signed by the end of calendar year 2024.
Component	MGMT-PARM
Report Number (Public)	GAO-23-105949
Report Title	Coast Guard Acquisitions: Polar Security Cutter Needs to Stabilize Design Before Starting Construction and Improve Schedule Oversight
Report Received/ Issued Date	07/27/2023
Rec #	1
Recommendation	The DHS Secretary should ensure the DHS Under Secretary for Management ensures design for the lead PSC is mature, meaning at least the functional design is complete, including routing of major distributive systems that affect multiple zones of the ship, prior to authorizing lead cutter construction beyond the previously approved eight prototype units.
Estimated Completion Date (or Date Closed)	12/31/2024
Next Step is Up To	DHS
Narrative of Implementation Status	Design maturity is a critical factor for approval of Acquisition Decision Event 2C, which evaluates a program's readiness to proceed through acquisition life-cycle phases and begin construction. The Department aims to achieve design maturity by completing functional design and major distributive system routing prior to ship construction, consistent with the recommendation. Due to challenges in meeting the Critical Design Review milestone, the program submitted a breach notification memorandum. Despite potential schedule impacts, PARM is actively monitoring progress to ensure the design milestone is met before construction, demonstrating the Department's commitment to this recommendation.
Component	MGMT-PARM
Report Number (Public)	GAO-23-105949
Report Title	Coast Guard Acquisitions: Polar Security Cutter Needs to Stabilize Design Before Starting Construction and Improve Schedule Oversight

Report Received/ Issued Date	07/27/2023
Rec #	2
Recommendation	DHS Secretary should ensure the DHS Under Secretary for Management ensures the Coast Guard adds the delivery date for the third PSC to the acquisition program baseline as soon as practical.
Estimated Completion Date (or Date Closed)	12/31/2024
Next Step is Up To	DHS
Narrative of Implementation Status	During October 2023, Bollinger Mississippi Shipbuilding submitted a Request for Equitable Adjustment to the Navy, including revised cost and schedule estimates. That adjustment is currently under government review and is expected to impact the program baseline. During January 2024, the program also submitted a breach notification memorandum due to the inability to meet the "Critical Design Review" milestone outlined in the APB. To address the breach and the adjustment, an updated APB will be required, incorporating PSC delivery dates. The breach remediation plan, approved by DHS during May 2024, targets completion of the updated APB by the end of calendar year 2024.
Component	MGMT-PARM
Report Number (Public)	GAO-23-106249
Report Title	DHS Acquisitions: Opportunities Exist to Enhance Risk Management.
Report Received/ Issued Date	08/24/2023
Rec #	4
Recommendation	The Secretary of Homeland Security should ensure that the Office of Program Accountability and Risk Management (1) assesses the cost and benefits of developing or acquiring the capability to systematically share risk management knowledge, such as data in risk registers and risk management approaches, across the department and (2) determines whether to implement such a capability.
Estimated Completion Date (or Date Closed)	10/31/2024
Next Step is Up To	DHS
Narrative of Implementation Status	PARM received the report from RAND's Homeland Security Operational Analysis Center, which analyzed DHS Risk Management guidance and policy. RAND also interviewed DHS acquisition stakeholders to assess current knowledge-sharing practices and the use of business intelligence and knowledge management tools across DHS. The report identified benefits and challenges of sharing

	risk management knowledge, including data from risk registers. PARM is currently assessing the feasibility, costs, and benefits of implementing the reviewed tools and is on track to provide a response by the end of October 2024.
Component	MGMT-PARM
Report Number (Public)	GAO-23-106125
Report Title	Homeland Security: Joint Requirements Council Needs Leadership Attention to Improve Effectiveness
Report Received/ Issued Date	08/30/2023
Rec #	1
Recommendation	The Secretary of Homeland Security should ensure that the JRC validates those joint capability and requirements documents that fully meet key criteria.
Estimated Completion Date (or Date Closed)	11/18/2024
Next Step is Up To	GAO
Narrative of Implementation Status	On November 18, 2024, GAO closed this recommendation as no longer valid after the universe of open recommendations for this annual report was identified.
Component	MGMT-PARM
Report Number (Public)	GAO-23-106125
Report Title	Homeland Security: Joint Requirements Council Needs Leadership Attention to Improve Effectiveness
Report Received/ Issued Date	08/30/2023
Rec #	2
Recommendation	The Secretary of Homeland Security should ensure that the JRC, in coordination with stakeholders, (1) implements an assessment process that prioritizes emerging capability gaps and existing requirements annually, and (2) submits these priorities to leadership for consideration in investment decisions.
Estimated Completion Date (or Date Closed)	11/18/2024
Next Step is Up To	GAO
Narrative of Implementation Status	On November 18, 2024, GAO closed this recommendation as no longer valid after the universe of open recommendations for this annual report was identified.

Component	MGMT-PARM
Report Number (Public)	GAO-23-106125
Report Title	Homeland Security: Joint Requirements Council Needs Leadership Attention to Improve Effectiveness
Report Received/ Issued Date	08/30/2023
Rec #	3
Recommendation	The Secretary of Homeland Security should ensure that the Deputy's Management Action Group (DMAG) establishes a process to regularly engage with the JRC to review the JRC's recommendations, approve and/or direct related follow-on activities, and provide direction and guidance to the JRC.
Estimated Completion Date (or Date Closed)	11/18/2024
Next Step is Up To	GAO
Narrative of Implementation Status	On November 18, 2024, GAO closed this recommendation as no longer valid after the universe of open recommendations for this annual report was identified.
Component	MGMT-PARM
Report Number (Public)	GAO-23-106125
Report Title	Homeland Security: Joint Requirements Council Needs Leadership Attention to Improve Effectiveness
Report Received/ Issued Date	08/30/2023
Rec #	4
Recommendation	The Secretary of Homeland Security should ensure that the Deputy's Management Action Group (DMAG), in coordination with the JRC participates in the Joint Requirements Integration and Management System process, by reviewing and validating all designated documents determined to be DMAG Interest by the JRC.
Estimated Completion Date (or Date Closed)	11/18/2024
Next Step is Up To	GAO
Narrative of Implementation Status	On November 18, 2024, GAO closed this recommendation as no longer valid after the universe of open recommendations for this annual report was identified.
Component	MGMT-PARM

Report Number (Public)	GAO-23-106125
Report Title	Homeland Security: Joint Requirements Council Needs Leadership Attention to Improve Effectiveness
Report Received/ Issued Date	08/30/2023
Rec #	5
Recommendation	The Secretary of Homeland Security should ensure that the Deputy Secretary, prior to finalizing the realignment of the JRC, reconsiders the placement of the JRC within the Management Directorate to ensure it fully aligns with the JRC's mission and maintains the JRC's independence.
Estimated Completion Date (or Date Closed)	11/18/2024
Next Step is Up To	GAO
Narrative of Implementation Status	On November 18, 2024, GAO closed this recommendation as no longer valid after the universe of open recommendations for this annual report was identified.
Component	MGMT-PARM
Report Number (Public)	GAO-23-106125
Report Title	Homeland Security: Joint Requirements Council Needs Leadership Attention to Improve Effectiveness
Report Received/ Issued Date	08/30/2023
Rec #	6
Recommendation	The Secretary of Homeland Security should ensure that the Deputy Secretary, prior to the realignment of the JRC, assesses the JRC's workforce to ascertain the extent to which it has the appropriate number and mix of staff with the necessary skills to fulfill its responsibilities.
Estimated Completion Date (or Date Closed)	11/18/2024
Next Step is Up To	GAO
Narrative of Implementation Status	On November 18, 2024, GAO closed this recommendation as no longer valid after the universe of open recommendations for this annual report was identified.
Component	PLCY
Report Number (Public)	GAO-18-590

Report Title	Homeland Security: Clearer Roles and Responsibilities for the Office of Strategy, Policy, and Plans and Workforce Planning Would Enhance Its Effectiveness
Report Received/ Issued Date	09/19/2018
Rec #	2
Recommendation	The Secretary of Homeland Security should create corresponding processes and procedures to help implement the mission, roles, and responsibilities defined in the delegation of authority or similar document to help ensure predictability, repeatability, and accountability in department-wide and crosscutting strategy and policy efforts.
Estimated Completion Date (or Date Closed)	12/31/2024
Next Step is Up To	GAO
Narrative of Implementation Status	PLCY delivered documentation to GAO to demonstrate corrective action but GAO informed PLCY that it was not responsive to the intent of the recommendation; therefore, PLCY is reevaluating its next step.
Component	PLCY
Report Number (Public)	GAO-18-590
Report Title	Homeland Security: Clearer Roles and Responsibilities for the Office of Strategy, Policy, and Plans and Workforce Planning Would Enhance Its Effectiveness
Report Received/ Issued Date	09/19/2018
Rec #	3
Recommendation	The Under Secretary for Strategy, Policy, and Plans should use the “DHS Workforce Planning Guide” to help identify and analyze any gaps in PLCY's workforce, design strategies to address any gaps, and communicate this information to DHS leadership.
Estimated Completion Date (or Date Closed)	12/31/2024
Next Step is Up To	GAO
Narrative of Implementation Status	PLCY continues to non-concur. When a Presidential administration changes, using the DHS Workforce Planning Guide to align resources within PLCY leaves it unable to address the incoming administration’s direction. If PLCY had a prescribed billet system, then it would not be able to swiftly mobilize resources to fill critical and high-profile areas. For example, PLCY would not have

	been able to swiftly align staffing and resources to address COVID-19 efforts. PLCY will request that GAO close the recommendation as no longer valid.
Component	PLCY
Report Number (Public)	GAO-19-305
Report Title	Border Security: DHS Should Improve the Quality of Unlawful Border Entry Information and Other Metric Reporting
Report Received/ Issued Date	03/21/2019
Rec #	1
Recommendation	The Secretary of Homeland Security should develop and implement a process to systematically review the reliability of the data used in its Border Security Metrics Report and comprehensively identify any limitations with the data and methodologies that underlie its metrics.
Estimated Completion Date (or Date Closed)	12/31/2024
Next Step is Up To	GAO
Narrative of Implementation Status	This recommendation was pending completion of another Border Security Metrics engagement (GAO-24-106277 “Department of Homeland Security: Reporting on Border Security Metrics Could Be Improved”), which was published November 13, 2023; so PLCY must now engage with GAO to determine next steps.
Component	PLCY
Report Number (Public)	GAO-19-305
Report Title	Border Security: DHS Should Improve the Quality of Unlawful Border Entry Information and Other Metric Reporting
Report Received/ Issued Date	03/21/2019
Rec #	2
Recommendation	The Secretary of Homeland Security should ensure the communication of the limitations of the metrics identified through the systematic review in the department's annual Border Security Metrics Report.
Estimated Completion Date (or Date Closed)	12/31/2024
Next Step is Up To	GAO

Narrative of Implementation Status	This recommendation was pending completion of another Border Security Metrics engagement (GAO-24-106277 “Department of Homeland Security: Reporting on Border Security Metrics Could Be Improved”), which was published November 13, 2023; so PLCY must now engage with GAO to determine next steps.
Component	PLCY
Report Number (Public)	GAO-19-441
Report Title	Drug Control: Certain DOD and DHS Joint Task Forces Should Enhance Their Performance Measures to Better Assess Counterdrug Activities
Report Received/ Issued Date	07/09/2019
Rec #	3
Recommendation	The Secretary of Homeland Security should develop outcome-based performance measures for the DHS JTFs that are consistent.
Estimated Completion Date (or Date Closed)	12/31/2024
Next Step is Up To	DHS
Narrative of Implementation Status	DHS officials are overseeing the implementation of measures that contain outcome-based direction for assessing counter drug operations effects. Addressing the recommendation requires a phased approach and DHS hopes to achieve 2 consecutive years of consistent reporting of performance measures. Following a 2020 status review, DHS noted that it made progress, but more needed to be done for the measures to be outcome-based. Following the dismantling of the Joint Task Force - West and Joint Task Force - Investigations during April 2023, DHS officials began updating performance measures for the only remaining Joint Task Force - East, which is overseen by USCG. DHS's Office of the Military Advisor and Joint Task Force - East have partnered with the DHS CFO, Program Analysis and Evaluation Division since August 2023 to leverage the Department's existing procedures, tools, and techniques used for developing reliable performance measures and targets, such as weekly coordination to develop performance measures and targets and developing a logic model to assess desired outcomes and associated performance measure areas.
Component	PLCY
Report Number (Public)	GAO-20-245
Report Title	Southwest Border: Actions Needed to Improve DHS Processing of Families and Coordination between DHS and HHS

Report Received/ Issued Date	02/19/2020
Rec #	8
Recommendation	The Secretary of Homeland Security, jointly with the Secretary of Health and Human Services, should collaborate to address information sharing gaps identified in this report to ensure that ORR receives information needed to make decisions for UAC, including those apprehended with an adult.
Estimated Completion Date (or Date Closed)	12/31/2024
Next Step is Up To	DHS
Narrative of Implementation Status	CBP and ICE participate in ongoing working groups established in support of this and other information sharing matters. DHS and HHS continue to collaborate to ensure that proper information is shared. DHS expects the memorandum of agreement (MOA) to be finalized by December 31, 2024. DHS is working with HHS to provide discharge information to streamline the process and support information sharing. DHS CIO is heavily involved in the discussions with HHS and works closely with HHS partners to implement this critical technology development. Additionally, CBP continues to help ensure that all unaccompanied children are transferred with as much information as possible. Staff are now co-located at four different facilities along the SWB to improve access to names and contact information of trusted adults encountered with an unaccompanied child, as well as any information on parents who are currently located within the U.S. Staff interview children at the time of their arrival at the USBP facility and can immediately start the sponsorship determination process. USBP recently established guidance to share all age determination documents received post transfer.
Component	PLCY
Report Number (Public)	GAO-21-507
Report Title	Countering Violent Extremism: DHS Can Further Enhance Its Strategic Planning and Data Governance Efforts
Report Received/ Issued Date	07/20/2021
Rec #	3
Recommendation	The Secretary of Homeland Security - in consultation with affected offices and components - should establish common terminology for targeted violence.
Estimated Completion Date (or Date Closed)	12/31/2024

Next Step is Up To	DHS
Narrative of Implementation Status	The Center for Prevention Programs and Partnerships (CP3), Office of the General Counsel (OGC), I&A, and Counterterrorism Coordinator Office have agreed to pursue a Department-wide definition of targeted violence that will be incorporated into the official DHS Lexicon. CP3 and OGC are working to identify the process for doing so with MGMT. CP3 is drafting a memorandum that proposes a broad definition with justification for why it was chosen that will be routed to DHS Components and offices that have equity in the definition. Each Component and office will also be authorized to adopt a Component- or office-level definition that is more specific to its mission and operations as long as that operational definition is consistent with the Department-level definition.
Component	PLCY
Report Number (Public)	GAO-22-104470
Report Title	Law Enforcement: Federal Agencies Should Improve Reporting and Review of Less-Lethal Force
Report Received/ Issued Date	12/15/2021
Rec #	4
Recommendation	Develop standards for its component agencies on the types of information that must be reported on each use of force incident.
Estimated Completion Date (or Date Closed)	12/31/2024
Next Step is Up To	DHS
Narrative of Implementation Status	During September 2023, PLCY provided supporting documentation to demonstrate to GAO that it completed corrective action to resolve this recommendation. However, GAO requested additional documentation related to steps PLCY has taken to ensure that officers develop use of force reports with all of the required information. PLCY is still working with appropriate SMEs to gather relevant documentation.
Component	PLCY
Report Number (Public)	GAO-22-104470
Report Title	Law Enforcement: Federal Agencies Should Improve Reporting and Review of Less-Lethal Force
Report Received/ Issued Date	12/15/2021
Rec #	5

Recommendation	Oversee the quality, consistency, and completeness of use of force reporting across all DHS components, such as through a department-wide use of force oversight body or regular evaluations of use of force reporting.
Estimated Completion Date (or Date Closed)	12/31/2024
Next Step is Up To	DHS
Narrative of Implementation Status	During June and September 2023, PLCY communicated with GAO about its plan to gather additional information on efforts to ensure that officers develop use of force reports with all required information to evaluate a use of force incident.
Component	PLCY
Report Number (Public)	GAO-23-105927
Report Title	Law Enforcement: DHS Should Strengthen Use of Force Data Collection and Analysis
Report Received/ Issued Date	07/24/2023
Rec #	1
Recommendation	<p>The Secretary of Homeland Security should provide guidance on how its component agencies submit data to DHS for the range of scenarios when force was used multiple times. For example, when:</p> <ul style="list-style-type: none"> • one officer used one device on the same subject multiple times, or more than one device on the same subject; • one officer used one device on multiple subjects; and • multiple officers used force against one-or more than one-subject.
Estimated Completion Date (or Date Closed)	07/31/2025
Next Step is Up To	DHS
Narrative of Implementation Status	PLCY continues to discuss internally how to implement responsive corrective action. PLCY met with GAO on August 7, 2024, during which time, GAO requested additional evidence of how use of force reporting will require a fundamental redefinition of how the Department reports such incidents. PLCY believes it has addressed the recommendation and has put additional efforts on hold so its limited staff can focus on the security of the election and the National Capital Region. PLCY will resume work during Spring 2025.
Component	PRIV
Report Number (Public)	GAO-22-104144

Report Title	DHS Privacy: Selected Component Agencies Generally Provided Oversight of Contractors, but Further Actions Needed to Address Gaps
Report Received/ Issued Date	12/16/2021
Rec #	1
Recommendation	The Secretary of the Department of Homeland Security should direct its Privacy Office to provide targeted role-based privacy training to contractors who are responsible for protecting PII.
Estimated Completion Date (or Date Closed)	08/30/2024
Next Step is Up To	GAO
Narrative of Implementation Status	PRIV conducted a thorough evaluation of annual privacy training provided across the Department to assess potential areas of improvement. PRIV created the course “Privacy at DHS” to help ensure all DHS employees and contractors complete annual privacy training. Employees and contractors can access this course or a similar Component-developed course via LMSs (or equivalent). Additionally, the OCIO created a public-facing website that enables individuals to generate a certificate after completing the course. Contractors receive guidance via contract language to navigate to the public-facing website to complete privacy training and download the certificate of completion. As a result of the assessment, and to implement GAO’s recommendation, PRIV integrated role-based training on the handling of sensitive personally identifiable information into the course. This step ensures contractors receive adequate privacy training to support their role at DHS. The course is currently available on the existing public-facing website, https://courses.dhs.gov/courses/course/privacy-dhs . On August 30, 2024, PRIV requested that GAO close this recommendation as implemented.
Component	PRIV
Report Number (Public)	GAO-22-105040
Report Title	Freedom of Information Act: Selected Agencies Adapted to the COVID-19 Pandemic but Face Ongoing Challenges and Backlogs
Report Received/ Issued Date	01/26/2022
Rec #	2
Recommendation	The Chief Privacy Officer of the Department of Homeland Security, as the department's Chief FOIA Officer, should work with agency components to develop backlog reduction plans that specify goals and measures for reducing the FOIA backlog, provide specific milestones for backlog reduction efforts, and identify planned actions to reduce backlog.

Estimated Completion Date (or Date Closed)	09/11/2024
Next Step is Up To	GAO
Narrative of Implementation Status	During March 2023, PRIV informed GAO that DHS Components with significant backlogs have implemented reduction plans and provided a link to where those plans can be found at dhs.gov. During April 2024, GAO indicated that it was evaluating the documents and will continue to monitor DHS's progress. PRIV believes that it has addressed this recommendation. On September 11, 2024, PRIV's Freedom of Information Act team requested that GAO close this recommendation as implemented.
Component	PRIV
Report Number (Public)	GAO-22-105065
Report Title	Privacy: Dedicated Leadership Can Improve Programs and Address Challenges
Report Received/ Issued Date	09/22/2022
Rec #	20
Recommendation	The Secretary of Homeland Security should incorporate privacy into an organization-wide risk management strategy that includes a determination of risk tolerance.
Estimated Completion Date (or Date Closed)	10/21/2024
Next Step is Up To	GAO
Narrative of Implementation Status	On October 21, 2024, GAO closed this recommendation after the universe of open recommendations for this annual report was identified.
Component	PRIV
Report Number (Public)	GAO-23-105607
Report Title	Facial Recognition Technology: Federal Law Enforcement Agencies Should Take Actions to Implement Training, and Policies for Civil Liberties
Report Received/ Issued Date	09/05/2023
Rec #	8
Recommendation	The Secretary of Homeland Security ensure the Chief Privacy Officer works with DHS components continuing to use facial recognition services to address outstanding privacy requirements, and update privacy documentation as appropriate.

Estimated Completion Date (or Date Closed)	12/31/2024
Next Step is Up To	DHS
Narrative of Implementation Status	On July 1, 2024, PRIV provided GAO with a final letter of technical assessment for the 120-day Face Recognition and Face Capture current use cases detailing the PRIV Compliance process and procedures. DHS requested that GAO close this recommendation as implemented. GAO confirmed on August 1, 2024, that it can close the recommendation once all privacy requirements are addressed. By October 2024, PRIV will resolve two of the three privacy requirements. CBP's responses to the draft PIA addressing the final privacy requirement, are being addressed and PRIV anticipates that all outstanding privacy requirements identified in the report will be fully addressed by the estimated completion date.
Component	PRIV
Report Number (Public)	GAO-23-105959
Report Title	Biometric Identity System: DHS Needs to Address Significant Shortcomings in Management Program and Privacy
Report Received/ Issued Date	09/12/2023
Rec #	4
Recommendation	The Secretary of DHS should direct the Privacy Office to describe planned methodologies for determining that all privacy controls are implemented correctly and operating as intended for future control assessments of the HART program.
Estimated Completion Date (or Date Closed)	03/29/2024
Next Step is Up To	GAO
Narrative of Implementation Status	During March 2024, PRIV furnished details, affirming that within its approach to evaluating privacy controls, the privacy control sub-elements adhere to the methodology of the parent privacy control. The parent control captures all the sub-elements. Therefore, by completing the methodology for the parent controls, PRIV ensured that the privacy control sub-elements were also implemented correctly. On March 29, 2024, PRIV requested that GAO close this recommendation as implemented. On September 20, 2024, GAO informed PRIV that it is currently reviewing the documentation and plans to provide an update in about a month.
Component	PRIV
Report Number (Public)	GAO-23-105959

Report Title	Biometric Identity System: DHS Needs to Address Significant Shortcomings in Management Program and Privacy
Report Received/ Issued Date	09/12/2023
Rec #	5
Recommendation	The Secretary of DHS should direct the Privacy Office to develop a timeline for completing the planned HART privacy compliance review.
Estimated Completion Date (or Date Closed)	03/07/2024
Next Step is Up To	GAO
Narrative of Implementation Status	On April 2, 2024, PRIV provided evidence indicating that DHS internally documented a plan for a privacy compliance review to be completed by September 2024. This memo was developed by PRIV's Privacy Oversight Director and cleared by the Chief Privacy Officer. During March and September 2024, PRIV requested that GAO close this recommendation as implemented. On September 20, 2024, GAO informed PRIV that it is currently reviewing the documentation and plans to provide an update in about a month.
Component	PRIV
Report Number (Public)	GAO-23-105959
Report Title	Biometric Identity System: DHS Needs to Address Significant Shortcomings in Management Program and Privacy
Report Received/ Issued Date	09/12/2023
Rec #	7
Recommendation	The Secretary of DHS should direct the Privacy Office to ensure the complete HART authorization package is reviewed by the office prior to future system authorizations.
Estimated Completion Date (or Date Closed)	02/08/2024
Next Step is Up To	GAO
Narrative of Implementation Status	On February 8, 2024, PRIV sent GAO additional information about efforts to address this recommendation and requested that GAO close the recommendation as implemented. On February 27, 2024, GAO responded by requesting that PRIV provide evidence that it received and reviewed each of the components of the authorization package and, when appropriate, provided its input. On March 14, 2024, PRIV provided additional evidence in the form of email correspondence and is

	awaiting closure confirmation. On September 20, 2024, GAO informed PRIV that is currently reviewing the documentation and plans to provide an update in about a month.
Component	Science and Technology Directorate (S&T)
Report Number (Public)	GAO-20-81
Report Title	Federal Research: Additional Actions Needed to Improve Public Access to Research Results
Report Received/ Issued Date	11/21/2019
Rec #	5
Recommendation	The Secretary of Homeland Security should take steps to ensure appropriate agency-funded research data are readily findable and accessible to the public.
Estimated Completion Date (or Date Closed)	09/30/2026
Next Step is Up To	DHS
Narrative of Implementation Status	S&T continues to develop and implement corrective action in response to this recommendation. For example, S&T published the new DHS Directive 069-04, Rev.00, "Department of Homeland Security Technology Clearinghouse Program" on August 8, 2024. S&T provided a status update to GAO during September 2024.
Component	S&T
Report Number (Public)	GAO-20-81
Report Title	Federal Research: Additional Actions Needed to Improve Public Access to Research Results
Report Received/ Issued Date	11/21/2019
Rec #	10
Recommendation	The Secretary of Homeland Security should complete development of data management plan requirements.
Estimated Completion Date (or Date Closed)	09/30/2026
Next Step is Up To	DHS
Narrative of Implementation Status	S&T continues to develop and implement corrective action in response to this recommendation. For example, S&T recently published ST Policy 04-009-000 Public Access and Research Data Management Plans, and DHS published Management Directive 069-04, Rev.00, "Department of Homeland Security Technology Clearinghouse Program." Additionally, S&T continues the

	implementation and workflow of Data Management Plans. S&T provided a status update to GAO during September 2024.
Component	S&T
Report Number (Public)	GAO-20-81
Report Title	Federal Research: Additional Actions Needed to Improve Public Access to Research Results
Report Received/ Issued Date	11/21/2019
Rec #	15
Recommendation	The Secretary of Homeland Security should evaluate training needs for agency officials or others involved in reviewing the merits of researchers' data management plans and, if additional training is found to be warranted, develop and provide such training.
Estimated Completion Date (or Date Closed)	09/30/2026
Next Step is Up To	DHS
Narrative of Implementation Status	S&T continues to develop and implement corrective action in response to this recommendation. For example, S&T determined that training is necessary and will be developed and implemented after the nuances of the Data Management Plan implementation and workflow is put in place. S&T provided a status update to GAO during September 2024.
Component	S&T
Report Number (Public)	GAO-20-81
Report Title	Federal Research: Additional Actions Needed to Improve Public Access to Research Results
Report Received/ Issued Date	11/21/2019
Rec #	26
Recommendation	The Secretary of Homeland Security should develop and implement a mechanism to ensure researcher compliance with the public access plan and associated requirements.
Estimated Completion Date (or Date Closed)	09/30/2026
Next Step is Up To	DHS
Narrative of Implementation Status	S&T continues to develop and implement corrective action in response to this recommendation. For example, S&T is currently revising the DHS Public Access Plan. As part of this effort, S&T is actively engaging with White House Office of Science and Technology Policy. Once complete, the

	Plan can undergo internal controls testing to ensure researcher compliance. S&T provided a status update to GAO during September 2024.
Component	TSA
Report Number (Public)	GAO-19-426
Report Title	Critical Infrastructure Protection: Key Pipeline Security Documents Need to Reflect Current Operating Environment
Report Received/ Issued Date	06/05/2019
Rec #	5
Recommendation	The TSA Administrator should periodically review, and as appropriate, update the 2010 Pipeline Security and Incident Recovery Protocol Plan to ensure the plan reflects relevant changes in pipeline security threats, technology, federal law and policy, and any other factors relevant to the security of the nation's pipeline systems.
Estimated Completion Date (or Date Closed)	07/31/2025
Next Step is Up To	DHS
Narrative of Implementation Status	TSA is updating its Pipeline Security and Incident Recovery Plan in response to recommendations from GAO to address cyber incidents and to incorporate updates to the National Response Framework. The Plan has been coordinated within TSA and is in the review process with key federal partners, after which it will be shared with relevant state agencies and pipeline trade associations. The expected completion date has been extended to ensure thorough interagency review and rewrite of the plan.
Component	TSA
Report Number (Public)	GAO-20-56
Report Title	Aviation Security: TSA Should Ensure Screening Technologies Continue to Meet Detection Requirements after Deployment
Report Received/ Issued Date	12/05/2019
Rec #	3
Recommendation	The TSA Administrator should require and ensure that TSA officials document their assessments of risk and the rationale-including the assumptions, methodology, and uncertainty considered-behind decisions to deploy screening technologies.

Estimated Completion Date (or Date Closed)	07/19/2024
Next Step is Up To	GAO
Narrative of Implementation Status	TSA provided GAO with documentation, that adequately documents and demonstrates TSA's assessments of risks and deployment decision rationale and meets the intent of the recommendation. TSA requested that GAO close the recommendation as implemented during 2019 and sent additional documentation to GAO during May 2023. Although GAO denied the closure request, TSA continues to believe its submission implements the intent of the recommendation and is planning to meet with GAO to reassert its closure request.
Component	TSA
Report Number (Public)	GAO-20-56
Report Title	Aviation Security: TSA Should Ensure Screening Technologies Continue to Meet Detection Requirements after Deployment
Report Received/ Issued Date	12/05/2019
Rec #	5
Recommendation	The TSA Administrator should implement the process it develops to ensure that screening technologies continue to meet detection requirements after deployment to commercial airports.
Estimated Completion Date (or Date Closed)	07/19/2024
Next Step is Up To	GAO
Narrative of Implementation Status	TSA provided follow-up documents to GAO on July 19, 2024. Although GAO denied the closure request, TSA asserts that it met the intent of the recommendation and is planning to meet with GAO to reassert its closure request. TSA continues to plan and execute post implementation and periodic reviews in accordance with policy and as limited resources and risk dictate. Due to enduring resource constraints that will likely mean a very extended “open” status if TSA must wait for closure until all technologies complete a periodic review, TSA requested GAO close this recommendation as implemented based upon the implementation of periodic reviews, which is consistent with the recommendation as TSA understood it when it concurred during 2019.
Component	TSA
Report Number (Public)	GAO-20-125
Report Title	Aviation Security: Federal Air Marshal Service Has Taken Steps to Address Workforce Issues, but Additional Actions Needed

Report Received/ Issued Date	02/12/2020
Rec #	3
Recommendation	The Executive Assistant Administrator / Director of FAMS should identify and implement a means to monitor the extent to which air marshals' actual shifts and rest hours are consistent with scheduling guidelines.
Estimated Completion Date (or Date Closed)	03/31/2025
Next Step is Up To	DHS
Narrative of Implementation Status	TSA's office of Law Enforcement/Federal Air Marshal Service (LE/FAMS) developed a standard report showing the extent to which air marshals' actual work hours and rest hours are consistent with FAMS's scheduling guidelines. The report contains information for FAMS as a whole and by field office. LE/FAMS officials indicated that starting in late 2024, they plan to produce the report regularly and provide it to leadership for review and action.
Component	TSA
Report Number (Public)	GAO-21-50
Report Title	Transportation Security Acquisitions: TSA Needs to Establish Metrics and Evaluate Third Party Testing Outcomes for Screening Technologies
Report Received/ Issued Date	10/29/2020
Rec #	2
Recommendation	When performance metrics have been established, the Administrator of TSA should assess gains in efficiency resulting from third party testing.
Estimated Completion Date (or Date Closed)	02/28/2025
Next Step is Up To	DHS
Narrative of Implementation Status	During January 2024, TSA asked GAO to close this recommendation as implemented. GAO chose to leave the recommendation open for an additional year in hopes that a company will elect to use the third-party testing program.
Component	TSA
Report Number (Public)	GAO-21-50
Report Title	Transportation Security Acquisitions: TSA Needs to Establish Metrics and Evaluate Third Party Testing Outcomes for Screening Technologies

Report Received/ Issued Date	10/29/2020
Rec #	3
Recommendation	The Administrator of TSA should assess whether third party testing contributes to its goals of increasing supplier diversity and innovation.
Estimated Completion Date (or Date Closed)	02/28/2025
Next Step is Up To	GAO
Narrative of Implementation Status	During January 2024, TSA asked GAO to close this recommendation as implemented. GAO chose to leave the recommendation open for an additional year in hopes that a company will elect to use the third-party testing program.
Component	TSA
Report Number (Public)	GAO-21-105192
Report Title	Air Cargo Security: TSA Field Testing Should Ensure Screening Systems Meet Detection Standards
Report Received/ Issued Date	05/13/2021
Rec #	1
Recommendation	The Secretary of DHS should ensure that the Administrator of TSA and the Commissioner of CBP: Establish a documented process to ensure that relevant officials from both agencies are aware of and have access to applicable data to inform their inbound air cargo risk assessment efforts.
Estimated Completion Date (or Date Closed)	02/07/2023
Next Step is Up To	GAO
Narrative of Implementation Status	On February 7, 2023, TSA's office of Requirements and Capabilities Analysis provided an update to GAO describing actions taken to implement this recommendation and requested that GAO close it as implemented. In that update, TSA indicated that the Requirements and Capabilities Analysis International Risk Branch met with CBP at the National Targeting Center to discuss Air Cargo Advanced Screening data sharing and program details. Possible Air Cargo Advanced Screening reporting requirements were identified that may align with the International Risk Assessment Framework and International Risk Branch is currently receiving these reports on a recurring basis. GAO has not yet made a closure decision or indicated whether additional information is needed.
Component	TSA
Report Number (Public)	GAO-21-105192

Report Title	Air Cargo Security: TSA Field Testing Should Ensure Screening Systems Meet Detection Standards
Report Received/ Issued Date	05/13/2021
Rec #	2
Recommendation	The Administrator of TSA, prior to designating the explosives detection system for air cargo screening currently under evaluation as "qualified" on the air cargo screening technology list, should, to the extent practicable, verify through additional data collection or analysis that the system's probability of detection in the field matches the performance measured in laboratory testing.
Estimated Completion Date (or Date Closed)	02/07/2023
Next Step is Up To	GAO
Narrative of Implementation Status	On February 7, 2023, TSA's office of Requirements and Capabilities Analysis provided an update to GAO indicating it has implemented an established methodology to test fielded explosive detection systems performance during routine performance evaluations throughout the operational life of the systems. At the same time, TSA requested that GAO close the recommendation as implemented. GAO has not yet made a closure decision or indicated whether additional information is needed.
Component	TSA
Report Number (Public)	GAO-21-105192
Report Title	Air Cargo Security: TSA Field Testing Should Ensure Screening Systems Meet Detection Standards
Report Received/ Issued Date	05/13/2021
Rec #	3
Recommendation	The Administrator of TSA should ensure that necessary data are collected during field assessments to independently verify that the probability of detection of explosives detection systems for air cargo screening in the field matches the performance measured in laboratory testing, prior to designating systems as "qualified" on the air cargo screening technology list. TSA could provide this verification either through live explosives testing or, when operational considerations limit TSA's ability to use live threat materials, TSA should use an independently validated, fully documented alternative testing strategy.
Estimated Completion Date (or Date Closed)	02/07/2023
Next Step is Up To	GAO

Narrative of Implementation Status	On February 7, 2023, TSA's office of Requirements and Capabilities Analysis provided an update to GAO indicating that it will require image quality equivalence testing at factory acceptance test, site acceptance test, as well as routinely during the operational life of the explosives detection system. TSA is issuing a specification change notice mandating periodic use of American National Standards Institute N42.45-2021 compliant test articles and methodologies. Also, on February 7, 2023, TSA requested that GAO close the recommendation as implemented. GAO has not yet made a closure decision or indicated whether additional information is needed.
Component	TSA
Report Number (Public)	GAO-21-105192
Report Title	Air Cargo Security: TSA Field Testing Should Ensure Screening Systems Meet Detection Standards
Report Received/ Issued Date	05/13/2021
Rec #	4
Recommendation	<p>The Administrator of TSA should ensure statistical techniques are used to analyze data from TSA field assessments, including data from the current field assessment, of explosives detection systems for air cargo screening, prior to designating systems as "qualified" on the air cargo screening technology list. This statistical analysis should include the following elements:</p> <ul style="list-style-type: none"> • calculating error values for each quantitative measurement, • identifying all necessary performance thresholds, and • comparing the measured values and errors against each threshold to determine the statistical confidence of the results.
Estimated Completion Date (or Date Closed)	02/07/2023
Next Step is Up To	GAO
Narrative of Implementation Status	TSA's office of Requirements and Capabilities Analysis previously provided an update to GAO describing the statistical analysis that has been conducted on Operational Effectiveness metrics. On February 7, 2023, TSA requested that GAO close the recommendation as implemented. GAO has not yet made a closure decision or indicated if additional information is needed.
Component	TSA
Report Number (Public)	GAO-23-105201
Report Title	Aviation Security: Actions Needed to Assess Potential Screening Discrimination and Better Inform Passengers of the Complaint Process

Report Received/ Issued Date	11/07/2022
Rec #	2
Recommendation	The Administrator of TSA conduct assessments to determine the extent to which TSA's passenger screening practices comply with agency non-discrimination policies to identify any needed actions to improve compliance.
Estimated Completion Date (or Date Closed)	03/31/2025
Next Step is Up To	DHS
Narrative of Implementation Status	TSA's office of Civil Rights and Liberties/Ombudsman and Traveler Engagement (CRL/OTE) continues its efforts at implementing corrective action. During August 2024, CRL/OTE informed GAO that TSA reviews complaints data on a routine basis. The Customer Experience Branch develops summary reports on a weekly, monthly, quarterly, and yearly basis. These reports are located on TSA's SharePoint and are shared with the Security Operations office and other offices that have a role in improving the passenger screening experience. The data trends are assessed to ensure passenger civil rights are protected through modification of policies and corrections through continued education.
Component	TSA
Report Number (Public)	GAO-23-105201
Report Title	Aviation Security: Actions Needed to Assess Potential Screening Discrimination and Better Inform Passengers of the Complaint Process
Report Received/ Issued Date	11/07/2022
Rec #	4
Recommendation	The Administrator of TSA strengthen TSA's ability to analyze passenger discrimination complaints, including improving the collection and tracking of complaints data, to help inform training, procedures, and other initiatives.
Estimated Completion Date (or Date Closed)	03/31/2025
Next Step is Up To	DHS
Narrative of Implementation Status	TSA's CRL/OTE continues its efforts at implementing corrective action. During August 2024, CRL/OTE shared TSA's ongoing implementation efforts, including that TSA transitioned 70 percent of its complaint process to one case management platform, which helps accurately track complaints,

	ensure that data are valid and reliable, and better inform initiatives to improve screening processes. Additionally, CRL/OTE is transitioning the remaining 30 percent of the complaint processing (the system used by airports) into the established common case management platform. The next phase includes developing access for Customer Service points of contact throughout the country to this same system. TSA received funding and already purchased more than 400 licenses for its Salesforce platform. Customer Service points of contact in the field will now be able to upload actions on complaint and compliment cases, and call center, disabilities and multicultural branch case managers, and the field will now be able to manage and view cases through one system. This will also allow TSA to provide follow-up information in a more efficient manner and give it the ability to data mine.
Component	TSA
Report Number (Public)	GAO-23-105327
Report Title	Critical Infrastructure: Actions Needed to Better Secure Internet-Connected Devices
Report Received/ Issued Date	12/01/2022
Rec #	5
Recommendation	The Secretary of Homeland Security direct the Administrator of the Transportation Security Administration and the Commandant of the U.S. Coast Guard to jointly work with the Department of Transportation's Office of Intelligence, Security and Emergency Response, as co-SRMAs for the transportation systems sector, to use the National Plan to develop a sector-specific plan that includes metrics for measuring the effectiveness of their efforts to enhance the cybersecurity of their sector's IoT and OT environments.
Estimated Completion Date (or Date Closed)	04/30/2025
Next Step is Up To	DHS
Narrative of Implementation Status	Co-SRMAs are providing feedback, comments, edits, and inputs to the National Plan, which is due to CISA on April 30, 2025. This will inform updates to the Transportation Systems Sector sector-specific plan, which is currently under development.
Component	TSA
Report Number (Public)	GAO-23-105327
Report Title	Critical Infrastructure: Actions Needed to Better Secure Internet-Connected Devices
Report Received/ Issued Date	12/01/2022
Rec #	6

Recommendation	The Secretary of Homeland Security direct the Administrator of the Transportation Security Administration and the Commandant of the U.S. Coast Guard to jointly work with the Department of Transportation's Office of Intelligence, Security and Emergency Response, as co-SRMAs for the transportation systems sector, to include IoT and OT devices as part of the risk assessments of their sector's cyber environment.
Estimated Completion Date (or Date Closed)	2/28/2025
Next Step is Up To	DHS
Narrative of Implementation Status	TSA is in the final stages of assembling its first risk assessment of the sector's cyber environment. In assembling this report, TSA included Department of Transportation and its subcomponents in both the design and elicitation of inputs stages and will be providing further opportunities during the report review phase. Additionally, in TSA's response to NSM-22, TSA worked closely with the sector co-SRMAs in assembling risk scenarios that included cyber and Operational Technology and Internet of Things components.
Component	TSA
Report Number (Public)	GAO-23-105482
Report Title	Cloud Security: Selected Agencies Need to Fully Implement Key Practices
Report Received/ Issued Date	05/18/2023
Rec #	14
Recommendation	The Secretary of Homeland Security should ensure that the agency fully implements the FedRAMP requirements for its selected PaaS system, to include issuing an authorization for the cloud service.
Estimated Completion Date (or Date Closed)	1/31/2025
Next Step is Up To	GAO
Narrative of Implementation Status	On January 31, 2025, GAO closed this recommendation as implemented after the universe of open recommendations for this annual report was identified.
Component	USCG
Report Number (Public)	GAO-16-226
Report Title	DOD and Coast Guard: Actions Needed to Increase Oversight and Management Information on Hazing Incidents Involving Servicemembers

Report Received/ Issued Date	02/09/2016
Rec #	5
Recommendation	GAO recommended that the Commandant of the Coast Guard evaluate the prevalence of hazing in the Coast Guard.
Estimated Completion Date (or Date Closed)	12/31/2024
Next Step is Up To	DHS
Narrative of Implementation Status	Since GAO issued this recommendation in 2016, USCG has updated policy and training requirements related to the prevention of hazing. Each year, USCG reviewed the reported hazing incidents and determined not to conduct a formal assessment of the prevalence of hazing (a total of four during 2023). This decision was based on a comparison of reported hazing incidents with other types of prohibited behaviors, hazing in USCG is minimal, both comparatively and on an absolute basis. During February 2024, GAO again decided to keep the recommendation open due to changes happening at DOD with regard to hazing, which could eventually affect USCG. During December 2024, USCG will provide GAO with the FY 2024 number of reported hazing incidents and again request closure.
Component	USCG
Report Number (Public)	GAO-16-453
Report Title	Coast Guard: Arctic Strategy is Underway, but Agency Could Better Assess How Its Actions Mitigate Known Arctic Capability Gaps
Report Received/ Issued Date	06/15/2016
Rec #	1
Recommendation	The Commandant of the Coast Guard develop measures, as appropriate, for gauging how the agency's actions have helped to mitigate the Arctic capability gaps.
Estimated Completion Date (or Date Closed)	12/31/2025
Next Step is Up To	GAO
Narrative of Implementation Status	During December 2023, USCG provided GAO with the signed Arctic Strategic Outlook Implementation Plan (ASIP) and requested closure. GAO rejected the closure request, stating: "We have reviewed the Coast Guard's responses to GAO 106491 as they relate to our recommendations from GAO-16-453. Given that the Coast Guard is still developing its framework tool, we plan to

	keep these recommendations open.” USCG is developing the annual reporting process for the 2023 Arctic Strategy Implementation Plan. The next milestone is to present the process to leadership for approval and finalization of the process.
Component	USCG
Report Number (Public)	GAO-16-453
Report Title	Coast Guard: Arctic Strategy is Underway, but Agency Could Better Assess How Its Actions Mitigate Known Arctic Capability Gaps
Report Received/ Issued Date	06/15/2016
Rec #	2
Recommendation	The Commandant of the Coast Guard design and implement a process to systematically assess the extent to which actions taken agency-wide have helped mitigate the Arctic capability gaps for which it has responsibility
Estimated Completion Date (or Date Closed)	12/31/2025
Next Step is Up To	GAO
Narrative of Implementation Status	During December 2023, USCG provided GAO with the signed ASIP and requested closure. GAO rejected the closure request, stating: “We have reviewed the Coast Guard’s responses to GAO 106491 as they relate to our recommendations from GAO-16-453. Given that the Coast Guard is still developing its framework tool, we plan to keep these recommendations open.” To ensure alignment with the newly released National Strategy for the Arctic Region (NSAR) Implementation Plan, USCG, along with other Departments and agencies, is working with the Arctic Executive Steering Committee on the framework to measure and report progress. The USCG Polar Coordination Office intends to align its evaluative efforts for the ASIP with the Administration’s method for measuring and tracking the status of initiatives associated with the NSAR Implementation Plan. USCG is working to obtain estimated completion dates for the Arctic Executive Steering Committee’s processes.
Component	USCG
Report Number (Public)	GAO-18-9
Report Title	Coast Guard: Actions Needed to Close Stations Identified as Overlapping and Unnecessarily Duplicative
Report Received/ Issued Date	10/02/2017

Rec #	1
Recommendation	The Commandant of the Coast Guard should establish and follow a sound air station optimization process similar to its process for analyzing boat stations to allow it to comprehensively analyze its need for air stations and air facilities and determine what changes may be needed
Estimated Completion Date (or Date Closed)	12/31/2026
Next Step is Up To	DHS
Narrative of Implementation Status	The Service is implementing the results and recommendations found in the Homeland Security Operational Analysis Center “Meeting U.S. Coast Guard Airpower Needs” Report, Aviation Asset Mix Strategic Study, and other ongoing internal analyses through the Planning, Programming, Budgeting, and Execution (PPBE) process to prioritize investment in the fixed wing fleet, shift to an all H-60 rotary wing fleet and allocate shore infrastructure investments to meet the needs of the aviation fleet. Rotary wing basing optimization is similar to boat station optimization, as evaluations on air station locations, aircraft capabilities, and past search and rescue sorties are conducted to mitigate redundancies while ensuring adequate response times. Aviation force structure and station feasibility analysis will continue to inform and refine long term force structure decisions.
Component	USCG
Report Number (Public)	GAO-18-9
Report Title	Coast Guard: Actions Needed to Close Stations Identified as Overlapping and Unnecessarily Duplicative
Report Received/ Issued Date	10/02/2017
Rec #	3
Recommendation	The Commandant of the Coast Guard should take action to close the stations identified according to its plan and target dates.
Estimated Completion Date (or Date Closed)	04/08/2024
Next Step is Up To	GAO
Narrative of Implementation Status	Of the original 18 Boat Stations identified for closure, eight were converted from Boat Stations to Boat Stations (small) and nine units have been permanently closed since October 2017. USCG does not plan to utilize the PPBE process or initiate any permanent Boat Station closures or consolidations during FY 2025, or near future out-years. To address risk caused by readiness issues from the Service’s workforce shortage, USCG initiated actions, which temporarily consolidated all Boat

	Station (smalls) to their parent commands, paused operations at Western Rivers Boat Stations, and adjusted response postures at 19 Boat Stations. For awareness, these activities are a part of a broader plan, which included actions involving the Service's cutters and mission support personnel. For the Boat Stations, these adjustments will remain in effect until USCG has sufficient personnel to reconstitute these units. Considering this information and, given that USCG has demonstrated for multiple budget cycles the process used to close or consolidate Stations is repeatable, defensible, and achieved an annual cost savings, USCG Guard requested closure of this recommendation as implemented on April 8, 2024, and is awaiting GAO's response.
Component	USCG
Report Number (Public)	GAO-18-16
Report Title	Commercial Fishing Vessels: More Information Needed to Improve Classification Implementation
Report Received/ Issued Date	12/14/2017
Rec #	4
Recommendation	The Coast Guard should issue regulations or guidance to clarify and implement the alternative-to-class approach.
Estimated Completion Date (or Date Closed)	09/30/2026
Next Step is Up To	DHS
Narrative of Implementation Status	The USCG Office of Commercial Vessel Compliance (CG-CVC) is conducting an analysis of adequacy of the alternative to class approach as required per 46 U.S.C. §4503(e).
Component	USCG
Report Number (Public)	GAO-18-135
Report Title	Transitioning Veterans: The Coast Guard Needs to Improve Data Quality and Monitoring of its Transition Assistance Program
Report Received/ Issued Date	04/19/2018
Rec #	6
Recommendation	The Commandant of the Coast Guard should, once reliable data are available by installation or unit, enable unit commanders and the higher-level commanders to whom they report to access TAP performance information specifically for the units they oversee so that they can monitor compliance with all TAP requirements.

Estimated Completion Date (or Date Closed)	09/30/2025
Next Step is Up To	DHS
Narrative of Implementation Status	As a follow-up to discussions with GAO, USCG has determined additional actions that need to be taken before this recommendation will be closed. Those actions/milestones are: (1) completion of USCG-provided training to field Transition Managers on identifying separating and transitioning members through DOD Transition Assistance Program-IT Training; and (2) USCG plans to fully implement member tracking. USCG is developing training for Transition Managers regarding the requirements in the updated Commandant Instruction and use of the DOD tracking system to include Capstone.
Component	USCG
Report Number (Public)	GAO-19-82
Report Title	Coast Guard Shore Infrastructure: Applying Leading Practices Could Help Better Manage Project Backlogs of at Least \$2.6 Billion
Report Received/ Issued Date	02/21/2019
Rec #	2
Recommendation	The Commandant of the Coast Guard should direct program managers to establish shore infrastructure performance goals, measures, and baselines to track the effectiveness of maintenance and repair investments and provide feedback on progress made.
Estimated Completion Date (or Date Closed)	12/31/2024
Next Step is Up To	DHS
Narrative of Implementation Status	GAO rejected USCG's March 2024 request for closure. GAO informed USCG that it will continue to monitor Coast Guard progress towards tracking the effectiveness of maintenance and repair investments and providing feedback on progress made. Establishing baselines, goals, and measures based on the data the Coast Guard is in the process of recording would better position the Coast Guard to assess its effectiveness and take appropriate actions to improve the condition of its shore infrastructure. USCG completed implementation of BUILDER during March 2023 and has been using the system for all Facility Condition Assessments since then. USCG considered this phase initial operating capability. The full integration of Mission Dependency Index data into the Shore Asset Management System (SAMS) is ongoing and pends user acceptance testing of the new data fields. Data sharing between SAMS and BUILDER is presently a manual process. The ability to

	share Mission Dependency Index data from SAMS to BUILDER will constitute a Partially Mission Capable system. USCG expects to implement automated integration of data sharing between SAMS and BUILDER over the next 18 months which will be considered Fully Mission Capable. Facility Condition Assessments are ongoing and completed for every building once every three years as required by section 2.1.1 of Shore Infrastructure Logistics Center-Port Facility Security and Safety Program-36-71 81 17 15-01 (Rev B). This ongoing data capture continuously re-baselines the condition of USCG facilities. USCG does not anticipate conducting initial Facility Condition Assessments on all USCG facilities until after FY 2028. USCG awarded a contract during September 2024 for assessments at one-third of the USCG's units during the next FY, with two additional phases planned during the next two FYs to cover remaining units. USCG's long-term goals are to leverage predictive maintenance capabilities to extend the usefulness and lifespan of facilities and to make informed decisions on the appropriate point in a building's lifespan to reduce maintenance expenditures while pursuing recapitalization. Data from BUILDER will inform both types of investment decisions and out-year budget requests to ensure alignment of appropriations with the reality of facility infrastructure requirements. USCG plans to provide supporting documentation and request that GAO close the recommendation as implemented during December 2024.
Component	USCG
Report Number (Public)	GAO-19-82
Report Title	Coast Guard Shore Infrastructure: Applying Leading Practices Could Help Better Manage Project Backlogs of at Least \$2.6 Billion
Report Received/ Issued Date	02/21/2019
Rec #	3
Recommendation	The Commandant of the Coast Guard should work with Congress to develop and implement a process to routinely align Coast Guard's shore infrastructure portfolio with mission needs, including by disposing of all unneeded assets.
Estimated Completion Date (or Date Closed)	06/28/2024
Next Step is Up To	GAO
Narrative of Implementation Status	USCG will meet with GAO during October 2024 to address a series of questions. GAO is reviewing the information provided and closure request to determine whether it can close the recommendation.
Component	USCG
Report Number (Public)	GAO-19-82

Report Title	Coast Guard Shore Infrastructure: Applying Leading Practices Could Help Better Manage Project Backlogs of at Least \$2.6 Billion
Report Received/ Issued Date	02/21/2019
Rec #	5
Recommendation	The Commandant of the Coast Guard should employ models for its asset lines for predicting the outcome of investments, analyzing trade-offs, and optimizing decisions among competing investments.
Estimated Completion Date (or Date Closed)	12/29/2028
Next Step is Up To	DHS
Narrative of Implementation Status	USCG implemented the preferred maintenance modeling solution, BUILDER Sustainment Management Systems (SMS) platform, through four primary phases of work: Phase 1 (completed): develop business rules and processes for utilization of BUILDER; develop plan for piloting and implementation; Phase 2 (completed): pilot BUILDER to establish proof of concepts established under Phase 1; Phase 3 (completed): develop job guides and training and finalize implementation plan; and Phase 4 (completed): USCG-wide implementation. All facility condition assessments have been conducted using the BUILDER SMS since March 30, 2023. Over the next 4 years, USCG will complete and analyze facility condition assessments on every USCG facility.
Component	USCG
Report Number (Public)	GAO-19-82
Report Title	Coast Guard Shore Infrastructure: Applying Leading Practices Could Help Better Manage Project Backlogs of at Least \$2.6 Billion
Report Received/ Issued Date	02/21/2019
Rec #	6
Recommendation	The Commandant of the Coast Guard should include supporting details about competing project alternatives and report trade-offs in Congressional budget requests and related reports.
Estimated Completion Date (or Date Closed)	06/28/2024
Next Step is Up To	GAO
Narrative of Implementation Status	Congress enacted Section 11201 of the Coast Guard Authorization Act of 2022 (Pub. L. No. 117-263), which directs the annual submission of a detailed list of USCG shoreside infrastructure projects,

	the estimated cost of projects to fulfill each project, and a general description of the state of planning, including design and engineering, for relevant projects. The report was signed and delivered to Congress on April 19, 2024, and is publicly available. On June 28, 2024, USCG provided GAO with supporting documentation and requested that GAO close the recommendation as implemented. USCG will meet with GAO during October 2024 to address questions and discuss the closure request.
Component	USCG
Report Number (Public)	GAO-20-33
Report Title	Coast Guard: Assessing Deployable Specialized Forces' Workforce Needs Could Improve Efficiency and Reduce Potential Overlap or Gaps in Capabilities
Report Received/ Issued Date	11/21/2019
Rec #	1
Recommendation	The Coast Guard should conduct a comprehensive analysis of its Deployable Specialized Forces' workforce needs.
Estimated Completion Date (or Date Closed)	1/13/2025
Next Step is Up To	GAO
Narrative of Implementation Status	On January 13, 2025, GAO closed this recommendation as implemented after the universe of open recommendations for this annual report was identified.
Component	USCG
Report Number (Public)	GAO-20-33
Report Title	Coast Guard: Assessing Deployable Specialized Forces' Workforce Needs Could Improve Efficiency and Reduce Potential Overlap or Gaps in Capabilities
Report Received/ Issued Date	11/21/2019
Rec #	2
Recommendation	The Coast Guard should assess the extent to which unnecessary overlap or duplication exists among Deployable Specialized Forces' capabilities.
Estimated Completion Date (or Date Closed)	1/13/2025
Next Step is Up To	GAO
Narrative of Implementation Status	On January 13, 2025, GAO closed this recommendation as implemented after the universe of open recommendations for this annual report was identified.

Component	USCG
Report Number (Public)	GAO-20-223
Report Title	Coast Guard: Actions Needed to Evaluate the Effectiveness of Organizational Changes and Determine Workforce Needs
Report Received/ Issued Date	02/26/2020
Rec #	5
Recommendation	The Commandant of the Coast Guard should update its April 2018 Manpower Requirements Plan to include time frames and milestones for completing manpower requirements analyses and determinations for all positions and units.
Estimated Completion Date (or Date Closed)	02/27/2026
Next Step is Up To	DHS
Narrative of Implementation Status	During March 2023, USCG sent GAO the Manpower Requirement Manual, Commandant Instruction Manual 5310.6A; the Manpower Requirements Determination Tactics, Techniques, and Procedures (TTP); and USCG also sent the report to Congress, as required by Section 5104 of Title 14 U.S.C., the Manpower Requirements Plan. During May 2023, USCG and GAO staff met to discuss this recommendation. Subsequently, USCG provided GAO with additional documentation, as the recurring report to Congress did not include specific timeframes and milestones for USCG to complete manpower requirements analysis and determinations for all positions and units. To obtain closure, USCG must update the recurring report to Congress, the Manpower Requirement Plan, which is not due again to Congress until February 2026.
Component	USCG
Report Number (Public)	GAO-20-416
Report Title	Military and Veteran Support: Performance Goals Could Strengthen Programs that Help Servicemembers Obtain Civilian Employment
Report Received/ Issued Date	07/09/2020
Rec #	3
Recommendation	Commandant of the Coast Guard should develop formal performance goals and measures for its Spouse Employment Assistance Program.
Estimated Completion Date (or Date Closed)	06/30/2025

Next Step is Up To	DHS
Narrative of Implementation Status	The USCG Office of Work-Life is coordinating with the Health, Safety, and Work-Life Service Center to develop the new instruction for Spousal Employment and to establish metrics and goals for the program.
Component	USCG
Report Number (Public)	GAO-20-562
Report Title	Coast Guard: Actions Needed to Ensure Investments in Key Data System Meet Mission and User Needs
Report Received/ Issued Date	07/16/2020
Rec #	1
Recommendation	The Commandant of the Coast Guard should ensure that the Deputy Commandant for Mission Support assesses and addresses the causes of data errors and inconsistent entries in MISLE as identified by program offices and MISLE users, including reviewing MISLE training and data validation processes.
Estimated Completion Date (or Date Closed)	12/31/2024
Next Step is Up To	DHS
Narrative of Implementation Status	The Marine Information for Safety and Law Enforcement (MISLE) MERGE initiative, which has been delayed due to competing priorities and resource constraints, began during FY 2023. USCG continues to address data quality through continued training for MISLE users responsible for entering and validating activity and case information in the MISLE database.
Component	USCG
Report Number (Public)	GAO-20-562
Report Title	Coast Guard: Actions Needed to Ensure Investments in Key Data System Meet Mission and User Needs
Report Received/ Issued Date	07/16/2020
Rec #	2
Recommendation	The Commandant of the Coast Guard should ensure that the Deputy Commandant for Mission Support uses the results of its 2019 Standardization Team assessment of command centers to develop a plan for improving the consistency and accuracy of MISLE data identified in its report.

Estimated Completion Date (or Date Closed)	03/31/2025
Next Step is Up To	DHS
Narrative of Implementation Status	On February 21, 2023, the USCG Enterprise Architecture Board conducted an enterprise architecture assessment of the Coast Guard Case Management (CGCM) acquisition program. The MISLE MERGE project kick-off was held on April 3, 2023. The MISLE MERGE functionality will be implemented in three major parts: Vessel MERGE functionality; Facility MERGE functionality; and Party (People and Organizations) MERGE functionality. USCG continues to pursue the CGCM enterprise solution as the MISLE system replacement.
Component	USCG
Report Number (Public)	GAO-20-562
Report Title	Coast Guard: Actions Needed to Ensure Investments in Key Data System Meet Mission and User Needs
Report Received/ Issued Date	07/16/2020
Rec #	3
Recommendation	The Commandant of the Coast Guard should ensure that the Deputy Commandant for Mission Support and the Deputy Commandant for Operations use the processes outlined in the SELC to identify needed enhancements across the MISLE system by developing an updated mission needs statement.
Estimated Completion Date (or Date Closed)	09/24/2024
Next Step is Up To	GAO
Narrative of Implementation Status	On September 24, 2024, GAO closed this recommendation after the universe of open recommendations for this annual report was identified.
Component	USCG
Report Number (Public)	GAO-20-562
Report Title	Coast Guard: Actions Needed to Ensure Investments in Key Data System Meet Mission and User Needs
Report Received/ Issued Date	07/16/2020
Rec #	4

Recommendation	The Commandant of the Coast Guard should ensure that the Deputy Commandant for Mission Support and the Deputy Commandant for Operations use the processes outlined in the SELC to identify and analyze alternatives, and objectively select the preferred solution for MISLE to meet approved mission needs.
Estimated Completion Date (or Date Closed)	12/31/2024
Next Step is Up To	DHS
Narrative of Implementation Status	CGCM preliminary-Concept of Operations draft was completed by the IPT on March 1, 2023, and will be routed for concurrent clearance following the inclusion of Analysis of Alternatives/Alternative Analysis data, which is expected to start following Acquisition Decision Event 1. The CGCM preliminary-ORD was completed April 14, 2024, and will be routed with the preliminary-Concept of Operations following the inclusion of Analysis of Alternatives/Alternative Analysis data.
Component	USCG
Report Number (Public)	GAO-20-619
Report Title	Natural Gas Exports: Updated Guidance and Regulations Could Improve Facility Permitting Processes
Report Received/ Issued Date	08/06/2020
Rec #	7
Recommendation	The Commandant of the Coast Guard should conduct a standards-specific review of the Coast Guard's regulations that incorporate standards and, if necessary, update the regulations or document its decision for not updating them.
Estimated Completion Date (or Date Closed)	12/31/2025
Next Step is Up To	DHS
Narrative of Implementation Status	USCG conducted a standards specific review of 33 Code of Federal Regulations (C.F.R.) Part 149 and found one standard in need of updating – National Fire Protection Association (NFPA) 10: 2010. USCG plans to update 33 C.F.R. Part 149 to reflect the updated NFPA 10 standard in a future rulemaking. In the meantime, an equivalency determination process is leveraged to allow the use of newer versions of the standards.
Component	USCG
Report Number (Public)	GAO-20-619

Report Title	Natural Gas Exports: Updated Guidance and Regulations Could Improve Facility Permitting Processes
Report Received/ Issued Date	08/06/2020
Rec #	9
Recommendation	The Commandant of the Coast Guard should develop and implement workforce planning for the Office of Operating and Environmental Standards that addresses the four remaining key principles for strategic workforce planning.
Estimated Completion Date (or Date Closed)	7/31/2025
Next Step is Up To	DHS
Narrative of Implementation Status	On September 5, 2024, GAO rejected USCG's closure request. Until USCG conducts a manpower requirement analysis of its Office of Operating and Environment Standards to determine its critical skill requirements, GAO cannot close this recommendation. USCG intends to study all its units and billets, resources permitting. USCG is in the process of identifying milestones.
Component	USCG
Report Number (Public)	GAO-20-554
Report Title	Coast Guard: Improved Analysis of Vessel Response Plan Use Could Help Mitigate Marine Pollution Risk
Report Received/ Issued Date	09/29/2020
Rec #	1
Recommendation	The Commandant of the Coast Guard should ensure that the Program Manager of the Vessel Response Plan Program establishes a process to analyze incidents where VRPs [Vessel Response Plans] have been activated to determine whether or how the Coast Guard should improve its VRP review processes-including its approach to verifying plan information, contracts, and the quality of data used in review processes-- to assure VRP effectiveness.
Estimated Completion Date (or Date Closed)	12/31/2024
Next Step is Up To	DHS
Narrative of Implementation Status	The Marine Environmental Response and Preparedness Manual received more than 700 comments during concurrent clearance. USCG will adjudicate all comments and promulgate the Manual before the end of calendar year 2024.

Component	USCG
Report Number (Public)	GAO-21-9
Report Title	Coast Guard Acquisitions: Opportunities Exist to Reduce Risk for the Offshore Patrol Cutter Program
Report Received/ Issued Date	10/28/2020
Rec #	4
Recommendation	The Commandant of the Coast Guard should ensure the Coast Guard Component Acquisition Executive revises Coast Guard's acquisition policy to include criteria and a methodology for demonstrating design maturity for shipbuilding programs that are aligned with shipbuilding best practices, including specifying the completion of basic and functional designs and maturing critical technologies to a TRL of 7.
Estimated Completion Date (or Date Closed)	12/31/2024
Next Step is Up To	GAO
Narrative of Implementation Status	On September 17, 2024, USCG sent additional documentation to GAO to and requested that GAO close the recommendation as implemented.
Component	USCG
Report Number (Public)	GAO-21-9
Report Title	Coast Guard Acquisitions: Opportunities Exist to Reduce Risk for the Offshore Patrol Cutter Program
Report Received/ Issued Date	10/28/2020
Rec #	6
Recommendation	The Commandant of the Coast Guard should ensure the OPC program updates its shipbuilder and government schedules for OPCs 1 through 4 to (1) fully address deficiencies identified in the shipbuilder's schedule, and (2) fully incorporate schedule risk analysis in accordance with schedule best practices.
Estimated Completion Date (or Date Closed)	03/31/2025
Next Step is Up To	DHS
Narrative of Implementation Status	The Over Target Baseline/Over Target Schedule for stage 1 was approved by USCG leadership on July 26, 2024; and it still requires Deputy Under Secretary for Management signature.

Component	USCG
Report Number (Public)	GAO-21-42
Report Title	Disaster Response: Agencies Should Assess Contracting Workforce Needs and Purchase Card Fraud Risk
Report Received/ Issued Date	11/24/2020
Rec #	7
Recommendation	The Commandant of the U.S. Coast Guard should update its fraud risk profile for the purchase card program to include an assessment of how, if at all, the risk profile differs for purchase card use in support of disaster response.
Estimated Completion Date (or Date Closed)	12/31/2024
Next Step is Up To	DHS
Narrative of Implementation Status	DHS's Risk Management and Assurance division informed USCG that disaster response does not impact all DHS Components, and, even for those impacted, there are different applicable risks based upon the Component's objectives and mission. As a result, Risk Management and Assurance does not presently plan to add default disaster-related fraud risks to the Fraud Risk Assessment template. Following this recommendation during 2020, USCG implemented a new financial system: FSM Solution (FSMS) and provided the current year Fraud Risk Assessment to Risk Management and Assurance. In addition to OMB A-123 Appendix C PIIA Risk Assessment Matrix for disaster supplemental funds disbursements, USCG will add Component-specific, disaster-related purchase card fraud risk to USCG's Fraud Risk Assessment to document risk tolerance and inherent risk during FY 2025.
Component	USCG
Report Number (Public)	GAO-21-42
Report Title	Disaster Response: Agencies Should Assess Contracting Workforce Needs and Purchase Card Fraud Risk
Report Received/ Issued Date	11/24/2020
Rec #	11
Recommendation	The Commandant of the U.S. Coast Guard should ensure that the agency has adequate data to allow it to conduct analysis of purchase card use in support of disaster response, including both the disaster event supported and sufficient vendor information to allow fraud risk analysis.

Estimated Completion Date (or Date Closed)	12/31/2025
Next Step is Up To	DHS
Narrative of Implementation Status	USCG's data migration to the FSMS is complete. However, the Service continues to refine how the FSMS captures and displays the required data. For the enhancement of the DHS compliance report to include the description field from the credit card transaction distribution screen associated with each listed transaction. Cardholders and Approving Officials can then add what was purchased to the description field or if it was COVID-19/natural disaster-related at the transaction level, and this detail will be passed to the DHS compliance report for access by the Program Office. The system enhancement is currently still under development.
Component	USCG
Report Number (Public)	GAO-21-100
Report Title	Coast Guard: Actions Needed to Improve National Vessel Documentation Center Operations
Report Received/ Issued Date	12/16/2020
Rec #	2
Recommendation	The Commandant of the Coast Guard should ensure that the Deputy Commandant for Operations documents decisions in future years in which it elects not to conduct operational analyses for VDS and its replacement.
Estimated Completion Date (or Date Closed)	12/31/2025
Next Step is Up To	DHS
Narrative of Implementation Status	The Vessel Documentation System (VDS) 3.0 steady state operation has been delayed, meaning there is no system in steady state operation to perform operational analyses. The modernization schedule projects VDS 3.0 to be online and fully operational during calendar year 2025.
Component	USCG
Report Number (Public)	GAO-21-100
Report Title	Coast Guard: Actions Needed to Improve National Vessel Documentation Center Operations
Report Received/ Issued Date	12/16/2020
Rec #	5
Recommendation	The Commandant of the Coast Guard should direct the Assistant Commandant for Prevention Policy to ensure that NVDC conducts a full cost study of NVDC's commercial and recreational user fees.

Estimated Completion Date (or Date Closed)	12/31/2025
Next Step is Up To	DHS
Narrative of Implementation Status	The National Vessel Documentation Center (NVDC) will conduct a full cost study of its commercial and recreational user fees. The cost study will be conducted following the implementation of NVDC's new IT system, VDS 3.0, and associated new automated processes. This will allow NVDC to accurately assess the costs of providing services to the public, including new IT support costs. Once VDS 3.0 is online and fully operational, NVDC will undertake the full cost study.
Component	USCG
Report Number (Public)	GAO-21-100
Report Title	Coast Guard: Actions Needed to Improve National Vessel Documentation Center Operations
Report Received/ Issued Date	12/16/2020
Rec #	7
Recommendation	The Commandant of the Coast Guard should ensure that the Assistant Commandant for Resources, in coordination with the Deputy Commandant for Operations, documents the decision if NVDC elects not to implement a recommendation from its user fee reviews.
Estimated Completion Date (or Date Closed)	12/31/2026
Next Step is Up To	DHS
Narrative of Implementation Status	<p>USCG received feedback from DHS during June 2024 on biannual fee review findings for commercial vessel documentation and the tracking tool has been populated with these specific findings and recommendations:</p> <ul style="list-style-type: none"> • USCG noted that collections are not meeting the actual costs of the program, although with no impact to program execution. • The fee was last adjusted during 2014 and has not kept pace with increased costs. • A list of applicable cost-cutting measures and a timeline for implementation is recommended for Fee Governance Council review. • DHS Budget also suggests development of an increased fee schedule to better meet 100 percent cost recovery unless documented cost reduction measures can objectively close the (on average) 40 percent gap remaining to full cost recovery. • Additionally, DHS recommends the consideration of any benefit to requesting carryover authority, as collections may exceed program costs.

	The NVDC is currently in the process of modernizing its VDS. Modernization work began during September 2024 and is estimated to take 12 to 18 months to complete. Once the NVDC has a more reliable IT system, USCG will conduct an updated user fee study. Currently there are no cost-cutting measures for this required statutory program.
Component	USCG
Report Number (Public)	GAO-21-247
Report Title	Coast Guard: More Information Needed to Assess Efficacy and Costs of Vessel Survival Craft Requirements
Report Received/ Issued Date	03/31/2021
Rec #	1
Recommendation	The Commandant of the Coast Guard should ensure that the Director of Inspections and Compliance revises its vessel accident investigations guidance to require Coast Guard investigators to collect date of birth, known disability, and use of lifesaving equipment of people in vessel accidents who were casualties due to water immersion, or who used lifesaving equipment.
Estimated Completion Date (or Date Closed)	03/22/2024
Next Step is Up To	GAO
Narrative of Implementation Status	Without specified regulatory requirements, USCG does not intend to collect the additional age and disability information unless it is necessary to determine causal factors of a vessel accident or personnel casualty. On March 22, 2024, USCG requested that GAO close this recommendation as not implemented (no longer valid). Most recently, USCG contacted GAO on September 4, 2024, regarding the status of this closure request.
Component	USCG
Report Number (Public)	GAO-21-247
Report Title	Coast Guard: More Information Needed to Assess Efficacy and Costs of Vessel Survival Craft Requirements
Report Received/ Issued Date	03/31/2021
Rec #	2
Recommendation	The Commandant of the Coast Guard should ensure that the Director of Commercial Regulations and Standards fully implements OMB and GAO cost and benefit estimate best practices in developing

	future estimates of the implementation costs for out-of-water survival craft requirements, including relying on the most current inflation information and discounting future costs and benefits for cost effectiveness projections, and documenting its methods for calculating acquisition costs.
Estimated Completion Date (or Date Closed)	12/31/2026
Next Step is Up To	DHS
Narrative of Implementation Status	GAO considers this recommendation as partially addressed. To close the recommendation, GAO requested USCG use the most current inflation information available at the time of drafting the report to Congress titled: Non-immersion Survival Craft. The next submission of the Non-immersion Survival Craft report is not due to Congress until December 2026.
Component	USCG
Report Number (Public)	GAO-21-584
Report Title	Coast Guard: A More Systematic Process to Resolve Recommended Actions Could Enhance Future Surge Operations
Report Received/ Issued Date	09/21/2021
Rec #	1
Recommendation	The Commandant of the Coast Guard establish a more systematic process for ensuring that assigned recommended actions are tracked, updated, and resolved in line with the Coast Guard's resolution rate and timeliness goals.
Estimated Completion Date (or Date Closed)	09/30/2026
Next Step is Up To	DHS
Narrative of Implementation Status	USCG is: (1) creating and instituting a metric to track compliance with the recommendation; (2) changing the Contingency Preparedness System to allow for the identification of lead and support offices for recommended actions; (3) updating the Commandant Instruction; (4) reviewing outstanding recommended actions and identifying action officers for each and provide outreach and instruction for utilizing the Contingency Preparedness System to update progress and resolve recommended actions; and (5) within 2 years after funding is made available, creating Contingency Preparedness System dashboards showing progress toward resolution of outstanding recommended actions.
Component	USCG
Report Number (Public)	GAO-22-104153

Report Title	Offshore Oil Spills: Additional Information Is Needed to Better Understand the Environmental Tradeoffs of Using Chemical Dispersants
Report Received/ Issued Date	12/15/2021
Rec #	1
Recommendation	The Commandant of the Coast Guard should work with EPA and other agencies to conduct assessments-such as biological assessments or ecological risk assessments-examining the potential effects of the subsurface use of dispersants on ocean ecosystems in regions where this is considered a viable response option.
Estimated Completion Date (or Date Closed)	04/30/2026
Next Step is Up To	DHS
Narrative of Implementation Status	The Interagency Coordinating Committee on Oil Pollution Research convened a working group to address recommendation 3 from this report. Outcomes related to recommendation 1 will be informed by the results of the working group as it examines the potential effects of the subsurface use of dispersants on ocean ecosystems in regions where the use of dispersants is viable.
Component	USCG
Report Number (Public)	GAO-22-104153
Report Title	Offshore Oil Spills: Additional Information Is Needed to Better Understand the Environmental Tradeoffs of Using Chemical Dispersants
Report Received/ Issued Date	12/15/2021
Rec #	3
Recommendation	The Commandant of the Coast Guard should ensure that the chair of the Interagency Coordinating Committee on Oil Pollution Research, in coordination with member agencies, convene a working group of the appropriate government, academic, and industry stakeholders, to identify ways to improve the quality of information about the effectiveness of the subsurface use of dispersants.
Estimated Completion Date (or Date Closed)	12/31/2024
Next Step is Up To	DHS
Narrative of Implementation Status	The Interagency Coordinating Committee on Oil Pollution Research working group met multiple times to address recommendations 3 and 4 from this report. The working group developed a framework for addressing the recommendations and anticipates the final report to be completed by

	the end of calendar year 2024. Recommendation 3 will help USCG identify ways to improve the quality of information regarding the effectiveness of the subsurface use of dispersants.
Component	USCG
Report Number (Public)	GAO-22-104153
Report Title	Offshore Oil Spills: Additional Information Is Needed to Better Understand the Environmental Tradeoffs of Using Chemical Dispersants
Report Received/ Issued Date	12/15/2021
Rec #	4
Recommendation	The Commandant of the Coast Guard should ensure that the chair of the Interagency Coordinating Committee on Oil Pollution Research, in coordination with member agencies, convene a working group of the appropriate government, academic, and industry stakeholders, to identify ways to better ensure that experiments about chemically dispersed oil toxicity and biodegradation result in quality information.
Estimated Completion Date (or Date Closed)	12/31/2024
Next Step is Up To	DHS
Narrative of Implementation Status	The Interagency Coordinating Committee on Oil Pollution Research working group met multiple times to address recommendations 3 and 4 from this report. The working group developed a framework for addressing the recommendations and anticipates the final report to be completed by the end of calendar year 2024. Recommendation 4 will help USCG identify ways to better ensure that experiments about chemically dispersed oil toxicity and biodegradation result in quality information.
Component	USCG
Report Number (Public)	GAO-22-104144
Report Title	DHS Privacy: Selected Component Agencies Generally Provided Oversight of Contractors, but Further Actions Needed to Address Gaps
Report Received/ Issued Date	12/16/2021
Rec #	2
Recommendation	The Commandant of the U.S. Coast Guard should direct the USCG Privacy Office to establish a time frame to complete the development of a process that can be used to identify and assess the gaps in contractor compliance with privacy requirements.

Estimated Completion Date (or Date Closed)	12/31/2024
Next Step is Up To	DHS
Narrative of Implementation Status	The Overarching Medical Program PIA is still in the draft phase as the USCG Privacy Office ensures that it encompasses all aspects of the agency's use of medical, government, and contract systems. Ensuring that the PIA provides transparency and discusses the risks and mitigations of use of these systems is paramount for compliance with law and policy.
Component	USCG
Report Number (Public)	GAO-22-104144
Report Title	DHS Privacy: Selected Component Agencies Generally Provided Oversight of Contractors, but Further Actions Needed to Address Gaps
Report Received/ Issued Date	12/16/2021
Rec #	3
Recommendation	The Commandant of the U.S. Coast Guard should direct the USCG Privacy Office to ensure, in conjunction with the acquisition office, that contractors certify their acceptance of their privacy requirement responsibilities.
Estimated Completion Date (or Date Closed)	1/31/2025
Next Step is Up To	DHS
Narrative of Implementation Status	Within the context of contractual relationships and proposed new instances of information sharing, the USCG Privacy Office is required to review all instances of information sharing. Any changes to previously reviewed and approved information sharing agreements are assessed through the review process and DHS Instruction 047-01-001, Privacy Policy and Compliance, Section VI.D. The USCG Privacy Office will update the Privacy Incident Response, Notification, and Reporting Procedures for Personally Identifiable Information instruction, Commandant Instruction 5260.5, to align Service policy with existing DHS requirements.
Component	USCG
Report Number (Public)	GAO-22-104144
Report Title	DHS Privacy: Selected Component Agencies Generally Provided Oversight of Contractors, but Further Actions Needed to Address Gaps
Report Received/ Issued Date	12/16/2021

Rec #	4
Recommendation	The Commandant of the U.S. Coast Guard should direct the USCG Privacy Office to ensure the evaluation of proposed new instances of sharing personally identifiable information with third parties are fully documented.
Estimated Completion Date (or Date Closed)	1/31/2025
Next Step is Up To	DHS
Narrative of Implementation Status	Within the context of contractual relationships and proposed new instances of information sharing, the USCG Privacy Office is required to review all instances of information sharing. Any changes to previously reviewed and approved information sharing agreements are assessed through the review process and DHS Instruction 047-01-001, Privacy Policy and Compliance, Section VI.D. The USCG Privacy Office will update the Privacy Incident Response, Notification, and Reporting Procedures for Personally Identifiable Information instruction, Commandant Instruction 5260.5, to align Service policy with existing DHS requirements.
Component	USCG
Report Number (Public)	GAO-22-104465
Report Title	Coast Guard: Enhancements Needed to Strengthen Marine Inspection Workforce Planning Efforts
Report Received/ Issued Date	01/12/2022
Rec #	1
Recommendation	The Deputy Commandant for Operations should collect additional data on the marine inspection workforce and maritime industry to forecast future workforce needs.
Estimated Completion Date (or Date Closed)	08/29/2025
Next Step is Up To	DHS
Narrative of Implementation Status	The Research and Development Center commenced the project “Persistent Simulation for the CG Workforce” during October 2022, and, in coordination with the Offices of Strategic Workforce Planning and Human Resource Analytics (CG-1B2) and Shore Forces (CG-741), researched available Commercial/Government Off the Shelf technologies and identified a key modeling/simulation application. The application is currently being evaluated on its association with the project’s key objectives prior to testing and further implementation efforts.
Component	USCG
Report Number (Public)	GAO-22-104465

Report Title	Coast Guard: Enhancements Needed to Strengthen Marine Inspection Workforce Planning Efforts
Report Received/ Issued Date	01/12/2022
Rec #	3
Recommendation	The Deputy Commandant for Operations should update time frames and milestones for the marine inspection workforce pyramid initiative through full implementation.
Estimated Completion Date (or Date Closed)	08/29/2025
Next Step is Up To	DHS
Narrative of Implementation Status	An MOU was signed by DHS and the Australian government to acquire software to complete the modeling and simulation. Limited beta modeling conducted by the USCG Research and Development Center is underway and on target for completion by the end of 2024. The modeling will assess one component of the Prevention workforce. Additional modeling will be completed on other workforce elements once the software is officially acquired. The team continues to work with the USCG Talent Management Transformation Team to identify funding for the software and personnel to conduct modeling once the Research and Development Center completes its testing.
Component	USCG
Report Number (Public)	GAO-22-104465
Report Title	Coast Guard: Enhancements Needed to Strengthen Marine Inspection Workforce Planning Efforts
Report Received/ Issued Date	01/12/2022
Rec #	4
Recommendation	The Deputy Commandant for Operations should develop performance measures with targets for the marine inspection workforce improvement plan and associated initiatives.
Estimated Completion Date (or Date Closed)	08/29/2025
Next Step is Up To	DHS
Narrative of Implementation Status	USCG continues modernization efforts and the related evaluation and procurement of modeling and simulation software to facilitate a prevention workforce analysis. The Service expects to field an operational product before the end of 2024. Additionally, workforce tabletop exercises, at the enterprise-level, continue to evaluate supportability and gaps, determine mitigation plans, and identify implementation timelines for required training and human resource development of the new prevention workforce.

Component	USCG
Report Number (Public)	GAO-22-104465
Report Title	Coast Guard: Enhancements Needed to Strengthen Marine Inspection Workforce Planning Efforts
Report Received/ Issued Date	01/12/2022
Rec #	5
Recommendation	The Deputy Commandant for Operations should assess the outcomes of the marine inspection workforce improvement plan and associated initiatives.
Estimated Completion Date (or Date Closed)	08/31/2026
Next Step is Up To	DHS
Narrative of Implementation Status	USCG continues modernization efforts and the related evaluation and procurement of modeling and simulation software to facilitate a prevention workforce analysis. The Service expects fielding an operational product completion by the end of 2024. Additionally, workforce tabletop exercises, at the enterprise-level, continue to evaluate supportability and gaps, determine mitigation plans, and identify implementation timelines for required training and human resource development of the new prevention workforce.
Component	USCG
Report Number (Public)	GAO-22-105432
Report Title	Coast Guard: Assessment of a Risk-Based Approach for Conducting Gas Carrier Exams Is Needed
Report Received/ Issued Date	01/12/2022
Rec #	1
Recommendation	The Commandant of the Coast Guard should conduct an assessment of adopting a risk-based approach for conducting gas carrier compliance exams and take actions to address the results, as appropriate and feasible.
Estimated Completion Date (or Date Closed)	12/31/2024
Next Step is Up To	DHS
Narrative of Implementation Status	The Coast Guard incorporated GAO's recommendation, "to assess the effectiveness of adopting a risk-based approach to gas carrier examinations," into the Statement of Objectives for the National Academies of Science study, mandated by the Elijah E. Cummings Coast Guard Authorization Act of 2020, Section 8254, subsection (b). USCG entered into contract with the National Academies of

	Science during July 2022 to begin this study. The study is complete, and the Office of CG-CVC is evaluating the findings and recommendations.
Component	USCG
Report Number (Public)	GAO-22-105152
Report Title	Coast Guard Health Care: Improvements Needed for Determining Staffing Needs and Monitoring Access to Care
Report Received/ Issued Date	02/04/2022
Rec #	1
Recommendation	The Commandant of the Coast Guard should ensure the Assistant Commandant for Human Resources implements health care staffing standards for its health services program that account for health care staff deployments, including surge deployments.
Estimated Completion Date (or Date Closed)	06/30/2025
Next Step is Up To	DHS
Narrative of Implementation Status	As required by Section 8260(c) of the of the Elijah E. Cummings Coast Guard Authorization Act of 2020 (Pub. L. No. 116-283), USCG is drafting a report to Congress that provides recommendations for medical staffing standards based on each finding and conclusion included in GAO's audit report, including recommendations for health service technicians, flight surgeons, physician assistants, dentists, dental hygienists, pharmacists, and others, as appropriate. The foundation of USCG's report will be the ongoing Health Services Manpower Requirements Determination, along with the development of the Healthcare System Review and Strategic Plan as required by Section 11407 of the James M. Inhofe National Defense Authorization Act for FY 2023 (Pub. L. No. 117-263).
Component	USCG
Report Number (Public)	GAO-22-103973
Report Title	Sexual Assault: DOD and Coast Guard Should Ensure Laws Are Implemented to Improve Oversight of Key Prevention and Response Efforts
Report Received/ Issued Date	03/28/2022
Rec #	20
Recommendation	The Secretary of Homeland Security ensure that the Commandant of the Coast Guard in collaboration with the Director of Health, Safety & Work Life Directorate, review and update policy or establish policy, and set a timeframe for completion, to ensure alignment with sexual assault prevention and

	response statutory requirements, specifically, sections 1712 and 1745(a)-(c) of the NDAA for Fiscal Year 2014.
Estimated Completion Date (or Date Closed)	12/31/2024
Next Step is Up To	DHS
Narrative of Implementation Status	Based on feedback from GAO on USCG's July 2023 closure request, USCG is updating the Sexual Assault Prevention, Response, and Recovery Program Instruction (1754.10F) and Military Assignments and Authorized Absences Instruction (M1000.8A) to meet the requirements of Section 673 of Title 10 U.S.C. This section mandates that all necessary actions must be completed within 5 calendar days.
Component	USCG
Report Number (Public)	GAO-22-103973
Report Title	Sexual Assault: DOD and Coast Guard Should Ensure Laws Are Implemented to Improve Oversight of Key Prevention and Response Efforts
Report Received/ Issued Date	03/28/2022
Rec #	21
Recommendation	The Secretary of Homeland Security ensure that the Commandant of the Coast Guard in collaboration with the Director of Health, Safety & Work Life Directorate, implement the education and training on sexual assault prevention and response for individuals enlisted under a delayed entry program by-for example-documenting such training in policy or other relevant guidance to ensure compliance with section 535(a)-(b) of the NDAA for Fiscal Year 2018.
Estimated Completion Date (or Date Closed)	10/31/2024
Next Step is Up To	DHS
Narrative of Implementation Status	Following USCG's July 2024 closure request, GAO asked a series of questions, which USCG expects to address during October 2024.
Component	USCG
Report Number (Public)	GAO-22-103973
Report Title	Sexual Assault: DOD and Coast Guard Should Ensure Laws Are Implemented to Improve Oversight of Key Prevention and Response Efforts
Report Received/ Issued Date	03/28/2022

Rec #	22
Recommendation	The Secretary of Homeland Security ensure that the Commandant of the Coast Guard publish quarterly reports related to the processing and outcomes of claims reviewed by the Discharge Review Boards to ensure compliance with section 521(b) of the NDAA for Fiscal Year 2018.
Estimated Completion Date (or Date Closed)	01/31/2025
Next Step is Up To	DHS
Narrative of Implementation Status	The USCG Office of Military Personnel Policy (CG-133) reconstituted the Discharge Review Board program and continues to expand the Discharge Review Board program and staff. USCG incorporated tracking of requested data into the data management system and USCG remains on schedule to begin quarterly reporting during early 2025.
Component	USCG
Report Number (Public)	GAO-22-105092
Report Title	Coast Guard: Actions Needed to Enhance IT Program Implementation
Report Received/ Issued Date	07/28/2022
Rec #	1
Recommendation	The Commandant of the Coast Guard direct the Deputy Commandant for Mission Support develop network capacity planning policies and procedures that address the leading practices we identified, including (1) compiling a complete and accurate inventory of hardware, software, and configurations; (2) identifying traffic growth predictions; (3) prioritizing network traffic; (4) performing simulations and what-if-analyses; and (5) continually monitoring the health of the infrastructure to ensure it is meeting demand and mission needs.
Estimated Completion Date (or Date Closed)	12/31/2024
Next Step is Up To	DHS
Narrative of Implementation Status	USCG intends for the Infrastructure Managed Services (IMS) vendor to fully own and operate, under government supervision, its IT infrastructure, including network circuits. The IMS contract and Task Order 1 were awarded in December 2022, and IMS transitioned responsibility for existing services. It is the government's responsibility to define policy and procedures, including those recommended by this audit. IMS will then implement those policies and procedures. USCG is finalizing the completion timeline; and once the corrected timeline of milestones is established, the ECD may be revised to calendar year 2025 or later.

Component	USCG
Report Number (Public)	GAO-22-105092
Report Title	Coast Guard: Actions Needed to Enhance IT Program Implementation
Report Received/ Issued Date	07/28/2022
Rec #	2
Recommendation	The Commandant of the Coast Guard direct the Deputy Commandant for Mission Support implement the leading practices for network capacity planning that we identified, including (1) compiling a complete and accurate inventory of hardware, software, and configurations; (2) identifying traffic growth predictions; (3) prioritizing network traffic; (4) performing simulations and what-if-analyses; and (5) continually monitoring the health of the infrastructure to ensure it is meeting demand and mission needs.
Estimated Completion Date (or Date Closed)	09/30/2025
Next Step is Up To	DHS
Narrative of Implementation Status	USCG's IMS contract, awarded December 2022, requires the vendor to address the five leading practices in the recommendation: compile a complete and accurate inventory of hardware, software, and configurations; identify traffic growth predictions; prioritize network traffic; perform simulations and what-if-analyses; and continually monitor the health of the infrastructure. All activities are expected to be fully implemented and in continuous operation by September 30, 2025.
Component	USCG
Report Number (Public)	GAO-22-105092
Report Title	Coast Guard: Actions Needed to Enhance IT Program Implementation
Report Received/ Issued Date	07/28/2022
Rec #	3
Recommendation	The Commandant of the Coast Guard direct the Deputy Commandant for Mission Support establish a comprehensive and accurate inventory of all operational technology, including ICS and SCADA [Supervisory Control and Data Acquisition] systems.
Estimated Completion Date (or Date Closed)	05/29/2026
Next Step is Up To	DHS

Narrative of Implementation Status	USCG is operating under the MOU between DHS and GSA that extends the Enterprise Infrastructure Solutions transition period to May 2026.
Component	USCG
Report Number (Public)	GAO-22-105092
Report Title	Coast Guard: Actions Needed to Enhance IT Program Implementation
Report Received/ Issued Date	07/28/2022
Rec #	4
Recommendation	The Commandant of the Coast Guard direct the Deputy Commandant for Mission Support develop a plan or strategy for aligning all operational technology to the Department of Defense risk management framework, including time frames for completing the alignment.
Estimated Completion Date (or Date Closed)	12/31/2024
Next Step is Up To	DHS
Narrative of Implementation Status	The USCG Office of Cybersecurity Program Management (CG-62) developed the Coast Guard Risk Management Framework Standard that includes applying it to the Coast Guard's operational technology utilizing the Assess Only process. This standard requires operational technology to undergo a special assessment of functional and security-related capabilities and deficiencies and ensures that it is securely configured in accordance with applicable DOD policies and security controls. CG-62 is developing a corrective action plan with milestones to address risk assessments of operational technology within USCG.
Component	USCG
Report Number (Public)	GAO-22-105092
Report Title	Coast Guard: Actions Needed to Enhance IT Program Implementation
Report Received/ Issued Date	07/28/2022
Rec #	5
Recommendation	The Commandant of the Coast Guard direct the Deputy Commandant for Mission Support ensure that the plan or strategy for aligning all operational technology to the Department of Defense risk management framework is effectively implemented.
Estimated Completion Date (or Date Closed)	12/31/2024
Next Step is Up To	DHS

Narrative of Implementation Status	CG-62 updated the Cybersecurity Policy, Commandant Instruction M5500.13. Chapter 3 was updated to include USCG policy on the cybersecurity of operational technology, policy on Secure Software Development and Development, Security, and Operations in alignment with National Institute of Standards and Technology and DoD guidelines, policy on cross domain transfers, and policy on Cybersecurity Supply Chain Risk Management. It also incorporates changes from the most recent revision of the Risk Management Framework for DoD Systems, DoDI 8510.01. On February 20, 2024, USCG requested that GAO close the recommendation as implemented. However, GAO stated that that depends on the closure and implementation of recommendation 4, for which CG-62 developed the Risk Management Framework Standard that includes applying the Risk Management Framework to USCG's operational technology, utilizing the Assess Only process. This standard requires operational technology to undergo a special assessment of functional and security-related capabilities and deficiencies and ensures that it is securely configured in accordance with applicable DoD policies and security controls. CG-62 will facilitate the development of a corrective action plan to address risk assessment of operational technology within USCG.
Component	USCG
Report Number (Public)	GAO-22-105092
Report Title	Coast Guard: Actions Needed to Enhance IT Program Implementation
Report Received/ Issued Date	07/28/2022
Rec #	7
Recommendation	The Commandant of the Coast Guard direct the Deputy Commandant for Mission Support send its list of cloud services that do not meet FedRAMP requirements to the appropriate agency head for submission to the Federal CIO.
Estimated Completion Date (or Date Closed)	12/31/2024
Next Step is Up To	DHS
Narrative of Implementation Status	USCG awarded an Application Rationalization contract effort during July 2024 to help rationalize USCG applications to include where they are located, Zero Trust maturity status, and readiness to migrate to an approved commercial cloud (either CGCloud or approved DOD Software as a Service provider). The duration of the effort is approximately 20 weeks.
Component	USCG
Report Number (Public)	GAO-22-105092
Report Title	Coast Guard: Actions Needed to Enhance IT Program Implementation

Report Received/ Issued Date	07/28/2022
Rec #	8
Recommendation	The Commandant of the Coast Guard direct the Deputy Commandant for Mission Support update the service's cloud strategy and other relevant documentation to include a crosswalk of new and old skills and occupational categories, and to conduct a skills gap analysis.
Estimated Completion Date (or Date Closed)	7/31/2025
Next Step is Up To	GAO
Narrative of Implementation Status	During April 2024, USCG provided GAO with the Cloud Workforce Analysis and requested closure of the recommendation. To address GAO's request for additional information, USCG is working to document a crosswalk of new and old skills and occupational categories, and to conduct a skills gap analysis.
Component	USCG
Report Number (Public)	GAO-22-105220
Report Title	Coast Guard: Additional Actions Needed to Improve Tsunami Emergency Planning in the Pacific Northwest
Report Received/ Issued Date	09/07/2022
Rec #	1
Recommendation	The Commandant of the U.S. Coast Guard should ensure that coastal units in the Pacific Northwest develop location-specific evacuation plans.
Estimated Completion Date (or Date Closed)	12/31/2025
Next Step is Up To	DHS
Narrative of Implementation Status	Since 2023, USCG contingency planners have led or participated in several stakeholder meetings to further understand the critical times, thresholds, and constraints regarding evacuating in the event during a Tsunami Warning Center alert in the Pacific Northwest. USCG is incorporating lessons learned; and created a draft tsunami evacuation plan template to help coastal units develop site-specific plans. The template incorporates important pre- and post-tsunami actions, including notifications to unit personnel and dependents, identification of established local evacuation routes to safe havens, command responsibilities, and post-tsunami recovery priorities. Coastal units are actively engaged in the initial development of evacuation plans.

Component	USCG
Report Number (Public)	GAO-22-105220
Report Title	Coast Guard: Additional Actions Needed to Improve Tsunami Emergency Planning in the Pacific Northwest
Report Received/ Issued Date	09/07/2022
Rec #	2
Recommendation	The Commandant of the U.S. Coast Guard should ensure that coastal units in the Pacific Northwest are provided with tsunami evacuation planning guidance that includes protocols for personnel and dependents.
Estimated Completion Date (or Date Closed)	12/31/2024
Next Step is Up To	DHS
Narrative of Implementation Status	USCG District 13 drafted an instruction to address evacuation logistics procedures including evacuation order authorities, funding mechanisms to provide personnel and dependents with temporary lodging, and termination of evacuation orders after impacted areas are safe to return. Additionally, the instruction prescribes level of service requirements for dependents with special needs.
Component	USCG
Report Number (Public)	GAO-22-105220
Report Title	Coast Guard: Additional Actions Needed to Improve Tsunami Emergency Planning in the Pacific Northwest
Report Received/ Issued Date	09/07/2022
Rec #	3
Recommendation	The Commandant of the U.S. Coast Guard should ensure that coastal units in the Pacific Northwest assess the feasibility of their tsunami evacuation plans through regular exercises that provide participation opportunities for Coast Guard personnel and dependents.
Estimated Completion Date (or Date Closed)	12/31/2026
Next Step is Up To	DHS
Narrative of Implementation Status	On October 19, 2023, USCG District 13 conducted a full-scale test of USCG's personnel notification and accountability systems (Alert and Warning System and Coast Guard Personnel Accountability

	and Assessment System) across the geographic area of responsibility. USCG District 13-unit evacuation plans will be finalized and tested prior to December 31, 2024.
Component	USCG
Report Number (Public)	GAO-22-105021
Report Title	Military Naturalizations: Federal Agencies Assist with Naturalizations, but Additional Monitoring and Assessment Are Needed
Report Received/ Issued Date	09/14/2022
Rec #	1
Recommendation	The Commandant of the Coast Guard should develop a policy documenting the N-426 certification process.
Estimated Completion Date (or Date Closed)	04/30/2025
Next Step is Up To	DHS
Narrative of Implementation Status	The N-426 Certification Process and policy was promulgated via general message (ALCOAST 025/23) and is in effect. The Military Civil and Dependent Affairs, Commandant Instruction M1700.1, remains under review with an anticipated promulgation in the spring of 2025. This delay is a result of non-subject related changes to this comprehensive document, including schooling for dependent children and additional review pertaining to the naturalization process.
Component	USCG
Report Number (Public)	GAO-22-105021
Report Title	Military Naturalizations: Federal Agencies Assist with Naturalizations, but Additional Monitoring and Assessment Are Needed
Report Received/ Issued Date	09/14/2022
Rec #	5
Recommendation	The Commandant of the Coast Guard should develop a procedure to collect information on the timeliness of certifying officials' return of N-426 forms to servicemembers applying for naturalization.
Estimated Completion Date (or Date Closed)	12/31/2024
Next Step is Up To	DHS

Narrative of Implementation Status	The N-426 Certification Process and policy was promulgated via general message (ALCOAST 025/23) and is in effect. The Military Civil and Dependent Affairs, Commandant Instruction M1700.1, remains under review with an anticipated promulgation in the spring of 2025. This delay is a result of non-subject related changes to this comprehensive document, including schooling for dependent children and additional review pertaining to the naturalization process.
Component	USCG
Report Number (Public)	GAO-22-105208
Report Title	Coast Guard: Workforce Planning Actions Needed to Address Growing Cyberspace Mission Demands
Report Received/ Issued Date	09/27/2022
Rec #	1
Recommendation	The Commandant of the Coast Guard should assess and determine the staffing levels needed to meet its cyberspace mission demands.
Estimated Completion Date (or Date Closed)	09/26/2024
Next Step is Up To	GAO
Narrative of Implementation Status	On September 26, 2024, USCG provided GAO the Manpower Requirements Determination for USCG Cyber Command and requested that GAO close the recommendation as implemented.
Component	USCG
Report Number (Public)	GAO-22-105208
Report Title	Coast Guard: Workforce Planning Actions Needed to Address Growing Cyberspace Mission Demands
Report Received/ Issued Date	09/27/2022
Rec #	2
Recommendation	The Commandant of the Coast Guard should establish a strategic workforce plan for its cyberspace workforce, to include strategies and implementing activities to address all competency and staffing needs.
Estimated Completion Date (or Date Closed)	12/31/2024
Next Step is Up To	GAO

Narrative of Implementation Status	In January 2024, USCG requested that GAO close the recommendation as implemented. Following the closure request, GAO requested additional information, which USCG will provide during December 2024.
Component	USCG
Report Number (Public)	GAO-22-105208
Report Title	Coast Guard: Workforce Planning Actions Needed to Address Growing Cyberspace Mission Demands
Report Received/ Issued Date	09/27/2022
Rec #	3
Recommendation	The Commandant of the Coast Guard should incorporate data from the Cyber Mission Specialist rating to inform its strategic workforce planning for the enlisted cyberspace workforce.
Estimated Completion Date (or Date Closed)	09/30/2026
Next Step is Up To	DHS
Narrative of Implementation Status	USCG is actively working to finalize the Cyber Mission Specialist (CMS) rating implementation. As part of this initiative, USCG is reprogramming enlisted billets. Once fully implemented, USCG will gather and analyze the workforce data to inform planning for the enlisted cyberspace workforce.
Component	USCG
Report Number (Public)	GAO-22-105208
Report Title	Coast Guard: Workforce Planning Actions Needed to Address Growing Cyberspace Mission Demands
Report Received/ Issued Date	09/27/2022
Rec #	4
Recommendation	The Commandant of the Coast Guard should develop metrics for recruitment of enlisted and all civilian cyberspace personnel, and use these metrics to assess the effectiveness of its recruitment and hiring efforts.
Estimated Completion Date (or Date Closed)	09/30/2026
Next Step is Up To	DHS

Narrative of Implementation Status	The implementation of USCG's CMS rating began during FY 2023. USCG is actively working to finalize the CMS rating implementation. Once fully implemented, USCG will gather and analyze the workforce data to inform planning for the enlisted cyberspace workforce.
Component	USCG
Report Number (Public)	GAO-22-105208
Report Title	Coast Guard: Workforce Planning Actions Needed to Address Growing Cyberspace Mission Demands
Report Received/ Issued Date	09/27/2022
Rec #	5
Recommendation	The Commandant of the Coast Guard should set and quantify retention goals and objectives for its cyberspace workforce.
Estimated Completion Date (or Date Closed)	09/30/2026
Next Step is Up To	DHS
Narrative of Implementation Status	The implementation of USCG's CMS rating began during FY 2023. USCG is actively working to finalize the CMS rating implementation. Once finalized, USCG will gather and analyze workforce data and consider retention incentives.
Component	USCG
Report Number (Public)	GAO-22-105208
Report Title	Coast Guard: Workforce Planning Actions Needed to Address Growing Cyberspace Mission Demands
Report Received/ Issued Date	09/27/2022
Rec #	6
Recommendation	The Commandant of the Coast Guard should establish and track metrics of success for improving cyberspace personnel morale and report its progress to Coast Guard leadership.
Estimated Completion Date (or Date Closed)	12/31/2024
Next Step is Up To	DHS
Narrative of Implementation Status	USCG added new questions to the 2023 Organizational Assessment Survey. The survey results will be available October 2024, at which time USCG will use the results as a measurement tool to track progress on improving cyberspace personnel morale.

Component	USCG
Report Number (Public)	GAO-23-105289
Report Title	Coast Guard: Additional Actions Needed to Improve Commercial Fishing Vessel Safety Efforts
Report Received/ Issued Date	11/02/2022
Rec #	3
Recommendation	The Commandant of the Coast Guard ensure that the Assistant Commandant for Prevention Policy develops a plan with time frames and interim milestones to fully implement the other 16 outstanding statutory requirements for commercial fishing vessel safety, including issuing regulations.
Estimated Completion Date (or Date Closed)	02/14/2024
Next Step is Up To	GAO
Narrative of Implementation Status	On February 14, 2024, USCG provided GAO with the regulatory plan to address statutory requirements and rulemaking statuses and requested that GAO close the recommendation as implemented. Most recently, on September 4, 2024, USCG requested an update on the request for closure.
Component	USCG
Report Number (Public)	GAO-23-105289
Report Title	Coast Guard: Additional Actions Needed to Improve Commercial Fishing Vessel Safety Efforts
Report Received/ Issued Date	11/02/2022
Rec #	4
Recommendation	The Commandant of the Coast Guard ensure that the Fishing Vessel Safety Division establishes performance goals for the commercial fishing vessel safety program that fully address all aspects of the program's strategic goals.
Estimated Completion Date (or Date Closed)	02/14/2024
Next Step is Up To	GAO
Narrative of Implementation Status	On February 14, 2024, USCG provided GAO with the strategic/performance goals for 2024-2025 and requested that GAO close the recommendation as implemented. This included six strategic goals with performance targets for each goal. Most recently, on September 4, 2024, USCG requested an update on the request for closure.
Component	USCG

Report Number (Public)	GAO-23-105289
Report Title	Coast Guard: Additional Actions Needed to Improve Commercial Fishing Vessel Safety Efforts
Report Received/ Issued Date	11/02/2022
Rec #	5
Recommendation	The Commandant of the Coast Guard ensure that the Fishing Vessel Safety Division sets realistic targets for the commercial fishing vessel safety program's performance goals.
Estimated Completion Date (or Date Closed)	06/28/2024
Next Step is Up To	GAO
Narrative of Implementation Status	On February 14, 2024, USCG provided GAO with performance goals for 2024-2025 and requested that GAO close the recommendation as implemented. This included guidance on the continuous collection of data and evaluation of these goals. Most recently, on September 4, 2024, USCG requested an update on the request for closure.
Component	USCG
Report Number (Public)	GAO-23-105289
Report Title	Coast Guard: Additional Actions Needed to Improve Commercial Fishing Vessel Safety Efforts
Report Received/ Issued Date	11/02/2022
Rec #	6
Recommendation	The Commandant of the Coast Guard ensure that the Fishing Vessel Safety Division uses performance data to assess progress towards the commercial fishing vessel safety program's goals on a regular basis.
Estimated Completion Date (or Date Closed)	06/28/2024
Next Step is Up To	GAO
Narrative of Implementation Status	On February 14, 2024, USCG provided GAO with performance goals for 2024-2025 and requested that GAO close the recommendation as implemented. This included six strategic goals with performance targets and guidance on the continuous collection of data and evaluation of each goal. Most recently, on September 4, 2024, USCG requested an update on the request for closure.
Component	USCG
Report Number (Public)	GAO-23-105574
Report Title	Coast Guard Health Care: Additional Actions Could Help Ensure Beneficiaries' Access

Report Received/ Issued Date	04/04/2023
Rec #	1
Recommendation	The Coast Guard should collect information on the reasons for USPHS [U.S. Public Health Service] recruitment and retention challenges, such as information obtained through standardized exit interviews; analyze the information; and take action as appropriate, such as sharing relevant information with USPHS and developing targeted strategies for addressing the challenges.
Estimated Completion Date (or Date Closed)	12/31/2024
Next Step is Up To	DHS
Narrative of Implementation Status	USCG's Office of Health, Safety, and Work-Life (CG-11) is updating its informal exit interview process to include a standardized questionnaire for each USPHS officer leaving the Service. This information will be used to better understand motivations behind USPHS departures and subsequent efforts to increase USPHS recruitment and retention will incorporate this feedback.
Component	USCG
Report Number (Public)	GAO-23-105574
Report Title	Coast Guard Health Care: Additional Actions Could Help Ensure Beneficiaries' Access
Report Received/ Issued Date	04/04/2023
Rec #	2
Recommendation	The Coast Guard, in collaboration with DHA, should develop an agreement to outline the responsibilities for and facilitation of the routine sharing of data on Coast Guard beneficiaries' access to medical care provided at DHA medical facilities.
Estimated Completion Date (or Date Closed)	1/22/2025
Next Step is Up To	GAO
Narrative of Implementation Status	On January 22, 2025, GAO closed this recommendation as implemented after the universe of open recommendations for this annual report was identified.
Component	USCG
Report Number (Public)	GAO-23-105574
Report Title	Coast Guard Health Care: Additional Actions Could Help Ensure Beneficiaries' Access
Report Received/ Issued Date	04/04/2023

Rec #	4
Recommendation	The Commandant of the Coast Guard should establish a process to routinely monitor data on Coast Guard beneficiaries' access to medical care provided at DHA medical facilities, once routine data sharing is established with DHA.
Estimated Completion Date (or Date Closed)	12/31/2024
Next Step is Up To	DHS
Narrative of Implementation Status	The Health, Safety, and Work-Life Service Center will provide data to medical clinics that can be shared during the Quality Improvement Focus Group. The Managed Care Officers will engage with clinics and regional managers to ensure no additional actions are needed to assist and support Coast Guard beneficiaries in obtaining medical care.
Component	USCG
Report Number (Public)	GAO-23-105574
Report Title	Coast Guard Health Care: Additional Actions Could Help Ensure Beneficiaries' Access
Report Received/ Issued Date	04/04/2023
Rec #	5
Recommendation	The Commandant of the Coast Guard should establish a process to routinely monitor data available from the managed care support contractors on Coast Guard beneficiaries' access to civilian medical care through TRICARE.
Estimated Completion Date (or Date Closed)	12/31/2024
Next Step is Up To	DHS
Narrative of Implementation Status	These data are currently shared, but only for TRICARE Prime Service Area during quarterly meetings with the Managed Care Support Contractors. The Health, Safety, and Work-Life Service Center will establish a process to monitor and report Managed Care Support Contractor TRICARE non-Prime Service Area data for locations where Coast Guard beneficiaries reside.
Component	USCG
Report Number (Public)	GAO-23-105385
Report Title	Coast Guard: Opportunities Exist to Strengthen Foreign Port Security Assessment Program
Report Received/ Issued Date	04/18/2023
Rec #	6

Recommendation	The Commandant of the Coast Guard should ensure the International Port Security Program incorporates performance measures that fully address the program's two key objectives of meeting its triennial assessment mandate and assessing risk to maritime security by assessing security at all visited ports.
Estimated Completion Date (or Date Closed)	09/30/2025
Next Step is Up To	DHS
Narrative of Implementation Status	The International Port Security Program's information system development is still progressing, but project completion is delayed until FY 2025. Coast Guard Atlantic Area completed development of initial performance measures with a repeatable International Port Security Program internal metrics dashboard. The advanced internal performance measures and information system is still under development.
Component	USCG
Report Number (Public)	GAO-23-105805
Report Title	Offshore Patrol Cutter: Coast Guard Should Mature Technology and Design to Reduce Further Concurrency in Acquisition Phases
Report Received/ Issued Date	06/20/2023
Rec #	1
Recommendation	The Commandant of the Coast Guard ensure that OPC program officials develop a technology maturation plan for the davit prior to builder's trials. This plan should identify potential courses of action to address davit technical immaturity, including assessing technology alternatives should the current davit continue to face development challenges, and a date by which the Coast Guard will make a go/no-go decision to pursue such a technology alternative.
Estimated Completion Date (or Date Closed)	12/31/2025
Next Step is Up To	DHS
Narrative of Implementation Status	The Eastern Shipping Group is conducting an Over Target Baseline/Over Target Schedule re-baselining. Following USCG approval of the Eastern Shipping Group's Over Target Baseline/Over Target Schedule, it will be able to provide the critical path for OPC 1.
Component	USCG
Report Number (Public)	GAO-23-105805

Report Title	Offshore Patrol Cutter: Coast Guard Should Mature Technology and Design to Reduce Further Concurrency in Acquisition Phases
Report Received/ Issued Date	06/20/2023
Rec #	2
Recommendation	The Commandant of the Coast Guard: ensure that OPC program officials test an integrated prototype of the davit in a realistic environment prior to stage 1 builder's trials.
Estimated Completion Date (or Date Closed)	10/31/2024
Next Step is Up To	DHS
Narrative of Implementation Status	The American Bureau of Shipping and the Coast Guard will witness the davit's (a crane-like device used on a ship for supporting, raising, and lowering equipment such as boats) first article testing and enhanced endurance testing before having it shipped to the shipyard. First article testing will expose the davit to realistic forces and loads to simulate Sea State 5. The American Bureau of Shipping must accept the davit to meet the contract's requirement.
Component	USCG
Report Number (Public)	GAO-23-105805
Report Title	Offshore Patrol Cutter: Coast Guard Should Mature Technology and Design to Reduce Further Concurrency in Acquisition Phases
Report Received/ Issued Date	06/20/2023
Rec #	5
Recommendation	The Commandant of Coast Guard ensure that the OPC stage 2 program achieves a sufficiently stable design prior to the start of lead ship construction. In line with shipbuilding leading practices, sufficiently stable design includes 100 percent completion of basic and functional design, including routing of major distributive systems and transitive components that effect multiple zones of the ship.
Estimated Completion Date (or Date Closed)	01/31/2025
Next Step is Up To	DHS
Narrative of Implementation Status	USCG previously requested that GAO close the recommendation as implemented, but GAO is keeping it open until USCG can demonstrate design stability prior to starting construction on stage 2 (i.e., OPC 5). The completion status of the OPC stage 2 Functional Design is at 95 percent and is expected to be completed no later than December 31, 2024.

Component	USCG
Report Number (Public)	GAO-23-106409
Report Title	Coast Guard: Clarifying Emergency Policies and Assessing Needs Could Improve Unit Disaster Preparedness
Report Received/ Issued Date	07/25/2023
Rec #	1
Recommendation	The Commandant of the Coast Guard ensure that agency disaster preparedness policies are updated to clearly identify requirements about maintaining emergency food and water at field units.
Estimated Completion Date (or Date Closed)	06/30/2025
Next Step is Up To	DHS
Narrative of Implementation Status	In accordance with Commandant Instruction M7100.3F and other guidance, as appropriate, the USCG Office of Emergency Management and Disaster Response will update the pertinent paragraphs in Commandant Instruction M3010.11E and M3010.24 (series) to identify requirements about maintaining emergency food and water at field units. For those units required to be prepared to maintain a response for 48-72 hours, these updates will also stipulate that these units shall assess, document, and maintain the required resources and appropriate subsistence to sustain a response for, at minimum, 3 days.
Component	USCG
Report Number (Public)	GAO-23-106409
Report Title	Coast Guard: Clarifying Emergency Policies and Assessing Needs Could Improve Unit Disaster Preparedness
Report Received/ Issued Date	07/25/2023
Rec #	2
Recommendation	The Commandant of the Coast Guard ensure that the Financial Resource Management Manual and its supporting procedures manual are updated to clarify policies and procedures for procuring emergency food and water.
Estimated Completion Date (or Date Closed)	12/31/2024
Next Step is Up To	DHS

Narrative of Implementation Status	The USCG Office of Financial Reporting, Policy, Property Oversight and Audit Remediation will update Commandant Instruction M7100.3F to clarify policies and procedures for procuring emergency food and water.
Component	USCG
Report Number (Public)	GAO-23-106409
Report Title	Coast Guard: Clarifying Emergency Policies and Assessing Needs Could Improve Unit Disaster Preparedness
Report Received/ Issued Date	07/25/2023
Rec #	3
Recommendation	The Commandant of the Coast Guard ensure that field units assess and document their emergency food and water needs in accordance with updated agency disaster preparedness policies.
Estimated Completion Date (or Date Closed)	06/30/2025
Next Step is Up To	DHS
Narrative of Implementation Status	The USCG Office of Emergency Management and Disaster Response will update the paragraphs in Commandant Instruction M3010.11 (series) discussing plan verification and requirements to require assessment and documentation of resources, and appropriate subsistence necessary to sustain the units for, at minimum, 3 days. This update will also include appropriate references of M7100.3F and other relevant policy for procurement of the same.
Component	USCG
Report Number (Public)	GAO-23-106629
Report Title	Merchant Mariner Credentialing: Coast Guard Performance Measures Could Better Address Mariners' Needs
Report Received/ Issued Date	07/26/2023
Rec #	1
Recommendation	The Commandant of the Coast Guard establish a performance measure for assessing the overall processing time to better reflect the needs of merchant mariner credential applications and the maritime community.
Estimated Completion Date (or Date Closed)	09/29/2028
Next Step is Up To	DHS

Narrative of Implementation Status	USCG's Merchant Mariner Credentialing Program currently uses a paper-based system and database, known as Merchant Mariner Licensing Documentation, which produces merchant mariner credentials, including each endorsement. To provide an overall process time metric that is valuable to stakeholders, each merchant mariner credential endorsement needs individual consideration. The USCG Office of Merchant Mariner Credentialing is developing a replacement for the Merchant Mariner Licensing Documentation database that will transform the way the Mariner Credentialing Program interacts with stakeholders, and processes merchant mariner credential applications. Once implemented, the Merchant Mariner Licensing Documentation replacement system will inherently eliminate delays by preventing the submission of incomplete applications to USCG. Once the new credentialing system is deployed, USCG will develop appropriate metrics. Deployment of the replacement system for the current Merchant Mariner Licensing Documentation database is dependent on Congressional funding.
Component	USCG
Report Number (Public)	GAO-23-106629
Report Title	Merchant Mariner Credentialing: Coast Guard Performance Measures Could Better Address Mariners' Needs
Report Received/ Issued Date	07/26/2023
Rec #	2
Recommendation	The Commandant of the Coast Guard after establishing an overall processing time performance measure, use it to regularly assess and report on the performance of the merchant mariner credentialing program.
Estimated Completion Date (or Date Closed)	03/30/2029
Next Step is Up To	DHS
Narrative of Implementation Status	Once the Merchant Mariner Licensing Documentation replacement system is deployed and fully operational, the USCG National Maritime Center will develop a process to regularly assess the performance of the merchant mariner credentialing program.
Component	U.S. Citizenship and Immigration Services (USCIS)
Report Number (Public)	GAO-17-444SU / GAO-17-706
Report Title	Refugees: Actions Needed by State Department and DHS to Further Strengthen Applicant Screening Process and Assess Fraud Risks

Report Received/ Issued Date	06/30/2017
Rec #	6
Recommendation	To provide reasonable assurance that USRAP applicant fraud prevention and detection controls are adequate and effectively implemented, the Secretaries of Homeland Security and State should conduct regular joint assessments of applicant fraud risk across USRAP.
Estimated Completion Date (or Date Closed)	12/31/2024
Next Step is Up To	GAO
Narrative of Implementation Status	USCIS' Refugee, Asylum, and International Affairs Directorate, International and Refugee Affairs Division, finalized its first fraud risk profile during September 2022, which USCIS submitted to GAO and requested that GAO close this recommendation as implemented. USCIS also informed GAO that the Refugee, Asylum, and International Affairs Directorate would not conduct another fraud risk profile because of a more recent GAO recommendation for USCIS to adopt an enterprise-wide approach to fraud risks (GAO-22-105328, issued September 19, 2022). However, GAO informed USCIS that it will not close this recommendation until there is evidence that the fraud risk associated with this program is considered in USCIS' new enterprise-wide approach to fraud risk. Therefore, USCIS plans no additional work specific to this recommendation while it works on its enterprise-wide fraud risk profiles, which are expected to be completed by December 2024.
Component	USCIS
Report Number (Public)	GAO-21-529
Report Title	U.S. Citizenship and Immigration Services: Actions Needed to Address Pending Caseload
Report Received/ Issued Date	08/18/2021
Rec #	5
Recommendation	Director of USCIS should develop a long-term workforce plan that includes strategies for acquiring, developing, and retaining staff.
Estimated Completion Date (or Date Closed)	07/29/2021
Next Step is Up To	GAO
Narrative of Implementation Status	USCIS did not concur with this recommendation, noting that its current workforce planning activities meet its needs to acquire, develop, and retain staff. USCIS previously provided GAO with information related to its short- and mid-term plans and strategies for acquiring, developing, and

	retaining staff, and plans to provide GAO with examples of its existing and ongoing staffing strategy and planning activities to demonstrate the adequacy of its efforts.
Component	USCIS
Report Number (Public)	GAO-22-105328
Report Title	U.S. Citizenship and Immigration Services: Additional Actions Needed to Manage Fraud Risks
Report Received/ Issued Date	09/19/2022
Rec #	1
Recommendation	The Director of USCIS should identify the factors that affect FDNS's workload to ensure the staffing model's assumptions reflect operating conditions.
Estimated Completion Date (or Date Closed)	12/31/2024
Next Step is Up To	DHS
Narrative of Implementation Status	USCIS's Fraud Detection and National Security Directorate (FDNS) successfully launched FDNS NexGen, the agency's new investigative case management system, during June 2023. USCIS will conduct a correlation analysis to further explore factors that affect FDNS's workload drivers during the first quarter of FY 2025.
Component	USCIS
Report Number (Public)	GAO-22-105328
Report Title	U.S. Citizenship and Immigration Services: Additional Actions Needed to Manage Fraud Risks
Report Received/ Issued Date	09/19/2022
Rec #	3
Recommendation	The Director of USCIS should develop and implement a process-including clearly defining roles and responsibilities-for regularly conducting fraud risk assessments and documenting fraud risk profiles for the immigration benefits USCIS is responsible for adjudicating.
Estimated Completion Date (or Date Closed)	12/31/2024
Next Step is Up To	DHS
Narrative of Implementation Status	A working group led by the FDNS completed the draft USCIS Fraud Risk Framework and submitted it for USCIS leadership review. Based on feedback received, FDNS revised the draft document and returned it to USCIS leadership for review and clearance. In addition, USCIS completed an analysis

	of available data to provide further insights into the draft fraud risk profile that was produced according to the principles set forth in the draft fraud risk framework.
Component	USCIS
Report Number (Public)	GAO-22-105328
Report Title	U.S. Citizenship and Immigration Services: Additional Actions Needed to Manage Fraud Risks
Report Received/ Issued Date	09/19/2022
Rec #	4
Recommendation	The Director of USCIS should develop and implement a process for developing and regularly updating an antifraud strategy that is aligned to the agency's fraud risk assessments.
Estimated Completion Date (or Date Closed)	12/31/2024
Next Step is Up To	GAO
Narrative of Implementation Status	The Fraud Risk Framework, currently with USCIS leadership for review and clearance, includes a section on the general process USCIS will employ for developing and regularly updating an antifraud strategy based on its Fraud Risk Assessments and associated Fraud Risk Profiles in the future. In addition, a USCIS working group identified potential antifraud strategies aimed at the immigration benefit risks of greatest concern from the draft fraud risk profile. Implementation of the antifraud strategies required for this recommendation by FDNS are dependent upon approval of the USCIS Fraud Risk Framework by USCIS leadership.
Component	USCIS
Report Number (Public)	GAO-22-105328
Report Title	U.S. Citizenship and Immigration Services: Additional Actions Needed to Manage Fraud Risks
Report Received/ Issued Date	09/19/2022
Rec #	5
Recommendation	The Director of USCIS should develop and implement a process-including clearly defining roles and responsibilities-for risk-based evaluation of the effectiveness and efficiency of antifraud activities.
Estimated Completion Date (or Date Closed)	01/30/2025
Next Step is Up To	DHS
Narrative of Implementation Status	The Fraud Risk Framework, currently with USCIS leadership for review and clearance, includes a section that defines the process for future risk-based evaluations of the effectiveness and the

	efficiency of antifraud activities. Implementation of this recommendation by FDNS and the USCIS's OCFO is dependent upon leadership approval of the Fraud Risk Framework.
Component	USCIS
Report Number (Public)	GAO-22-105328
Report Title	U.S. Citizenship and Immigration Services: Additional Actions Needed to Manage Fraud Risks
Report Received/ Issued Date	09/19/2022
Rec #	6
Recommendation	The Director of USCIS should develop outcome-oriented performance metrics, including baselines and targets as appropriate, to monitor the effectiveness of its antifraud activities.
Estimated Completion Date (or Date Closed)	12/31/2024
Next Step is Up To	DHS
Narrative of Implementation Status	The draft Fraud Risk Framework, developed by USCIS's FDNS and currently under review by leadership, provides a high-level outline for how USCIS will conduct fraud risk assessments and develop the related antifraud strategies, upon which outcome-oriented performance metrics will be based. USCIS is also developing additional outcome-oriented performance metrics for inclusion in future performance cycles. The completion and implementation of these metrics is dependent upon leadership approval of the USCIS Fraud Risk Framework.
Component	U.S. Secret Service (USSS)
Report Number (Public)	GAO-19-60
Report Title	U.S. Secret Service: Action Needed to Address Significant Gaps in IT Workforce Planning and Management Practices
Report Received/ Issued Date	11/16/2018
Rec #	8
Recommendation	The Director should ensure that the Office of Human Resources (1) develops and tracks metrics to monitor the effectiveness of the Secret Service's recruitment activities for the IT workforce, including their effectiveness at addressing skill and staffing gaps; and (2) reports to component leadership on those metrics.
Estimated Completion Date (or Date Closed)	12/31/2024

Next Step is Up To	DHS
Narrative of Implementation Status	USSH in the process of transitioning to USA Staffing to achieve an end-to-end hiring process that will be largely automated. USA Staffing will replace the current off-the-shelf system, Monster's Secret Service Hire. USSS defines end-to-end as the first contact with an employee until the employee's last day with the agency. The solution will include all onboarding and off-boarding forms, along with servicing of existing employees, with automated workflows that will greatly increase hiring efficiency. Once the transition is complete, it will allow for end-to-end hiring and better tracking of applicants, to include recruitment efforts.
Component	USSH
Report Number (Public)	GAO-19-60
Report Title	U.S. Secret Service: Action Needed to Address Significant Gaps in IT Workforce Planning and Management Practices
Report Received/ Issued Date	11/16/2018
Rec #	9
Recommendation	The Director should ensure that the Office of Human Resources and OCIO adjust their recruitment and hiring plans and activities, as necessary, after establishing and tracking metrics for assessing the effectiveness of these activities for the IT workforce
Estimated Completion Date (or Date Closed)	12/31/2024
Next Step is Up To	DHS
Narrative of Implementation Status	USSH's corrective actions to address this recommendation are dependent on the corrective actions in response to recommendation 8 from this same report. GAO informed USSS that it will consider this recommendation addressed once USSS submits documentation of the recruiting-related metrics that the agency uses to track its IT workforce. USSS coordinated internally to address recommendation 8, which must be done prior to addressing this recommendation.
Component	USSH
Report Number (Public)	GAO-19-60
Report Title	U.S. Secret Service: Action Needed to Address Significant Gaps in IT Workforce Planning and Management Practices
Report Received/ Issued Date	11/16/2018
Rec #	10

Recommendation	The Director should ensure that the CIO (1) defines the required training for each IT workforce group, (2) determines the activities that OCIO will include in its IT workforce training and development program based on its available training budget, and (3) implements those activities.
Estimated Completion Date (or Date Closed)	06/30/2025
Next Step is Up To	DHS
Narrative of Implementation Status	<p>The OCIO recognizes the importance of a well-trained and developed IT workforce and is taking steps to address GAO's recommendations. OCIO's newly developed 2023-2028 Strategic Plan prioritizes equipping the workforce with essential knowledge and skills necessary to support our mission objectives. OCIO is implementing a comprehensive approach that includes developing a training program. OCIO will define the required training for each IT workforce group and update the SOP to reflect the new training activities. OCIO will leverage resources such as the DHS Career Path and the National Institute of Standards and Technology Cybersecurity Workforce Framework.</p> <p>During 2022, OCIO established the Chief of Staff role at the General Schedule-15 level, specifically tasked with overseeing all human resources aspects. Subsequently, during 2023, responsibility for training was transferred to the Chief of Staff, who created the position of Training Coordinator within OCIO. The position description for the Training Coordinator was finalized during 2023 and during 2024 it was publicly announced, and a selection made. OCIO's dedicated Training Coordinator position will manage the development and implementation of the training program. In parallel, OCIO is currently revising the IT workforce position descriptions by leveraging the DHS Career Path and the National Institute of Standards and Technology Cybersecurity Workforce Framework, further solidifying the foundation for targeted and required training needs. Once the position is filled, OCIO will accomplish the following milestones: 1) Identify current training across directorate (quarter 3, FY 2025); 2) Perform a program-based training needs assessment (quarter 1, FY 2026); 3) Develop program Training Plans (quarter 4, FY 2026).</p>
Component	USSS
Report Number (Public)	GAO-19-60
Report Title	U.S. Secret Service: Action Needed to Address Significant Gaps in IT Workforce Planning and Management Practices
Report Received/ Issued Date	11/16/2018
Rec #	11

Recommendation	The Director should ensure that the CIO ensures that the IT workforce completes training specific to their positions (after defining the training required for each workforce group).
Estimated Completion Date (or Date Closed)	06/30/2025
Next Step is Up To	DHS
Narrative of Implementation Status	OCIO will implement a two-pronged approach to address this recommendation. First, as part of the OCIO Strategic Plan implementation, managers will develop Individual Development Plans for their employees, which will identify the specific training required for each employee based on the defined skills needed for each IT position. This will ensure that employees receive targeted training aligned with their job responsibilities and career goals. Second, OCIO will utilize the DHS IT Career Path for IT job series, which will help identify training and certifications for all applicable IT job series. Additionally, once a training manager is onboard and has had time to work with managers to develop training roadmaps, USSS will develop a comprehensive training plan to ensure employees continue to complete trainings.
Component	USSS
Report Number (Public)	GAO-19-60
Report Title	U.S. Secret Service: Action Needed to Address Significant Gaps in IT Workforce Planning and Management Practices
Report Received/ Issued Date	11/16/2018
Rec #	12
Recommendation	The Director should ensure that the CIO collects and assesses performance data (including qualitative or quantitative measures, as appropriate) to determine how the IT training program contributes to improved performance and results (once the training program is implemented).
Estimated Completion Date (or Date Closed)	06/30/2025
Next Step is Up To	DHS
Narrative of Implementation Status	Currently USSS's OCIO does not have a system to collect and assess performance training data due to the abrupt cancellation of DHS's Performance and LMS. However, USSS expects to launch a new LMS during FY 2025 which will provide a centralized platform for collecting training completion data, and user feedback. OCIO will conduct surveys to gather employee feedback on the training program's impact on their knowledge, skills, and job performance. Two recently hired Management Analysts will strengthen OCIO's ability to track metrics and analyze program performance. These

	analysts, in collaboration with the Training Coordinator, will play a key role in developing and implementing the data collection and analysis plan.
Component	USSS
Report Number (Public)	GAO-19-415
Report Title	U.S. Secret Service: Further Actions Needed to Fully Address Protective Mission Panel Recommendations
Report Received/ Issued Date	05/22/2019
Rec #	1
Recommendation	The Director of the Secret Service should develop and implement a plan to ensure that special agents assigned to PPD and VPD reach annual training targets given current and planned staffing levels.
Estimated Completion Date (or Date Closed)	08/29/2025
Next Step is Up To	DHS
Narrative of Implementation Status	<p>During July 2024, USSS experienced significant unanticipated challenges to the protective mission that had not occurred in more than 40 years. A breakdown in the security coordination with partner organizations led to an undesired outcome at a campaign rally for former President and Candidate, Donald J. Trump, in Pennsylvania, PA. The causes of the breakdown in coordination are currently under investigation and the recommended remediations to prevent further such incidents will not be known for several months. One week later, President Biden ended his campaign for re-election and endorsed Vice President Kamala Harris as the new Presidential Candidate. This required increased protection for Vice President Harris, expedited the planning of the establishment and staffing of the Former President Biden Protective Division, and the staffing of an additional Vice-Presidential Nominee protective detail. The increased operational tempo caused by these emerging events temporarily reduced the training opportunities for personnel during FY 2024. The rapid tempo and short-notice of campaign-related travel means that schedules and assignments shift quickly and frequently, increasing the need for personnel to travel on short notice and reducing the ability to commit personnel to training without cancellation. USSS now expects training during FY 2025 to hold steady or slightly decrease due to a change in Administration, as previously mentioned in the original response to happen in during FY 2025 or FY 2029. As President Biden announced that he will not seek reelection, the Administration is guaranteed to change during FY 2025. Such transitions always require a significant realignment of resources. As previously described at length in the original response, increasing training requires several improvements and enhancements in other areas</p>

	<p>to enable the training to be offered and taken. Staffing must increase, which requires increased hiring overall because of the carefully balanced career progression policy. It also requires enhanced facility capacity and capabilities for the Office of Training to be able to provide additional training sessions and high-quality instruction. The rationale for increased staffing and enhanced training capacity are discussed further below.</p> <p>USSS’s integrated mission of protection and investigations requires the agency to be a world-class employer, recruiting and retaining the best talent, and sustaining readiness levels commensurate with current and future mission demands. The agency pursued a steady growth plan over the past several years, but current end-strength personnel levels remain well below that required to ensure true mission readiness. As of July 2024, with 8,070 employees, USSS was staffed to about 84 percent or some 1,525 employees short of the FY 2028 staffing requirement of 9,595 employees, a target established as necessary by USSS’s FY 2021-2025 Human Capital Strategic Plan and validated by DHS and external evaluators. Although USSS decreased 130 positions overall during FYs 2022 and FY 2023, the agency is on pace to grow by almost 350 positions during FY 2024, with a projected 142 more Special Agents. The agency currently projects to onboard about 625 law enforcement personnel during FY 2024. However, even with this increased hiring and growth, many of those personnel will not be operational, or in-mission, for up to 9-12 months. Currently, USSS has 3,787 Special Agents and 1,569 Uniformed Division Officers, which is short of the FY 2024 law enforcement budgeted staffing level by 330 Special Agents and 154 Uniformed Division Officers. An internal review revealed two critical actions are necessary to achieve mission staffing level targets: 1) an increase in funding for increases of full-time equivalent positions within all USSS job groups; and 2) an increase in funding for additional training capacity and enhanced hiring operations to support position growth. Specifically, USSS suffers from critical staffing shortages in law enforcement personnel. For example, USSS is currently budgeted for 8,377 positions during FY 2025, 1,218 less than the future Human Capital Strategic Plan requirement, thus requiring an additional 406 budgeted position allocations per year from FYs 2026-2028. Additionally, USSS training infrastructure and training staff currently limits capacity to 456 Special Agents and 288 Uniformed Division officers per year. Accounting for average expected attrition from FYs 2025-2028, USSS’s Rowley Training Center—at its current capacity—limits net growth to 121 Special Agents and 71 Uniformed Division officers per year. Table 1 below shows the result of this growth analysis. To meet the in-mission law enforcement needs, USSS must increase law enforcement training capacity. The new Master Plan outlines a future state that will provide the foundation for a</p>
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	<p>modern USSS. The facilities at Rowley Training Center are critical to USSS's ability to train its agents, officers, support personnel, partners, etc. Properly funding training facilities ensures USSS can operate at the level appropriate for an elite law enforcement organization. Training Center buildings require significant repairs and upgrades to water, power, and telecommunications systems, including the Wilkie building, which is on the list of Top 10 Worst DHS Facilities. As buildings continue to deteriorate, the useable classroom and office space is reduced and new, temporary spaces such as trailers are needed to fill the gaps. USSS is also developing a workload-based staffing model for the Training Center. Additionally, RAND Corporation researchers are constructing a contemporary law enforcement training staffing model using a simulation methodology based on key inputs such as increasing student throughput and existing facility capacity. Another component of the model will identify staffing requirements for Training Center administrative and support functions based on a mapping of underlying business processes and associated workload measures. This staffing model will be instrumental in understanding current and future staffing needs of a modern training organization expected to accommodate a growing Secret Service workforce.</p> <p>The USSS FY 2025 budget request includes funding for a White House Defense Training facility at the Rowley Training Center to provide realistic training opportunities for law enforcement personnel who are assigned to the White House and for those who protect its occupants. This training facility will allow the agency to ensure that personnel are adequately trained to prevent security breaches at the White House.</p> <p>Currently, it is very difficult to predict how much training will occur during the remainder of the Presidential Campaign and the resulting needs for the next Presidential Administration. USSS is committed to increasing staffing and training to the goal of 12.5 percent, but additional staffing and training capabilities are required to achieve full mission readiness.</p>
Component	USSS
Report Number (Public)	GAO-19-415
Report Title	U.S. Secret Service: Further Actions Needed to Fully Address Protective Mission Panel Recommendations
Report Received/ Issued Date	05/22/2019
Rec #	2

Recommendation	The Director of the Secret Service should develop and implement a policy that documents the process for collecting complete Uniformed Division officer training data and establishes the types of information that should be collected.
Estimated Completion Date (or Date Closed)	11/29/2024
Next Step is Up To	DHS
Narrative of Implementation Status	USSF's Office of Training is developing the draft policy and anticipates finalizing it by September 30, 2024. The policy will document USSF's process for collecting complete Uniformed Division officer training data and establish the types of information that should be collected.
Component	USSF
Report Number (Public)	GAO-20-239
Report Title	U.S. Secret Service: Investigative Operations Confer Benefits, but Additional Actions Are Needed to Prioritize Resources
Report Received/ Issued Date	09/26/2019
Rec #	3
Recommendation	The Director of the Secret Service should establish a documented process to ensure that Office of Investigations resources are aligned with priority criminal threats. The process should outline key information to be included in plans for addressing priority threats.
Estimated Completion Date (or Date Closed)	05/30/2025
Next Step is Up To	GAO
Narrative of Implementation Status	USSF initially requested that GAO close this recommendation during 2021 and again in 2023. On June 4, 2024, GAO informed USSF that the recommendation remains open as partially addressed. GAO noted that USSF provided strategic plans related to investigative priorities and staffing management and held discussions with GAO regarding required corrective action. USSF disseminated high-level investigative priorities to field offices; and developed investigative plans for when an investigation requires resources from outside the initiating field office. However, there is no process for documenting key information regarding how resources are aligned with priority threats. Therefore, the recommendation remains open as partially addressed, and actions taken remain under review. On June 24, 2024, USSF submitted evidence of corrective actions to GAO that include a recent report demonstrating the use of relevant codes by Investigations personnel and requested that GAO close the recommendation as implemented. USSF awaits GAO's closure decision.

Component	USSS
Report Number (Public)	GAO-21-518
Report Title	Facial Recognition Technology: Federal Law Enforcement Agencies Should Better Assess Privacy and Other Risks
Report Received/ Issued Date	04/28/2021
Rec #	12
Recommendation	The Director of the Secret Service should, after implementing a mechanism to track non-federal systems, assess the risks of using such systems, including privacy and accuracy-related risks.
Estimated Completion Date (or Date Closed)	10/23/2024
Next Step is Up To	DHS
Narrative of Implementation Status	On October 23, 2024, GAO closed this recommendation after the universe of open recommendations for this annual report was identified.
Component	USSS
Report Number (Public)	GAO-21-105255
Report Title	Capitol Attack: Special Event Designations Could Have Been Requested for January 6, 2021, but Not All DHS Guidance is Clear
Report Received/ Issued Date	08/09/2021
Rec #	1
Recommendation	The Secretary of Homeland Security should consider whether additional factors, such as the context of the events and surrounding circumstances in light of the current environment of emerging threats, are needed for designating NSSE events.
Estimated Completion Date (or Date Closed)	2/7/2025
Next Step is Up To	GAO
Narrative of Implementation Status	On February 7, 2025, GAO closed this recommendation as no longer valid after the universe of open recommendations for this annual report was identified.
Component	USSS
Report Number (Public)	GAO-21-105255
Report Title	Capitol Attack: Special Event Designations Could Have Been Requested for January 6, 2021, but Not All DHS Guidance is Clear

Report Received/ Issued Date	08/09/2021
Rec #	2
Recommendation	The Secretary of Homeland Security should update the Department of Homeland Security's policy to clarify and communicate the process for requesting an NSSE designation for an event held on federal property in Washington, D.C. to all relevant stakeholders, including relevant federal, state, and local entities
Estimated Completion Date (or Date Closed)	11/12/2021
Next Step is Up To	GAO
Narrative of Implementation Status	<p>While senior DHS leadership, program officials, and SMEs value GAO's perspective concerning the NSSE designation process, DHS continues to believe the process already is dynamic, responsive to change, and understood by relevant stakeholders in the National Capitol Region. Additionally, DHS's Office of Partnership and Engagement advocates for, and represents, the interests of State, local, tribal, territorial (SLTT) governments, including the D.C. Homeland Security and Emergency Management Agency. The Office of Partnership and Engagement also serves as a conduit for the Secretary of DHS to engage with stakeholders or share information on a variety of topics, including partnering with USSS and/or others through the Office of Intergovernmental Affairs to respond to SLTT questions regarding the NSSE request and designation process, as needed. Furthermore, DHS Office of Operations Coordination fulfills a unique response and facilitation role within the Department by serving as the bridge for sharing critical information between DHS Components, across the interagency community, and among homeland security partners.</p> <p>It is important to note that based upon a request from Washington, D.C. Mayor Muriel Bowser, and in response to inputs from various stakeholders, on September 11, 2024, the Secretary of Homeland Security designated the joint session of Congress to count the electoral votes on January 6, 2025, as an NSSE. Nonetheless, DHS's position on the recommendation remains the same – that GAO should consider it resolved and closed, as DHS requested in both the management response letter included in the final report and the Deputy Secretary's letter to GAO on November 12, 2021.</p>
Component	USSS
Report Number (Public)	GAO-22-104767
Report Title	Ransomware: Federal Agencies Provide Useful Assistance but Can Improve Collaboration

Report Received/ Issued Date	09/14/2022
Rec #	2
Recommendation	The Secretary of Homeland Security direct the Director of Secret Service to (1) evaluate how to best address concerns raised by SLTTs and facilitate collaboration with other key ransomware stakeholders and (2) improve interagency coordination on ransomware assistance to SLTTs.
Estimated Completion Date (or Date Closed)	06/28/2024
Next Step is Up To	GAO
Narrative of Implementation Status	GAO reviewed follow-up documentation that USSS initially submitted in response to the recommendation and identified a few areas that needed additional support. GAO advised that to fully address this recommendation, USSS must demonstrate its efforts through the Joint Ransomware Task Force, or other mechanisms, to address concerns raised by SLTT governments and improve interagency collaboration on ransomware assistance. On June 28, 2024, USSS submitted additional supporting documentation to GAO and requested that GAO close the recommendation as implemented and is awaiting GAO's closure decision.
Component	USSS
Report Number (Public)	GAO-23-105466
Report Title	Cybersecurity: Secret Service Has Made Progress Toward Zero Trust Architecture, but Work Remains
Report Received/ Issued Date	11/15/2022
Rec #	1
Recommendation	The Director of the Secret Service should instruct the agency's chief information officer to implement outstanding Office of Management and Budget requirements for transitioning to IPv6, particularly in regard to upgrading its public-facing systems.
Estimated Completion Date (or Date Closed)	09/30/2025
Next Step is Up To	DHS
Narrative of Implementation Status	USSS submitted its statutorily-required 180-day letter on actions taken, on-going, or planned during May 2023, and informed GAO that the OCIO previously reported a significant risk regarding the agency's internet protocol version 6 implementation due to a lack of funding for this project. The risk is documented in the DHS Headquarters internet protocol version 6 transition risk tracker. During

	<p>April 2023, OCIO completed an assessment of the current network architecture for the USSS's Unclassified Network, which resulted in a recommendations report to help guide internet protocol version 6 planning and implementation efforts. OCIO continues to review and assess artifacts provided by DHS and the GSA, including a baseline asset list of IP-based items as potential candidates for the internet protocol version 6 implementation to determine the accuracy of the list, prioritization of the items, and sequencing for internet protocol version 6 implementation. Additionally, OCIO is participating in the DHS Network Modernization integrated project team.</p>
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IV. Implementation Status of OIG's Public Recommendations

A. Recommendations "Closed, Unimplemented"

From October 01, 2023, to September 30, 2024, OIG designated five public recommendations addressed to DHS as "closed, unimplemented." These recommendations are listed below along with the Department's justification for not implementing each recommendation.

DHS strictly adheres to a self-imposed practice of not closing any OIG recommendations without first reaching agreement with OIG staff to do so and has followed this practice since 2010. This practice provides Congress and the public added confidence that appropriate actions were taken to implement these recommendations or otherwise to resolve any disagreements.

Component	CISA
Report Number	OIG-22-06
Report Title	DHS Needs Additional Oversight and Documentation to Ensure Progress in Joint Cybersecurity Efforts
Report Received/ Issued Date	11/17/2021
Rec #	1
Recommendation	OIG recommended the Director of CISA develop an implementation plan to conduct periodic assessments for monitoring the progress of goals and activities and complete annual updates on action items, as required by the Cyber Action Plan and associated 2015 and 2018 memorandums.
Date Closed	08/15/2024
Narrative of Implementation Status	Since the signing of the 2018 MOU, the relationship between DHS and the DOD has significantly matured. This evolution was largely driven by new statutory requirements, which led to the establishment of the Joint Cyber Defense Collaborative (JCDC) within CISA. The vision and operations of the JCDC closely align with the objectives outlined in the 2018 memorandum, effectively integrating its guiding principles and Lines of Effort. As a result, the Cyber Protection and Defense Security Steering Group has become redundant. In light of this, CISA's Cybersecurity Division and Strategic Programs and Policy, in collaboration with DHS and DOD co-chairs, decided to rescind the 2018 MOU and close actions related to the 2015 Cyber Act. Given the comprehensive efforts undertaken by DHS, CISA, and DOD, OIG closed the recommendation as unimplemented.
Component	CISA
Report Number	OIG-22-06
Report Title	DHS Needs Additional Oversight and Documentation to Ensure Progress in Joint Cybersecurity Efforts
Report Received/ Issued Date	11/17/2021
Rec #	2
Recommendation	OIG recommended the Director of CISA conduct centralized tracking and completion of signed closeout summaries to reconcile the ongoing, outstanding, and open tasks and activities, as required by the Cyber Action Plan and associated 2015 and 2018 memorandums.
Date Closed	08/15/2024

Narrative of Implementation Status	Since the signing of the 2018 MOU, the relationship between DHS and DOD has significantly matured. This evolution was largely driven by new statutory requirements, which led to the establishment of the JCDC within CISA. The vision and operations of the JCDC closely align with the objectives outlined in the 2018 memorandum, effectively integrating its guiding principles and Lines of Effort. As a result, the Cyber Protection and Defense Security Steering Group has become redundant. In light of this, CISA's Cybersecurity Division and Strategic Programs and Policy, in collaboration with DHS and DOD co-chairs, decided to rescind the 2018 MOU and close actions related to the 2015 Cyber Act. Given the comprehensive efforts undertaken by DHS, CISA, and DOD, OIG closed the recommendation as unimplemented.
Component	CISA
Report Number	OIG-22-06
Report Title	DHS Needs Additional Oversight and Documentation to Ensure Progress in Joint Cybersecurity Efforts
Report Received/ Issued Date	11/17/2021
Rec #	3
Recommendation	OIG recommended the Director of CISA establish performance measures to ensure the effectiveness and completion of the Cyber Action Plan and associated 2015 and 2018 memorandum activities.
Date Closed	08/15/2024
Narrative of Implementation Status	Since the signing of the 2018 MOU, the relationship between DHS and DOD has significantly matured. This evolution was largely driven by new statutory requirements, which led to the establishment of the JCDC within CISA. The vision and operations of the JCDC closely align with the objectives outlined in the 2018 memorandum, effectively integrating its guiding principles and Lines of Effort. As a result, the Cyber Protection and Defense Security Steering Group has become redundant. In light of this, CISA's Cybersecurity Division and Strategic Programs and Policy, in collaboration with DHS and DOD co-chairs, decided to rescind the 2018 MOU and close actions related to the 2015 Cyber Act. Given the comprehensive efforts undertaken by DHS, CISA, and DOD, OIG closed the recommendation as unimplemented.
Component	CISA
Report Number	OIG-22-06

Report Title	DHS Needs Additional Oversight and Documentation to Ensure Progress in Joint Cybersecurity Efforts
Report Received/ Issued Date	11/17/2021
Rec #	4
Recommendation	OIG recommended the Director of CISA establish the DHS governance structure and ensure it consists of an Executive Committee that meets at least semi-annually and a Steering Committee that meets at least quarterly, as required.
Date Closed	08/15/2024
Narrative of Implementation Status	Since the signing of the 2018 MOU, the relationship between DHS and DOD has significantly matured. This evolution was largely driven by new statutory requirements, which led to the establishment of the JCDC within CISA. The vision and operations of the JCDC closely align with the objectives outlined in the 2018 memorandum, effectively integrating its guiding principles and Lines of Effort. As a result, the Cyber Protection and Defense Security Steering Group has become redundant. In light of this, CISA's Cybersecurity Division and Strategic Programs and Policy, in collaboration with DHS and DOD co-chairs, decided to rescind the 2018 MOU and close actions related to the 2015 Cyber Act. Given the comprehensive efforts undertaken by DHS, CISA, and DOD, OIG closed the recommendation as unimplemented.
Component	USCG
Report Number	OIG-21-66
Report Title	DHS Did Not Fully Comply with Requirements in the Transportation Security Card Program Assessment
Report Received/ Issued Date	09/22/2021
Rec #	1
Recommendation	OIG recommended the Secretary of Homeland Security, in consultation with TSA and the Coast Guard, re-evaluate the HSOAC [Homeland Security Operational Analysis Center] assessment, and report on further corrective actions necessary to address the four areas of concern from the assessment findings, as identified in this report, or justify excluding these areas of concern from the corrective action plan.
Date Closed	04/01/2024

<p>Narrative of Implementation Status</p>	<p>OIG concluded that DHS’s corrective action for the Assessment of the Risk Mitigation Value of the Transportation Worker Identification Credential, dated June 2020, was overcome by events. Specifically, feedback received from the National Maritime Security Advisory Committee significantly impacted USCG’s original plan, which was to consolidate the recommendations from the risk analysis and the Committee during May 2023, but according to OIG, USCG could not explain how the feedback impacted its original corrective action plan, how it intended to address the Committee’s concerns, or how it intended to move forward to fully implement the Transportation Worker Identification Card (TWIC) program. Furthermore, the results of the risk analysis possibly conflicted with the input from the Committee. A recent milestone added to the plan was to evaluate the Chemical Facility Anti-Terrorism Standards program as a model for the TWIC reader rule; however, as of July 28, 2023, Congress allowed the statutory authority for the program to expire. These factors materially changed the conditions that existed at the time of the OIG audit. Therefore, OIG closed the recommendation as unimplemented.</p>
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B. Recommendations “Open”

As of September 30, 2024, 280 OIG public recommendations were designated as “open” for a period of not less than 1 year (i.e., since September 30, 2023). These recommendations are listed below, along with a description of the actions taken, ongoing, or planned to address the recommendations; an ECD; and a brief discussion of resource and budgetary implications, as appropriate.⁴

⁴ DHS is also including 15 recommendations from the Treasury OIG report OIG-22-033 “Revenue Collection: The U.S. Customs and Border Protection’s Oversight of the Merchandise Transported In-Bond Program Needs Improvement to Better Ensure the Protection of Revenue,” dated March 31, 2022, to provide more complete disclosure of the OIG recommendations it tracks and monitors.

Component	CBP
Report Number (Public)	OIG-18-83/OIG-18-83 FOUO
Report Title	CBP's International Mail Inspection Processes Need Improvement at JFK International Airport
Report Received/ Issued Date	09/24/2018
Rec #	4
Recommendation	The Executive Assistant Commissioners for Field Operations and Operations Support update CBP's International Mail Operations and Enforcement Handbook to reflect all types of arriving international mail.
Estimated Completion Date (or Date Closed)	12/20/2024
Next Step is Up To	OIG
Narrative of Implementation Status	On December 20, 2024, OIG closed this recommendation as implemented, after the universe of open recommendations for this annual report was identified.
Component	CBP
Report Number (Public)	OIG-18-83/OIG-18-83 FOUO
Report Title	CBP's International Mail Inspection Processes Need Improvement at JFK International Airport
Report Received/ Issued Date	09/24/2018
Rec #	7
Recommendation	The Executive Assistant Commissioners for Field Operations and Operations Support jointly update the Seized Asset Management and Enforcement Procedure Handbook and the International Mail Operations and Enforcement Handbook to outline all of the precautions necessary to safeguard suspicious mail prior to formal seizure.
Estimated Completion Date (or Date Closed)	12/31/2024
Next Step is Up To	OIG
Narrative of Implementation Status	CBP's OFO updated the International Mail Operations and Enforcement, including Section 5, Classes of Mail, to clearly reflect the types of arriving international mail. The Seized Asset Management and

	Enforcement Procedures Handbook (SAMEPH), Section 4.2.5 and 4.2.6 have also been updated. CBP requested that OIG close the recommendation as implemented.
Component	CBP
Report Number (Public)	OIG-19-23
Report Title	Border Patrol Needs a Staffing Model to Better Plan for Hiring More Agents
Report Received/ Issued Date	02/28/2019
Rec #	1
Recommendation	The Under Secretary for Management of DHS ensure CBP and Border Patrol expedite development and implementation of a workforce staffing model for U.S. Border Patrol as required by Congress to better inform staffing and resource deployment decisions.
Estimated Completion Date (or Date Closed)	04/30/2025
Next Step is Up To	DHS
Narrative of Implementation Status	On April 30, 2024, the Special Operations sub-model, which is comprised of two parts, received limited and conditional accreditation, and is currently pending publication of the final report from the DHS Program Analysis and Evaluation team, who conducts the independent V&V of the staffing model, final report. Once the final report is published, the USBP Staffing Model Congressional Report will be updated and routed to OMB for final clearance. As of August 2024, all components of the USBP Staffing Model (Patrol Border Group, Sector Intelligence Unit, Special Operations, and Operational Support Group) have been validated and accredited by DHS Program Analysis and Evaluation. USBP is aligning the workforce staffing model to its Table of Organization, which includes aligning it with staffing model outcomes, allocating positions based on operational priorities, developing new structures as necessary, and continuously evaluating and updating requirements to reflect changes in mission priorities, technological advancements, and emerging threats.
Component	CBP
Report Number (Public)	OIG-21-27
Report Title	CBP Faced Challenges in its Inspection Processes and Physical Security at the JFK International Mail Facility
Report Received/ Issued Date	03/15/2021

Rec #	1
Recommendation	The Acting Assistant Commissioner for the Office of Information Technology, and the Executive Assistant Commissioner for the Office of Field Operations, and Acting Executive Assistant Commissioner for Operations Support provide the support staff and equipment necessary at the JFK IM to adequately inspect mail in a timely manner.
Estimated Completion Date (or Date Closed)	06/30/2025
Next Step is Up To	DHS
Narrative of Implementation Status	Computerized tomography scanners will be deployed as new conveyor construction meets necessary parameters. CBP awarded a contract to procure new and advanced mail sorting technology for the International Mail Facility (IMF). CBP received and approved final system design. This equipment is expected to be fully integrated with third party non-intrusive inspection equipment. CBP reviewed and approved final system designs for the new and advanced letter sorting technology to be deployed to the IMF. Once completed, the vendor will provide training materials on the new system. A contract was requested through GSA for required support for the installation of the already purchased Mail Sorting and Singulation Technologies. CBP's OFO, John F. Kennedy (JFK) IMF has received all shipments of the mail sorting and singulation technology for parcel sorting. CBP anticipates issuance of construction permits by Port Authority in November 2024 and construction complete in May 2025.
Component	CBP
Report Number (Public)	OIG-21-27
Report Title	CBP Faced Challenges in its Inspection Processes and Physical Security at the JFK International Mail Facility
Report Received/ Issued Date	03/15/2021
Rec #	5
Recommendation	The Executive Assistant Commissioner for the Office of Field Operations and Acting Executive Assistant Commissioner for Operations Support implement the necessary controls to secure mail in CBP's possession at the JFK IMF.
Estimated Completion Date (or Date Closed)	06/30/2025
Next Step is Up To	DHS

Narrative of Implementation Status	CBP's OFO continues to implement security measures to secure mail in its possession at the JFK IMF by taking the following steps: CBP employee access control system records continue to be reviewed monthly to ensure employees only have access to areas with an official need to perform work; and the draft interim Physical Security Controls SOPs have been finalized and are currently being implemented. CBP OFO Operational Floor Renovation Phase 1 Project involves 8 of 40 facilities intended for development at the IMF. CBP anticipates issuance of construction permits by Port Authority during November 2024 and construction complete by May 2025.
Component	CBP
Report Number (Public)	OIG-21-62
Report Title	CBP Targeted Americans Associated with the 2018-2019 Migrant Caravan
Report Received/ Issued Date	09/20/2021
Rec #	1
Recommendation	The Senior Official Performing the Duties of the Commissioner of CBP update Customs Directive No. 4320-003, July 1990 (TECS Directive) to clarify the appropriate bases for placing lookouts and providing training to all CBP officials who have the authority to place lookouts.
Estimated Completion Date (or Date Closed)	01/31/2025
Next Step is Up To	DHS
Narrative of Implementation Status	CBP's OFO concurred with this recommendation and stated it will update the Treasury Enforcement Communication System (TECS) directive, which includes lookout placement procedures. Additionally, CBP's existing training will be modified to inform users that lookouts should only be created for law enforcement purposes. As of September 30, 2024, OFO has revised the TECS directive and will send the directive out for internal review and comment.
Component	CBP
Report Number (Public)	OIG-21-62
Report Title	CBP Targeted Americans Associated with the 2018-2019 Migrant Caravan
Report Received/ Issued Date	09/20/2021
Rec #	3

Recommendation	The Senior Official Performing the Duties of the Commissioner of CBP develop and issue a policy regarding asking, advising, or otherwise communicating with foreign governments about denying entry to U.S. citizens. At a minimum, the policy should specify the appropriate circumstances for such communications, who is authorized to approve such communications, and the procedures to follow when making such communications.
Estimated Completion Date (or Date Closed)	03/31/2025
Next Step is Up To	DHS
Narrative of Implementation Status	CBP concurred with this recommendation and will revise CBP policy Directive No. 4320-025A, “Disclosure of Official Information to Foreign Authorities,” dated April 2014, by adding a provision specifically focused on sharing the information regarding U.S. Persons with foreign governments. The Directive already includes special handling/requirements for other categories of information, such as Locally Employed Staff and the Violence Against Women Act. As of September 30, 2024, the CBP Privacy Office completed the new policy Annex to Directive 4320-25B. The Annex has cleared all CBP offices and is pending final leadership level clearance.
Component	CBP
Report Number (Public)	OIG-21-62
Report Title	CBP Targeted Americans Associated with the 2018-2019 Migrant Caravan
Report Received/ Issued Date	09/20/2021
Rec #	5
Recommendation	The Senior Official Performing the Duties of the Commissioner of CBP provide training to all CBP personnel on the process for sharing information with foreign nations, covering all applicable policies and procedures, including which CBP personnel are authorized to make foreign disclosures.
Estimated Completion Date (or Date Closed)	12/31/2024
Next Step is Up To	DHS
Narrative of Implementation Status	CBP’s Privacy and Diversity Office, in coordination with CBP’s Office of Training Development, is developing a new Acadis (CBP’s online LMS) training, outlining the policies and procedures for sharing information with both Domestic and Foreign Law Enforcement partners. The interactive Acadis-based presentation training will be available to all CBP personnel with access to CBP data systems. Office of

	Training Development has developed story boards and initial course slides based on Privacy and Diversity Office -provided material. The course also includes interactive materials, as well as a knowledge check.
Component	CBP
Report Number (Public)	OIG-21-62
Report Title	CBP Targeted Americans Associated with the 2018-2019 Migrant Caravan
Report Received/ Issued Date	09/20/2021
Rec #	6
Recommendation	The Senior Official Performing the Duties of the Commissioner of CBP take immediate action to end the use of WhatsApp for operational purposes or to ensure that WhatsApp messages are retained in compliance with legal and policy requirements including records retention schedules.
Estimated Completion Date (or Date Closed)	09/30/2025
Next Step is Up To	DHS
Narrative of Implementation Status	CBP Mobility has worked with OIT Cybersecurity Directorate to implement a new Request and Approval Process (via SailPoint) for the Telemesssage WhatsApp Phone Archiver tool. This will allow all new field requests for WhatsApp to be fulfilled with the archiver tool, which is fully compatible with internal and external WhatsApp users while allowing for automated retention and archival of official communications and records in accordance with Federal requirements. This action completes Phase 1 of the efforts to address this issuance. Phase 2 will focus on migrating the existing WhatsApp users (those who had the application prior to the new process) to the new archiver solution. This effort will take considerable time as those users will be required to manually archive their local records prior to the migration (records themselves cannot be migrated from one system to the other). This will include extensive communications and coordination with both the users and the CBP Records and Information Management team to ensure compliance. CBP expects this transition to be completed and have the use of native WhatsApp terminated by end of FY 2025.
Component	CBP
Report Number (Public)	OIG-22-033
Report Title	Revenue Collection: The U.S. Customs and Border Protection's Oversight of the Merchandise Transported In-Bond Program Needs Improvement to Better Ensure the Protection of Revenue

Report Received/ Issued Date	03/31/2022
Rec #	1
Recommendation	The CBP Commissioner ensure CSC officials develop and disseminate performance measures specific to the In-Bond Program so that CSC, field offices, and port personnel are aware of program expectations. These measures should be used to regularly assess port performance and hold ports accountable.
Estimated Completion Date (or Date Closed)	03/31/2025
Next Step is Up To	DHS
Narrative of Implementation Status	CBP's OFO's Cargo Security and Control (CSC) Division distributed a memorandum and muster on February 27, 2023, to CBP's field offices that provided new in-bond enforcement policy and guidance for the examination and auditing of In-Bonds, In-Bond Self-Inspection Worksheet (SIW) compliance, and Port Export In-Bond Auditing. Subsequently CSC received feedback from the field offices that entailed a re-examination and course correction regarding the protocol for auditing overdue in-bonds and how to better record and store in-bond audit results. CSC is revising these areas of the new in-bond enforcement protocol. The interim in-bond enforcement protocol guidance (i.e., memorandum and muster), that will include examination and audit performance requirements, is being finalized and will be issued shortly.
Component	CBP
Report Number (Public)	OIG-22-033
Report Title	Revenue Collection: The U.S. Customs and Border Protection's Oversight of the Merchandise Transported In-Bond Program Needs Improvement to Better Ensure the Protection of Revenue
Report Received/ Issued Date	03/31/2022
Rec #	2
Recommendation	The CBP Commissioner ensure CSC officials develop written procedures for CSC's oversight of port performance relating to the In-Bond Program to include, but not be limited to, regular data analytics and review of ACE reports.
Estimated Completion Date (or Date Closed)	03/31/2025
Next Step is Up To	DHS
Narrative of Implementation Status	CBP's OFO's CSC decided to redevelop the in-bond audit reporting tool in Dataverse, which is a much more robust platform. The new tool, along with updated and new ACE In-Bond Reports, will allow CSC

	to effectively monitor port in-bond enforcement performance. Once the new tool and ACE In-Bond Reports are available for use, CSC will create written SOP for staff to rely on to assist in their ongoing in-bond oversight activity. CBP has had unforeseen delays with deploying the in-bond audit reporting tool, associated Power BI Analytics Dashboard and development of the written oversight procedures to be used by CSC staff to adequately oversee the ports' ongoing in-bond post audit enforcement performance.
Component	CBP
Report Number (Public)	OIG-22-033
Report Title	Revenue Collection: The U.S. Customs and Border Protection's Oversight of the Merchandise Transported In-Bond Program Needs Improvement to Better Ensure the Protection of Revenue
Report Received/ Issued Date	03/31/2022
Rec #	3
Recommendation	The CBP Commissioner ensure CSC officials work with TTO officials to implement a central repository to store ACE reports, compliance examination documentation, and other in-bond related information, including training materials, maintained by the ports so that CSC can oversee in-bond activity. Additionally, CSC should regularly notify field offices and ports that these documents are available in this repository.
Estimated Completion Date (or Date Closed)	03/31/2025
Next Step is Up To	DHS
Narrative of Implementation Status	CBP's OFO's CSC continues to work with the CBP's OT's Trade Transformation Office (TTO) to provide system functionality requirements for future enhancements, subject to competing priorities and yearly appropriation funding allocations. This is an on-going process based on available funding. OFO's In-Bond Audit Tool is being developed with revisions in the Dataverse Platform. During June 2023, CSC decided to redevelop the Tool in Dataverse, which is a much more robust platform. CSC made gains with the roll-out and implementation of the In-Bond Compliance Measurement Program (In-Bond Examinations driven by user defined rules in the Automated Targeting Import Cargo System), which is now in its second year. All compliance examination documentation, results, proof of export records, examination results, etc., are logged and retained in the Automated Targeting Import Cargo Exam Findings Module. Further advances will be made at such time when deployment of the OFO In-Bond Audit Tool and associated Power BI Analytics Dashboard have been achieved.
Component	CBP

Report Number (Public)	OIG-22-033
Report Title	Revenue Collection: The U.S. Customs and Border Protection's Oversight of the Merchandise Transported In-Bond Program Needs Improvement to Better Ensure the Protection of Revenue
Report Received/ Issued Date	03/31/2022
Rec #	4
Recommendation	The CBP Commissioner ensure CSC officials expand the SIP in-bond SIW questions to cover key program areas, such as the ports' use of ACE reporting to oversee overdue in-bond shipments and training for CBP officers on in-bond compliance examinations and audits.
Estimated Completion Date (or Date Closed)	03/31/2025
Next Step is Up To	DHS
Narrative of Implementation Status	CBP's OFO's CSC Division will incorporate more detailed SIW guidance for responding to all questions on its updated SIW. CSC is collaborating with OFO's Planning, Program Analysis and Evaluation Directorate to determine how best to provide guidance to the ports on responding to In-Bond SIW questions, which will include scenarios and the appropriate responses. The use of the SIW for In-Bond was suspended during FY 2023 until the in-bond enforcement protocol can be implemented. Ongoing development of OFO In-Bond Enforcement Protocol (including the OFO In-Bond Audit Tool) continues. New SIW questions and guidance will be developed accordingly.
Component	CBP
Report Number (Public)	OIG-22-033
Report Title	Revenue Collection: The U.S. Customs and Border Protection's Oversight of the Merchandise Transported In-Bond Program Needs Improvement to Better Ensure the Protection of Revenue
Report Received/ Issued Date	03/31/2022
Rec #	5
Recommendation	The CBP Commissioner ensure CSC officials provide guidance to the ports on how to respond to in-bond SIW questions to include scenarios and the appropriate response given those scenarios.
Estimated Completion Date (or Date Closed)	03/31/2025
Next Step is Up To	DHS

Narrative of Implementation Status	CBP's OFO's CSC Division will incorporate more detailed SIW guidance for responding to all questions on its updated SIW. CSC is collaborating with OFO's Planning, Program Analysis and Evaluation Directorate to determine how best to provide guidance to the ports on responding to In-Bond SIW questions, which will include scenarios and the appropriate responses. The use of the SIW for In-Bond was suspended during FY 2023 until the in-bond enforcement protocol can be implemented. Ongoing development of OFO In-Bond Enforcement Protocol (including the OFO In-Bond Audit Tool) continues. New SIW questions and guidance will be developed accordingly.
Component	CBP
Report Number (Public)	OIG-22-033
Report Title	Revenue Collection: The U.S. Customs and Border Protection's Oversight of the Merchandise Transported In-Bond Program Needs Improvement to Better Ensure the Protection of Revenue
Report Received/ Issued Date	03/31/2022
Rec #	7
Recommendation	The CBP Commissioner ensure CSC officials issue policies and procedures for ports on ACE reports they are expected to run regularly to oversee in-bond shipments and ensure in-bonds are closed out. This should include guidance necessary to monitor shipments in ACE as well as review proof of exports.
Estimated Completion Date (or Date Closed)	03/31/2025
Next Step is Up To	DHS
Narrative of Implementation Status	CBP's OFO's CSC received feedback from the field offices that entailed a re-examination and course correction regarding our protocol for auditing of overdue in-bonds and how to better record and store in-bond audit results on new In-Bond enforcement policy and guidance for the examination and auditing of In-Bonds, In-Bond SIW compliance, and Port Export In-Bond auditing. CSC created a new working group (OFO In-Bond Work Group) comprised of the OFO in-bond SMEs, which will specifically create new training and oversight SOP that direct CBP Officers on how to properly monitor in-bond shipments and to effectively enforce carriers' compliance with 19 C.F.R. Part 18 (In-Bond). CSC will provide training and update guidance on how to run ACE In-Bond Reports to identify open in-bond entries to be audited and examined. Further, an ACE report has been created and is currently functional to identify in-bond entries that will be in overdue status within 10 days of the report. Based on the unforeseen delays in developing the new in-bond enforcement protocol, CSC has not generated new guidance, policies, procedures, and instructions for the ports on how to utilize the ACE in-bond reports for conducting their

	oversight and auditing their respective overdue in-bond entries. The interim in-bond enforcement protocol guidance (i.e., memorandum and muster), that will include examination and audit performance requirements, is being finalized.
Component	CBP
Report Number (Public)	OIG-22-033
Report Title	Revenue Collection: The U.S. Customs and Border Protection's Oversight of the Merchandise Transported In-Bond Program Needs Improvement to Better Ensure the Protection of Revenue
Report Received/ Issued Date	03/31/2022
Rec #	8
Recommendation	The CBP Commissioner ensure CSC officials issue policies and procedures for CSC to regularly review the monitoring and tracking of in-bond shipments conducted by the ports.
Estimated Completion Date (or Date Closed)	12/31/2024
Next Step is Up To	DHS
Narrative of Implementation Status	<p>During December 2022, CBP's OFO's CSC issued a memo and muster to the ports that announced the new In-Bond Compliance Measurement program that was developed to implement our new in-bond examination protocol. The In-Bond Compliance Measurement is managed/administered and designed to target currently open in-bond shipments for examination. During June 2023, CSC decided to redevelop the tool in Dataverse, which is a much more robust platform. The new tool, along with updated and new ACE In-Bond Reports, will allow CSC to effectively monitor port in-bond enforcement performance. During December 2023, CSC issued updated annual procedures to the ports for FY 2024 In-Bond Compliance Exam Instruction Guidelines (Memo and Muster). During January 2024, CSC issued FY 2024 In-Bond Compliance Measurement Query Now Active in Automated Targeting System Import Cargo, use of Power BI Dashboards and User Defined Rule Performance Report in Enterprise Management Information System Electronic Data Warehouse. The In-Bond Compliance Measurement continues sampling data through use of the User Defined Rule. CSC is monitoring and gaining confidence in the Enterprise Management Information System electronic data warehouse. Once the new tool and ACE In-Bond Reports are available for use and interim guidance is issued to the field, CSC will create written SOP to assist ongoing in-bond oversight activity.</p>
Component	CBP

Report Number (Public)	OIG-22-033
Report Title	Revenue Collection: The U.S. Customs and Border Protection's Oversight of the Merchandise Transported In-Bond Program Needs Improvement to Better Ensure the Protection of Revenue
Report Received/ Issued Date	03/31/2022
Rec #	9
Recommendation	The CBP Commissioner ensure CSC officials update in-bond regulations to require a standardized proof of export to be uploaded to ACE for all cargo exported.
Estimated Completion Date (or Date Closed)	12/31/2027
Next Step is Up To	DHS
Narrative of Implementation Status	CBP's OFO's CSC continues to collaborate with OT's Office of Regulations and Rulings to obtain legal guidance pursuant to the possibility of changing current policy and procedures pursuant to 19 C.F.R. § 190.72, Proof of exportation. CSC initiated the Title 18 NPRM Part 18 for In-Bond with Office of Regulations and Rulings. The Regulatory revisions will cover part 18 (in bond) and part 122, subpart J (air in bond). The NPRM process can be a multi-year process.
Component	CBP
Report Number (Public)	OIG-22-033
Report Title	Revenue Collection: The U.S. Customs and Border Protection's Oversight of the Merchandise Transported In-Bond Program Needs Improvement to Better Ensure the Protection of Revenue
Report Received/ Issued Date	03/31/2022
Rec #	10
Recommendation	The CBP Commissioner ensure CSC officials provide TTO officials business requirements after regulations are updated so that TTO can update ACE to require proof of export for closure of in-bonds that are exported.
Estimated Completion Date (or Date Closed)	12/31/2027
Next Step is Up To	DHS
Narrative of Implementation Status	CBP's OFO's CSC Division will provide business requirements to CBP's TTO officials if regulations are updated based upon feedback from the NPRM. Subsequently, TTO will update the ACE accordingly.

	CSC initiated the regulatory revision process to amend the in-bond regulations (19 C.F.R. Part 18 and Part 122, Subpart J) with the Office of Regulations and Rulings; and the regulatory worksheet is being drafted. CSC will pursue ACE programming changes commensurate with future regulatory revisions when the final rule is being developed. The NPRM process can be a multi-year process.
Component	CBP
Report Number (Public)	OIG-22-033
Report Title	Revenue Collection: The U.S. Customs and Border Protection's Oversight of the Merchandise Transported In-Bond Program Needs Improvement to Better Ensure the Protection of Revenue
Report Received/ Issued Date	03/31/2022
Rec #	11
Recommendation	The CBP Commissioner ensure OT officials, with input from CSC officials, update regulations to support ACE functionality and data quality to modernize the in-bond process. This includes improving the report processing time, improving the quality of reports, and addressing COAC concerns regarding the system.
Estimated Completion Date (or Date Closed)	12/30/2024
Next Step is Up To	DHS
Narrative of Implementation Status	CBP's OFO's CSC Division is working with CBP's TTO to provide system functionality requirements for future enhancements, as appropriate. CSC continues to participate in the Commercial Customs Operations Advisory Committee Secure Trade Lanes In-Bond working group. The working group will continue to engage in the development of proposed regulatory language intended to incorporate technical and policy efforts in the next quarter. Additional efforts will involve determining economic and operational benefits associated with the delivered solutions. CSC also requested improvements and technical enhancements on the Manifest Trade In-Bond User Interface, which was originally launched during January 2023. These enhancements will provide for easier management of in-bond entries filers/brokers/carriers. During FY 2023, CSC initiated the regulatory revision process to amend the in-bond regulations (19 C.F.R. Part 18 and Part 122, Subpart J) with the Office of Regulations and Rulings. CSC will pursue ACE programming changes commensurate with future regulatory revisions when the final rule is developed. The new ACE report, ACE In-Bond 007 report has been made available to carriers and filers of in-bonds, which allows for real-time notification that in-bond entries are due for arrival within 5 days. CSC intends to close this in upcoming intervals but there may be the possibility that the In-Bond 007 is extended to other filers of in-bonds to visibility to drivers, freight forwarders, and others.

Component	CBP
Report Number (Public)	OIG-22-033
Report Title	Revenue Collection: The U.S. Customs and Border Protection's Oversight of the Merchandise Transported In-Bond Program Needs Improvement to Better Ensure the Protection of Revenue
Report Received/ Issued Date	03/31/2022
Rec #	12
Recommendation	The CBP Commissioner ensure CSC officials provide TTO officials with business requirements after regulations are updated so that TTO can implement changes in ACE to modernize in-bond tracking and automation processes and enhance data quality to meet user needs.
Estimated Completion Date (or Date Closed)	12/31/2027
Next Step is Up To	DHS
Narrative of Implementation Status	CBP's OFO's CSC Division will provide business requirements to CBP's TTO officials at such time that the in-bond regulations are updated based upon feedback from the NPRM. Subsequently, TTO will update the ACE accordingly. CSC initiated the regulatory revision process to amend the in-bond regulations (19 C.F.R. Part 18 and Part 122, Subpart J) with the Office of Regulations and Rulings and the regulatory worksheet is being drafted. CSC will pursue ACE programming changes commensurate with future regulatory revisions when the final rule is being developed. The NPRM process can be a multi-year process.
Component	CBP
Report Number (Public)	OIG-22-033
Report Title	Revenue Collection: The U.S. Customs and Border Protection's Oversight of the Merchandise Transported In-Bond Program Needs Improvement to Better Ensure the Protection of Revenue
Report Received/ Issued Date	03/31/2022
Rec #	13
Recommendation	The CBP Commissioner direct CSC officials to consider updating guidance on compliance examinations to require ports to examine a statistically valid sample of in-bond shipments so that cargo reviewed is more representative of all in-bond shipments. Additionally, the guidance should contain instructions on waivers of examination including documenting the justification for these waivers.

Estimated Completion Date (or Date Closed)	12/31/2024
Next Step is Up To	DHS
Narrative of Implementation Status	CBP's OFO's CSC Division will issue a new memorandum to the field and ports that will update the ACE in-bond report oversight process. Further, CSC will enhance the in-bond post audit oversight area of responsibility, in coordination with CBP's OIT, by providing requirements within the ACE Report Module and disseminating associated Field Office guidance related to enforcement measures. CSC and OFO, Operations, Planning and Evaluation created and deployed a new In-Bond Compliance Measurement program that functions as CSC's core in-bond shipment examination protocol. The In-Bond Compliance Measurement employs a statistically valid survey methodology and operates specific User Defined Rules to target certain in-bond shipments by issuing enforcement holds requiring the shipments to be physically examined. As a final step, CBP will conduct testing of the in-bond audit tool.
Component	CBP
Report Number (Public)	OIG-22-033
Report Title	Revenue Collection: The U.S. Customs and Border Protection's Oversight of the Merchandise Transported In-Bond Program Needs Improvement to Better Ensure the Protection of Revenue
Report Received/ Issued Date	03/31/2022
Rec #	14
Recommendation	The CBP Commissioner ensure CSC officials provide the ports with written policies and procedures to ensure compliance examinations are adequate and consistent. These procedures should include selecting cargo for review, conducting examinations, documenting the process used for the review and the results, and storing the records.
Estimated Completion Date (or Date Closed)	12/31/2024
Next Step is Up To	DHS
Narrative of Implementation Status	CBP's OFO's CSC Division distributed a memorandum and muster on February 27, 2023, to CBP's field offices that provided new in-bond enforcement policy and guidance for the examination and auditing of In-Bonds, and Port Export In-Bond Auditing. The guidance included instructions on how to conduct in-bond cargo examinations and how to document the results in Automated Targeting System Import Cargo Exam Findings Module. OFO continues to complete testing of the in-bond audit tool. The interim in-bond

	enforcement protocol guidance (i.e., memorandum and muster), that will include examination and audit performance requirements, is being finalized.
Component	CBP
Report Number (Public)	OIG-22-033
Report Title	Revenue Collection: The U.S. Customs and Border Protection's Oversight of the Merchandise Transported In-Bond Program Needs Improvement to Better Ensure the Protection of Revenue
Report Received/ Issued Date	03/31/2022
Rec #	17
Recommendation	The CBP Commissioner ensure CSC and TTO officials require ACE training related to the oversight of in-bond cargo for all CBP officers.
Estimated Completion Date (or Date Closed)	09/30/2024
Next Step is Up To	DHS
Narrative of Implementation Status	CBP's OFO's CSC Division, will produce webinars addressing in-bond compliance report oversight and training for CBP Field Office personnel. CSC worked with the Trade and Cargo Academy at the Federal Law Enforcement Training Center to develop a stand-alone In-Bond Instructional Training Course for CBP officers responsible for cargo operations, which the most recent course was held during late 2024, with full enrollment. The next scheduled In-Bond Compliance and Processing course will be during February 2025. This course will continue to be offered three times per FY. In addition, CSC is working with the ACE Reports Team to develop ACE In-Bond report training webinars. For calendar year 2025, Trade and Cargo Academy scheduled three In-Bond Compliance and Processing Courses during February, March, and June.
Component	CBP
Report Number (Public)	OIG-22-033
Report Title	Revenue Collection: The U.S. Customs and Border Protection's Oversight of the Merchandise Transported In-Bond Program Needs Improvement to Better Ensure the Protection of Revenue
Report Received/ Issued Date	03/31/2022
Rec #	19

Recommendation	The CBP Commissioner ensure the CORE Division coordinates with the Revenue Division and CSC officials to improve custodial bonding to address the risks of merchandise transported in-bond and update CBP's bonding policy. The policy should improve the connectivity between in-bond shipments and respective duties, taxes, and fees by considering estimated duties when determining the appropriate bond coverage.
Estimated Completion Date (or Date Closed)	12/31/2024
Next Step is Up To	DHS
Narrative of Implementation Status	CBP's OT's OFO's, and Office of Finance - Revenue Division will continue to leverage existing authorities pursuant to 19 C.F.R. § 113 to enforce the requirements for custodial bonds to protect revenue, by: (1) collaborating to ensure policies and procedures are updated; and (2) exploring efforts to improve appropriate bond coverage. CBP developed several policy and training initiatives to address the risks of merchandise transported in-bond and update CBP's bonding policy. One initiative, a 13-part Bond Educational Webinar series on bonding authority and enforcement for CBP personnel, was completed during September 2022. In addition, the initiative to issue an updated Monetary Guidelines for Setting Bond Amounts directive was completed during October 2023. This directive provides guidelines for CBP personnel when setting bond amounts, determining bond sufficiency, and considering whether to require additional security. The remaining initiative is Finalization of CBP clearance for a NPRM to incorporate eBond into 19 C.F.R. § 113 Regulations to update eBond functionality from a test to a requirement. This will eliminate the majority of paper bond processing and ensure bonds are on file. The NPRM is currently under internal review within OT. Publication in the Federal Register is dependent on full clearance by CBP, followed by clearance by Treasury and OMB.
Component	CBP
Report Number (Public)	OIG-22-34
Report Title	CBP Needs Improved Oversight for Its Centers of Excellence and Expertise
Report Received/ Issued Date	03/31/2022
Rec #	4
Recommendation	The Executive Assistant Commissioners of CBP's Offices of Trade and Field Operations coordinate to establish and implement enforcement procedures that include Center officials in the decision-making process and assist with corrective actions to promptly resolve importer violations.

Estimated Completion Date (or Date Closed)	12/31/2024
Next Step is Up To	DHS
Narrative of Implementation Status	During April 2024, CBP's OT Trade Remedy and Law Enforcement Directorate, and ICE's HSI conducted a briefing for OT stakeholders, covering the enhancement of the agency's trade enforcement program, Commercial Enforcement Analysis and Response (CEAR) 2.0, and demonstrated the Repository for Analytics in a Virtualized Environment (RAVEN) referral platform. This event was necessary to complete the final phase of the CEAR 2.0 deployment. OT, OFO, and ICE-HSI reviewed the pre-deployment pilot for program effectiveness and used the results to make adjustments to the program. The finalized CEAR 2.0 document is being routed through CBP and HSI leadership for signature and issuance.
Component	CBP
Report Number (Public)	OIG-22-34
Report Title	CBP Needs Improved Oversight for Its Centers of Excellence and Expertise
Report Received/ Issued Date	03/31/2022
Rec #	5
Recommendation	The Executive Assistant Commissioners of CBP's Offices of Trade and Field Operations coordinate to update appropriate standard operating procedures for initiation, analysis, monitoring, and management of trade penalty cases that clearly delineate the Centers' role and define ways to measure improvements.
Estimated Completion Date (or Date Closed)	10/31/2024
Next Step is Up To	DHS
Narrative of Implementation Status	CBP's OFO, OT, ICE-HSI, and other stakeholders completed a draft version of the CEAR SOP, which is being routed through all CBP and HSI components for review. Once the SOP is approved, OFO will update the SAMEPH, Section 12.1.5, CEAR to include any updates to the current section based on the SOP and a link to the SOP document within the SAMEPH. In addition, OFO, OT and HSI have completed work on the automated solution for national impact level-1 CEAR referrals. CBP will utilize the HSI application, RAVEN for tracking purposes.
Component	CBP
Report Number (Public)	OIG-22-39
Report Title	CBP and CWMD Need to Improve Monitoring and Maintenance of Radiation Portal Monitor Systems

Report Received/ Issued Date	04/27/2022
Rec #	2
Recommendation	The CBP and CWMD key stakeholders develop an agreed to support plan to monitor and sustain RPM systems that includes: <ul style="list-style-type: none"> • An assessment of RPM panel condition; and • Operational Analysis to assess RPM system performance and operations to identify evolving requirements and future capability needs, and changes to sustainment approach.
Estimated Completion Date (or Date Closed)	09/23/2024
Next Step is Up To	OIG
Narrative of Implementation Status	On September 23, 2024, OIG closed this recommendation as implemented, after the universe of open recommendations for this annual report was identified
Component	CBP
Report Number (Public)	OIG-22-52
Report Title	DHS and CBP Should Improve Intellectual Property Rights Management and Enforcement
Report Received/ Issued Date	07/18/2022
Rec #	6
Recommendation	The Executive Assistant Commissioner of the Office of Field Operations and the Executive Assistant Commissioner of the Office of Trade consult with the CBP Office of Chief Counsel to interpret the intellectual property rights seizure statutes and establish parameters and oversight procedures for ports to determine their own seizure thresholds or alternatives to seizure, as appropriate.
Estimated Completion Date (or Date Closed)	01/17/2025
Next Step is Up To	OIG
Narrative of Implementation Status	On January 17, 2025 OIG closed this recommendation as implemented, after the universe of open recommendations for this annual report was identified.
Component	CBP
Report Number (Public)	OIG-22-52
Report Title	DHS and CBP Should Improve Intellectual Property Rights Management and Enforcement

Report Received/ Issued Date	01/17/2025
Rec #	7
Recommendation	The Executive Assistant Commissioners for CBP Office of Field Operations and Office of Trade establish a tracking mechanism for IPR investigative referrals to ICE.
Estimated Completion Date (or Date Closed)	10/31/2024
Next Step is Up To	OIG
Narrative of Implementation Status	On January 17, 2025 OIG closed this recommendation as implemented, after the universe of open recommendations for this annual report was identified.
Component	CBP
Report Number (Public)	OIG-22-64
Report Title	DHS Encountered Obstacles to Screen, Vet, and Inspect All Evacuees during the Recent Afghanistan Crisis
Report Received/ Issued Date	09/06/2022
Rec #	1
Recommendation	OIG recommended the U.S. Customs and Border Protection Commissioner: <ul style="list-style-type: none"> a. Immediately identify evacuees from Afghanistan who are in the United States and provide evidence of full screening and vetting based on confirmed identification - especially for those who did not have documentation; and b. Ensure recurrent vetting processes established for all paroled evacuees are carried out for the duration of their parole period.
Estimated Completion Date (or Date Closed)	09/19/2024
Next Step is Up To	DHS
Narrative of Implementation Status	On September 19, 2024, OIG closed this recommendation as implemented, after the universe of open recommendations for this annual report was identified.
Component	CBP
Report Number (Public)	OIG-22-66
Report Title	DHS Technology Systems Do Not Effectively Support Migrant Tracking at the Southwest Border

Report Received/ Issued Date	09/09/2022
Rec #	5
Recommendation	We recommend the Commissioner of CBP evaluate adherence to current immigration policies and memorandums of agreement for internal and external collaboration and working groups and update them as needed
Estimated Completion Date (or Date Closed)	12/31/2024
Next Step is Up To	DHS
Narrative of Implementation Status	During September 2022, CBP's Policy Directorate established an internal working group with relevant CBP offices to address this recommendation. The Policy Directorate continues to work closely with CBP SMEs and partners at ICE and HHS to evaluate information-sharing practices related to unaccompanied children. DHS and HHS Office of Response and Recovery (ORR) have worked on an interagency agreement to govern information sharing on UC. This interagency agreement will integrate new information sharing requirements consistent with the stipulated settlement in Ms. L v. ICE, 3:18-cv-00428 (December 11, 2023). As part of the new agreement, DHS Components will provide information about adults and, as applicable, the other children who accompanied the unaccompanied children, individuals within a family unit, whether a family separation occurred, and the reasons for any such separation. Additionally, DHS will provide the necessary biographical information about unaccompanied children, or their parents/legal guardians, which would help ORR make placement and release decisions. As of September 2024, the draft interagency agreement is still under review by DHS and HHS officials.
Component	CBP
Report Number (Public)	OIG-23-06
Report Title	Management Alert - CBP Needs to Provide Adequate Emergency Back-Up Power to its Video Surveillance Systems at the Blaine Area Ports to Ensure Secure and Safe Operations
Report Received/ Issued Date	01/04/2023
Rec #	1
Recommendation	Take immediate action to ensure the Blaine Command Center is connected to adequate emergency back-up power. To accomplish this, CBP should work closely with the U.S. General Services Administration to determine the most efficient and effective method for connecting the Blaine Command Center to adequate emergency back-up power.

Estimated Completion Date (or Date Closed)	09/30/2026
Next Step is Up To	DHS
Narrative of Implementation Status	<p>On November 14, 2022, CBP met with GSA to assess and identify any immediate actions required to ensure adequate emergency backup power at Blaine Command Center. It was determined that the first step in the process is to complete a power study and an assessment of operational requirements to evaluate Centralized Area Video Surveillance equipment, coverage, and backup power needs. CBP funded and contracted an Architectural and Engineering firm to conduct a power study. Since that meeting, CBP organized a meeting with GSA stakeholders; submitted a work order to GSA to request a Design Build contract to detail technical requirements and execute related construction in a timely manner; and GSA and CBP conducted walkthroughs at the Peace Arch and Pacific Highway (the Blaine Command Center) land ports of entry. On June 28, 2024, CBP committed design funding to GSA. As a result, GSA accepted the funded Reimbursable Work Authority for design on July 19, 2024, and the contract is anticipated to be awarded during October 2024. Upon completion of design during 2025 and development of the associated construction cost estimate, CBP will work to secure funding for follow-on construction. In accordance with GSA's revised construction timeline, estimated construction completion is 245 days from date of award.</p>
Component	CBP
Report Number (Public)	OIG-23-06
Report Title	Management Alert - CBP Needs to Provide Adequate Emergency Back-Up Power to its Video Surveillance Systems at the Blaine Area Ports to Ensure Secure and Safe Operations
Report Received/ Issued Date	01/04/2023
Rec #	2
Recommendation	<p>Take immediate action to ensure video surveillance camera equipment at the Pacific Highway and Peace Arch land ports of entry is connected to adequate emergency back-up power. As part of U.S. Customs and Border Protection's corrective action plan, it should consider assessing its operational areas at the Pacific Highway and Peace Arch land ports of entry to determine any additional equipment requiring connection to adequate emergency back-up power.</p>
Estimated Completion Date (or Date Closed)	09/30/2026
Next Step is Up To	DHS

Narrative of Implementation Status	On November 14, 2022, CBP met with GSA to assess and identify any immediate actions required to ensure adequate emergency backup power at Blaine Command Center. It was determined the first step in the process is to complete a power study and an assessment of operational requirements to evaluate Centralized Area Video Surveillance equipment, coverage, and backup power needs. CBP funded and contracted an Architectural and Engineering firm to conduct a power study. Since that meeting, CBP organized a meeting with GSA stakeholders; submitted a work order to GSA to request a Design Build contract to detail technical requirements and execute related construction in a timely manner and GSA and CBP conducted walkthroughs at the Peace Arch and Pacific Highway (the Blaine Command Center) land ports of entry. On June 28, 2024, CBP committed design funding to GSA. As a result, GSA accepted the funded Reimbursable Work Authority for design on July 19, 2024, and the contract is anticipated to be awarded during October 2024. Upon completion of design during 2025 and development of the associated construction cost estimate, CBP will work to secure funding for follow-on construction. In accordance with GSA's revised construction timeline, estimated construction completion is 245 days from date of award.
Component	CBP
Report Number (Public)	OIG-23-06
Report Title	Management Alert - CBP Needs to Provide Adequate Emergency Back-Up Power to its Video Surveillance Systems at the Blaine Area Ports to Ensure Secure and Safe Operations
Report Received/ Issued Date	01/04/2023
Rec #	3
Recommendation	<p>OIG recommended the U.S. Customs and Border Protection, Office of Field Operations, Executive Assistant Commissioner:</p> <ul style="list-style-type: none"> • conduct assessments and its plan ports of entry to identify video surveillance camera equipment not connected to adequate emergency backup power as required; and • develop and implement a strategy to fund and timely resolve issues identified during the assessment of land ports of entry.
Estimated Completion Date (or Date Closed)	12/31/2024
Next Step is Up To	DHS
Narrative of Implementation Status	CBP took action to determine the scope of video surveillance camera equipment lacking adequate emergency power at land ports of entry via a survey administered to all field offices and ports of entry. It

	was determined that some facilities have less than 100 percent back-up power. There are several options to address these deficiencies, to include accessing available bandwidth of existing generators on site, installing new generators, utilizing power conditioning/battery backup systems, or solar powered tesla wall type devices. Once funding is available, CBP will be able to take the next steps to bring locations without 100 percent back-up power up to current standards.
Component	CBP
Report Number (Public)	OIG-23-24
Report Title	Intensifying Conditions at the Southwest Border Are Negatively Impacting CBP and ICE Employees' Health and Morale
Report Received/ Issued Date	05/03/2023
Rec #	1
Recommendation	<p>That the CBP Commissioner and the ICE Director coordinate with the Secretary of Homeland Security to contract with an independent, federally funded research and development center to complete a full assessment of the staffing needs at the Southwest border and strategically implement recommendations based on the assessment. The assessment should:</p> <ul style="list-style-type: none"> • review existing staffing models and methodology for deploying personnel at the Southwest border and across the country and the impact of continuously relying on details and overtime to temporarily fill staffing gaps; and • include factors within and outside of DHS' control that are affecting workloads and exacerbating staffing challenges to identify solutions the components can accomplish as well as those that require congressional action.
Estimated Completion Date (or Date Closed)	03/31/2025
Next Step is Up To	OIG
Narrative of Implementation Status	As noted in the February 10, 2023, Management Response Letter to the OIG's draft report, CBP and ICE are engaged in many efforts to improve employee morale and wellness. Since that letter, CBP has continued and expanded outreach to the workforce to assess how detail assignments and overtime have impacted the workforce, and to hear what the workforce needs, especially regarding increasing mental health resources. During OIG's fieldwork, there was an unprecedented surge of migrants crossing the SWB. The DHS SWB Coordination Center was activated during February 2022 to ensure a coordinated

	<p>government-wide approach to address this surge. The SWB Coordination Center served as the recommending entity for the movement of resources (staff and hardware).</p> <p>However, since May 2023, the number of migrants crossing the SWB between the ports of entry has lessened. With this drop in migrant flow, the use of overtime and details has been reduced. CBP and ICE consider details and overtime as short-term solutions to situations as they occur, while long-term solutions are developed; and the previous surge at the SWB is a good example of this. Specifically, CBP and ICE used overtime and details to supplement staffing during the surge, while long-term solutions, such as new programs and international agreements, were developed. Both agencies recognize the strain that this places on the workforce and continue to pursue all available options to reduce these requirements, including seeking staff during the appropriations process, which resulted in an appropriated increase of Border Patrol Agents during the FY 2024 enacted budget and additional personnel increases in the FY 2025 President’s Budget Request. During October 2023, the Secretary of DHS issued a memorandum directing the transition of the SWB Coordination Center to the SWB Executive Council. Subsequent to this report, CBP met with OIG and explained the new plan will supersede the plan referenced in this recommendation. OIG will close the recommendation as implemented once the new plan is finalized and approved.</p>
Component	CBP
Report Number (Public)	OIG-23-29
Report Title	Results of Unannounced Inspections of CBP Holding Facilities in the Yuma and Tucson Areas
Report Received/ Issued Date	06/23/2023
Rec #	2
Recommendation	Implement and regularly monitor quality assurance mechanisms to ensure detainees’ stored property is returned, and it transits with detainees when they are transferred, repatriated, or released.
Estimated Completion Date (or Date Closed)	12/31/2024
Next Step is Up To	DHS
Narrative of Implementation Status	CBP Directive No. 5240-010, “Short-Term Holding Facilities Handling, Storage, Transference, and/or Return of Detainee Personal Property,” was issued during August 2024 and established concrete standards across all relevant CBP offices and sets forth additional policy guidelines that govern the Agency’s handling of detainee personal property. The Agency-wide policy directive provides field personnel with

	supplementary guidance on the handling, retention, retrieval, and return of a detainee's personal property and classifies a detainee's personal property into one of four general tiers – Medical Property, Essential (On-Person) Personal Property, Essential (Stored) Personal Property, or Excess Personal Property. The policy also requires agents and officers at CBP facilities to provide detainees with written instructions, in a language or manner that the detainee can effectively comprehend, which explain the procedures for retrieving stored or lost personal property as well as the processes for making a personal property claim or requesting a third-party personal property claim from the Short-Term Holding Facility in which the detainee was held. CBP believes it has met the intent of this recommendation and intends to request that OIG close the recommendation as implemented.
Component	CBP
Report Number (Public)	OIG-23-29
Report Title	Results of Unannounced Inspections of CBP Holding Facilities in the Yuma and Tucson Areas
Report Received/ Issued Date	06/23/2023
Rec #	3
Recommendation	Develop, issue, and regularly monitor the implementation of guidance on the appropriate handling of detainees' religious items.
Estimated Completion Date (or Date Closed)	12/31/2024
Next Step is Up To	DHS
Narrative of Implementation Status	CBP's Privacy and Diversity Office established a work group with members from CBP's OFO, USBP, Policy Directorate, and Office of Chief Counsel to develop a draft CBP directive on providing religious accommodations, which will include guidance on handling and searching an individual's religious personal property. The draft directive includes guidance on the appropriate handling of detainees' religious items. As of September 30, 2024, the draft directive is under final review.
Component	CBP
Report Number (Public)	OIG-23-39
Report Title	CBP Outbound Inspections Disrupt Transnational Criminal Organization Illicit Operations
Report Received/ Issued Date	08/04/2023
Rec #	2

Recommendation	Develop and institute a comprehensive policy for outbound inspections.
Estimated Completion Date (or Date Closed)	12/31/2024
Next Step is Up To	DHS
Narrative of Implementation Status	CBP's OFO's Operations Directorate continues to work towards the enhancement and unification of the outbound policy by updating and consolidating outdated outbound policies and procedures, as appropriate, with the production of a new comprehensive enforcement policy. A working group convened to develop a new national enforcement directive. For FY 2025, the Outbound Strategy Workgroup is focused on identifying the needs for infrastructure, personnel, equipment, and regulatory authorities to support 24/7 outbound operations in the land, air, and sea environments. The needs that are identified during FY 2025 will help shape the policy development.
Component	CBP
Report Number (Public)	OIG-23-39
Report Title	CBP Outbound Inspections Disrupt Transnational Criminal Organization Illicit Operations
Report Received/ Issued Date	08/04/2023
Rec #	3
Recommendation	Assess infrastructure, internet connectivity, and technology at each land border crossing and ensure that officers have the necessary resources to conduct outbound inspections and can operate in a safe working environment.
Estimated Completion Date (or Date Closed)	01/31/2025
Next Step is Up To	DHS
Narrative of Implementation Status	The OFO Operations Directorate is working with the Outbound Strategy Workgroup to reassess infrastructure needs, internet connectivity, and technology needed at each land border crossing. A survey to assess needs will be sent to land border field offices during the first quarter of FY 2025.
Component	CBP
Report Number (Public)	OIG-23-45
Report Title	CBP Could Do More to Plan for Facilities Along the Southwest Border
Report Received/ Issued Date	08/29/2023

Rec #	1
Recommendation	Finalize the draft CBP Integrated SWB Mass Irregular Migration Contingency Plan.
Estimated Completion Date (or Date Closed)	03/31/2025
Next Step is Up To	DHS
Narrative of Implementation Status	During October 2023, the Secretary of DHS issued a memorandum directing the transition of the SWB Coordination Center to the SWB Executive Council. Subsequent to this report, CBP met with OIG and explained that the new plan will supersede the plan referenced in this recommendation. OIG will close the recommendation as implemented once the new plan is finalized and approved.
Component	CBP
Report Number (Public)	OIG-23-45
Report Title	CBP Could Do More to Plan for Facilities Along the Southwest Border
Report Received/ Issued Date	08/29/2023
Rec #	2
Recommendation	<p>Establish a comprehensive, formal policy to:</p> <ul style="list-style-type: none"> • consistently document the use of all available information to make informed facility planning decisions; • conduct and document analysis of all possible alternative options before establishing temporary facilities; and • regularly reassess the continued need for existing temporary facilities and evaluate the cost effectiveness of maintaining existing temporary facilities.
Estimated Completion Date (or Date Closed)	06/30/2025
Next Step is Up To	DHS
Narrative of Implementation Status	<p>CBP formed a Facility Planning Working Group from USBP and the Office of Facilities and Asset Management (OFAM), to establish a comprehensive facilities planning policy; the kickoff meeting was held October 5, 2023.</p> <p>The Working Group continues to refine edits to the draft Analyses of Alternatives and continuous assessment of documents; testing and validation concluded at the end of the FY. OFAM, USBP and OA are collaborating to verify and refine the appropriate roles and responsibilities for policy inclusion. Upon</p>

	completion of these activities, the revised policy draft will be distributed for formal stakeholder review and comment.
Component	CBP
Report Number (Public)	OIG-23-48
Report Title	CBP's Management of International Mail Facilities Puts Officer Safety and Mission Requirements at Risk
Report Received/ Issued Date	08/31/2023
Rec #	1
Recommendation	<p>CBP's Office of Facilities and Asset Management:</p> <ul style="list-style-type: none"> a. Evaluate all International Mail Facility space agreements to identify unusable space for future cost savings; and b. Revise agreements with unusable space, given the \$3.2 million in funds that could have been put to better use identified in this audit.
Estimated Completion Date (or Date Closed)	10/31/2024
Next Step is Up To	DHS
Narrative of Implementation Status	<p>CBP's OFAM concluded the assessment of agency IMF space requirements and validated existing space allocations across all eight IMFs on February 21, 2024. The assessments did not identify any outstanding lease deficiencies at the Chicago, Los Angeles, Miami, U.S. Virgin Islands, Puerto Rico, or JFK IMFs; lease revisions were not required for these six locations. As a result of the assessments, CBP OFAM determined that the 4,448 Usable Square Footage of space occupied by the U.S. Food and Drug Administration at the Newark IMF was included in the CBP lease and lease revisions were submitted to exclude the space in January 2024. In addition, at the Honolulu IMF, a 13,255 usable square footage space reduction has been confirmed GSA.</p> <p>CBP is waiting for GSA to provide the updated Occupancy Agreement for the Newark IMF. CBP received and signed the Honolulu IMF Occupancy Agreement during September 2024.</p>
Component	CBP
Report Number (Public)	OIG-23-48
Report Title	CBP's Management of International Mail Facilities Puts Officer Safety and Mission Requirements at Risk

Report Received/ Issued Date	08/31/2023
Rec #	2
Recommendation	CBP's Office of Facilities and Asset Management evaluate its International Mail Facilities and lease agreements and take actions to ensure safety and the ability to meet screening requirements.
Estimated Completion Date (or Date Closed)	01/06/2025
Next Step is Up To	OIG
Narrative of Implementation Status	On January 06, 2025, OIG closed this recommendation as implemented, after the universe of open recommendations for this annual report was identified.
Component	CBP
Report Number (Public)	OIG-23-50
Report Title	Results of Unannounced Inspections of CBP Holding Facilities in the El Paso Area
Report Received/ Issued Date	09/15/2023
Rec #	1
Recommendation	OIG recommended the El Paso Sector Chief, Border Patrol, U.S. Customs and Border Protection develop additional strategies and solutions to manage delays in detainee transfers to partners and implement these improvements throughout the El Paso sector when the holding facilities in the sector are over capacity.
Estimated Completion Date (or Date Closed)	08/22/2024
Next Step is Up To	OIG
Narrative of Implementation Status	On August 22, 2024, OIG closed this recommendation after the universe of open recommendations for this annual report was identified.
Component	CBP
Report Number (Public)	OIG-23-54
Report Title	CBP Needs to Improve Its Video and Audio Coverage at Land Points of Entry - Law Enforcement Sensitive
Report Received/ Issued Date	09/25/2023
Rec #	1

Recommendation	OIG recommended CBP's Border Security Deployment Program Project Management Office: <ul style="list-style-type: none"> a. Assess the impact that video surveillance system network (patching and scanning) updates have on live feeds and recording capabilities; b. Develop and implement a mitigation plan as warranted based on the impacts identified in (a); and c. Consider notification options to alert video surveillance system operators of recording gaps.
Estimated Completion Date (or Date Closed)	12/06/2024
Next Step is Up To	OIG
Narrative of Implementation Status	On December 6, 2024, OIG closed this recommendation as implemented, after the universe of open recommendations for this annual report was identified.
Component	CBP
Report Number (Public)	OIG-23-54
Report Title	CBP Needs to Improve Its Video and Audio Coverage at Land Points of Entry - Law Enforcement Sensitive
Report Received/ Issued Date	09/25/2023
Rec #	2
Recommendation	OIG recommended the CBP Office of Field Operations Executive Assistant Commissioner, Enterprise Services Executive Assistant Commissioner, and appropriate CBP program offices: <ul style="list-style-type: none"> a. Conduct a program review to identify improvements required for video surveillance system, equipment, and network infrastructure at land ports of entry and consider alternative solutions when infrastructure cannot be upgraded; and b. Establish a risk-based process for upgrading video surveillance system and equipment including factors such as operating environment and limitations at each land port of entry.
Estimated Completion Date (or Date Closed)	08/09/2024
Next Step is Up To	OIG
Narrative of Implementation Status	On August 9, 2024, OIG closed this recommendation after the universe of open recommendations for this annual report was identified.
Component	CBP
Report Number (Public)	OIG-23-54

Report Title	CBP Needs to Improve Its Video and Audio Coverage at Land Points of Entry - Law Enforcement Sensitive
Report Received/ Issued Date	09/25/2023
Rec #	3
Recommendation	a. Continued awareness of and compliance with video surveillance requirements at land ports of entry, such as implementing of a training program for new and existing Centralized Area Video Surveillance System Operators; and b. Land ports of entry personnel coordinate with CBP's Border Security Deployment Program Project Management Office and other program offices when upgrading video surveillance equipment or repurposing rooms.
Estimated Completion Date (or Date Closed)	10/31/2024
Next Step is Up To	DHS
Narrative of Implementation Status	CBP's OFO's BSDP Program Management Office continues to refine the Centralized Area Video Surveillance training materials. A memorandum to OFO field offices detailing the process to request current training available and how to request additional training will be sent upon finalization of the training materials. The BSDP Program Management Office is finalizing the process flow documentation that explains the service engagement process to request additional or upgraded cameras, or other equipment needs and to move equipment when repurposing rooms to meet mission requirements.
Component	CBP
Report Number (Public)	OIG-23-54
Report Title	CBP Needs to Improve Its Video and Audio Coverage at Land Points of Entry - Law Enforcement Sensitive
Report Received/ Issued Date	09/25/2023
Rec #	4
Recommendation	Establish a process requiring feasibility studies to identify network infrastructure needs for new video surveillance system equipment and installations and incorporate these outcomes as warranted.
Estimated Completion Date (or Date Closed)	12/6/2024
Next Step is Up To	OIG

Narrative of Implementation Status	On December 6, 2024, OIG closed this recommendation as implemented, after the universe of open recommendations for this annual report was identified.
Component	CBP
Report Number (Public)	OIG-23-54
Report Title	CBP Needs to Improve Its Video and Audio Coverage at Land Points of Entry - Law Enforcement Sensitive
Report Received/ Issued Date	09/25/2023
Rec #	5
Recommendation	Implement a process to ensure video and audio surveillance equipment installed complies with applicable security and privacy controls required by DHS network standards, CBP information security policies and Centralized Area Video Surveillance System Design Standards for design and operation, as applicable.
Estimated Completion Date (or Date Closed)	10/04/2024
Next Step is Up To	OIG
Narrative of Implementation Status	On October 4, 2024, OIG closed this recommendation as implemented, after the universe of open recommendations for this annual report was identified.
Component	CBP
Report Number (Public)	OIG-23-54
Report Title	CBP Needs to Improve Its Video and Audio Coverage at Land Points of Entry - Law Enforcement Sensitive
Report Received/ Issued Date	09/25/2023
Rec #	6
Recommendation	In collaboration with CBP's OFO Directors of Field Operations, take immediate action to ensure all land ports of entry have the required privacy protections for hold rooms with laboratory facilities.
Estimated Completion Date (or Date Closed)	08/09/2024
Next Step is Up To	OIG
Narrative of Implementation Status	On August 9, 2024, OIG closed this recommendation after the universe of open recommendations for this annual report was identified.

Component	CBP
Report Number (Public)	OIG-23-54
Report Title	CBP Needs to Improve Its Video and Audio Coverage at Land Points of Entry - Law Enforcement Sensitive
Report Received/ Issued Date	09/25/2023
Rec #	7
Recommendation	In collaboration with CBP's OFO Directors of Field Operations, survey Centralized Area Video Surveillance System operators annually to obtain feedback related to video and audio equipment
Estimated Completion Date (or Date Closed)	01/31/2025
Next Step is Up To	DHS
Narrative of Implementation Status	CBP's OFO's BSDP Program Management Office continues to develop survey questions for the annual automated survey for Centralized Area Video Surveillance land ports of entry operators. The BSDP Program Management Office met with other OFO offices that distributed surveys in the past to learn best practices. The survey questions will be reviewed by CBP management for approval prior to distribution to Centralized Area Video Surveillance operators annually.
Component	CBP
Report Number (Public)	OIG-23-56
Report Title	CBP Did Not Effectively Conduct International Mail Screening or Implement the STOP Act
Report Received/ Issued Date	09/25/2023
Rec #	1
Recommendation	Assign responsibility for ensuring STOP Act implementation, including: a. monitoring and resolving advance electronic data quality and quantity issues; b. documenting justifications for advance electronic data waivers; c. providing lists of advance electronic data waivers to International Mail Facilities and implementing routine, alternate screening for mail from countries with advance electronic data waivers; and d. enforcing penalties when the U.S. Postal Service accepts mail without advance electronic data.
Estimated Completion Date (or Date Closed)	12/31/2024

Next Step is Up To	DHS
Narrative of Implementation Status	CBP is working with the U.S. Postal Service (USPS) on 100 percent compliance with the advanced electronic data requirements. As of now, the STOP Act allows for other law enforcement initiatives to be conducted in lieu of refusal for non-advanced electronic data parcels. CBP inspects 100 percent of these parcels, thus making USPS compliant with the STOP Act. USPS is actively working with stakeholders to gain compliance; and is actively refusing mail from non-complaint countries. CBP is engaging USPS on the possible issuance of penalties for non-compliance with the advanced electronic data requirement within the next 12 months.
Component	CBP
Report Number (Public)	OIG-23-56
Report Title	CBP Did Not Effectively Conduct International Mail Screening or Implement the STOP Act
Report Received/ Issued Date	09/25/2023
Rec #	3
Recommendation	Update the International Mail Operations and Enforcement Handbook, dated August 2001. At a minimum, updates should include: <ul style="list-style-type: none"> a. clearly defined roles and responsibilities for monitoring performance across International Mail Facilities; and b. key performance metrics and targeting goals to assess the effectiveness of mail operations.
Estimated Completion Date (or Date Closed)	01/31/2025
Next Step is Up To	OIG
Narrative of Implementation Status	On January 31, 2025, OIG closed this recommendation as implemented, after the universe of open recommendations for this annual report was identified.
Component	CBP
Report Number (Public)	OIG-23-56
Report Title	CBP Did Not Effectively Conduct International Mail Screening or Implement the STOP Act
Report Received/ Issued Date	09/25/2023
Rec #	5

Recommendation	Establish and implement a process for: a. developing advance electronic data waivers using CBP data to assess a country's risk eligibility; b. documenting justifications for waiver countries; and c. reporting advance electronic data waivers and justifications to Congress.
Estimated Completion Date (or Date Closed)	08/07/2024
Next Step is Up To	OIG
Narrative of Implementation Status	On August 7, 2024, OIG closed this recommendation after the universe of open recommendations for this annual report was identified.
Component	CBP
Report Number (Public)	OIG-23-60
Report Title	CBP Accounted for Its Firearms but Did Not Always Account for Ammunition or Monitor Storage Facilities
Report Received/ Issued Date	09/27/2023
Rec #	1
Recommendation	Implement a process to ensure recordation, for each stored firearm, of the physical location, including street address, and specific location within the facility, in the Firearms, Armor, and Credentials Tracking System.
Estimated Completion Date (or Date Closed)	11/29/2024
Next Step is Up To	DHS
Narrative of Implementation Status	On May 4, 2023, the Law Enforcement Safety and Compliance Directorate initially met with the contractors that would perform the modifications to the Firearms, Armor, and Credentials Tracking System that was completed during December 2023. On January 26, 2024, CBP requested that OIG close the recommendation as implemented, and provided the OIG with supporting documentation. The OIG stated that while the actions are a step towards implementation, it would like to see tracking at a more granular level. Law Enforcement Safety and Compliance Directorate is working with contractors to add another modification to Firearms, Armor, and Credentials Tracking System to track the physical location for each stored firearm. The modification is scheduled to be complete by October 28, 2024.
Component	CBP

Report Number (Public)	OIG-23-60
Report Title	CBP Accounted for Its Firearms but Did Not Always Account for Ammunition or Monitor Storage Facilities
Report Received/ Issued Date	09/27/2023
Rec #	3
Recommendation	Develop and implement a process to ensure all quarterly ammunition inventories are completed.
Estimated Completion Date (or Date Closed)	08/02/2024
Next Step is Up To	OIG
Narrative of Implementation Status	On August 2, 2024, OIG closed this recommendation after the universe of open recommendations for this annual report was identified.
Component	CBP
Report Number (Public)	OIG-23-60
Report Title	CBP Accounted for Its Firearms but Did Not Always Account for Ammunition or Monitor Storage Facilities
Report Received/ Issued Date	09/27/2023
Rec #	5
Recommendation	Develop and implement a process to track lost or stolen ammunition, including specifying reporting thresholds.
Estimated Completion Date (or Date Closed)	08/02/2024
Next Step is Up To	OIG
Narrative of Implementation Status	On August 2, 2024, OIG closed this recommendation after the universe of open recommendations for this annual report was identified.
Component	CBP
Report Number (Public)	OIG-23-60
Report Title	CBP Accounted for Its Firearms but Did Not Always Account for Ammunition or Monitor Storage Facilities

Report Received/ Issued Date	09/27/2023
Rec #	6
Recommendation	OIG recommended the Assistant Commissioner, Office of Professional Responsibility, in coordination with the Director, Management Inspections Division, develop and implement, through CBP's Self-Inspection Program, a process to periodically inspect and verify the position and functionality of video surveillance systems monitoring firearm and ammunition storage areas.
Estimated Completion Date (or Date Closed)	01/21/2025
Next Step is Up To	OIG
Narrative of Implementation Status	On January 21, 2025, OIG closed this recommendation as implemented, after the universe of open recommendations for this annual report was identified.
Component	CBP
Report Number (Public)	OIG-23-60
Report Title	CBP Accounted for Its Firearms but Did Not Always Account for Ammunition or Monitor Storage Facilities
Report Received/ Issued Date	09/27/2023
Rec #	7
Recommendation	OIG recommended that the Commissioner of CBP develop and implement a corrective action plan to ensure firearms and ammunition video surveillance systems are installed in required areas, function, and correctly positioned at the 11 locations with issues identified in this report.
Estimated Completion Date (or Date Closed)	02/28/2025
Next Step is Up To	DHS
Narrative of Implementation Status	CBP conducted a review of the findings at the 11 locations with issues identified in this report and the Physical Security Risk Assessments for each of these facilities. Risk assessments for all 11 locations have been updated to include recommendations to the facility owners to ensure firearms and ammunition video surveillance systems are installed in required areas, functioning, and correctly positioned, and scheduled for regular maintenance. Future risk assessments will also ensure compliance with these recommendations.
Component	CBP

Report Number (Public)	OIG-23-61
Report Title	CBP, ICE, and Secret Service Did Not Adhere to Privacy Policies or Develop Sufficient Policies Before Procuring and Using Commercial Telemetry Data
Report Received/ Issued Date	09/28/2023
Rec #	1
Recommendation	The Commissioner, U.S. Customs and Border Protection discontinue use of commercial telemetry data until the Privacy Impact Assessments are completed and approved.
Estimated Completion Date (or Date Closed)	09/12/2024
Next Step is Up To	OIG
Narrative of Implementation Status	On September 12, 2024, OIG closed this recommendation as implemented, after the universe of open recommendations for this annual report was identified.
Component	CISA
Report Number (Public)	OIG-20-37
Report Title	DHS Can Enhance Efforts to Protect Commercial Facilities from Terrorism and Physical Threats
Report Received/ Issued Date	06/11/2020
Rec #	1
Recommendation	<p>Director, Cybersecurity and Infrastructure Security Agency work with the Acting Secretary, Department of Homeland Security, to develop comprehensive policies and procedures to support its role as the commercial facilities' Sector-Specific Agency. Specifically:</p> <ul style="list-style-type: none"> a. provide convening authority and clear expectations to ensure the agency can fulfill its responsibility as the designated Sector-Specific Agency; b. develop methods to share best practices; c. ensure effective coordination across the Department's components and update all critical resource documents-including the Private Sector Resource Catalog-as required; d. develop procedures to ensure comprehensive analysis of data.
Estimated Completion Date (or Date Closed)	09/30/2025

Next Step is Up To	DHS
Narrative of Implementation Status	Commercial Facilities completed the initial Sector Risk Assessment workshops with the private sector, focusing on identifying sector risks and existing mitigation measures. This involved weekly meetings since May 2024. The Sector Risk Assessment is still under review as of September 10, 2024, and once finalized, it will be shared with Commercial Facilities' private sector partners for their input. Additionally, Commercial Facilities is transitioning from the Sector Risk Assessment to the Sector-Specific Risk Management Plan and has already held two introductory Specific Risk Management Plan meetings with the private sector and the Government Coordinating Council to discuss next steps and confirm the appropriate points of contact.
Component	CISA
Report Number (Public)	OIG-21-01
Report Title	DHS Has Secured the Nation's Election Systems, but Work Remains to Protect the Infrastructure
Report Received/ Issued Date	10/22/2020
Rec #	1
Recommendation	Coordinate with the Office of the Secretary to revise the National Infrastructure Protection Plan and other planning documents to incorporate current and evolving risks as well as mitigation strategies needed to secure the Nation's election infrastructure.
Estimated Completion Date (or Date Closed)	11/06/2024
Next Step is Up To	OIG
Narrative of Implementation Status	On November 6, 2024, OIG closed this recommendation as implemented, after the universe of open recommendations for this annual report was identified.
Component	CISA
Report Number (Public)	OIG-21-59
Report Title	CISA Can Improve Efforts to Ensure Dam Security and Resilience
Report Received/ Issued Date	09/09/2021
Rec #	1
Recommendation	Update the Dams Sector-Specific Plan as required, ensuring alignment with the updated National Infrastructure Protection Plan currently under development.

Estimated Completion Date (or Date Closed)	09/30/2025
Next Step is Up To	DHS
Narrative of Implementation Status	Under NSM-22, SRMAs are tasked with providing DHS with sector-specific risk assessments and risk management plans by January 25, 2025. CISA in collaboration with Sector partners is developing the Dams Sector – Specific Risk Management Plan. The Sector-Specific Risk Management Plan will replace the former Sector-Specific Plan. The new plan will reflect updates and incorporate concepts and ideas from several products and initiatives completed since the previous Sector-Specific Plan.
Component	CISA
Report Number (Public)	OIG-21-59
Report Title	CISA Can Improve Efforts to Ensure Dam Security and Resilience
Report Received/ Issued Date	09/09/2021
Rec #	2
Recommendation	Formalize CISA’s organizational structure to clarify roles, responsibilities, coordination processes, and reporting procedures across all divisions performing activities relating to CISA’s role as the Sector-Specific Agency for the Dams Sector.
Estimated Completion Date (or Date Closed)	09/30/2025
Next Step is Up To	DHS
Narrative of Implementation Status	The Stakeholder Engagement Division is continuing to work with relevant interagency partners to develop written procedures documenting roles, responsibilities, and expectations associated with the execution of the SRMA function. Per the National Security Memorandum on Critical Infrastructure Security and Resilience (NSM-22), each SRMA is required to submit a SRMA Roles and Responsibilities Execution Plan to the National Security Council. CISA serves, on behalf of DHS, as the SRMA for the Dams Sector. The Dams Sector SRMA Roles and Responsibilities Execution Plan outlines the agency’s “whole-of-CISA” approach to fulfilling the SRMA function for the Dams Sector by describing its overall divisional organizational structure, SRMA reporting structure, and each division’s roles and responsibilities in assisting CISA’s execution of its SRMA responsibilities. In addition, CISA, as the National Coordinator for the Security and Resilience of Critical Infrastructure (National Coordinator), is coordinating with all SRMAs, through the Federal Senior Leadership Council, to further define the SRMA roles and

	responsibilities identified in the FY 2021 National Defense Authorization Act and NSM-22, including minimum capabilities and resource requirements.
Component	CISA
Report Number (Public)	OIG-21-59
Report Title	CISA Can Improve Efforts to Ensure Dam Security and Resilience
Report Received/ Issued Date	09/09/2021
Rec #	3
Recommendation	Establish policies, procedures, and performance metrics to help ensure CISA divisions consistently assess the impact of all programs and activities relating to CISA's role as the Sector-Specific Agency for the Dams Sector, and that CISA assess their effectiveness in the role of Sector-Specific Agency for the Dams Sector.
Estimated Completion Date (or Date Closed)	09/30/2025
Next Step is Up To	DHS
Narrative of Implementation Status	<p>Per NSM-22, each SRMA is required to submit a SRMA Roles and Responsibilities Execution Plan to the National Security Council. Additionally, as part of this requirement, NSM-22 suggests that an SRMA consider use of a maturity model to assess its performance as an SRMA.</p> <p>As CISA serves, on behalf of DHS, as the SRMA for the Dams Sector, part of the Dams Sector Roles and Responsibilities Execution Plan, examines use of maturity models to assist CISA in assessing how well it is executing its SRMA responsibilities. Maturity models outline a logical evolution from an initial state to a target state, describing how activities evolve in a stage-by-stage manner along a desired path. In addition, CISA is developing a SRMA self-assessment and metrics to inform and support its future SRMA maturity model. As CISA's SRMA maturity model will be informed by the Dams Sector's Sector Risk Assessment and SSRMP, it is not anticipated to be completed until these NSM-22 deliverables are finalized, which is estimated to be completed by January 25, 2025. Further, in support of the NSM's recommendation, CISA, as the National Coordinator, will collaborate through the Federal Senior Leadership Council to develop a customizable methodology for each SRMA to assess the maturity and effectiveness of their sector-specific partnership structures and make recommendations for improvement.</p>
Component	CISA
Report Number (Public)	OIG-21-59

Report Title	CISA Can Improve Efforts to Ensure Dam Security and Resilience
Report Received/ Issued Date	09/09/2021
Rec #	4
Recommendation	Strengthen coordination with FEMA by establishing Memorandums of Understanding, Interagency Agreements, or other documented strategies to formally define CISA's and FEMA's roles and responsibilities for information sharing and analytical collaboration for grant decision-making related to safety, security, and resilience of dams, as well as the use and applicability of numerical simulation models, flood inundation tools, and supporting geospatial mapping capabilities to support emergency preparedness and incident response.
Estimated Completion Date (or Date Closed)	09/29/2023
Next Step is Up To	OIG
Narrative of Implementation Status	On September 12, 2024, in response to OIG's feedback regarding CISA's original closeout request from August 2023, CISA provided OIG with an updated memorandum and requested that OIG close the recommendation as implemented. To address OIG's concerns, CISA and FEMA collaborated to develop a new MOU that formally defines the roles and responsibilities moving forward.
Component	CISA
Report Number (Public)	OIG-22-06
Report Title	DHS Needs Additional Oversight and Documentation to Ensure Progress in Joint Cybersecurity Efforts
Report Received/ Issued Date	11/08/2021
Rec #	1
Recommendation	Develop an implementation plan to conduct periodic assessments for monitoring the progress of goals and activities and complete annual updates on action items, as required by the Cyber Action Plan and associated 2015 and 2018 memorandums.
Estimated Completion Date (or Date Closed)	08/15/2024
Next Step is Up To	OIG
Narrative of Implementation Status	On August 15, 2024, OIG closed this recommendation after the universe of open recommendations for this annual report was identified.
Component	CISA

Report Number (Public)	OIG-22-06
Report Title	DHS Needs Additional Oversight and Documentation to Ensure Progress in Joint Cybersecurity Efforts
Report Received/ Issued Date	11/08/2021
Rec #	2
Recommendation	Conduct centralized tracking and completion of signed closeout summaries to reconcile the ongoing , outstanding, and open tasks and activities, as required by the Cyber Action Plan and associated 2015 and 2018 memorandums.
Estimated Completion Date (or Date Closed)	08/15/2024
Next Step is Up To	OIG
Narrative of Implementation Status	On August 15, 2024, OIG closed this recommendation after the universe of open recommendations for this annual report was identified.
Component	CISA
Report Number (Public)	OIG-22-06
Report Title	DHS Needs Additional Oversight and Documentation to Ensure Progress in Joint Cybersecurity Efforts
Report Received/ Issued Date	11/08/2021
Rec #	3
Recommendation	Establish performance measures to ensure the effectiveness and completion of the Cyber Action Plan and associated 2015 and 2018 memorandum activities.
Estimated Completion Date (or Date Closed)	08/15/2024
Next Step is Up To	OIG
Narrative of Implementation Status	On August 15, 2024, OIG closed this recommendation after the universe of open recommendations for this annual report was identified.
Component	CISA
Report Number (Public)	OIG-22-06
Report Title	DHS Needs Additional Oversight and Documentation to Ensure Progress in Joint Cybersecurity Efforts

Report Received/ Issued Date	11/08/2021
Rec #	4
Recommendation	Establish the DHS governance structure and ensure it consists of an Executive Committee that meets at least semi-annually and a Steering Committee that meets at least quarterly, as required.
Estimated Completion Date (or Date Closed)	08/15/2024
Next Step is Up To	OIG
Narrative of Implementation Status	On August 15, 2024, OIG closed this recommendation after the universe of open recommendations for this annual report was identified.
Component	CISA
Report Number (Public)	OIG-22-33
Report Title	The Office of Bombing Prevention Needs to Improve its Management and Assessment of Capabilities to Counter Improvised Explosive Devices
Report Received/ Issued Date	03/29/2022
Rec #	3
Recommendation	Integrate its C-IED data sources and modernize its NCCAD [National Counter-Improvised Explosive Device (IED) Capabilities Analysis Database] reporting system to generate automated reports at the national, regional, and state level.
Estimated Completion Date (or Date Closed)	10/10/2024
Next Step is Up To	OIG
Narrative of Implementation Status	On October 10, 2024, OIG closed this recommendation as implemented, after the universe of open recommendations for this annual report was identified.
Component	CISA
Report Number (Public)	OIG-22-63
Report Title	CISA and FEMA Can Improve Coordination Efforts to Ensure Energy Sector Resilience
Report Received/ Issued Date	09/02/2022
Rec #	1

Recommendation	<p>CISA Director and FEMA Administrator develop and document a comprehensive and adaptive framework ensuring collaboration between DHS components in support of Energy Sector activities, including procedures to:</p> <ul style="list-style-type: none"> a. Periodically monitor and update DHS Energy Sector activities to ensure progress toward achieving common goals and outcomes, such as those in the National Preparedness Goal and the Energy Sector-Specific Plan; and b. Identify relevant participants and eliminate challenges to data sharing (e.g., developing a method for regularly updating the list of Federal offices with a "need to know" status and sharing risk assessment information with each other, DHS components, and key stakeholders, as permitted by law).
Estimated Completion Date (or Date Closed)	09/30/2025
Next Step is Up To	DHS
Narrative of Implementation Status	The CISA Audit Team is currently collaborating with CISA Policy and the relevant stakeholders to draft an interim update aligned with the NSM-22 timeline provided by the White House. Simultaneously, CISA is working closely with designated Points of Contact to refine action plans. These plans are subject to adjustments as CISA advances through NSM-22 implementation.
Component	CISA
Report Number (Public)	OIG-23-19
Report Title	CISA Made Progress but Must Address Resource, Staffing, and Technology Challenges
Report Received/ Issued Date	03/03/2023
Rec #	1
Recommendation	The CISA Director update CISA's Continuity of Operations Plan and develop and implement an information system contingency plan, to ensure availability of redundant systems, capabilities, and communication methods to use if primary systems or networks are compromised.
Estimated Completion Date (or Date Closed)	10/14/2024
Next Step is Up To	OIG
Narrative of Implementation Status	On October 14, 2024, OIG closed this recommendation after the universe of open recommendations for this annual report was identified.

Component	FEMA
Report Number (Public)	OIG-19-66
Report Title	FEMA Did Not Sufficiently Safeguard Use of Transportation Assistance Funds
Report Received/ Issued Date	09/30/2019
Rec #	1
Recommendation	OIG recommended the FEMA Assistant Administrator for Recovery strengthen FEMA's transportation assistance policies and procedures and coordinate with FEMA Assistant Administrator for Mission Support to: (a) require the collection and retention of eligibility documentation or where applicable, document the steps taken to validate applicant statements in FEMA's system of record, and (b) ensure future information technology updates support the collection, use, and retention of unique Vehicle Identification Numbers to enable FEMA to cross-reference national databases to confirm insurance coverage and identify applicants' second vehicles.
Estimated Completion Date (or Date Closed)	TBD
Next Step is Up To	OIG
Narrative of Implementation Status	FEMA continues to non-concur with this recommendation and has outlined its perspective in various communications with OIG including, but not limited to, FEMA's 90-Day Letter dated December 20, 2019, and a letter from the FEMA Administrator to an OIG Assistant Inspector General dated August 23, 2021. OIG declined to close this recommendation and formally elevated it to the DHS Deputy Under Secretary for Management (as the Department's Audit Follow-up and Resolution Official) for resolution on August 14, 2024.
Component	FEMA
Report Number (Public)	OIG-19-66
Report Title	FEMA Did Not Sufficiently Safeguard Use of Transportation Assistance Funds
Report Received/ Issued Date	09/30/2019
Rec #	3
Recommendation	OIG recommended the FEMA Assistant Administrator for Recovery, in accordance with the Stafford and Improper Payments Acts; develop controls to identify payments not used for critical transportation needs.

Estimated Completion Date (or Date Closed)	TBD
Next Step is Up To	OIG
Narrative of Implementation Status	FEMA continues to non-concur with this recommendation and has outlined its perspective in various communications with OIG including, but not limited to, FEMA's 90-Day Letter dated December 20, 2019, and a letter from the FEMA Administrator to an OIG Assistant Inspector General dated August 23, 2021. OIG declined to close this recommendation and formally elevated it to the DHS Deputy Under Secretary for Management (as the Department's Audit Follow-up and Resolution Official) for resolution on August 14, 2024.
Component	FEMA
Report Number (Public)	OIG-20-15
Report Title	FEMA Purchased More Manufactured Housing Units Than It Needed in Texas After Hurricane Harvey
Report Received/ Issued Date	02/27/2020
Rec #	4
Recommendation	The Office of Response and Recovery Associate Administrator take steps to maintain a complete set of supporting documentation, including invoices and bills of lading to support all of its MHU and TPS assets. FEMA should also align its recordkeeping with Office of Management and Budget Circular A-123 and the Federal Acquisition Regulation by establishing documentation processes that include audit trails and specific document retention periods.
Estimated Completion Date (or Date Closed)	12/31/2026
Next Step is Up To	DHS
Narrative of Implementation Status	LMD continues configuration of Lifecycle Process Management System Minimum Viable Product, developing new capabilities for maintaining supporting documentation associated with the Transportable Temporary Housing Units program, invoices, and bills of lading. OIG requested a system progress demonstration, capturing the full cost elements. OIG conveyed appreciation the continued actions LMD plans to take in response to the recommendation. FEMA officials continue to anticipate initial capability this year but do not anticipate full operational capability until 2026. This recommendation remains resolved and open until LMD completes all planned actions and provides documentation to substantiate all corrective actions and the system meets the intent of the recommendation. FEMA will provide another update to OIG on October 29, 2024.

Component	FEMA
Report Number (Public)	OIG-20-23
Report Title	FEMA Has Made More than \$3 Billion in Improper and Potentially Fraudulent Payments for Home Repair Assistance since 2003
Report Received/ Issued Date	04/06/2020
Rec #	1
Recommendation	The Federal Emergency Management Agency Administrator, due to the questioned costs exceeding \$3 billion, implement a process to collect documentation and verify eligibility for applicants claiming no homeowner's insurance prior to providing IHP home repair assistance payouts.
Estimated Completion Date (or Date Closed)	TBD
Next Step is Up To	OIG
Narrative of Implementation Status	FEMA continues to non-concur with this recommendation and has outlined its perspective in various communications with OIG including, but not limited to a memo from the FEMA Senior Component Accountable Official for audits to an OIG Assistant Inspector General dated January 26, 2022. OIG has declined to close this recommendation and formally elevated it to the DHS Deputy Under Secretary for Management (as the Department's Audit Follow-up and Resolution Official) for resolution on August 14, 2024.
Component	FEMA
Report Number (Public)	OIG-20-23
Report Title	FEMA Has Made More than \$3 Billion in Improper and Potentially Fraudulent Payments for Home Repair Assistance since 2003
Report Received/ Issued Date	04/06/2020
Rec #	2
Recommendation	The Federal Emergency Management Agency Administrator include the IHP as susceptible to significant improper payments subject to annual improper payments estimation and reporting.
Estimated Completion Date (or Date Closed)	TBD
Next Step is Up To	OIG

Narrative of Implementation Status	FEMA continues to non-concur with this recommendation and has repeatedly asked that it be considered closed. FEMA already has an established process to conduct post-award audits for insurance verification. Currently, FEMA's IA Audit Section conducts annual reviews of a statistically significant random sample of registrations for duplication of benefits by comparing assistance awards to the National Insurance Crime Bureau database used by industry to flag potentially fraudulent payments. OIG has declined to close this recommendation and formally elevated it to the DHS Deputy Under Secretary for Management (as the Department's Audit Follow-up and Resolution Official) for resolution on August 14, 2024.
Component	FEMA
Report Number (Public)	OIG-20-68
Report Title	FEMA Is Not Effectively Administering a Program to Reduce or Eliminate Damage to Severe Repetitive Loss Properties
Report Received/ Issued Date	09/08/2020
Rec #	1
Recommendation	The Administrator for the Federal Emergency Management Agency devise a plan to strengthen its management of SRL [Severe Repetitive Loss] properties and ensure the accuracy of the SRL list. The plan should: (1) assign specific roles and responsibilities to ensure cross-division integration, implementation, and monitoring of FEMA's SRL strategy; (2) improve its workflow tracking system to monitor all requested changes to the SRL list and capture resulting outcomes; and (3) evaluate alternatives for updating the SRL list apart from Form AW-501, such as permitting updates to a property's mitigation status based on submission of a proper elevation certificate.
Estimated Completion Date (or Date Closed)	08/08/2024
Next Step is Up To	OIG
Narrative of Implementation Status	On August 8, 2024, OIG closed this recommendation after the universe of open recommendations for this annual report was identified.
Component	FEMA
Report Number (Public)	OIG-20-68
Report Title	FEMA Is Not Effectively Administering a Program to Reduce or Eliminate Damage to Severe Repetitive Loss Properties

Report Received/ Issued Date	09/08/2020
Rec #	2
Recommendation	The Administrator for the Federal Emergency Management Agency revise FEMA's approach to ensure equitable and timely distribution of mitigation funding. At a minimum, FEMA should: (1) devise a plan and conduct outreach to communities with a large number of SRL properties to identify and address barriers to their participation in the Flood Mitigation Assistance grant program; (2) update regional, state, and community training to address inconsistent practices and requirements that hinder NFIP-insured participation in the Flood Mitigation Assistance grant program; and (3) develop and implement policies and procedures to monitor and enforce grant requirements.
Estimated Completion Date (or Date Closed)	08/08/2024
Next Step is Up To	OIG
Narrative of Implementation Status	On August 8, 2024, OIG closed this recommendation after the universe of open recommendations for this annual report was identified.
Component	FEMA
Report Number (Public)	OIG-20-76
Report Title	FEMA Mismanaged the Commodity Distribution Process in Response to Hurricanes Irma and Maria
Report Received/ Issued Date	09/25/2020
Rec #	2
Recommendation	The FEMA Administrator develop and improve management reporting and data gathering business processes to address the data reporting challenges, resulting in more accurate and near-real-time information that enables quality decision making in assessing disaster survivor support needs.
Estimated Completion Date (or Date Closed)	12/31/2024
Next Step is Up To	DHS
Narrative of Implementation Status	On September 27, 2024, LMD informed OIG that in addition to the semi-annual system wide review of the Logistics Supply Chain Management System-Cloud transactional data, the LMD has created a Quality Assurance Surveillance Plan, which is used to review Distribution Orders entries that were created in support of disaster operations. On August 30, 2024, LMD completed the last milestone on Data Integrity maturity process - Logistics Supply Chain Management System-C. The Quality Assurance Surveillance

	Plan will identify errors committed and findings will be annotated on the Quality Assurance Log. The Quality Assurance Surveillance Plan also provides guidance outlining corrective/remedial action that will be taken for Distribution Orders that are categorized as “fail”. These corrective actions will be used to improve the integrity of the data being entered into Logistics Supply Chain Management System-Cloud.
Component	FEMA
Report Number (Public)	OIG-21-26
Report Title	FEMA's Procurement and Cost Reimbursement Review Process Needs Improvement
Report Received/ Issued Date	03/04/2021
Rec #	3
Recommendation	FEMA’s Assistant Administrator of the Recovery Directorate ensure the Regional Administrator, Federal Emergency Management Agency Region IV, review debris removal procurements and projects and either disallow or acquire support documentation for \$25,594,524 (\$23,282,276 Federal share) in questionable debris costs.
Estimated Completion Date (or Date Closed)	09/03/2024
Next Step is Up To	OIG
Narrative of Implementation Status	FEMA performed its review of Project Worksheet 2061 and did not identify any eligibility debris cost concerns. On September 3, 2024, FEMA requested that OIG close this recommendation as implemented.
Component	FEMA
Report Number (Public)	OIG-21-43
Report Title	FEMA Has Not Prioritized Compliance with the Disaster Mitigation Act of 2000, Hindering Its Ability to Reduce Repetitive Damages to Roads and Bridges
Report Received/ Issued Date	07/06/2021
Rec #	1
Recommendation	The Federal Emergency Management Agency Administrator address unresolved implementation issues, publish proposed regulations for notice and comment within 1 year, and issue final regulations within 3 years of issuance of this report for implementation of the Disaster Mitigation Act of 2000, 42 U.S.C. § 5172(b)(2).

Estimated Completion Date (or Date Closed)	09/04/2024
Next Step is Up To	OIG
Narrative of Implementation Status	FEMA is currently assessing how best to move forward with implementation of section 205(b) of the Disaster Mitigation Act of 2000 and determining appropriate next steps for the Public Assistance (PA) Repetitive Damage rulemaking, Regulation Identification Number 1660-AA47. Based on these actions, on September 4, 2024, FEMA requested that OIG close the recommendation as implemented.
Component	FEMA
Report Number (Public)	OIG-21-64
Report Title	Lessons Learned from FEMA's Initial Response to COVID-19
Report Received/ Issued Date	09/21/2021
Rec #	2
Recommendation	The Associate Administrator for Response and Recovery at FEMA strengthen FEMA's coordination during the COVID-19 response and future pandemics by formally documenting the policies and procedures for making informed and consistent resource allocation decisions for critical lifesaving supplies and equipment.
Estimated Completion Date (or Date Closed)	12/31/2024
Next Step is Up To	DHS
Narrative of Implementation Status	The Pandemic Branch Plan to the Biological Incident Annex will serve as an update to the 2018 Pandemic Crisis Action Plan. This plan is expected to be published during December 2024. This recommendation strengthens FEMA's coordination during the COVID-19 response and future pandemics by formally documenting the policies and procedures for making informed and consistent resource allocation decisions for critical lifesaving supplies and equipment. FEMA will update OIG again on October 30, 2024.
Component	FEMA
Report Number (Public)	OIG-21-64
Report Title	Lessons Learned from FEMA's Initial Response to COVID-19
Report Received/ Issued Date	09/21/2021
Rec #	3

Recommendation	The Administrator of FEMA, working with the Secretary of Health and Human Services, issue clarifying guidance defining agencies' pandemic response roles and responsibilities under Stafford Act declarations.
Estimated Completion Date (or Date Closed)	12/31/2024
Next Step is Up To	DHS
Narrative of Implementation Status	The Pandemic Branch Plan to the Biological Incident Annex will serve as an update to the 2018 Pandemic Crisis Action Plan. This plan is expected to be published during December 2024. FEMA and the Secretary of HHS are issuing clarifying guidance defining agencies' pandemic response roles and responsibilities under Stafford Act declarations. FEMA will update OIG again by October 30, 2024.
Component	FEMA
Report Number (Public)	OIG-22-25
Report Title	FEMA Should Apply Lessons Learned from the STEP Pilot Program Implementation in Puerto Rico to Future Programs
Report Received/ Issued Date	02/07/2022
Rec #	1
Recommendation	The Assistant Administrator for FEMA's Recovery Directorate establish program- or award-specific performance goals to measure the progress of recipients in implementing activities under state-administered sheltering assistance grant awards.
Estimated Completion Date (or Date Closed)	10/23/2024
Next Step is Up To	OIG
Narrative of Implementation Status	On October 23, 2024, OIG closed this recommendation as implemented, after the universe of open recommendations for this annual report was identified.
Component	FEMA
Report Number (Public)	OIG-22-25
Report Title	FEMA Should Apply Lessons Learned from the STEP Pilot Program Implementation in Puerto Rico to Future Programs
Report Received/ Issued Date	02/07/2022
Rec #	2

Recommendation	The Assistant Administrator for FEMA's Recovery Directorate establish coordinated program- or award-specific oversight activities to monitor, assess, and provide guidance to sheltering assistance grant recipients on performance and corrective actions to address shortfalls. In addition: (a) ensure proper documentation of oversight activities; and (b) validate accuracy of progress-related data provided by the award recipient.
Estimated Completion Date (or Date Closed)	10/23/2024
Next Step is Up To	OIG
Narrative of Implementation Status	On October 23, 2024, OIG closed this recommendation as implemented, after the universe of open recommendations for this annual report was identified.
Component	FEMA
Report Number (Public)	OIG-22-46
Report Title	FEMA Needs to Improve Oversight and Management of Hazard Mitigation Grant Program Property Acquisitions
Report Received/ Issued Date	06/22/2022
Rec #	1
Recommendation	The Acting Deputy Assistant Administrator for Resilience implement financial management procedures to ensure FEMA regional officials monitor and close HMGP property acquisition projects in a timely manner, and that they conduct Strategic Funds Management reviews, document review decisions, and implement such decisions where appropriate. These actions will help minimize as much as \$134,911,248 in funds that FEMA could put to better use.
Estimated Completion Date (or Date Closed)	08/30/2024
Next Step is Up To	OIG
Narrative of Implementation Status	On February 14, 2024, FEMA's HMGP requested that OIG close the recommendation as implemented. On August 1, 2024, OIG stated that although the corrective actions are responsive to the recommendation, it will remain resolved and open, and requested four additional pieces of support. On August 30, 2024, HMGP submitted the additional documents and again requested that OIG close the recommendation as implemented.
Component	FEMA

Report Number (Public)	OIG-22-46
Report Title	FEMA Needs to Improve Oversight and Management of Hazard Mitigation Grant Program Property Acquisitions
Report Received/ Issued Date	06/22/2022
Rec #	2
Recommendation	The Acting Deputy Assistant Administrator for Resilience implement management procedures to ensure HMGP property acquisition project applications and project information are complete and accurate when submitted, reviewed, closed, and maintained by FEMA.
Estimated Completion Date (or Date Closed)	08/30/2024
Next Step is Up To	OIG
Narrative of Implementation Status	On August 30, 2024, FEMA's HMGP requested that OIG close the recommendation as implemented.
Component	FEMA
Report Number (Public)	OIG-22-46
Report Title	FEMA Needs to Improve Oversight and Management of Hazard Mitigation Grant Program Property Acquisitions
Report Received/ Issued Date	06/22/2022
Rec #	3
Recommendation	The Acting Deputy Assistant Administrator for Resilience direct FEMA regions to ensure states monitor, inspect, and report to FEMA on acquired HMGP properties in accordance with grant requirements to confirm the properties are maintained as open space.
Estimated Completion Date (or Date Closed)	08/30/2024
Next Step is Up To	OIG
Narrative of Implementation Status	FEMA's HMGP first requested that OIG close the recommendation as implemented on February 14, 2024. On August 1, 2024, OIG noted that FEMA's corrective actions are responsive to this recommendation; however, it will remain resolved and open until FEMA provides (1) verification of geoportal training for all regions, (2) a copy of the Internal Geoportal guidance released to regional offices, and (3) region report

	using the new geospatial tracking of FEMA properties purchased using Hazard Mitigation Funds. On August 30, 2024, HMGP submitted the documents and again requested that OIG close the recommendation as implemented.
Component	FEMA
Report Number (Public)	OIG-22-46
Report Title	FEMA Needs to Improve Oversight and Management of Hazard Mitigation Grant Program Property Acquisitions
Report Received/ Issued Date	06/22/2022
Rec #	4
Recommendation	The Acting Deputy Assistant Administrator for Resilience and FEMA's Office of Equal Rights continue initiatives to reduce barriers and increase opportunities pursuant to Title VI of the Civil Rights Act of 1964 for applying for and receiving FEMA HMGP property acquisition grants. Additionally, we recommend that FEMA develop guidance and implement equity considerations in program delivery, including the states' use of demographic, economic, and other required data when selecting projects for HMGP property acquisition.
Estimated Completion Date (or Date Closed)	08/30/2024
Next Step is Up To	OIG
Narrative of Implementation Status	FEMA's HMGP first requested that OIG close the recommendation as implemented on March 5, 2024. On August 1, 2024, OIG noted that FEMA's corrective actions are responsive to this recommendation; however, it will remain resolved and open until FEMA provides (1) a copy of the Equity Options Paper, (2) a copy of the HMGP Equity Assessment Report, or external summary once published, and (3) a list of Equity Initiatives to be completed during 2024 with dates. On August 30, 2024, HMGP submitted the documents and again requested that OIG close the recommendation as implemented.
Component	FEMA
Report Number (Public)	OIG-22-51
Report Title	Assessment of FEMA's Public Assistance Alternative Procedures Program
Report Received/ Issued Date	07/13/2022
Rec #	1

Recommendation	FEMA Associate Administrator of the Office of Response and Recovery assess issues pertaining to the use of Public Assistance Alternative Procedures for projects in Puerto Rico resulting from Hurricanes Irma and Maria and incorporate lessons learned into Section 428 procedures for future disasters.
Estimated Completion Date (or Date Closed)	12/31/2025
Next Step is Up To	DHS
Narrative of Implementation Status	FEMA communicated to OIG the steps that it has taken to address this recommendation. On May 28, 2024, DHS/OMB cleared the draft version 5 of the PAPPG. On June 17, 2024, the 60-day public comment period ended, and FEMA is reviewing comments received. After review of all comments, FEMA PA Division will complete version 5 of the PAPPG. Once Version 5 of the PAPPG has been published, FEMA will request that OIG close the recommendation as implemented.
Component	FEMA
Report Number (Public)	OIG-22-51
Report Title	Assessment of FEMA's Public Assistance Alternative Procedures Program
Report Received/ Issued Date	07/13/2022
Rec #	2
Recommendation	FEMA Associate Administrator of the Office of Response and Recovery assess whether it can or should change aspects of the PAAP program in response to suggestions raised by applicants.
Estimated Completion Date (or Date Closed)	12/31/2025
Next Step is Up To	DHS
Narrative of Implementation Status	FEMA communicated to OIG the steps that it has taken to address this recommendation. On June 17, 2024, the 60-day public comment period ended, and FEMA is reviewing comments received. After review of all comments, FEMA PA Division will complete version 5 of the PAPPG. Once Version 5 of the PAPPG has been published, FEMA will request that OIG close the recommendation as implemented.
Component	FEMA
Report Number (Public)	OIG-22-54
Report Title	DHS Did not Adequately or Efficiently Deploy Its Employees in Support of Operation Allies Welcome
Report Received/ Issued Date	07/27/2022

Rec #	1
Recommendation	The DHS Secretary develop a framework for directing DHS components to deploy staff to support missions, including non-centrally funded, unplanned, or emergency operations, for which DHS resources are needed.
Estimated Completion Date (or Date Closed)	01/30/2026
Next Step is Up To	DHS
Narrative of Implementation Status	On September 20, 2024, FEMA informed OIG that ORR Field Operations Directorate program office requested an extension until October 21, 2024, to complete the Milestone #3 on “Initial Draft of Memo to Scope, Activate and Deactivate the DHS Volunteer Force” due to current Field Operations Directorate staff deployment for disaster operations. FEMA is developing a process that defines how the DHS Volunteer Force will develop, activate, and deactivate its missions that includes a framework for how the Agency will work with the Secretary’s Office to deploy volunteers to support missions, including non-centrally funded, unplanned, or emergency operations, for which DHS resources are needed. Once DHS Senior Leadership approves that process, the contents will be incorporated into the DHS Volunteer Force Guide.
Component	FEMA
Report Number (Public)	OIG-22-54
Report Title	DHS Did not Adequately or Efficiently Deploy Its Employees in Support of Operation Allies Welcome
Report Received/ Issued Date	07/27/2022
Rec #	2
Recommendation	The DHS Secretary develop a volunteer deployment strategy that includes provisions for supporting volunteers, regardless of funding source.
Estimated Completion Date (or Date Closed)	01/30/2026
Next Step is Up To	DHS
Narrative of Implementation Status	On September 20, 2024, FEMA informed OIG that ORR Field Operations Directorate program office requested an extension until October 21, 2024, to complete the Milestone #3 on “Initial Draft of Memo to Scope, Activate and Deactivate the DHS Volunteer Force” due to current Field Operations Directorate staff deployment for disaster operations. FEMA is developing a process that defines how the DHS Volunteer Force will develop, activate, and deactivate its missions that includes a framework for how the

	Agency will work with the DHS Secretary's Office to deploy volunteers to support missions, including non-centrally funded, unplanned, or emergency operations, for which DHS resources are needed. Once DHS Senior Leadership approves that process, the contents will be incorporated into the DHS Volunteer Force Guide.
Component	FEMA
Report Number (Public)	OIG-22-56
Report Title	FEMA Needs to Improve Its Oversight of the Emergency Food and Shelter Program
Report Received/ Issued Date	08/10/2022
Rec #	1
Recommendation	FEMA Administrator collaborate with the National Board to reallocate all unclaimed and unpaid funds for all phases with closed spending periods to the earliest possible phase.
Estimated Completion Date (or Date Closed)	10/31/2024
Next Step is Up To	OIG
Narrative of Implementation Status	During October 2024, FEMA will submit the Emergency Food and Shelter Program (EFSP) Compliance and Resolution Policy to the OIG and request that OIG close the recommendation as implemented.
Component	FEMA
Report Number (Public)	OIG-22-56
Report Title	FEMA Needs to Improve Its Oversight of the Emergency Food and Shelter Program
Report Received/ Issued Date	08/10/2022
Rec #	2
Recommendation	FEMA Administrator collaborate with the National Board to develop a more proactive approach to determine, as early in the process as possible, whether Local Boards and State Set-Aside Committees are willing to accept funds, so that funds can be reallocated from jurisdictions unwilling or unable to participate in the Emergency Food and Shelter Program.
Estimated Completion Date (or Date Closed)	12/31/2025
Next Step is Up To	OIG

Narrative of Implementation Status	During July 2024, FEMA Individual Assistance met with OIG to discuss a path forward for this recommendation. FEMA and the EFSP National Board continue to collaborate, and the Board is on target to complete the actions it agreed to undertake.
Component	FEMA
Report Number (Public)	OIG-22-56
Report Title	FEMA Needs to Improve Its Oversight of the Emergency Food and Shelter Program
Report Received/ Issued Date	08/10/2022
Rec #	3
Recommendation	The FEMA Administrator collaborate with the National Board to ensure United Way Worldwide performs a periodic analysis of Local Boards and State Set-Aside Committees that have routinely not accepted funds and determine whether Local Boards or State Set-Aside Committees can be reestablished.
Estimated Completion Date (or Date Closed)	12/31/2025
Next Step is Up To	DHS
Narrative of Implementation Status	On July 30, 2024, FEMA Individual Assistance met with OIG to discuss a path forward for this recommendation. FEMA and the EFSP National Board continue to collaborate, and the Board is on target to complete the actions it agreed to undertake.
Component	FEMA
Report Number (Public)	OIG-22-56
Report Title	FEMA Needs to Improve Its Oversight of the Emergency Food and Shelter Program
Report Received/ Issued Date	08/10/2022
Rec #	4
Recommendation	The FEMA Administrator collaborate with the National Board to ensure United Way Worldwide develops and implements policies and guidance to Local Boards to follow when Local Recipient Organizations with outstanding compliance issues apply for Emergency Food and Shelter Program funding.
Estimated Completion Date (or Date Closed)	12/06/2024
Next Step is Up To	OIG

Narrative of Implementation Status	On December 6, 2024, OIG closed this recommendation as implemented, after the universe of open recommendations for this annual report was identified.
Component	FEMA
Report Number (Public)	OIG-22-56
Report Title	FEMA Needs to Improve Its Oversight of the Emergency Food and Shelter Program
Report Received/ Issued Date	08/10/2022
Rec #	5
Recommendation	The FEMA Administrator develop and implement written policies on FEMA's roles, responsibilities, and procedures for operating the Emergency Food and Shelter Program.
Estimated Completion Date (or Date Closed)	04/30/2026
Next Step is Up To	DHS
Narrative of Implementation Status	During July 2024, FEMA Individual Assistance met with OIG to discuss a path forward for this recommendation. FEMA and the EFSP National Board continue to collaborate, and the Board is on target to complete the actions it agreed to undertake.
Component	FEMA
Report Number (Public)	OIG-22-56
Report Title	FEMA Needs to Improve Its Oversight of the Emergency Food and Shelter Program
Report Received/ Issued Date	08/10/2022
Rec #	6
Recommendation	The FEMA Administrator collaborate with the National Board to increase analysis of the Emergency Food and Shelter Program's performance and ability to deliver funds and assess program participation during each phase.
Estimated Completion Date (or Date Closed)	09/30/2025
Next Step is Up To	DHS
Narrative of Implementation Status	FEMA continues to collaborate with the National Board monthly and will monitor the development of the redesigned system, which will be more robust, enabling better data tracking, availability, reporting, and analyses. It will also improve the ability of the National Board to use, and share with FEMA, EFSP data

	to assess performance, deliver funds, and track program participation during each phase of funding. The new system will enable more effective communications in support of processes and more supportive data. The database build will include a public website, a multi-tier grants portal, and an administrative and reports system. After build, the contractor will test the system, perform fixes, provide documentation, and train staff. The National Board will evaluate data tracking, availability, reporting, and analyses and document improvements in performance assessment, funds delivery, and program participation.
Component	FEMA
Report Number (Public)	OIG-22-56
Report Title	FEMA Needs to Improve Its Oversight of the Emergency Food and Shelter Program
Report Received/ Issued Date	08/10/2022
Rec #	8
Recommendation	The FEMA Administrator collaborate with the National Board to establish a contract, memorandum of understanding, or other written agreement mechanism with the Emergency Food and Shelter Program's fiscal agent and secretariat to establish requirements and expectations.
Estimated Completion Date (or Date Closed)	12/31/2025
Next Step is Up To	DHS
Narrative of Implementation Status	The EFSP National Board has an MOU under the authority of the Steward B. McKinney Homeless Assistance Act, which stipulates the understandings implicit in the law and in the historical operation of the EFSP. The MOU builds on the roles and responsibilities of each respective party and recognizes the Board's designation of United Way of America (now United Way Worldwide), (UWW), as the program's secretariat and fiscal agent. The MOU is still in effect. FEMA continues to collaborate with the EFSP National Board as the MOU is updated.
Component	FEMA
Report Number (Public)	OIG-22-56
Report Title	FEMA Needs to Improve Its Oversight of the Emergency Food and Shelter Program
Report Received/ Issued Date	08/10/2022
Rec #	9

Recommendation	The FEMA Administrator collaborate with the National Board to establish a formal board charter and develop and implement written policies and procedures including, but not limited to, periodically reviewing the direct allocation formula and a risk assessment of Local Boards and Local Recipient Organizations for the compliance review process.
Estimated Completion Date (or Date Closed)	12/31/2025
Next Step is Up To	DHS
Narrative of Implementation Status	The EFSP National Board received a draft formal board charter. Further, on March 6, 1997, the EFSP National Board entered into an MOU under the authority of the Steward B. McKinney Homeless Assistance Act, which stipulates the understandings implicit in the law and in the historical operation of the EFSP. The MOU builds on the roles and responsibilities of each respective party and recognizes the Board's designation of UWW as the program's secretariat and fiscal agent. The MOU is still in effect. FEMA continues to collaborate with the EFSP National Board as the MOU is updated and the formal board charter, which describes the development and implementation of policies and procedures, is finalized.
Component	FEMA
Report Number (Public)	OIG-22-56
Report Title	FEMA Needs to Improve Its Oversight of the Emergency Food and Shelter Program
Report Received/ Issued Date	08/10/2022
Rec #	10
Recommendation	The FEMA Administrator collaborate with the National Board to implement a plan to enforce already established guidance including Local Boards' deadlines for board plan submission and the disbursement of funds to Local Recipient Organizations within the McKinney- Vento Homeless Assistance Act's 3-month required timeframe.
Estimated Completion Date (or Date Closed)	12/06/2024
Next Step is Up To	OIG
Narrative of Implementation Status	On December 6, 2024, OIG closed this recommendation as implemented, after the universe of open recommendations for this annual report was identified.
Component	FEMA

Report Number (Public)	OIG-22-63
Report Title	CISA and FEMA Can Improve Coordination Efforts to Ensure Energy Sector Resilience
Report Received/ Issued Date	09/02/2022
Rec #	2
Recommendation	The CISA Director and FEMA Administrator each review and update key guidance in support of Energy Sector and disaster response activities to ensure it is current, relevant, and consistent. Additionally, recommend CISA and FEMA work with the Sector Risk Management Agency to ensure DHS Energy Sector policies, procedures, and guidance are compatible and do not contain conflicting terminology.
Estimated Completion Date (or Date Closed)	12/30/2024
Next Step is Up To	DHS
Narrative of Implementation Status	FEMA is revising the Power Outage Incident Annex, which will serve as an update to the 2017 Power Outage Incident Annex, in coordination with CISA and Department and Agency partners. The Power Outage Incident Annex revision completed the third step of the six-step planning process in October 2023 via an Information Analysis Brief provided to the interagency ESF Leadership Group.
Component	FEMA
Report Number (Public)	OIG-22-69
Report Title	FEMA Did Not Implement Controls to Prevent More than \$3.7 Billion in Improper Payments from the Lost Wages Assistance Program
Report Received/ Issued Date	09/16/2022
Rec #	1
Recommendation	The FEMA Administrator develop and implement a standard risk assessment process before initiating new Federal grant programs. This risk assessment should focus on identifying and evaluating program risks that may affect FEMA's ability to prevent waste, fraud, and abuse in its programs and mitigating those external risks to the extent practical.
Estimated Completion Date (or Date Closed)	06/20/2024
Next Step is Up To	OIG

Narrative of Implementation Status	In its formal Management Response Letter, FEMA informed OIG that it has adequate internal controls in place to support fraud prevention and detection measures, which provide an equivalent level of assurance for identifying and mitigating waste, fraud, and abuse as would be provided by a risk assessment. On June 20, 2024, FEMA requested that OIG close the recommendation as implemented, and FEMA awaits OIG's decision.
Component	FEMA
Report Number (Public)	OIG-22-69
Report Title	FEMA Did Not Implement Controls to Prevent More than \$3.7 Billion in Improper Payments from the Lost Wages Assistance Program
Report Received/ Issued Date	09/16/2022
Rec #	2
Recommendation	The FEMA Administrator, when mandated to rely on eligibility determinations of non-FEMA programs, develop a process to assess the program controls and identify risk to the extent practical.
Estimated Completion Date (or Date Closed)	06/20/2024
Next Step is Up To	OIG
Narrative of Implementation Status	On June 20, 2024, FEMA provided OIG updated internal controls and fraud mitigation efforts information to demonstrate the agency has met the intent of the recommendation and requested that OIG close the recommendation as implemented, and FEMA awaits OIG's decision.
Component	FEMA
Report Number (Public)	OIG-22-69
Report Title	FEMA Did Not Implement Controls to Prevent More than \$3.7 Billion in Improper Payments from the Lost Wages Assistance Program
Report Received/ Issued Date	09/16/2022
Rec #	3
Recommendation	The FEMA Administrator update the State Administrative Plan template to incorporate a requirement for grantees to include a description of the steps to prevent improper payments.
Estimated Completion Date (or Date Closed)	TBD

Next Step is Up To	OIG
Narrative of Implementation Status	FEMA continues to non-concur with this recommendation and reasserts that the Grants Program Division already administers a robust financial monitoring program that oversees the process of grantee routine financial reporting, including submission and review of the Standard Form-425 (the required financial status spending report), as well as enhanced monitoring activities, such as desk reviews and site visits. On June 20, 2024, FEMA requested that OIG close the recommendation as unimplemented. OIG declined to close this recommendation and formally elevated it to the DHS Deputy Under Secretary for Management (as the Department's Audit Follow-up and Resolution Official) for resolution on August 14, 2024.
Component	FEMA
Report Number (Public)	OIG-22-69
Report Title	FEMA Did Not Implement Controls to Prevent More than \$3.7 Billion in Improper Payments from the Lost Wages Assistance Program
Report Received/ Issued Date	09/16/2022
Rec #	4
Recommendation	The FEMA Administrator Develop and implement a process to monitor whether grantees implement and use the controls attested in FEMA-approved State Administrative Plans.
Estimated Completion Date (or Date Closed)	TBD
Next Step is Up To	OIG
Narrative of Implementation Status	FEMA reiterated the agency's non-concurrence with this recommendation and again, on June 20, 2024, requested that OIG close the recommendation as unimplemented. OIG declined to close this recommendation and formally elevated it to the DHS Deputy Under Secretary for Management (as the Department's Audit Follow-up and Resolution Official) for resolution on August 14, 2024.
Component	FEMA
Report Number (Public)	OIG-22-69
Report Title	FEMA Did Not Implement Controls to Prevent More than \$3.7 Billion in Improper Payments from the Lost Wages Assistance Program
Report Received/ Issued Date	09/16/2022
Rec #	5

Recommendation	The FEMA Administrator work with state workforce agencies to evaluate the Lost Wages Assistance program payments and verify that all recipients who received payment have a self-certification on file, as required; to determine whether the claimant meets eligibility requirements if no self-certification is on file; and, if not, to recover the payment.
Estimated Completion Date (or Date Closed)	TBD
Next Step is Up To	OIG
Narrative of Implementation Status	FEMA reiterated the agency's non-concurrence with this recommendation and again, on June 20, 2024, requested that OIG close the recommendation as unimplemented. OIG declined to close this recommendation and formally elevated it to the DHS Deputy Under Secretary for Management (as the Department's Audit Follow-up and Resolution Official) for resolution on August 14, 2024.
Component	FEMA
Report Number (Public)	OIG-22-69
Report Title	FEMA Did Not Implement Controls to Prevent More than \$3.7 Billion in Improper Payments from the Lost Wages Assistance Program
Report Received/ Issued Date	09/16/2022
Rec #	6
Recommendation	The FEMA Administrator conduct an after-action study of the Lost Wages Assistance program and update FEMA's Individuals and Households Program based on the lessons learned from the study.
Estimated Completion Date (or Date Closed)	TBD
Next Step is Up To	OIG
Narrative of Implementation Status	FEMA reiterated the agency's non-concurrence with this recommendation and again, on June 20, 2024, requested that OIG close the recommendation as unimplemented. OIG declined to close this recommendation and formally elevated it to the DHS Deputy Under Secretary for Management (as the Department's Audit Follow-up and Resolution Official) for resolution on August 14, 2024.
Component	FEMA
Report Number (Public)	OIG-22-69
Report Title	FEMA Did Not Implement Controls to Prevent More than \$3.7 Billion in Improper Payments from the Lost Wages Assistance Program

Report Received/ Issued Date	09/16/2022
Rec #	7
Recommendation	The FEMA Administrator de-obligate and recover any monies determined to have been obtained fraudulently or other improper payments through Lost Wages Assistance from the state workforce agencies.
Estimated Completion Date (or Date Closed)	12/31/2025
Next Step is Up To	DHS
Narrative of Implementation Status	FEMA continues to work with State Workforce Agencies as final reports are reviewed to close Lost Wages Assistance grants and recover overpayments regardless of whether the State Workforce Agencies recovered funds from individual claimants. Due to staff changes and shortfalls, this process is taking longer than initially estimated.
Component	FEMA
Report Number (Public)	OIG-22-73
Report Title	More than \$2.6 Million in Potentially Fraudulent LWA Payments Were Linked to DHS Employees' Identities
Report Received/ Issued Date	09/27/2022
Rec #	6
Recommendation	The FEMA Administrator develop and implement a process to review state administrative plans for consistency and ensure they include fraud prevention and mitigation strategies.
Estimated Completion Date (or Date Closed)	TBD
Next Step is Up To	OIG
Narrative of Implementation Status	FEMA reiterated that the agency believes it has sufficient policies in place to detect/mitigate fraud and on June 20, 2024, requested that OIG close the recommendation as implemented. OIG declined to close this recommendation and formally elevated it to the DHS Deputy Under Secretary for Management (as the Department's Audit Follow-up and Resolution Official) for resolution on August 14, 2024.
Component	FEMA
Report Number (Public)	OIG-22-76

Report Title	FEMA's Management of Mission Assignments to Other Federal Agencies Needs Improvement
Report Received/ Issued Date	09/29/2022
Rec #	1
Recommendation	The FEMA Associate Administrator for Response and Recovery develop a process to ensure FEMA components comply with FEMA's Mission Assignment Guide, requiring the formulation of comprehensive cost estimates during initiation and throughout the performance period for mission assignments.
Estimated Completion Date (or Date Closed)	12/31/2024
Next Step is Up To	DHS
Narrative of Implementation Status	FEMA Form FF-104-FY-21-119 is undergoing the OMB review process. When OMB approves the form, FEMA will work toward closure of this recommendation. FEMA will update OIG again on October 30, 2024.
Component	FEMA
Report Number (Public)	OIG-22-76
Report Title	FEMA's Management of Mission Assignments to Other Federal Agencies Needs Improvement
Report Received/ Issued Date	09/29/2022
Rec #	3
Recommendation	The FEMA Deputy Administrator develop a risk-based process for reviewing documentation that supports mission assignment expenditures and apply this process to COVID-19 mission assignments to ensure eligibility of claimed costs.
Estimated Completion Date (or Date Closed)	12/31/2024
Next Step is Up To	DHS
Narrative of Implementation Status	FEMA developed a risk-based process for reviewing documentation that supports mission assignment expenditures and will apply this process to COVID-19 mission assignments to ensure eligibility of claimed costs. FEMA conducted a survey conducted to understand the gaps. The results indicated a need for mandatory training and qualification requirements. FEMA will update OIG again by December 30, 2024.
Component	FEMA

Report Number (Public)	OIG-22-76
Report Title	FEMA's Management of Mission Assignments to Other Federal Agencies Needs Improvement
Report Received/ Issued Date	09/29/2022
Rec #	4
Recommendation	The FEMA Associate Administrator for Response and Recovery obtain documentation supporting the more than \$103 million for COVID-19 mission assignments and conduct a review to determine whether the costs comply with Federal and FEMA guidance.
Estimated Completion Date (or Date Closed)	12/31/2024
Next Step is Up To	DHS
Narrative of Implementation Status	FEMA's ORR is working to submit a request for closure as implemented because there is no evidence of ineligible reimbursements for the six mission assignments identified by OIG, as the Mission Assignment billing documents follow Federal Regulations. FEMA will update OIG again by December 30, 2024.
Component	FEMA
Report Number (Public)	OIG-22-77
Report Title	FEMA did not Effectively Manage a Disaster Case Management Grant in Support of Hurricane Maria
Report Received/ Issued Date	09/29/2022
Rec #	2
Recommendation	The Federal Emergency Management Agency Administrator establish policies and procedures for the Disaster Case Management Program when the program is not awarded to the State or Territory. The policies should address how FEMA will perform oversight and monitoring and how FEMA will ensure that standards for financial management systems and compliance with the Uniform Administrative Requirements, Cost Principles and Audit Requirements for Federal Awards (2 C.F.R. Pt. 200) are met.
Estimated Completion Date (or Date Closed)	12/31/2025
Next Step is Up To	DHS
Narrative of Implementation Status	FEMA continues to actively seek opportunities to meet with disaster case management stakeholders to discuss Disaster Case Management, and primarily to listen to their needs. This will allow FEMA to optimize and evolve post-disaster case management delivery for survivors. In late 2024 or early 2025,

	FEMA anticipates developing a series of courses of action that will inform the evolution of Disaster Case Management.
Component	FEMA
Report Number (Public)	OIG-23-14
Report Title	FEMA Did Not Provide Sufficient Oversight of Project Airbridge
Report Received/ Issued Date	02/07/2023
Rec #	1
Recommendation	The FEMA Administrator develop and implement assessment criteria for public/private partnerships with distributors in response to life-threatening circumstances or events. At a minimum, assessment criteria should include: (1) a justification memorandum explaining why each partnership is necessary, including a clear definition of the problem and why the partnership is an effective solution with consideration of needs, costs, and alternatives; (2) an assessment of alternatives; (3) a cost/benefit analysis; and (4) information regarding the partners' existing supply chain, including existing inventories, supply replenishment shipments and customer orders and deliveries to support public/private partnerships.
Estimated Completion Date (or Date Closed)	12/31/2024
Next Step is Up To	DHS
Narrative of Implementation Status	FEMA's Office of Policy and Program Analysis is planning to develop an assessment checklist or similar type of resource document to outline the assessment criteria for the use of public/private partnerships. The checklist will be developed in coordination with FEMA's Office of Chief Counsel to incorporate the final version into the relevant policy being developed in response to this recommendation.
Component	FEMA
Report Number (Public)	OIG-23-14
Report Title	FEMA Did Not Provide Sufficient Oversight of Project Airbridge
Report Received/ Issued Date	02/07/2023
Rec #	2
Recommendation	The FEMA Administrator develop and implement policies and procedures for the use of memorandums of agreement when establishing public/private partnerships and response to life-threatening circumstances or events. The policies and procedures should ensure FEMA can enforce and assess compliance with the

	memorandums of agreement requirements and address, at a minimum: (1) the review and approval process; (2) statutory authorities; (3) roles and responsibilities; (4) evaluation and reporting requirements; (5) targeted end-use, users, and locations; and (5) industry information necessary to monitor compliance.
Estimated Completion Date (or Date Closed)	12/31/2024
Next Step is Up To	DHS
Narrative of Implementation Status	FEMA’s Office of Chief Counsel is developing policies on the use of memorandums of agreement for establishing public/private partnerships and will utilize the existing FEMA Manual 112-5-1 “Interagency and Intergovernmental Agreement Policy” as a guide for the types of information that will need to be considered when establishing public/private partnerships.
Component	FEMA
Report Number (Public)	OIG-23-16
Report Title	FEMA Should Improve Controls to Restrict Unauthorized Access to Its Systems and Information
Report Received/ Issued Date	02/15/2023
Rec #	2
Recommendation	FEMA Chief Security Officer develop and implement internal controls to monitor and enforce supervisors and contracting officer's representatives’ compliance with the Access Lifecycle Management system's offboarding process for removing IT access.
Estimated Completion Date (or Date Closed)	08/22/2024
Next Step is Up To	OIG
Narrative of Implementation Status	On August 22, 2024, OIG closed this recommendation after the universe of open recommendations for this annual report was identified.
Component	FEMA
Report Number (Public)	OIG-23-16
Report Title	FEMA Should Improve Controls to Restrict Unauthorized Access to Its Systems and Information
Report Received/ Issued Date	02/15/2023
Rec #	3

Recommendation	FEMA Chief Security Officer implement a process to identify and verify that transferred personnel's unneeded access is removed in accordance with FEMA requirements.
Estimated Completion Date (or Date Closed)	08/22/2024
Next Step is Up To	OIG
Narrative of Implementation Status	On August 22, 2024, OIG closed this recommendation after the universe of open recommendations for this annual report was identified.
Component	FEMA
Report Number (Public)	OIG-23-16
Report Title	FEMA Should Improve Controls to Restrict Unauthorized Access to Its Systems and Information
Report Received/ Issued Date	02/15/2023
Rec #	4
Recommendation	FEMA Office of the Chief Information Officer implement a standardized process to conduct and monitor privileged and service account reviews in accordance with FEMA requirements.
Estimated Completion Date (or Date Closed)	09/30/2025
Next Step is Up To	DHS
Narrative of Implementation Status	FEMA provided an update to OIG describing the progress of implementing the corrective actions. A delay in acquisition and contract award process has challenged OCIO's ability to meet the original timeline. FEMA Enterprise Cloud Authentication Provisioning Services Blanket Purchase Agreement has been pending since quarter 2-3 FY 2024 with implementation dependent on contract award. The latest contract award date was March 1, 2024, the award has since been protested. OCIO intends to leverage internal resources to avoid unnecessary delays as no projected award date can be provided at this time. This will involve using government/civilian technical/engineering staff to work with several programs, start more detailed planning for migrations and seeking alternative acquisition methods to acquire and install authentication and provisioning service licenses for a small set of users/programs. FEMA will continue to provide quarterly status updates.
Component	FEMA
Report Number (Public)	OIG-23-16
Report Title	FEMA Should Improve Controls to Restrict Unauthorized Access to Its Systems and Information

Report Received/ Issued Date	02/15/2023
Rec #	5
Recommendation	FEMA Office of the Chief Information Officer remove the unnecessary privileges that allowed additional users to access the sensitive security account we identified.
Estimated Completion Date (or Date Closed)	09/30/2025
Next Step is Up To	DHS
Narrative of Implementation Status	FEMA provided an update to OIG describing the progress of implementing the corrective actions. A delay in acquisition and contract award process has challenged OCIO's ability to meet the original timeline. FEMA Enterprise Cloud Authentication Provisioning Services FEMA Enterprise Cloud Authentication Provisioning Services Blanket Purchase Agreement has been pending since quarter 2 FY 2024 with implementation dependent on contract award. The latest contract award date was March 1, 2024; the award has since been protested. OCIO intends to leverage internal resources to avoid unnecessary delays as no projected award date can be provided at this time. This will involve using government/civilian technical/engineering staff to work with several programs, start more detailed planning for migrations and seeking alternative acquisition methods to acquire and install authentication and provisioning service licenses for a small set of users/programs. FEMA will continue to provide quarterly status updates.
Component	FEMA
Report Number (Public)	OIG-23-16
Report Title	FEMA Should Improve Controls to Restrict Unauthorized Access to Its Systems and Information
Report Received/ Issued Date	02/15/2023
Rec #	6
Recommendation	FEMA Office of the Chief Information Officer implement automated tools or additional controls and policies to change service account passwords as required and prevent interactive logon.
Estimated Completion Date (or Date Closed)	09/30/2025
Next Step is Up To	DHS
Narrative of Implementation Status	FEMA provided an update to OIG describing the progress of implementing the corrective actions. A delay in acquisition and contract award process has challenged OCIO's ability to meet the original timeline. FEMA Enterprise Cloud Authentication Provisioning Services FEMA Enterprise Cloud Authentication

	Provisioning Services Blanket Purchase Agreement has been pending since quarter 2 FY 2024 with implementation dependent on contract award. The latest contract award date was March 1, 2024; the award has since been protested. OCIO intends to leverage internal resources to avoid unnecessary delays as no projected award date can be provided at this time. This will involve using government/civilian technical/engineering staff to work with several programs, start more detailed planning for migrations and seeking alternative acquisition methods to acquire and install authentication and provisioning service licenses for a small set of users/programs. FEMA will continue to provide quarterly status updates.
Component	FEMA
Report Number (Public)	OIG-23-16
Report Title	FEMA Should Improve Controls to Restrict Unauthorized Access to Its Systems and Information
Report Received/ Issued Date	02/15/2023
Rec #	7
Recommendation	FEMA Office of the Chief Information Officer establish a risk-based approach to implement DHS' required encryption standards where possible or submit requests for waivers or risk acceptance to the DHS Chief Information Security Officer to forgo this setting on affected FEMA service accounts.
Estimated Completion Date (or Date Closed)	09/30/2025
Next Step is Up To	DHS
Narrative of Implementation Status	FEMA provided an update to OIG describing the progress of implementing the corrective actions. A delay in acquisition and contract award process has challenged OCIO's ability to meet the original timeline. FEMA Enterprise Cloud Authentication Provisioning Services FEMA Enterprise Cloud Authentication Provisioning Services Blanket Purchase Agreement has been pending since quarter 2 FY 2024 with implementation dependent on contract award. The latest contract award date was March 1, 2024; the award has since been protested. OCIO intends to leverage internal resources to avoid unnecessary delays as no projected award date can be provided at this time. This will involve using government/civilian technical/engineering staff to work with several programs, start more detailed planning for migrations and seeking alternative acquisition methods to acquire and install authentication and provisioning service licenses for a small set of users/programs. FEMA will continue to provide quarterly status updates.
Component	FEMA
Report Number (Public)	OIG-23-20

Report Title	FEMA Should Increase Oversight to Prevent Misuse of Humanitarian Relief Funds
Report Received/ Issued Date	03/28/2023
Rec #	1
Recommendation	The FEMA Administrator ensure that the ESFP National Board resolve the \$7.4 million in questioned costs and incorporate controls in the American Rescue Plan Act of 2021 Humanitarian Relief Funding and Application Guidance to minimize future reimbursements of unsupported costs. Additionally, the FEMA Administrator ensure the labor hour reimbursements made to the COVID-19 testing contractor are appropriately supported.
Estimated Completion Date (or Date Closed)	12/31/2025
Next Step is Up To	DHS
Narrative of Implementation Status	The period of performance for the federal award in question expires December 31, 2025, and the EFSP National Board and UWW have until that date to perform all required activities under the grant, including reconciliation of final reports and making final adjustments to expenditures. UWW, on behalf of the EFSP National Board, is following its established process and procedures for reconciling expenditures after spending period expiration by reviewing final reports and working with subrecipients, including the City of McAllen and Catholic Charities Diocese of San Diego, to reconcile all expenditures and documentation. FEMA expects UWW to complete all activities within the period of performance. If during or after its reconciliation, UWW, on behalf of the EFSP National Board, notifies FEMA of a compliance issue it cannot resolve itself, FEMA will determine what assistance, or additional steps may be necessary for resolution.
Component	FEMA
Report Number (Public)	OIG-23-32
Report Title	FEMA Did Not Always Secure Information Stored on Mobile Devices to Prevent Unauthorized Access
Report Received/ Issued Date	07/07/2023
Rec #	4
Recommendation	FEMA's Chief Information Officer update FEMA's Response Playbook Standard Operating Procedure to comply with the Joint DHS Office of the Chief Security Officer and Office of the Chief Information Officer Guidance on Foreign Travel, requiring the disabling of all unauthorized mobile devices that have been taken on international travel.

Estimated Completion Date (or Date Closed)	08/01/2024
Next Step is Up To	OIG
Narrative of Implementation Status	On August 1, 2024, OIG closed this recommendation after the universe of open recommendations for this annual report was identified.
Component	FEMA
Report Number (Public)	OIG-23-34
Report Title	FEMA Did Not Effectively Manage the Distribution of COVID-19 Medical Supplies and Equipment
Report Received/ Issued Date	07/19/2023
Rec #	1
Recommendation	The FEMA Administrator clarify existing guidance and ensure FEMA personnel use the Logistics Supply Chain Management System or an alternative integrated solution as the system of record during disaster response operations to manage the distribution of FEMA-owned commodities, supplies, and equipment as well as those sourced by FEMA from partners across the Federal government, non-governmental organizations, and the private sector to fulfill state, local, tribal, and territorial requests.
Estimated Completion Date (or Date Closed)	12/31/2024
Next Step is Up To	DHS
Narrative of Implementation Status	On July 31, 2024, LMD completed the second milestone in the corrective action plan to “Create and/or update existing guidance and training, as appropriate.” On September 27, 2024, FEMA informed OIG that LMD approved the Doctrine, Policy, and Plans Dashboard; and the estimated completion for the Dashboard is December 31, 2024. Once complete, the Dashboard will serve as the central repository for the dissemination of guidance and training documents. Documents housed on the Dashboard will be updated as required as new processes or policies are identified and implemented.
Component	FEMA
Report Number (Public)	OIG-23-34
Report Title	FEMA Did Not Effectively Manage the Distribution of COVID-19 Medical Supplies and Equipment
Report Received/ Issued Date	07/19/2023
Rec #	2

Recommendation	The FEMA Administrator take action to develop and improve the Logistics Management Directorate's internal controls, guidance, and system integration to obtain more accurate information that enhances logistics decision making regarding the fulfillment of commodity requests during disaster response operations. At a minimum, FEMA should: a. develop internal controls to ensure appropriate information related to facility types, intermediate locations, and transportation-only orders is accurately reported in the Logistics Supply Chain Management System or an alternative integrated solution; b. update guidance and deliver training to ensure there is a clear audit trail when aggregating distribution data on FEMA-owned commodities, supplies, and equipment as well as those sourced by FEMA from partners across the Federal government, non-governmental organizations, and the private sector to fulfill state, local, tribal, and territorial requests; and c. improve integration between the Logistics Supply Chain Management System and the Web Emergency Operations Center Crisis Management System to ensure the systems are, to the extent practicable, compatible and share information as required by the Post-Katrina Emergency Management Reform Act of 2006.
Estimated Completion Date (or Date Closed)	12/31/2025
Next Step is Up To	DHS
Narrative of Implementation Status	On September 27, 2024, FEMA informed OIG that LMD approved the Doctrine, Policy, and Plans Dashboard. Estimated completion for the Dashboard is December 31, 2024. Once complete, the Dashboard will serve as the central repository for the dissemination of guidance and training documents. Documents housed on the Dashboard will be updated as required as new processes or policies are identified and implemented. FEMA continues to identify requirements for future enhancements and integration between Logistics Supply Chain Management System-Cloud and the Crisis Management System.
Component	FEMA
Report Number (Public)	OIG-23-34
Report Title	FEMA Did Not Effectively Manage the Distribution of COVID-19 Medical Supplies and Equipment
Report Received/ Issued Date	07/19/2023
Rec #	3
Recommendation	The FEMA Administrator issue guidance and ensure a standardized process for collecting and maintaining documentation to confirm delivery and receipt of FEMA-owned commodities, supplies, and equipment, as well as those sourced by FEMA from partners across the Federal Government, non-governmental

	organizations, and the private sector to fulfill state, local, tribal, and territorial requests. At a minimum, the guidance and standardized process should: a. identify the required types of documentation to confirm delivery and receipt such as signed bills of lading, packing slips, and other forms; b. include controls to ensure the shipment documentation includes item descriptions and the specific quantity of items delivered and received; c. clarify the procedures for executing and documenting the delivery of commodities, supplies, and equipment to locations where no FEMA personnel are present to receive shipments; and d. establish appropriate repositories for delivery and receipt documentation.
Estimated Completion Date (or Date Closed)	12/31/2024
Next Step is Up To	DHS
Narrative of Implementation Status	On July 31, 2024, LMD completed the second milestone in the corrective action plan to “Create and/or update existing guidance and training, as appropriate.” On September 27, 2024, FEMA informed OIG that LMD approved the Doctrine, Policy, and Plans Dashboard. Estimated completion for the Dashboard is December 31, 2024. On this Dashboard, the Staging Field Operations National Incident Staging Base and Field Staging Area SOP will be housed. This document outlines the required documentation to confirm delivery and receipt for shipped items, controls ensuring that shipment documentation reflects specific quantity of items delivered and received, updated procedures ensuring that FEMA personnel will be on site to receive shipments and establishes the SharePoint repository for all required delivery/receipt documentation.
Component	FEMA
Report Number (Public)	OIG-23-37
Report Title	FEMA Continues to Make Improper Reimbursements through the Presidential Residence Protection Assistance Grant Program
Report Received/ Issued Date	07/28/2023
Rec #	3
Recommendation	The Assistant Administrator for FEMA’s Grant Programs Directorate establish and implement controls to avoid reimbursing grantees for costs not directly associated with protecting designated non-governmental Presidential residences.
Estimated Completion Date (or Date Closed)	09/23/2024
Next Step is Up To	OIG

Narrative of Implementation Status	On September 23, 2024, OIG closed this recommendation after the universe of open recommendations for this annual report was identified.
Component	FEMA
Report Number (Public)	OIG-23-42
Report Title	Ineffective Controls Over COVID-19 Funeral Assistance Leave the Program Susceptible to Waste and Abuse
Report Received/ Issued Date	08/22/2023
Rec #	1
Recommendation	The FEMA Administrator resolve questioned costs totaling an estimated \$24,438,662 for expenses deemed ineligible by FEMA's Individual Assistance Program and Policy Guide and determine the amount of any debts owed by recipients for erroneous payments.
Estimated Completion Date (or Date Closed)	TBD
Next Step is Up To	OIG
Narrative of Implementation Status	On August 27, 2024, Recovery-IA met with OIG to discuss potential solutions to address the open and unresolved status of this recommendation. FEMA and OIG disagree on the interpretation of Section 408 (e) of the Stafford Act, which authorizes other needs assistance and Section 408(e)(1), which authorizes Medical, Dental, Child Care, and Funeral Assistance. The funeral assistance regulations at 44 C.F.R. 206.119(c)(4)(iii) State funeral expenses are limited to funeral services, burial or cremation services, and other related funeral expenses. The “other related funeral expenses” is the broad authority that allows FEMA to determine eligible expense, while 408(e)(2) authorizes personal property, transportation, and other expenses. This provision speaks to other necessary expenses and serious needs. OIG stated that it will follow up with FEMA after it discussed the issue with its leadership and attorneys.
Component	FEMA
Report Number (Public)	OIG-23-42
Report Title	Ineffective Controls Over COVID-19 Funeral Assistance Leave the Program Susceptible to Waste and Abuse
Report Received/ Issued Date	08/22/2023
Rec #	3

Recommendation	The FEMA Administrator ensure that future iterations of the Individual Assistance Program and Policy Guide and supporting procedures (a) provide consistent guidance on eligibility of funeral expenses for all future disaster declarations; and (b) allow for reimbursement of only necessary expenses and serious needs, consistent with the law.
Estimated Completion Date (or Date Closed)	12/31/2025
Next Step is Up To	DHS
Narrative of Implementation Status	FEMA informed OIG that it continues the process of updating the IAPPG. Specifically, FEMA is currently developing updates to the IAPPG and is incorporating lessons learned from the COVID-19 Funeral Assistance process into the general Funeral Assistance policy language. The proposed updates will ensure that guidance on the eligibility of funeral expenses for future disaster declarations is consistent across disasters and with the laws authorizing funeral assistance. These decisions cannot be finalized until they move through the necessary clearance processes for FEMA, DHS, and OMB.
Component	I&A
Report Number (Public)	OIG-17-49
Report Title	Review of Domestic Sharing of Counterterrorism Information
Report Received/ Issued Date	03/30/2017
Rec #	4
Recommendation	Formalize agreements that enable I&A field officials to develop intelligence reporting with DHS components in the field, based on pilot program results.
Estimated Completion Date (or Date Closed)	02/28/2025
Next Step is Up To	DHS
Narrative of Implementation Status	I&A drafted the revision to Instruction 264-01-006, "DHS Intelligence Information Report (IIR) Program" and submitted it to DHS Management for coordination of DHS and Component review.
Component	I&A
Report Number (Public)	OIG-17-49
Report Title	Review of Domestic Sharing of Counterterrorism Information

Report Received/ Issued Date	03/30/2017
Rec #	5
Recommendation	Develop and implement guidance for intelligence reporting in the field.
Estimated Completion Date (or Date Closed)	02/28/2025
Next Step is Up To	DHS
Narrative of Implementation Status	I&A drafted the revision to Instruction 264-01-006, "DHS Intelligence Information Report (IIR) Program" and submitted it to DHS Management for coordination of DHS and Component review.
Component	I&A
Report Number (Public)	OIG-17-49
Report Title	Review of Domestic Sharing of Counterterrorism Information
Report Received/ Issued Date	03/30/2017
Rec #	8
Recommendation	Develop and implement guidance for field officials granting them local release authority for intelligence reporting.
Estimated Completion Date (or Date Closed)	02/28/2025
Next Step is Up To	DHS
Narrative of Implementation Status	I&A drafted the revision to Instruction 264-01-006, "DHS Intelligence Information Report (IIR) Program" and submitted it to DHS Management for coordination of DHS and Component review.
Component	I&A
Report Number (Public)	OIG-22-49
Report Title	DHS Could Do More to Address the Threats of Domestic Terrorism
Report Received/ Issued Date	07/05/2022
Rec #	3
Recommendation	DHS Secretary work with the Attorney General and the appropriate congressional committees, to ensure each Department collects and shares direct access to domestic terrorism information. Specifically:

	a. The Under Secretary of Intelligence and Analysis should immediately begin working with the Federal Bureau of Investigation to ensure Office of Intelligence and Analysis domestic terrorism analysts have appropriate access to Federal Bureau of Investigation case information.
Estimated Completion Date (or Date Closed)	1/31/2025
Next Step is Up To	DHS
Narrative of Implementation Status	I&A continues its discussions with the FBI on identifying long-term options to improve I&A's access to domestic terrorism investigative data. Consistent with I&A's 360 Memo, I&A and the FBI reached a tentative agreement to embed an I&A domestic terrorism analyst with FBI's Domestic Terrorism Strategic Unit, and an MOU is currently being drafted to codify this agreement. Similarly, FBI committed to assign a staff member later during 2024 to I&A's Counterterrorism Center to enhance I&A's access to FBI domestic terrorism case files. In the interim, I&A and the FBI domestic terrorism analysts and managers, as well as our liaison officers assigned to each other's organizations, continue to engage in regular coordination and collaboration to discuss threat reporting and joint production of finished intelligence and delivery of briefings in support of the White House National Strategy for Countering Domestic Terrorism.
Component	I&A
Report Number (Public)	OIG-22-60
Report Title	Evaluation of DHS' Compliance with Federal Information Security Modernization Act Requirements for Intelligence Systems for Fiscal Year 2021
Report Received/ Issued Date	08/19/2022
Rec #	1
Recommendation	I&A CIO revise policies and procedures to incorporate applicable new and revised NIST [National Institute of Standards and Technology] security controls to protect information stored and processed on C-LAN [Classified Local Area Network] and other DHS intelligence systems from unnecessary risks.
Estimated Completion Date (or Date Closed)	10/31/2025
Next Step is Up To	DHS
Narrative of Implementation Status	I&A paused work on updates to the 4300C Instruction Manual with changes made to the Committee on National Security Systems Instruction 1253 that incorporate Revision 5 to National Institute of Standards and Technology Special Publication 800-53. I&A's work is contingent on OCIO, which has embarked on a project to combine the 4300 series of Instructions (A, B, and C) into a single overarching policy.

	Specifically, OCIO partnered with an outside contractor and is conducting a study to review DHS cybersecurity policy and will provide recommendations to the CISO council during September 2024. The CISO Policy team, in conjunction with the CISO Council and Cybersecurity Policy Working group, have been conducting a separate review of 4300B to find ways to streamline policy to mirror the current 4300A policy to reduce redundancies and update policy. A similar review will be conducted on 4300C working with I&A to help streamline policy and reduce redundancies. The CISO Council will review both options and task the Cybersecurity Policy working group to update the policy based on one of the above options.
Component	ICE
Report Number (Public)	OIG-20-06
Report Title	DHS Lacked Technology Needed to Successfully Account for Separated Migrant Families
Report Received/ Issued Date	11/25/2019
Rec #	3
Recommendation	The Executive Associate Director, ICE Enforcement and Removal Operations, coordinate with the Department of Health and Human Services to outline roles and responsibilities, and create and distribute standard operating procedures for migrant family reunification.
Estimated Completion Date (or Date Closed)	08/02/2024
Next Step is Up To	OIG
Narrative of Implementation Status	On August 2, 2024, OIG closed this recommendation after the universe of open recommendations for this annual report was identified.
Component	ICE
Report Number (Public)	OIG-20-13
Report Title	Immigration and Customs Enforcement's Criminal Alien Program Faces Challenges
Report Received/ Issued Date	02/18/2020
Rec #	2
Recommendation	The Acting Director, U.S. Immigration and Customs Enforcement, conduct an independent workforce analysis to determine whether centralizing research of aliens and issuing detainers at the Pacific

	Enforcement Response Center would be more efficient than performing these tasks there as well as at local research centers.
Estimated Completion Date (or Date Closed)	03/31/2025
Next Step is Up To	DHS
Narrative of Implementation Status	<p>The U.S. District Court for the Central District of California has scheduled the next conference in Gonzalez v. U.S. Immigr. And Customs Enf't, No. 13-4416 (C.D. Cal. Filed June 19, 2013), 416 F. Supp. 3d 995 (C.D. Cal. 2019), No. 20-55175 (9th Cir. Filed Feb. 19, 2020), 975 F.3d 788, for November 22, 2024. The stay in the lawsuit will continue through that date and could potentially be extended beyond that date. A workforce analysis is inappropriate and not feasible at this time because, due to the status of the litigation, the consolidation of nationwide interoperability functions at the Pacific Enforcement Response Center would negatively impact ICE/ERO detainer issuance functions by consolidating them under the jurisdiction of the pending litigation within the Central District of California and the uncertainties of the outcome of pending settlement negotiations. Confidential discussions are ongoing, and ICE cannot comment on the terms of any potential settlement at this time and cannot assess whether the outcome of the litigation is likely to change SOP for interoperability response, to include introducing a new workflow, new approval process, and new IT requirements. Until the Parties come to an agreement on the final terms of settlement and the court approves these terms, it would be preliminary and speculative to assess workload/workforce requirements to determine whether nationwide coverage at the Pacific Enforcement Response Center is the most efficient and/or operationally and fiscally prudent option for ERO interoperability response.</p>
Component	ICE
Report Number (Public)	OIG-20-13
Report Title	Immigration and Customs Enforcement's Criminal Alien Program Faces Challenges
Report Received/ Issued Date	02/18/2020
Rec #	4
Recommendation	The Acting Director, U.S. Immigration and Customs Enforcement evaluate how to consistently track lawful permanent residents with pending convictions.
Estimated Completion Date (or Date Closed)	07/03/2024
Next Step is Up To	OIG

Narrative of Implementation Status	ERO analyzed best practices and system changes needed to track lawful permanent residents with pending convictions. Title 8 is a multi-year IT modernization portfolio of programs providing incremental delivery of improved reporting capabilities, system enhancements, data governance process improvements, and operational efficiencies in support of the ICE ERO mission. As part of Title 8 Program 1, ERO planned to build a comprehensive Leads Management System to track at large, and in-custody leads nationwide. The need for a mechanism to track lawful permanent residents with pending convictions was determined to best be satisfied utilizing the Leads Management System. On May 31, 2024, The Title 8 Leads Management System was released into limited production. The system is now in use by four Areas of Responsibility and three Centers within the Targeting Operations Division. The Leads Management System provides ERO users with the capability to manage “leads” including being able to tag a lead as a lawful permanent resident and track upcoming court dates. The Leads Management System will be released to all ERO offices by quarter 1 of FY 2025. On July 3, 2024, ERO provided to OIG documentation corroborating completion of these actions and requested that OIG close the recommendation as implemented. On August 13 and September 27, 2024, ICE followed up with OIG on the status of the recommendation.
Component	ICE
Report Number (Public)	OIG-20-59
Report Title	HSI Effectively Contributes to the FBI’s Joint Terrorism Task Force, But Partnering Agreements Could Be Improved
Report Received/ Issued Date	08/14/2020
Rec #	2
Recommendation	That the HSI Executive Associate Director renegotiate and update the existing 2003 MOA with DOJ [Department of Justice] on terrorism financing investigations to ensure: (a) all appropriate action to align guidance on handling of terrorism cases with current operations; (b) essential requirements defined in DHS Management Directive 0450.1 are included; and (c) a review and modification process is established to reflect future operational changes.
Estimated Completion Date (or Date Closed)	03/31/2025
Next Step is Up To	DHS
Narrative of Implementation Status	As of September 2024, a draft of the DHS wide Joint Terrorism Task Force (JTTF) MOU remains at FBI headquarters. Per discussions, FBI has concerns with the draft. DHS has two core considerations for OIG

	on this issue. First, DHS anticipates elevating this to FBI Counterterrorism Division leadership to emphasize the importance to FBI that DHS wants to see this move forward to completion. Second, DHS Policy is anticipating significant pushback from FBI predicated on some of the elements. FBI has a very strict formula and template on the MOU agreements and does not like to deviate from those. However, the standard template does not sufficiently address something such as a DHS-wide MOU with multiple components or the inherent complexities of such an agreement. PLCY intends to engage the FBI at the Assistant Secretary level in the weeks ahead. Once the MOU is returned to PLCY, it will disseminate it to all DHS Components who participate on the JTTFs for review. Once all Components review it, it will be returned to the FBI for review.
Component	ICE
Report Number (Public)	OIG-21-15
Report Title	ICE Guidance Needs Improvement to Deter Illegal Employment
Report Received/ Issued Date	01/13/2021
Rec #	2
Recommendation	<p>The ICE Homeland Security Investigations Worksite Enforcement Unit Chief assess I-9 processes and update the I-9 Guide to ensure it addresses risks and challenges, including:</p> <ul style="list-style-type: none"> a. when employers make corrections to address substantive violations and when employers claim they were unaware that they employed Unauthorized Alien Workers; b. ICE's ability to conduct follow-up inspections with limited resources; and c. when I-9 inspections identify individuals using fraudulent documents to obtain unlawful employment.
Estimated Completion Date (or Date Closed)	12/31/2024
Next Step is Up To	DHS
Narrative of Implementation Status	<p>On August 2, 2024, ICE provided to the OIG documentation corroborating the progress of the following actions:</p> <ul style="list-style-type: none"> • The updated HSI Labor Exploitation handbook is still pending. All proposed edits and additions from the new stakeholder Office of Regulatory and Policy have been completed. The draft handbook is pending Executive Associate Director approval. • As of June 2024, the Labor Exploitation Program and Employer Compliance Inspection Center onboarded two National Program Managers (NPM). Although funding and investigative priorities remain unchanged, the approval of the new Labor Exploitation Handbook gives the Labor

	<p>Exploitation Program the policy backing required to direct field offices to conduct follow-up inspections. Concurrently, the new Labor Exploitation NPM is directly engaging the field offices across the country to provide specific training and real-time assistance with labor exploitation topics and cases. The Employer Compliance Inspection Center developed a step-by-step guide for field personnel to simplify the process of requesting Employer Compliance Inspection Center assistance.</p> <ul style="list-style-type: none"> • HSI continues to pursue action against individuals using fraudulent documents to obtain unlawful employment by initiating fine proceedings against individuals or entities who knowingly commit, or attempt to commit, document fraud to obtain unlawful employment. Section 274C of the INA authorizes ICE to initiate fine proceedings and persons or entities found to have violated this section are subject to cease-and-desist order with a civil money penalty. Receiving a final order under this section may lead to deportation from the United States. The proceedings against violators of Section 274C will not require approval from an Assistant United States Attorney but will be worked closely with the Office of the Principal Legal Advisor to ensure that the elements and consequences of a fine are carefully and accurately described when served upon a respondent. • DOJ directing U.S. Attorneys' Offices to accept fraudulent document cases for criminal prosecution, the remaining avenue for action is administrative. HSI field offices and the Employer Compliance Inspection Center are prepared to increase the inspection tempo maintained in prior years. The continued use of I-9 Inspections will detect and deter the use of fraudulent documents to gain employment in the U.S. Historically, administrative inspections have uncovered both civil hiring violations and criminal activity involving the use, sale, or provision of counterfeit identity documents.
Component	ICE
Report Number (Public)	OIG-21-15
Report Title	ICE Guidance Needs Improvement to Deter Illegal Employment
Report Received/ Issued Date	01/13/2021
Rec #	3
Recommendation	The ICE Homeland Security Investigations Worksite Enforcement Unit Chief develop and implement a quality assurance process that allows ICE headquarters to sample cases on an objective, periodic basis, to determine whether field offices reduce fines, issue compliance letters, and conduct follow-up inspections of employers in accordance with ICE policies and procedures.

Estimated Completion Date (or Date Closed)	08/02/2024
Next Step is Up To	OIG
Narrative of Implementation Status	HSI has made significant progress and continues working on the correction plan for this recommendation. The Employer Compliance Inspection Center onboarded an NPM on June 15, 2024. The NPM, the (A) Section Chief, the Inspection Compliance Specialists, and senior auditors have been working together to create the structure of the Quality Assurance Program to institute in the field. Document, Benefit and Labor Exploitation Unit dedicated two full-time Inspection Compliance Specialists to the Quality Assurance Program to speed up the timeline. The quality assurance teams will pursue and conduct physical reviews of casework and to hold discussions with field staff regarding the state of their Labor Exploitation programs. On August 2, 2024, ICE provided to the OIG documentation corroborating the completion of these actions and requested that OIG consider the recommendation closed as implemented. On September 24, 2024, ICE followed up with OIG on the status of the recommendation.
Component	ICE
Report Number (Public)	OIG-21-57
Report Title	ICE's Oversight of Capgemini Contracts Needs Improvement
Report Received/ Issued Date	08/26/2021
Rec #	3
Recommendation	<p>The ICE Head of Contracting activity:</p> <ul style="list-style-type: none"> • direct procurement and program staff to review the qualifications for skill sets, education, and work experience of all Capgemini Government Solutions, LLC employees currently working on the contract and remove unqualified staff; and • ensure the contracting officer representative reviews all invoices paid to Capgemini Government Solutions, LLC between August 2018 and December 2019. The review should highlight any cost for labor not provided and determine any amounts to recover.
Estimated Completion Date (or Date Closed)	08/06/2024
Next Step is Up To	OIG
Narrative of Implementation Status	On August 6, 2024, OIG closed this recommendation after the universe of open recommendations for this annual report was identified.
Component	ICE

Report Number (Public)	OIG-22-01
Report Title	ICE Needs to Improve Its Oversight of Segregation Use in Detention Facilities
Report Received/ Issued Date	10/13/2021
Rec #	1
Recommendation	ICE ERO Assistant Directors for Custody Management and Field Operations update ICE policy and guidance and track all segregation placements to better ensure that facilities' use of segregation is necessary and in compliance with detention standards.
Estimated Completion Date (or Date Closed)	12/31/2024
Next Step is Up To	DHS
Narrative of Implementation Status	The draft ERO policy is currently undergoing SES-level clearance within various ERO divisions. The draft will then go to the ERO Executive Associate Director's Office prior to being sent to DHS Headquarters for review.
Component	ICE
Report Number (Public)	OIG-22-01
Report Title	ICE Needs to Improve Its Oversight of Segregation Use in Detention Facilities
Report Received/ Issued Date	10/13/2021
Rec #	2
Recommendation	ICE ERO Assistant Directors for Custody Management and Field Operations require all detention facilities to collect and track standardized information for all segregation placements and provide this information to ICE for entry into the official system of record (i.e., SRMS [Segregation Review Management System]).
Estimated Completion Date (or Date Closed)	12/31/2024
Next Step is Up To	DHS
Narrative of Implementation Status	The draft ERO policy is currently undergoing SES-level clearance within various ERO divisions. The draft will then go to the ERO Executive Associate Director's Office prior to being sent to DHS Headquarters for review.
Component	ICE

Report Number (Public)	OIG-22-01
Report Title	ICE Needs to Improve Its Oversight of Segregation Use in Detention Facilities
Report Received/ Issued Date	10/13/2021
Rec #	3
Recommendation	ICE's Records Officer, in conjunction with the Executive Assistant Director for Enforcement and Removal Operations, update all policies, guidance, and contracts for detention facilities to ensure compliance with the National Archives and Records Administration's record retention schedules.
Estimated Completion Date (or Date Closed)	09/30/2025
Next Step is Up To	OIG
Narrative of Implementation Status	<p>ICE ERO is currently working with NARA to finalize the schedules, but options are limited until NARA approves and publishes the official records schedule, and there is no defined timeline for when that will occur. ICE ERO has worked extensively with ICE's Records Officer to improve record retention practices to ensure compliance with the NARA's guidance. Specifically, from 2022 through 2024, the Records and Information Management Unit conducted 38 site assessments within ICE Detention Facilities to evaluate recordkeeping activities and operations. These assessments have significantly enhanced retention oversight, streamlined records lifecycle management, and mitigated the risk of unauthorized disposals. Further, the Records and Information Management Unit and ERO have undertaken several initiatives to build upon recordkeeping accomplishments, which include:</p> <ul style="list-style-type: none"> • Implementing uniform contract language to standardize recordkeeping practices for the retention and preservation of ICE Records; • Identifying Detention Facility Record Custodians to facilitate information sharing between federal and contracted employees; • Leveraging ICE's external portal to facilitate access to relevant recordkeeping information via the Information Library; • Creating role-based training for ICE personnel that clarifies employee obligations for maintaining records within their purview; and • Identifying required changes needed for incorporation into future Performance-Based National Detention Standards.
Component	ICE

Report Number (Public)	OIG-22-03
Report Title	Many Factors Hinder ICE's Ability to Maintain Adequate Medical Staffing at Detention Facilities
Report Received/ Issued Date	10/29/2021
Rec #	2
Recommendation	The Acting Director, U.S. Immigration and Customs Enforcement evaluate staffing in Immigration and Customs Enforcement units supporting Immigration Health Service Corps personnel to ensure there are adequate staff to expedite processing applications for medical positions. Provide evaluation results.
Estimated Completion Date (or Date Closed)	12/31/2024
Next Step is Up To	DHS
Narrative of Implementation Status	The ICE Human Resource Operations Center and ERO evaluated the staffing levels to ensure they are adequate to expedite the processing of IHSC hiring and personnel actions. During the evaluation, ICE Human Resource Operations Center identified the need for three full time Human Resource Specialists to support the IHSC workload. As of September 30, 2024, ICE Human Resource Operations Center and ERO has one full time HR Specialist and one full time HR Assistant to support IHSC and is in the process of hiring two additional HR Specialists. The Section Chief also adjusted other work portfolios to cover the IHSC workload until the positions are filled. Additionally, new automated systems are being implemented by the Department and the DHS Chief Information Officer that will streamline some time-consuming manual processes. During October 2024, ICE will provide to OIG the chart with the most recent review of the IHSC position status and request that OIG close the recommendation as implemented.
Component	ICE
Report Number (Public)	OIG-22-31
Report Title	Management Alert - Immediate Removal of all Detainees from the Torrance County Detention Facility
Report Received/ Issued Date	03/17/2022
Rec #	1
Recommendation	The Acting Director of ICE immediately relocate all detainees from Torrance County Detention Facility and place no detainees there unless and until the facility ensures adequate staffing and appropriate living conditions.

Estimated Completion Date (or Date Closed)	08/08/2024
Next Step is Up To	OIG
Narrative of Implementation Status	On August 8, 2024, OIG closed this recommendation after the universe of open recommendations for this annual report was identified.
Component	ICE
Report Number (Public)	OIG-22-44
Report Title	ICE Did Not Follow Policies, Guidance, or Recommendations to Test Migrants for COVID-19 before Domestic Commercial Flights
Report Received/ Issued Date	05/18/2022
Rec #	2
Recommendation	The ICE Executive Associate Director for Enforcement and Removal Operations (ERO) establish controls to ensure staff and contractors follow existing requirements to test single adults for COVID-19 before transfer using domestic commercial flights.
Estimated Completion Date (or Date Closed)	10/09/2024
Next Step is Up To	OIG
Narrative of Implementation Status	On October 9, 2024, OIG closed this recommendation as not implemented after the universe of open recommendations for this annual report was identified.
Component	ICE
Report Number (Public)	OIG-22-44
Report Title	ICE Did Not Follow Policies, Guidance, or Recommendations to Test Migrants for COVID-19 before Domestic Commercial Flights
Report Received/ Issued Date	05/18/2022
Rec #	3
Recommendation	The ICE Executive Associate Director for Enforcement and Removal Operations (ERO) clarify existing COVID-19 testing policies to include modes of transportation and timeframes for mandatory testing before transport.

Estimated Completion Date (or Date Closed)	10/09/2024
Next Step is Up To	OIG
Narrative of Implementation Status	On October 9, 2024, OIG closed this recommendation as not implemented after the universe of open recommendations for this annual report was identified.
Component	ICE
Report Number (Public)	OIG-22-66
Report Title	DHS Technology Systems Do Not Effectively Support Migrant Tracking at the Southwest Border
Report Received/ Issued Date	09/09/2022
Rec #	6
Recommendation	The Director of U.S. Immigration and Customs Enforcement evaluate adherence to current immigration policies and memorandums of agreement for internal and external collaboration and working groups and update them as needed.
Estimated Completion Date (or Date Closed)	03/31/2025
Next Step is Up To	DHS
Narrative of Implementation Status	ICE originally agreed that the MOA between parties should be updated, specifically those related to working groups. ERO continues to work with its counterparts to determine whether changes are needed as part of its continuous process improvement efforts. On May 1, 2024, ICE provided additional information to OIG and again requested that OIG close the recommendation as implemented. However, in June 2024, OIG informed ICE that its auditors are waiting on issuance of a new MOA between DHS and HHS, which should resolve this recommendation. On July 1, 2024, OIG provided a memo to ICE stating that as recognized in ICE's formal response, there is a current MOA between all parties and the issuance of this new MOA should fulfill the needs of this recommendation, but until then, the recommendation is considered resolved but open. Per an update from CBP, as of September 2024, the draft interagency agreement is still under review by DHS and HHS officials.
Component	ICE
Report Number (Public)	OIG-22-75
Report Title	Violations of Detention Standards at Torrance County Detention Facility

Report Received/ Issued Date	09/28/2022
Rec #	1
Recommendation	The Executive Associate Director of ICE ERO direct the El Paso Field Office responsible for Torrance take the necessary and progressive steps needed to hold the contractor accountable for obtaining a staffing level of at least 85 percent of the contractually obligated amount, including the medical department.
Estimated Completion Date (or Date Closed)	08/08/2024
Next Step is Up To	OIG
Narrative of Implementation Status	On August 8, 2024, OIG closed this recommendation after the universe of open recommendations for this annual report was identified.
Component	ICE
Report Number (Public)	OIG-23-17
Report Title	Secret Service and ICE Did Not Always Adhere to Statute and Policies Governing Use of Cell-Site Simulators - Law Enforcement Sensitive
Report Received/ Issued Date	02/23/2023
Rec #	6
Recommendation	The Assistant Director, Cyber and Operational Technology, U.S. Immigration and Customs Enforcement develop and implement internal controls to ensure privacy compliance documentation is completed and approved before developing or procuring information technology that collects, maintains, or disseminates information in identifiable form.
Estimated Completion Date (or Date Closed)	03/31/2025
Next Step is Up To	DHS
Narrative of Implementation Status	The ICE's HSI Technical Operations Center continues to work on revising its Handbook to include the privacy compliance documentation language outlined in this recommendation. Additionally, the Handbook covers all programs within the HSI Technical Operations Center, not just those affected by recommendation. Technical Operations Center must conduct a thorough review to ensure all program equities are equally covered and the updates align with current operational needs. The revision process is actively advancing, but the approval process is lengthy and requires multiple levels of review and approval. The draft is currently being reviewed again by Technical Operations Center personnel.

	Technical Operations Center has undergone new leadership changes and new leadership will need time to review and clear it for submission to PLCY. Once it is completed (estimate November 2024), it will be submitted to Cyber and Operational Technology leadership, and then to PLCY for review; and then the Handbook might make its way back to Technical Operations Center for further edits. The Handbook is expected to be submitted to PLCY by the end calendar year 2024.
Component	ICE
Report Number (Public)	OIG-23-33
Report Title	ICE Should Improve Controls to Restrict Unauthorized Access to Its Systems and Information
Report Received/ Issued Date	07/19/2023
Rec #	1
Recommendation	The ICE Office of the Chief Information Officer develop and implement processes to remove separated employees' access to all ICE systems, networks, and applications in accordance with DHS policy.
Estimated Completion Date (or Date Closed)	06/30/2025
Next Step is Up To	DHS
Narrative of Implementation Status	<p>ICE continues to be actively engaged in the process of implementing the Account Lifecycle Management (ALM) solution, via SailPoint software, to further automate account management capabilities. Infrastructure and technical interoperability integration challenges with Headquarters ICE ALM/SailPoint/ServiceNow Instance caused delays, which required adjustment to ICE planned migration dates. Technical issues are resolved, and the ICE infrastructure instance and configurations are complete. ICE's ALM roll-out will consist of four phases that will provide required input and analysis for developing ICE's Enterprise Account Management standard and curriculum development. ICE's ALM Pilot schedule is as follows:</p> <ul style="list-style-type: none"> • Automate Federal & Contractor Onboarding and Offboarding (quarter 3, FY 2024); • Federal Employee Offboarding Development and Pilot, in progress (quarter 4, FY 2024); • Federal Contractor Offboarding Development and Pilot (quarter 1, FY 2025) • Federal Contractor Onboarding Development and Pilot (quarter 2, FY 2025); and • Federal Employee Onboarding Development and Pilot On-Track for Delivery.
Component	ICE
Report Number (Public)	OIG-23-33

Report Title	ICE Should Improve Controls to Restrict Unauthorized Access to Its Systems and Information
Report Received/ Issued Date	07/19/2023
Rec #	2
Recommendation	The ICE Office of the Chief Information Officer develop and implement a process to identify all transferred employees and ensure their user group access is reviewed and verified immediately at the end of their prior position in accordance with DHS policy.
Estimated Completion Date (or Date Closed)	06/30/2025
Next Step is Up To	DHS
Narrative of Implementation Status	ICE OCIO is currently in the pilot phases of the ALM/SailPoint Solution as referenced in the February 2024 update. As the pilots advance, concurrent development and enhancements to an ICE Enterprise Account Management standard will progressively evolve and will include all actions to be taken for transferred employees and the evaluation of their associated user access permissions in accordance with DHS and ICE specified timelines.
Component	ICE
Report Number (Public)	OIG-23-33
Report Title	ICE Should Improve Controls to Restrict Unauthorized Access to Its Systems and Information
Report Received/ Issued Date	07/19/2023
Rec #	3
Recommendation	The ICE Office of the Chief Information Officer develop and implement a repeatable process to conduct and monitor privileged user and service account reviews in accordance with DHS policy.
Estimated Completion Date (or Date Closed)	08/01/2024
Next Step is Up To	OIG
Narrative of Implementation Status	On August 1, 2024, ICE provided to OIG additional supporting evidence to substantiate the request that OIG close the recommendation as implemented. On September 24, 2024, ICE followed up with OIG on the status of this recommendation. ICE is waiting the OIG's closure decision.
Component	ICE
Report Number (Public)	OIG-23-33

Report Title	ICE Should Improve Controls to Restrict Unauthorized Access to Its Systems and Information
Report Received/ Issued Date	07/19/2023
Rec #	4
Recommendation	The ICE Office of the Chief Information Officer remove the unnecessary privileges that allow additional users to access the sensitive security account we identified.
Estimated Completion Date (or Date Closed)	08/01/2024
Next Step is Up To	OIG
Narrative of Implementation Status	On August 1, 2024, ICE provided to OIG additional supporting evidence to substantiate the request that OIG close the recommendation as implemented. On September 24, 2024, ICE followed up with OIG on the status of this recommendation. ICE is waiting the OIG's closure decision.
Component	ICE
Report Number (Public)	OIG-23-33
Report Title	ICE Should Improve Controls to Restrict Unauthorized Access to Its Systems and Information
Report Received/ Issued Date	07/19/2023
Rec #	5
Recommendation	The ICE Office of the Chief Information Officer submit requests for waivers or risk acceptance to the DHS Chief Information Security Officer to forgo implementing DHS' required encryption setting on affected ICE service accounts.
Estimated Completion Date (or Date Closed)	08/01/2024
Next Step is Up To	OIG
Narrative of Implementation Status	On August 1, 2024, ICE provided to OIG additional supporting evidence to substantiate the request that OIG close the recommendation as implemented. On September 24, 2024, ICE followed up with OIG on the status of this recommendation. ICE is waiting the OIG's closure decision.
Component	ICE
Report Number (Public)	OIG-23-33
Report Title	ICE Should Improve Controls to Restrict Unauthorized Access to Its Systems and Information

Report Received/ Issued Date	07/19/2023
Rec #	6
Recommendation	The ICE Office of the Chief Information Officer develop and implement measures to ensure service account passwords are updated as required.
Estimated Completion Date (or Date Closed)	08/01/2024
Next Step is Up To	OIG
Narrative of Implementation Status	On August 1, 2024, ICE provided to OIG additional supporting evidence to substantiate the request that OIG close the recommendation as implemented. On September 24, 2024, ICE followed up with OIG on the status of this recommendation. ICE is waiting the OIG's closure decision.
Component	ICE
Report Number (Public)	OIG-23-33
Report Title	ICE Should Improve Controls to Restrict Unauthorized Access to Its Systems and Information
Report Received/ Issued Date	07/19/2023
Rec #	7
Recommendation	The ICE Office of the Chief Information Officer evaluate its vulnerability management program to identify and implement automated tools to help address known vulnerabilities within required timeframes.
Estimated Completion Date (or Date Closed)	04/01/2024
Next Step is Up To	OIG
Narrative of Implementation Status	ICE has evaluated, identified, and implemented technologies that enhances cross-functional team visibility and continuous monitoring of both vulnerability and configuration management risk postures for all client workstations, domain controllers and members servers in the ICE network infrastructure, which comprises more than 31,500 assets. ICE provided supporting evidence to substantiate the request that OIG close the recommendation as implemented. On May 24, 2024, and September 24, 2024, ICE followed up with OIG on the status of this recommendation and is waiting for OIG's closure decision.
Component	ICE
Report Number (Public)	OIG-23-41
Report Title	ICE Has Limited Ability to Identify and Combat Trade-Based Money Laundering Schemes

Report Received/ Issued Date	08/21/2023
Rec #	1
Recommendation	The Executive Associate Director for Homeland Security Investigations develop and implement a work plan detailing prioritized upgrades to the Repository for Analytics in a Virtualized Environment, Data Analysis & Research for Trade Transparency System, estimated funding requirements for those upgrades, and timelines for implementing the upgrades. The upgrades should include processes to achieve program objectives and respond to program risks such as capabilities to facilitate identifying trade-based money laundering transactions.
Estimated Completion Date (or Date Closed)	08/06/2024
Next Step is Up To	OIG
Narrative of Implementation Status	On August 6, 2024, OIG closed this recommendation after the universe of open recommendations for this annual report was identified.
Component	ICE
Report Number (Public)	OIG-23-41
Report Title	ICE Has Limited Ability to Identify and Combat Trade-Based Money Laundering Schemes
Report Received/ Issued Date	08/21/2023
Rec #	2
Recommendation	The Executive Associate Director for Homeland Security Investigations conduct an analysis of the Trade Transparency Unit workforce to determine the number of full-time staff needed to accomplish the unit's mission and convey those requirements to the Office of the Chief Financial Officer for future funding consideration.
Estimated Completion Date (or Date Closed)	08/06/2024
Next Step is Up To	OIG
Narrative of Implementation Status	On August 6, 2024, OIG closed this recommendation after the universe of open recommendations for this annual report was identified.
Component	ICE
Report Number (Public)	OIG-23-47

Report Title	DHS Does Not Have Assurance That All Migrants Can be Located Once Released into the United States
Report Received/ Issued Date	09/06/2023
Rec #	2
Recommendation	The Acting Director of U.S. Immigration and Customs Enforcement establish a policy for ICE field personnel to validate migrant addresses and to elevate address concerns, such as recurring or invalid migrant release addresses, recorded into U.S. Customs and Border Protection and ICE systems.
Estimated Completion Date (or Date Closed)	07/19/2023
Next Step is Up To	OIG
Narrative of Implementation Status	On July 19, 2023, ICE requested that OIG close the recommendation as implemented. On September 27, 2024, ICE provided supporting documentation to OIG that demonstrated the nation-wide deployment of the EID Arrest GUI for Law Enforcement Web application, which provides address validation capability. As addresses are entered by officers in the EID Arrest GUI for Law Enforcement Web application, the system automatically checks and validates addresses in real time. The recommendation to address invalid addresses was met by the deployment of this technical solution.
Component	ICE
Report Number (Public)	OIG-23-47
Report Title	DHS Does Not Have Assurance That All Migrants Can be Located Once Released into the United States
Report Received/ Issued Date	09/06/2023
Rec #	3
Recommendation	The Executive Associate Director of U.S. Immigration and Customs Enforcement's Enforcement and Removal Operations analyze migrant U.S. release address data on a recurring basis to identify trends, such as recurring and uninhabitable addresses, and share known address concerns with U.S. Border Patrol.
Estimated Completion Date (or Date Closed)	09/30/2024
Next Step is Up To	DHS
Narrative of Implementation Status	During September 2024, ICE completed the initial analysis of all addresses documented for DHS releases and shared the results with CBP. During October 2024, ICE will provide OIG with a copy of the results of the initial analysis shared with CBP. Furthermore, this analysis will be completed on a quarterly basis moving forward. ICE will also request that OIG consider this recommendation closed as implemented.

Component	ICE
Report Number (Public)	OIG-23-51
Report Title	Results of an Unannounced Inspection of ICE's Caroline Detention Center in Bowling Green, Virginia
Report Received/ Issued Date	09/15/2023
Rec #	1
Recommendation	The Executive Associate Director of Enforcement and Removal Operations direct the Washington Field Office, responsible for Caroline, to ensure timely dental care for advanced procedures is provided to detainees.
Estimated Completion Date (or Date Closed)	09/03/2024
Next Step is Up To	OIG
Narrative of Implementation Status	On September 3, 2024, OIG closed this recommendation after the universe of open recommendations for this annual report was identified.
Component	ICE
Report Number (Public)	OIG-23-52
Report Title	ICE Did Not Accurately Report to the Public its Progress in Disrupting or Dismantling Transnational Criminal Organizations
Report Received/ Issued Date	09/19/2023
Rec #	1
Recommendation	The Homeland Security Investigations Executive Associate Director require special agents to identify in the Investigative Case Management system whether each Significant Case Report submission involves an entity that meets HSI's definition of a transnational criminal organization.
Estimated Completion Date (or Date Closed)	03/31/2025
Next Step is Up To	DHS
Narrative of Implementation Status	ICE is working to complete closure requirements and providing supporting documentation to OIG. The Significant Case Reports Handbook, which includes the Significant Case Reports worksheet is currently under review, edits, and approval by the HSI Assistant Directors. Next, the handbook will go under a final review and approval. On September 9, 2024, OIG sent a memo to ICE stating that this recommendation

	will remain open and resolved until ICE provides evidence it developed: the associated Significant Case Reports worksheet; training for use of the worksheet; training for use of “TCO involvement” checkbox in the Investigative Case Management system; any updated memorandums or policies/procedures/Significant Case Reports Handbook informing the staff of these changes; and evidence of several monthly Significant Case Reports panel reviews under the new processes in place.
Component	ICE
Report Number (Public)	OIG-23-59
Report Title	ICE Should Improve Controls Over Its Transportation Services Contracts
Report Received/ Issued Date	09/25/2023
Rec #	1
Recommendation	The Executive Associate Director for Management and Administration ensure ICE appoints appropriately certified CORs to oversee high-risk transportation services contracts.
Estimated Completion Date (or Date Closed)	05/30/2025
Next Step is Up To	DHS
Narrative of Implementation Status	The contract list from the initial audit included old ERO contracts, which are no longer in use because the contracts were recompeted. ERO will work to ensure that each COR and Assistant Contracting Officer's Representative assigned to a contract is COR-certified at the appropriate COR certification level. For the CORs/Assistant COR's that are not Level III certified as required, ERO CORs will obtain the required Level III certification within the next six months. In both the Phoenix and San Francisco field offices, the COR positions are vacant and ERO is actively looking for CORs/Assistant Contracting Officer's Representative certified at level III. ERO is also working guidance for the field offices on the level of certification for each contract. During October 2024, ICE will provide OIG with the contract modifications hat closed-out some of the old contracts.
Component	ICE
Report Number (Public)	OIG-23-59
Report Title	ICE Should Improve Controls Over Its Transportation Services Contracts
Report Received/ Issued Date	09/25/2023
Rec #	2

Recommendation	The Executive Associate Director for Management and Administration ensure COs issue COR appointment letters to CORs who do not have them and reissue outdated COR appointment letters.
Estimated Completion Date (or Date Closed)	08/29/2024
Next Step is Up To	OIG
Narrative of Implementation Status	On August 29, 2024, OIG closed this recommendation after the universe of open recommendations for this annual report was identified.
Component	ICE
Report Number (Public)	OIG-23-59
Report Title	ICE Should Improve Controls Over Its Transportation Services Contracts
Report Received/ Issued Date	09/25/2023
Rec #	3
Recommendation	The Executive Associate Director for Management and Administration develop and implement procedures to ensure contracting staff issue COR appointment letters and maintain them in contract files.
Estimated Completion Date (or Date Closed)	08/29/2024
Next Step is Up To	OIG
Narrative of Implementation Status	On August 29, 2024, OIG closed this recommendation after the universe of open recommendations for this annual report was identified.
Component	ICE
Report Number (Public)	OIG-23-59
Report Title	ICE Should Improve Controls Over Its Transportation Services Contracts
Report Received/ Issued Date	09/25/2023
Rec #	4
Recommendation	The Executive Associate Director for Management and Administration develop and implement guidance to ensure that Enforcement and Removal Operations develops QASPs for contracts that include specific methods for monitoring contractor compliance with contract terms and develop procedures to ensure CORs use the QASPs as part of their oversight activities.

Estimated Completion Date (or Date Closed)	08/29/2024
Next Step is Up To	OIG
Narrative of Implementation Status	On August 29, 2024, OIG closed this recommendation after the universe of open recommendations for this annual report was identified.
Component	ICE
Report Number (Public)	OIG-23-59
Report Title	ICE Should Improve Controls Over Its Transportation Services Contracts
Report Received/ Issued Date	09/25/2023
Rec #	5
Recommendation	The Executive Associate Director for Management and Administration evaluate the workload for CORs and determine if sufficient resources are allocated to adequately oversee contracts and, based on the evaluation, develop, and implement a plan to more effectively manage or obtain additional personnel resources.
Estimated Completion Date (or Date Closed)	05/30/2025
Next Step is Up To	DHS
Narrative of Implementation Status	During March 2024, ERO completed the analysis to determine the adequate number of CORs per field office. The staffing recommendations from this analysis were forwarded to ERO leadership for decision by first quarter of FY 2025. Lastly, ERO will implement a plan to effectively manage or obtain additional contract management resources.
Component	ICE
Report Number (Public)	OIG-23-59
Report Title	ICE Should Improve Controls Over Its Transportation Services Contracts
Report Received/ Issued Date	09/25/2023
Rec #	6
Recommendation	The Executive Associate Director for Management and Administration recover any monies, including the \$408,875 identified in this report, determined to have been paid toward inaccurate charges or costs not supported by documentation.

Estimated Completion Date (or Date Closed)	08/29/2024
Next Step is Up To	OIG
Narrative of Implementation Status	On August 29, 2024, OIG closed this recommendation after the universe of open recommendations for this annual report was identified.
Component	ICE
Report Number (Public)	OIG-23-59
Report Title	ICE Should Improve Controls Over Its Transportation Services Contracts
Report Received/ Issued Date	09/25/2023
Rec #	7
Recommendation	The Executive Associate Director for Management and Administration determine the reasonableness of the amount and frequency of standby bus charges.
Estimated Completion Date (or Date Closed)	08/29/2024
Next Step is Up To	OIG
Narrative of Implementation Status	On August 29, 2024, OIG closed this recommendation after the universe of open recommendations for this annual report was identified.
Component	ICE
Report Number (Public)	OIG-23-61
Report Title	CBP, ICE, and Secret Service Did Not Adhere to Privacy Policies or Develop Sufficient Policies Before Procuring and Using Commercial Telemetry Data
Report Received/ Issued Date	09/28/2023
Rec #	3
Recommendation	The Director, U.S. Immigration and Customs Enforcement discontinue use of commercial telemetry data until the Privacy Impact Assessments are completed and approved.
Estimated Completion Date (or Date Closed)	03/31/2025
Next Step is Up To	DHS

Narrative of Implementation Status	The Geolocation Privacy Impact Assessment has been the number one priority effort for ICE Privacy. It has gone through a complete ICE Privacy review process with stakeholders and is currently undergoing final reviews and comment responses between ICE Privacy and PRIV. Communications regarding this Privacy Impact Assessment are held frequently between PRIV and ICE Privacy. Upon approval, ICE Privacy will provide HSI with a copy of the approved Privacy Impact Assessment.
Component	MGMT-CFO
Report Number (Public)	OIG-20-62
Report Title	DHS Has Made Progress in Meeting DATA Act Requirements, But Challenges Remain
Report Received/ Issued Date	08/14/2020
Rec #	4
Recommendation	OIG recommended the Chief Financial Officer develop and apply effective solutions to improve the implementation and use of the government-wide financial data standards for data elements associated with the award description, place of performance, unique record identifier [URI], legal entity information, program activity data, and financial assistance aggregate reporting.
Estimated Completion Date (or Date Closed)	11/28/2025
Next Step is Up To	DHS
Narrative of Implementation Status	OCFO is responsible for the two remaining financial assistance data elements of Unique Record Identifier and Legal Entity Information in this recommendation. During April 2024, OIG stated that the Department's corrective actions are responsive to the recommendation. Once implementation of FEMA's Grant Outcome system is complete, CFO will provide OIG with the final documents and request that OIG close the recommendation as implemented.
Component	MGMT-CFO
Report Number (Public)	OIG-22-04
Report Title	DHS Continues to Make Progress Meeting DATA Act Requirements, But Challenges Remain
Report Received/ Issued Date	11/04/2021
Rec #	1

Recommendation	Acting Chief Financial Officer develop and apply solutions to ensure FEMA [Federal Emergency Management Agency] fully complies with the new DATA Act requirements in OMB Memorandum M-20-21 for reporting cumulative COVID-19 outlays on a monthly basis and linking spending to emergency and disaster appropriations through the Disaster Emergency Fund Code [DEFC] data element. Ensure the solutions produce complete and accurate data elements that can be independently traced and verified to an auditable file.
Estimated Completion Date (or Date Closed)	11/28/2025
Next Step is Up To	DHS
Narrative of Implementation Status	OIG stated that the Department's corrective actions are responsive to the recommendation; however, the recommendation will remain open and resolved until DHS provides documentation showing: FEMA has documented its process for reporting cumulative gross outlay totals in File C (detailed financial data), DHS is no longer reporting the FEMA Disaster Emergency Fund Code or outlay reporting issues in its DATA Act assurance statement, and DHS has conducted internal testing confirming the outlay and Disaster Emergency Fund Code data elements are being reported accurately for financial assistance. FEMA OCFO performed updates to its legacy systems to comply with OMB Memorandum M-20-21 requirements of accurately reporting Disaster Emergency Fund Code data; however, these updates have yet to include a process to report cumulative year-to-date outlays as well as obligations and outlays incurred by award that consistently aligns with summary financial data reported.
Component	MGMT-CFO
Report Number (Public)	OIG-22-04
Report Title	DHS Continues to Make Progress Meeting DATA Act Requirements, But Challenges Remain
Report Received/ Issued Date	11/04/2021
Rec #	3
Recommendation	Acting Chief Financial Officer develop and apply solutions to improve the implementation and use of the government-wide financial data standards for procurement and financial assistance data elements that had an accuracy error rate of 10 percent or more.
Estimated Completion Date (or Date Closed)	06/30/2025
Next Step is Up To	DHS

Narrative of Implementation Status	OIG stated that the Department's corrective actions are responsive to this recommendation; however, it will remain open and resolved until DHS provides documentation showing. FEMA has updated its SOP to demonstrate process changes are in place and working, and DHS has conducted internal testing to validate that FEMA is reporting these data elements accurately. For the remaining eight financial assistance data elements that require process changes (data elements with error rates above 10 percent as identified by the audit), DHS OCFO, working with FEMA OCFO, will need to verify that FEMA's Grant Outcome system corrects the inaccuracy rate, so DHS can provide artifacts to OIG and request closure.
Component	MGMT-CFO
Report Number (Public)	OIG-22-45
Report Title	Department of Homeland Security's FY 2021 Compliance with the Payment Integrity Information Act of 2019 and Executive Order 13520, Reducing Improper Payments
Report Received/ Issued Date	06/08/2022
Rec #	1
Recommendation	<p>Ensure that FEMA continues to enhance internal control procedures over the Disaster Case Management and Urban Search & Rescue programs by:</p> <ul style="list-style-type: none"> a. developing and implementing policies and procedures for establishing and defining documentation requirements; b. providing appropriate training to personnel responsible for developing and operating internal controls; c. ensuring the implementation and operating effectiveness of policies and procedures over labor rate review and payment processing; and d. reviewing unknown payments to determine whether they are proper or improper and reporting the review results in future years as required by OMB Circular A-123.
Estimated Completion Date (or Date Closed)	09/03/2024
Next Step is Up To	OIG
Narrative of Implementation Status	On September 3, 2024, OIG closed this recommendation after the universe of open recommendations for this annual report was identified.
Component	MGMT-CFO
Report Number (Public)	OIG-22-45

Report Title	Department of Homeland Security's FY 2021 Compliance with the Payment Integrity Information Act of 2019 and Executive Order 13520, Reducing Improper Payments
Report Received/ Issued Date	06/08/2022
Rec #	2
Recommendation	Ensure that DHS' Risk Management and Assurance Division follows OMB requirements for agencies that do not comply with PIIA, as defined in OMB Circular A-123.
Estimated Completion Date (or Date Closed)	09/03/2024
Next Step is Up To	OIG
Narrative of Implementation Status	On September 3, 2024, OIG closed this recommendation after the universe of open recommendations for this annual report was identified.
Component	MGMT-CFO
Report Number (Public)	OIG-23-25
Report Title	DHS' Fiscal Year 2022 Compliance with the Payment Integrity Information Act of 2019
Report Received/ Issued Date	05/22/2023
Rec #	1
Recommendation	Ensure FEMA conducts payment integrity testing of the Funeral Assistance program.
Estimated Completion Date (or Date Closed)	11/29/2024
Next Step is Up To	DHS
Narrative of Implementation Status	FEMA completed the assessment of a statistical sample of FY 2022 COVID-19 Funeral Assistance disbursements during September 2024 and submitted the result to DHS OCFO's Risk Management and Assurance Division for quality assurance review, statistical extrapolation, and external reporting. Final results are on schedule to be reported to OMB via the annual data call process for 2024 reporting. Once submitted, OMB will execute the publication of agency reporting on PaymentAccuracy.gov as required per OMB Circular No. A-123, Appendix C, Requirements for Payment Integrity Improvement. Additionally, DHS completed the agency's annual Payment Integrity assessments and reporting requirements for 2024. Submissions for the agency survey as well as the FEMA Public Assistance - Validate as You Go, FEMA Funeral Assistance, and CBP - Procurement, Construction, and Improvements - Disaster Supplemental Funds program surveys will be submitted to OMB through the annual data call capability during October

	2024. Once processed by OMB, results will be published on PaymentAccuracy.gov. DHS will also complete its annual reporting requirements within the FY 2024 Agency Financial Report to November 15, 2024, and publish those results on DHS.gov. No later than November 29, 2024, DHS will request that OIG close this recommendation as implemented. When DHS requests closure, it will provide to OIG, the FEMA Funeral Assistance program's sampling and estimations results memo as well as links to the official Payment Integrity Information Act reporting with the DHS FY 2024 Agency Financial Report and on PaymentAccuracy.gov.
Component	MGMT-CFO
Report Number (Public)	OIG-23-25
Report Title	DHS' Fiscal Year 2022 Compliance with the Payment Integrity Information Act of 2019
Report Received/ Issued Date	05/22/2023
Rec #	2
Recommendation	Ensure FEMA assesses and conducts payment integrity testing, as applicable, for any program with COVID-19 funding that meets the Payment Integrity Information Act of 2019 threshold.
Estimated Completion Date (or Date Closed)	11/29/2024
Next Step is Up To	DHS
Narrative of Implementation Status	DHS completed the program review and applicable risk assessments, per Payment Integrity Information Act of 2019 and OMB implementing guidance Circular No. A-123, Appendix C, Requirements for Payment Integrity Improvement over FY 2022 disbursements in 2023. The results of the 2023 activities were reported to OMB during October 2023 and were published on PaymentAccuracy.gov by OMB during November 2023. OIG reviewed DHS's 2023 compliance with the Payment Integrity Information Act and concluded that for all reviewed programs, DHS complied with the requirement to conduct improper payment risk assessments for each program with annual outlays greater than \$10 million in the last 3 years and adequately conclude whether the program is likely to make improper payments and unknown payments above or below the statutory threshold. In addition, DHS completed similar efforts over the FY 2023 disbursements, which are on track for external reporting to OMB during October 2024 and will be subsequently published to PaymentAccuracy.gov. OIG will review the status of this recommendation as part of its annual Payment Integrity Information Act compliance audit, which should be completed during May 2025.

	<p>Additionally, DHS completed the agency’s annual Payment Integrity assessments and reporting requirements for 2024. Submissions for the agency survey as well as the FEMA Public Assistance - Validate as You Go, FEMA Funeral Assistance, and CBP - Procurement, Construction, and Improvements - Disaster Supplemental Funds program surveys will be submitted to OMB through the annual data call capability on October 25, 2024. Once processed by OMB, results will to be published on PaymentAccuracy.gov. In addition, DHS will complete its annual reporting requirements within the FY 2024 Agency Financial Report prior to November 15, 2024, and then publish those results on DHS.gov. DHS will then prepare an official closure request to be sent to OIG no later than November 29, 2024. DHS expects OIG to review and consider this for closure in the annual compliance audit, which will kick off during November 2024. In its closure request, DHS will include the FEMA Funeral Assistance program's sampling and estimations results memo, as well as links to the official Payment Integrity Information Act reporting with the DHS FY 2024 Agency Financial Report and on PaymentAccuracy.gov.</p>
Component	MGMT-CFO
Report Number (Public)	OIG-23-25
Report Title	DHS’ Fiscal Year 2022 Compliance with the Payment Integrity Information Act of 2019
Report Received/ Issued Date	05/22/2023
Rec #	3
Recommendation	Ensure DHS’ Risk Management and Assurance Division follows OMB requirements for programs that do not comply with the Payment Integrity Information Act of 2019, as stated in Appendix C of OMB Circular A-123.
Estimated Completion Date (or Date Closed)	05/31/2025
Next Step is Up To	DHS
Narrative of Implementation Status	<p>OCFO’s Risk Management and Assurance Division completed the external reporting requirements, per Payment Integrity Information Act of 2019 and OMB implementing guidance Circular No. A-123, Appendix C, Requirements for Payment Integrity Improvement for the 2023 activities, which were reported to OMB during October 2023 and published on PaymentAccuracy.gov by OMB during November 2023. The assessment results of the FEMA COVID-19 Funeral Assessment FY 2022 disbursements are on schedule to be externally reported to OMB during October 2024 for publication on PaymentAccuracy.gov during November 2024. OIG will review the status of this recommendation as part</p>

	of its annual Payment Integrity Information Act compliance audit, which should be completed by May 2025.
Component	MGMT-CFO
Report Number (Public)	OIG-23-35
Report Title	DHS Components Did Not Always Adhere to Internal Control Policies and Procedures for Ensuring that Bankcard Program Spending Limits Are Established Based on Procurement Needs
Report Received/ Issued Date	05/22/2023
Rec #	3
Recommendation	OIG recommended the DHS Chief Financial Officer, Assistant Director of the Financial Management Bankcard and Review Branch ensure that Component Primary Organization Program Coordinators at DHS Headquarters, Coast Guard, and the DHS Office of Homeland Security Situational Awareness provide Purchase and Fleet Card Program refresher training for key program approving officials, cardholders, and supporting staff to ensure compliance with requirements.
Estimated Completion Date (or Date Closed)	12/31/2024
Next Step is Up To	DHS
Narrative of Implementation Status	OCFO's Bankcard and Review Branch partnered with the OCHCO, Office of Learning, Education, and Development Strategy to create new training materials for the DHS Purchase and Fleet card programs. To date, updates to the DHS Fleet Card Training course have been completed and is scheduled to be released on the new DHS Headquarters Online Learning Management and Education System (HOLMES) on October 4, 2024. Additionally, the development of the new Purchase card training course is still underway and is expected to be completed and released to HOLMES by December 2024. Upon the release of the new training offering, the OCFO Bankcard and Review Branch will direct all Component cardholders, approving officials, and supporting staff to complete the newly available training in accordance with Department policy.
Component	MGMT-CHCO
Report Number (Public)	OIG-22-42
Report Title	Lessons Learned from DHS' Employee COVID-19 Vaccination Initiative
Report Received/ Issued Date	05/10/2022

Rec #	1
Recommendation	DHS MGMT OCHCO designate, direct, and oversee component representatives to maintain rosters of essential employees in each category defined by existing DHS policy.
Estimated Completion Date (or Date Closed)	03/31/2025
Next Step is Up To	DHS
Narrative of Implementation Status	Initially, OCHCO intended to revise DHS Directive 250-05 and Instruction 250-05-001 as recommended in this final report. However, during adjudication, OCHCO determined that the subject matter was better suited for FEMA's Continuity Programs. Accordingly, MGMT engaged with FEMA to draft the essential personnel subject matter into its Continuity Programs Directive (008-03) and establish a new Instruction (008-03-003), to replace and supersede 250-05 and 250-05-001. While FEMA provided these drafts to OCHCO, principals recommended holding on finalizing until additional updates from the new Presidential Policy Directive-40 are issued during 2025 and can be incorporated. Once the updates are provided and integrated, FEMA will share the final directive and instruction with OCHCO.
Component	MGMT-CIO
Report Number (Public)	OIG-20-73
Report Title	DHS Faces Challenges in Meeting the Responsibilities of the Geospatial Data Act of 2018
Report Received/ Issued Date	09/23/2020
Rec #	1
Recommendation	Identify and apply the resources needed in the Geospatial Management Office to the Department to fulfill covered agency responsibilities under section 759 of the Geospatial Data Act of 2018.
Estimated Completion Date (or Date Closed)	06/24/2024
Next Step is Up To	OIG
Narrative of Implementation Status	On June 24, 2024, CIO sent additional supporting documentation to OIG that was requested to support its original 2020 request for closure.
Component	MGMT-CIO
Report Number (Public)	OIG-20-73
Report Title	DHS Faces Challenges in Meeting the Responsibilities of the Geospatial Data Act of 2018

Report Received/ Issued Date	09/23/2020
Rec #	3
Recommendation	Work with the Geospatial Information Officer to coordinate with internal and external stakeholders to ensure a common definition of geospatial data, including the classification of Law Enforcement Sensitive Information, as it applies to the DHS mission and operating environment.
Estimated Completion Date (or Date Closed)	12/31/2024
Next Step is Up To	DHS
Narrative of Implementation Status	The Geospatial Management Office is working with OCIO OGC and in coordination with Federal Geographic Data Committee to understand current laws and policies that are applicable to the handling of law enforcement related data. The Management Office plans to meet during October or November 2024 with OCIO OGC to finalize documentation to be presented to Federal Geographic Data Committee outlining a path forward based on existing laws and statutes.
Component	MGMT-CIO
Report Number (Public)	OIG-20-77
Report Title	Evaluation of DHS' Information Security Program for Fiscal Year 2019
Report Received/ Issued Date	09/30/2020
Rec #	2
Recommendation	Assess the risk posed to the Department's information security program by allowing the Coast Guard to submit its cybersecurity information to the Department of Defense, inform DHS senior leadership of the risks identified, document senior leadership's concurrence or non-concurrence with the former CIO's decision, and communicate the decision, in writing, to OMB and selected congressional oversight committees.
Estimated Completion Date (or Date Closed)	01/15/2025
Next Step is Up To	OIG
Narrative of Implementation Status	On January 15, 2025, OIG closed this recommendation as implemented, after the universe of open recommendations for this annual report was identified.
Component	MGMT-CIO

Report Number (Public)	OIG-22-66
Report Title	DHS Technology Systems Do Not Effectively Support Migrant Tracking at the Southwest Border
Report Received/ Issued Date	09/09/2022
Rec #	1
Recommendation	We recommend the Chief Information Officer for DHS continue to evaluate the use of manual processes employed at the Southwest Border to identify, develop, and implement IT system efficiencies.
Estimated Completion Date (or Date Closed)	04/30/2025
Next Step is Up To	DHS
Narrative of Implementation Status	Responsive corrective action remains on track for Digital Integration Processing, Unified Immigration Portal, and Non-Detailed Technical Capabilities. Total Obligation Rate to date for Milestone 3: Technical Modernization funding is 99.6 percent. The Business Management Directorate continues to work toward closing this recommendation.
Component	MGMT-CIO
Report Number (Public)	OIG-22-66
Report Title	DHS Technology Systems Do Not Effectively Support Migrant Tracking at the Southwest Border
Report Received/ Issued Date	09/09/2022
Rec #	7
Recommendation	We recommend the Chief Information Officer for DHS establish a policy or agreement to ensure ongoing collaboration and standardized information sharing, especially during surges, among: DHS components; DHS and external partner agencies; and IT professionals and system operators.
Estimated Completion Date (or Date Closed)	03/31/2025
Next Step is Up To	DHS
Narrative of Implementation Status	During October 2024, OCIO will request more time to complete responsive corrective action. OCIO has experienced unforeseen delays related to final approval of the DHS Enterprise Data Policy Directive.
Component	MGMT-CIO
Report Number (Public)	OIG-23-07

Report Title	DHS Has Made Progress in Fulfilling Geospatial Data Act Responsibilities, But Additional Work is Needed
Report Received/ Issued Date	01/11/2023
Rec #	1
Recommendation	DHS Chief Information Officer develop and execute a separate plan for implementing DHS; geospatial data strategy or ensure the implementation plan developed for the Department's Evidence-Based Data Strategy fully considers geospatial data and is consistent with the Geospatial Data Act of 2018.
Estimated Completion Date (or Date Closed)	12/31/2024
Next Step is Up To	DHS
Narrative of Implementation Status	The Geospatial Management Office is continuing to attend Chief Data Officer Council meetings to ensure alignment of the Geospatial Data Act action plan with broader DHS enterprise data action plans. The Management Office continues to work with the Chief Data Officer's Data Inventory Program to unify metadata efforts.
Component	MGMT-CIO
Report Number (Public)	OIG-23-07
Report Title	DHS Has Made Progress in Fulfilling Geospatial Data Act Responsibilities, But Additional Work is Needed
Report Received/ Issued Date	01/11/2023
Rec #	2
Recommendation	DHS Chief Information Officer pursue a legislative approach, concurrent with existing administrative efforts, for determining how DHS handles, secures, and shares sensitive-but-unclassified geospatial data. As appropriate, the effort should be conducted in coordination with internal DHS stakeholders and in combination with any similar efforts undertaken by other agencies.
Estimated Completion Date (or Date Closed)	12/31/2024
Next Step is Up To	DHS
Narrative of Implementation Status	The Geospatial Management Office is working with OCIO OGC and in coordination with Federal Geographic Data Committee to understand current laws and policies that are applicable to the handling of law enforcement related data. The Management Office plans to meet during October or November 2024

	with OCIO OGC to finalize documentation to be presented to the Federal Geographic Data Committee outlining a path forward based on existing laws and statutes.
Component	MGMT-CIO
Report Number (Public)	OIG-23-07
Report Title	DHS Has Made Progress in Fulfilling Geospatial Data Act Responsibilities, But Additional Work is Needed
Report Received/ Issued Date	01/11/2023
Rec #	4
Recommendation	DHS Chief Information Officer confirm that all the platforms on which DHS shares geospatial data are following appropriate geospatial metadata standards.
Estimated Completion Date (or Date Closed)	12/31/2024
Next Step is Up To	DHS
Narrative of Implementation Status	The Geospatial Management Office developed a component metadata survey and is working in coordination with the Chief Data Officer Data Inventory Program to insure unified metadata efforts. Additionally, the Geospatial Management Office created a metadata auditing and reporting tool for component data uploaded into the Geospatial Information Infrastructure. The Geospatial Management Office will work with components to develop an implementation strategy.
Component	MGMT-CIO
Report Number (Public)	OIG-23-21
Report Title	Evaluation of DHS' Information Security Program for Fiscal Year 2022
Report Received/ Issued Date	04/17/2023
Rec #	1
Recommendation	DHS Chief Information Officer enforce the requirements for components to obtain Authority to Operate their systems, promptly use sufficient resources to create and monitor Plans of Action and Milestones to mitigate known information security weaknesses, and ensure contingency plans are tested.
Estimated Completion Date (or Date Closed)	12/31/2024
Next Step is Up To	DHS

Narrative of Implementation Status	Headquarters CISO and OIG decided that the new Cyber Strategy will be provided as an artifact towards closure. The Policy Branch Chief is working closely with CISO on obtaining the final strategy copy.
Component	MGMT-CIO
Report Number (Public)	OIG-23-55
Report Title	DHS Needs to Improve Annual Monitoring of Major Acquisition Programs to Ensure They Continue to Meet Department Needs
Report Received/ Issued Date	09/22/2023
Rec #	1
Recommendation	The Under Secretary for Management require the Office of the Chief Information Officer, in consultation with the Office of the Chief Financial Officer, Cost Analysis Division, to issue an approved Operational Analysis Guidebook, to include, at a minimum: Office of Management and Budget Circular No. A-11 guidance for components to conduct an operational analysis for information technology and non-information technology systems; and The most current life cycle cost estimate document as the cost baseline for assessing system cost performance.
Estimated Completion Date (or Date Closed)	11/28/2025
Next Step is Up To	DHS
Narrative of Implementation Status	On December 21, 2023, OIG confirmed that DHS's corrective action plan is responsive to the recommendation. OCIO is currently working to formalize documentation in line with the plan. OCIO needs additional time to work through this process and adjudicate all comments on the updated operational analysis instruction manual. Once OCIO addresses comments, DHS Components will have another opportunity to review final updates. Additional time will allow for the necessary collaboration to ensure concurrence on the instruction manual updates.
Component	MGMT-CIO
Report Number (Public)	OIG-23-55
Report Title	DHS Needs to Improve Annual Monitoring of Major Acquisition Programs to Ensure They Continue to Meet Department Needs
Report Received/ Issued Date	11/28/2025
Rec #	2

Recommendation	OIG recommend that the Under Secretary for Management issue an instruction manual for conducting an operational analysis.
Estimated Completion Date (or Date Closed)	09/30/2024
Next Step is Up To	DHS
Narrative of Implementation Status	On December 21, 2023, OIG confirmed that DHS's corrective action plan is responsive to the recommendation. OCIO is currently working to formalize documentation in line with the plan. OCIO needs additional time to work through this process and adjudicate all comments on the updated operational analysis instruction manual. Once OCIO addresses comments, DHS Components will have another opportunity to review final updates. Additional time will allow for the necessary collaboration to ensure concurrence on the instruction manual updates.
Component	MGMT-CIO
Report Number (Public)	OIG-23-58
Report Title	DHS Needs to Update its Management Strategy to Better Manage its Biometric Capability Needs
Report Received/ Issued Date	09/22/2023
Rec #	4
Recommendation	OIG recommended Under Secretary for Management, as chair of the Biometric Capabilities Executive Steering Committee, ensure the committee coordinates efforts to develop a transition plan to integrate U.S. Customs and Border Protection's Biometric Entry-Exit system with the Office of Biometric Identity Management's Homeland Advanced Recognition Technology system.
Estimated Completion Date (or Date Closed)	09/30/2027
Next Step is Up To	DHS
Narrative of Implementation Status	The OCIO will develop a transition plan to integrate CBP's Protection's Biometric Entry-Exit system with the HART system. OCIO's development of the transition plan is dependent upon, and will align with, the HART achieving Initial Operational Capability. The transition plan is expected to be completed not later than 1 year after HART Program Initial Operational Capability, which is September 30, 2026.
Component	MGMT-CIO
Report Number (Public)	OIG-23-61

Report Title	CBP, ICE, and Secret Service Did Not Adhere to Privacy Policies or Develop Sufficient Policies Before Procuring and Using Commercial Telemetry Data
Report Received/ Issued Date	09/28/2023
Rec #	8
Recommendation	The Chief Data Officer, Office of Chief Information Officer, Management Directorate develop and implement a department-wide commercial telemetry data policy, including component policy requirements, to ensure oversight of commercial telemetry data use, privacy protection, and applicable legal standards.
Estimated Completion Date (or Date Closed)	01/31/2025
Next Step is Up To	DHS
Narrative of Implementation Status	On September 13, 2024, DHS Privacy released a draft of the Sensitive Commercial Data Directive, Instruction and Assessment Form. Official responses are due back by the end of FY 2024. OCIO is awaiting Privacy's adjudication of comments.
Component	MGMT-CPO
Report Number (Public)	OIG-23-36
Report Title	Coast Guard Instituted Controls for the Offshore Patrol Cutter Extraordinary Relief Request, But Guidance Could Be Improved
Report Received/ Issued Date	07/26/2023
Rec #	1
Recommendation	Department of Homeland Security Under Secretary for Management update or create departmental policy for components to follow when a contractor requests extraordinary relief under Public Law 85-804.
Estimated Completion Date (or Date Closed)	10/10/2024
Next Step is Up To	OIG
Narrative of Implementation Status	On October 10, 2024, OIG closed this recommendation as implemented, after the universe of open recommendations for this annual report was identified.
Component	MGMT-Chief Security Officer (CSO)
Report Number (Public)	OIG-19-42

Report Title	DHS Needs to Address Oversight and Program Deficiencies before Expanding the Insider Threat Program
Report Received/ Issued Date	05/24/2019
Rec #	1
Recommendation	Review DHS logon banners for unclassified systems at all components and determine whether they are legally sufficient.
Estimated Completion Date (or Date Closed)	10/31/2024
Next Step is Up To	DHS
Narrative of Implementation Status	DHS's Office of the Chief Security Officer (OCSO) implemented corrective action in response to this recommendation and is preparing a closure request that will include supporting documentation. During September 2024, OIG and OCSO agreed to meet to discuss the recommendation, if needed, after OCSO provides the closure request and supporting documentation.
Component	MGMT-CSO
Report Number (Public)	OIG-19-42
Report Title	DHS Needs to Address Oversight and Program Deficiencies before Expanding the Insider Threat Program
Report Received/ Issued Date	05/24/2019
Rec #	3
Recommendation	Determine, with the aid of the Office of Program Accountability and Risk Management, whether the expanded ITP is an acquisition program, what level of acquisition program it is using a Rough Order Magnitude or other Cost Estimate, and where the program is in the Acquisition Life Cycle. Determine, along with the Office of Program Accountability and Risk Management, the acquisition documentation required for the Acquisition Life Cycle Framework phase the program is in.
Estimated Completion Date (or Date Closed)	10/31/2024
Next Step is Up To	DHS
Narrative of Implementation Status	OCSO is preparing a closure request for this recommendation that will include supporting documentation. On August 22, 2024, a program review of the DHS Insider Threat Program was led by the DHS's PARM, Management Component Acquisition Executive Office, and a memorandum documenting the program assessment, which will serve as supporting documentation for the closure request, is being routed within DHS Headquarters for concurrence and DHS Chief Acquisition Officer approval. During September

	2024, OIG and OCSO agreed to meet to discuss this recommendation, if needed, after OCSO provides the closure request and supporting documentation.
Component	MGMT-CSO
Report Number (Public)	OIG-19-42
Report Title	DHS Needs to Address Oversight and Program Deficiencies before Expanding the Insider Threat Program
Report Received/ Issued Date	05/24/2019
Rec #	4
Recommendation	Work with the Office of Program Accountability and Risk Management to complete the required Systems Engineering Life Cycle Framework.
Estimated Completion Date (or Date Closed)	10/31/2024
Next Step is Up To	DHS
Narrative of Implementation Status	OCSO is preparing a closure request that will include supporting documentation. On August 22, 2024, a program review of the DHS Insider Threat Program was led by the DHS's PARM, Management Component Acquisition Executive Office, and a memorandum documenting the program assessment, which will serve as supporting documentation for the closure request, is being routed within DHS Headquarters for concurrence and DHS Chief Acquisition Officer approval. During September 2024, OIG and OCSO agreed to meet to discuss this recommendation if needed, after OCSO provides the closure request and supporting documentation.
Component	MGMT-CSO
Report Number (Public)	OIG-23-04
Report Title	DHS Did Not Always Promptly Revoke PIV Card Access and Withdraw Security Clearances for Separated Individuals
Report Received/ Issued Date	12/20/2022
Rec #	1
Recommendation	DHS Chief Security Officer clarify policies and procedures to require managers to notify security officials to revoke personal identity verification cards and withdraw security clearances within a specific timeframe after individuals separate from DHS.

Estimated Completion Date (or Date Closed)	12/31/2024
Next Step is Up To	DHS
Narrative of Implementation Status	During June 2024, OCSO provided OIG a progress update memorandum regarding the continuing implementation work for the six recommendations from this audit report, as well as supporting documentation. On June 14, 2024, OIG acknowledged receipt but has not provided feedback as OCSO continues working to implement this recommendation. During FY 2024, DHS issued three policies (one DHS Directive and two DHS Instructions) regarding Department credentials and personnel security. As of September 30, 2024, OCSO continues coordination on a drafted DHS Policy Directive, which specifically addresses the responsibilities, procedures, and time frames for both the revocation and destruction of DHS Personal Identity Verification (PIV) Cards and the withdrawal of security clearances for individuals who separate from the Department. Additionally, OCSO continues the phased implementation of systems replacement and enhancements to streamline and automate new and existing processes for PIV card revocation and destruction as well as security clearance withdrawal.
Component	MGMT-CSO
Report Number (Public)	OIG-23-04
Report Title	DHS Did Not Always Promptly Revoke PIV Card Access and Withdraw Security Clearances for Separated Individuals
Report Received/ Issued Date	12/20/2022
Rec #	2
Recommendation	DHS Chief Security Officer strengthen internal processes to ensure accountability and oversight for all personal identity verification cards that are collected and destroyed when individuals separate from DHS.
Estimated Completion Date (or Date Closed)	03/31/2025
Next Step is Up To	DHS
Narrative of Implementation Status	During 2024, OCSO provided OIG a progress update memorandum regarding the continuing implementation work for the six recommendations from this audit report, as well as supporting documentation. On June 14, 2024, OIG acknowledged receipt but has not provided feedback as OCSO continues working to implement this recommendation. DHS Credentialing Facilities issue DHS PIV cards, and federal standards require the assessment of PIV card revocation and destruction compliance. During FY 2024, OCSO completed all 54 planned DHS Credentialing Facilities assessments and will issue

	a consolidated report after September 30, 2024. Additionally, OCSO continues the phased implementation of systems replacement and enhancements to streamline and automate new and existing processes for PIV card revocation and destruction.
Component	MGMT-CSO
Report Number (Public)	OIG-23-04
Report Title	DHS Did Not Always Promptly Revoke PIV Card Access and Withdraw Security Clearances for Separated Individuals
Report Received/ Issued Date	12/20/2022
Rec #	3
Recommendation	DHS Chief Security Officer implement additional controls to ensure personal identity verification card revocation and card destruction are completed and recorded when individuals separate from DHS.
Estimated Completion Date (or Date Closed)	03/31/2025
Next Step is Up To	DHS
Narrative of Implementation Status	During June 2024, OCSO provided OIG a progress update memorandum regarding the continuing implementation work for the six recommendations from this audit report, as well as supporting documentation. On June 14, 2024, OIG acknowledged receipt but has not provided feedback as OCSO continues working to implement this recommendation. DHS Credentialing Facilities issue DHS PIV cards, and federal standards require the assessment of PIV card revocation and destruction compliance. During FY 2024, OCSO completed all 54 planned DHS Credentialing Facilities assessments, and will issue a consolidated report after September 30, 2024. OCSO continues implementing the DHS Physical Access Control System (PACS) Connector across the Department, with 50 percent of DHS Components connected at the end of FY 2024. The DHS PACS Connector is an IT system that registers the identities of Department personnel in DHS Component Enterprise PACS and automates the deactivation of physical access across the Department. Additionally, OCSO continues the phased implementation of systems replacement and enhancements to streamline and automate new and existing processes for PIV card revocation and destruction.
Component	MGMT-CSO
Report Number (Public)	OIG-23-04

Report Title	DHS Did Not Always Promptly Revoke PIV Card Access and Withdraw Security Clearances for Separated Individuals
Report Received/ Issued Date	12/20/2022
Rec #	4
Recommendation	DHS Chief Security Officer implement controls to ensure DHS officials record security clearance withdrawal dates in the Integrated Security Management System when individuals separate from DHS.
Estimated Completion Date (or Date Closed)	03/31/2025
Next Step is Up To	DHS
Narrative of Implementation Status	During June 2024, OCSO provided OIG a progress update memorandum regarding the continuing implementation work for the six recommendations from this audit report, as well as supporting documentation. On June 14, 2024, OIG acknowledged receipt but has not provided feedback as OCSO continues working to implement this recommendation. As of September 30, 2024, OCSO continues coordination on a drafted DHS Policy Directive, which specifically addresses the responsibilities, procedures, and time frames for both the revocation and destruction of DHS PIV cards and the withdrawal of security clearances for individuals who separate from the Department. OCSO continues the phased implementation of systems replacement and enhancements to streamline and automate new and existing processes for security clearance withdrawal.
Component	MGMT-CSO
Report Number (Public)	OIG-23-04
Report Title	DHS Did Not Always Promptly Revoke PIV Card Access and Withdraw Security Clearances for Separated Individuals
Report Received/ Issued Date	12/20/2022
Rec #	5
Recommendation	DHS Chief Security Officer develop and implement a solution to verify and validate the personal identity verification card access termination process across the Department and a mechanism to monitor its effectiveness.
Estimated Completion Date (or Date Closed)	3/31/2025
Next Step is Up To	DHS

Narrative of Implementation Status	During June 2024, OCSO provided OIG a progress update memorandum regarding the continuing implementation work for the six recommendations from this audit report, as well as supporting documentation. On June 14, 2024, OIG acknowledged receipt but has not provided feedback as OCSO continues working to implement this recommendation. To address this recommendation, OCSO continues implementing the DHS PACS Connector across the Department, with 50 percent of DHS Components connected at the end of FY 2024. The DHS PACS Connector is an IT system that registers the identities of Department personnel in DHS Component Enterprise PACS and automates the deactivation of physical access across the Department. Additionally, OCSO continues the phased implementation of systems replacement and enhancements to streamline and automate new and existing processes for DHS Personal Identity Verification Card revocation and destruction.
Component	MGMT-CSO
Report Number (Public)	OIG-23-04
Report Title	DHS Did Not Always Promptly Revoke PIV Card Access and Withdraw Security Clearances for Separated Individuals
Report Received/ Issued Date	12/20/2022
Rec #	6
Recommendation	DHS Chief Security Officer develop and implement a solution to verify and validate the security clearance withdrawal process across DHS and a mechanism to monitor its effectiveness.
Estimated Completion Date (or Date Closed)	03/31/2025
Next Step is Up To	DHS
Narrative of Implementation Status	During June 2024, OCSO provided OIG a progress update memorandum regarding the continuing implementation work for the six recommendations from this audit report, as well as supporting documentation. On June 14, 2024, OIG acknowledged receipt but has not provided feedback as OCSO continues working to implement this recommendation. As of September 30, 2024, OCSO continues coordination on a drafted DHS Policy Directive, which specifically addresses the responsibilities, procedures, and time frames for both the revocation and destruction of DHS PIV cards and the withdrawal of security clearances for individuals who separate from the Department. OCSO continues the phased implementation of systems replacement and enhancements to streamline and automate new and existing processes for PIV card revocation and destruction as well as security clearance withdrawal. Until system enhancements are fully implemented during March 2025 to automate and validate the security clearance

	withdrawal process across the Department, DHS will continue to utilize a manual process. On a weekly basis, OCSO generates reports from two of its systems, which reflect inactive entities and positions that require PIV card revocation and/or security clearance/Sensitive Compartmented Information access withdrawal. These reports are reviewed and reconciled weekly to identify and resolve discrepancies. OCSO also issues a situational report three times per week documenting the security clearance withdrawal and PIV card metrics.
Component	MGMT-FPS
Report Number (Public)	OIG-19-15
Report Title	The Federal Protective Service Has Not Managed Overtime Effectively
Report Received/ Issued Date	12/11/2018
Rec #	1
Recommendation	The FPS Director should initiate collection actions to recover \$1,768,768 in unsupported costs representing overtime payments determined to be ineligible for payment.
Estimated Completion Date (or Date Closed)	12/31/2024
Next Step is Up To	DHS
Narrative of Implementation Status	The FPS Office of Internal Investigations is conducting an administrative investigation into the matter and extensively reviewing evidence that dates back to 2017.
Component	MGMT-FPS
Report Number (Public)	OIG-21-31
Report Title	DHS Had Authority to Deploy Federal Law Enforcement Officers to Protect Federal Facilities in Portland, Oregon, but Should Ensure Better Planning and Execution in Future Cross-Component Activities
Report Received/ Issued Date	04/16/2021
Rec #	1
Recommendation	OIG recommended that the Secretary, in coordination with DHS components and FPS, establish and implement a plan, policy, and process to improve preparedness for multi-component response to future incidents of civil disturbance at Federal facilities including: <ul style="list-style-type: none"> a. a process for designating DHS component personnel under 40 U.S.C. § 1315 and verification of required legal training completion;

	<ul style="list-style-type: none"> b. equipment and training needs and requirements; and c. consistent tactics and operational policies.
Estimated Completion Date (or Date Closed)	12/31/2024
Next Step is Up To	DHS
Narrative of Implementation Status	The Department-wide Policy for Public Order Policing is still in the approval process. This signed document is the last required corrective action before FPS can request that OIG close the recommendation as implemented.
Component	MGMT-OBIM
Report Number (Public)	OIG-23-58
Report Title	DHS Needs to Update its Management Strategy to Better Manage its Biometric Capability Needs
Report Received/ Issued Date	09/22/2023
Rec #	2
Recommendation	OIG recommended the Under Secretary for Management update and finalize the DHS biometrics implementation plan (roadmap) including assigned duties and tasks and metrics to monitor progress in achieving established goals and objectives.
Estimated Completion Date (or Date Closed)	TBD
Next Step is Up To	DHS
Narrative of Implementation Status	PLCY is working on the DHS Biometric Strategic Framework. Once complete, OBIM will work with Components and Offices with biometric equities to obtain Component-specific implementation plans. OBIM completed the planning activities necessary to begin work with the Components and Offices as soon as the Biometric Strategic Framework is signed. The expected completion will be one year from PLCY finalizing the Biometric Strategic Framework. OBIM will inform OIG of the new EDC once PLCY completes the Biometric Strategic Framework.
Component	OGC
Report Number (Public)	OIG-16-91
Report Title	TSA Oversight of National Passenger Rail System Security

Report Received/ Issued Date	05/13/2016
Rec #	2
Recommendation	That DHS General Counsel (OGC) effectively coordinate with the Office of Management and Budget (OMB) to expedite the implementation of the remaining passenger rail requirements of the 9/11 Act.
Estimated Completion Date (or Date Closed)	12/31/2025
Next Step is Up To	DHS
Narrative of Implementation Status	OGC continues to coordinate with OMB's Office of Information and Regulatory Affairs to expedite implementation of passenger rail requirements. The Office of Information and Regulatory Affairs reviewed TSA's Vetting of Certain Surface Transportation Employees proposed rule from March 2022 to March 2023; and reviewed TSA's Enhancing Surface Cyber Risk Management advance NPRM from October 2022 to November 2022. OGC submitted TSA's Enhancing Surface Cyber Risk Management NPRM to OMB's Office of Information and Regulatory Affairs on February 16, 2024.
Component	PLCY
Report Number (Public)	OIG-20-59
Report Title	HSI Effectively Contributes to the FBI's Joint Terrorism Task Force, But Partnering Agreements Could Be Improved
Report Received/ Issued Date	08/14/2020
Rec #	1
Recommendation	Under Secretary, Office of Strategy, Policy, and Plans, in consultation with the Under Secretary of Management, coordinate with DHS JTTF contributors to: (a) ensure agreements governing participation in the JTTF are binding; (b) evaluate whether new agreements or terms governing JTTF participation are required; and (c) develop guidance defining each DHS JTTF contributors' authorities, roles and responsibilities, skill sets, and access to systems.
Estimated Completion Date (or Date Closed)	TBD
Next Step is Up To	DHS
Narrative of Implementation Status	A draft of the DHS-wide JTTF MOU was provided to the FBI; and PLCY anticipates elevating this to the FBI Counterterrorism Division during September 2024 to emphasize its importance and desire to see it

	completed. FBI has a very strict formula and template for MOUs; however, the standard template does not sufficiently address a DHS-wide MOU with multiple Components and resulting complexities. Additionally, PLCY provided guidance to DHS Components that individual, or field-level MOUs based on FBI's standard agreement can be utilized in the interim as key issues are addressed and/or resolved as part of the broader MOU development effort. DHS cannot offer a date for completion, because it does not own the JTTF and too much relies on the FBI. DHS considers this a priority and will continue to press forward to meet the intended objective of a DHS-wide MOU unless or until FBI indicates it is no longer feasible or plausible to produce such an MOU outside of its standard agreements.
Component	PLCY
Report Number (Public)	OIG-21-09
Report Title	DHS Components Have Not Fully Complied with the Department's Guidelines for Implementing the Lautenberg Amendment
Report Received/ Issued Date	11/13/2020
Rec #	1
Recommendation	DHS Under Secretary for the Office of Strategy, Policy, and Plans establish an oversight mechanism to ensure department components implement DHS Policy Directive 045-05 as required, including: (a) Providing annual domestic violence awareness training for law enforcement officers and their supervisors; (b) Orally advising all law enforcement officers, during quarterly firearms qualifications, of their duty to report when law enforcement contacts them concerning engagement in domestic violence; and (c) Ensuring all law enforcement officers annually complete Lautenberg Amendment certifications.
Estimated Completion Date (or Date Closed)	12/31/2024
Next Step is Up To	OIG
Narrative of Implementation Status	During March 2024, PLCY updated OIG on its the ongoing efforts related to this recommendation—including Policy Statement #045-06, Revision 01 Memorandum for agency and office heads, "DHS Policy Related to Compliance with the Lautenberg Amendment to the Gun Control Act of 1968 and Allegations of Unlawful or Unjustified Violence by DHS Employees with Access to Firearms." During October 2024, PLCY will request that OIG close this recommendation.
Component	PLCY
Report Number (Public)	OIG-21-35

Report Title	DHS Law Enforcement Components Did Not Consistently Collect DNA from Arrestees
Report Received/ Issued Date	05/17/2021
Rec #	2
Recommendation	DHS Office of the Secretary ensure ICE, FPS, CBP, and TSA fully implement DNA collection for arrestees and non-U.S. detainees to comply with the DNA fingerprint Act of 2005 and 28 C.F.R. § 28.12.
Estimated Completion Date (or Date Closed)	12/31/2024
Next Step is Up To	DHS
Narrative of Implementation Status	PLCY, in cooperation with Criminal Justice Information Systems and the respective Components, is developing performance reporting that will track and verify deoxyribonucleic acid (DNA) collection to determine whether the results are consistent with the DNA directive. Additionally, PLCY Screening and Vetting is working to establish reporting criteria for FBI and DHS Components.
Component	PLCY
Report Number (Public)	OIG-21-35
Report Title	DHS Law Enforcement Components Did Not Consistently Collect DNA from Arrestees
Report Received/ Issued Date	05/17/2021
Rec #	3
Recommendation	DHS Office of the Secretary ensure ICE, FPS, CBP, and TSA implement internal controls, including modifying booking systems to track and verify DNA collection. If components pursue memorandums of agreement with other agencies to collect DNA samples, they must implement internal controls to track and verify DNA collection.
Estimated Completion Date (or Date Closed)	12/31/2024
Next Step is Up To	DHS
Narrative of Implementation Status	PLCY continues work to implement responsive corrective action; and is awaiting DNA procedures from ICE, MGMT-FPS, CBP, and TSA, in order to review them for consistent policies with the DNA Directive.
Component	PLCY
Report Number (Public)	OIG-22-49
Report Title	DHS Could Do More to Address the Threats of Domestic Terrorism

Report Received/ Issued Date	07/05/2022
Rec #	4
Recommendation	Under Secretary of Science and Technology and the Under Secretary for Strategy, Policy, and Plans partner with agencies or Department of Homeland Security components to obtain access to appropriate information that may inform development of national-level statistics on terrorism and targeted violence.
Estimated Completion Date (or Date Closed)	12/31/2024
Next Step is Up To	DHS
Narrative of Implementation Status	PLCY's CP3 meets with Components, such as Homeland Security Statistics and S&T on the need for access to appropriate information that may inform development of national-level statistics on terrorism and targeted violence, including through DHS-sponsored research at the DHS Center of Excellence at the University of Nebraska Omaha. CP3 regularly engages interagency partners such as the National Institutes of Justice to share research addressing domestic violent radicalization trends, and also consults with the Centers for Disease Control's violence prevention experts to better define how community and State-level data can be used to assess resilience and protective factors to reduce the likelihood of violence in the U.S.
Component	PLCY
Report Number (Public)	OIG-22-52
Report Title	DHS and CBP Should Improve Intellectual Property Rights Management and Enforcement
Report Received/ Issued Date	07/18/2022
Rec #	1
Recommendation	The Assistant Secretary for Trade and Economic Security of DHS's Office of Strategy, Policy, and Plans, in coordination with ICE and CBP, develop, implement, and monitor a departmental strategic, risk-based approach for managing and enforcing intellectual property rights.
Estimated Completion Date (or Date Closed)	12/31/2024
Next Step is Up To	DHS
Narrative of Implementation Status	PLCY informed OIG that the "PLCY Trade and Economic Security will continue to serve as the DHS central point for DHS-wide coordination on trade policy matters, including those related to the protection of IPRs. PLCY informed OIG that major examples of the ongoing coordination efforts include PLCY's leadership in two major annual reports: "Special 301" and "Notorious Markets for Counterfeiting and

	Piracy”; and that PLCY Trade and Economic Security conducts routine meetings that began during July 2022 with CBP’s OT and OFO, as well as ICE’s HSI’s IPR Center to (1) coordinate emergent IPR policy matters, (2) review priority enforcement activities, (3) discuss stakeholder engagement, and (4) identify areas that need to be addressed jointly. Those meetings will allow for a collaborative review of existing DHS efforts related to the protection of IPR. Additionally, PLCY established an IPR Policy Coordination Working Group and conducted meetings during November and December 2022, February 2023, and January 2024. These engagements were in addition to routine coordination components on various initiatives, taskings, and external engagement. PLCY conducted an additional IPR Policy Coordination Working Group meeting during June 2024 to discuss successes in IPR enforcement and develop pathways toward stronger lines of enforcement.
Component	PLCY
Report Number (Public)	OIG-22-64
Report Title	DHS Encountered Obstacles to Screen, Vet, and Inspect All Evacuees during the Recent Afghanistan Crisis
Report Received/ Issued Date	09/06/2022
Rec #	2
Recommendation	<p>We recommend the Secretary of Homeland Security develop a comprehensive contingency plan to support similar emergency situations in the future and account for, screen, vet, and inspect all individuals during unprecedented events when limited biographic data is available.</p> <p>Specifically:</p> <ul style="list-style-type: none"> a. The plan should include, at a minimum, lessons learned from departmental after-action reports that can be incorporated into the plan for future events, lead roles and responsibilities, points of contact, established processes, and expected timeframes. b. The policies and procedures should ensure accountability, standard practices, and quality assurance across DHS components involved in screening, vetting, and inspecting individuals in emergency situations.
Estimated Completion Date (or Date Closed)	TBD
Next Step is Up To	DHS
Narrative of Implementation Status	DHS non-concurred with this recommendation in its formal response to OIG, emphasizing the rare and extraordinary nature of the Operation Allies Welcome (OAW) evacuation effort that makes it unique from

	any past or future events. DHS concluded that developing a contingency plan around an interagency response to the unprecedented circumstances of OAW would not aid in planning responses for varied requirements of future emergency situations. Moreover, even as the lead federal agency for OAW, DHS lacked oversight authority over other Departments and Agencies to prescribe such policies on interagency vetting efforts; the screening and vetting processes for OAW evacuees were coordinated through interagency discussions responsive to the unique facts and requirements of each partner involved. For these reasons, DHS maintains that developing a comprehensive interagency contingency plan based on DHS-after action reports fails to account for the interagency nature of the vetting effort. Since the vetting process used during OAW was built upon existing interagency procedures, DHS will work with interagency partners to tailor existing procedures to the unique facts and circumstances during any future event.
Component	PLCY
Report Number (Public)	OIG-23-05
Report Title	DHS Did Not Consistently Comply with National Instant Criminal Background Check System Requirements
Report Received/ Issued Date	12/22/2022
Rec #	2
Recommendation	DHS Office of the Secretary establish a mechanism to track and ensure timely responses to NICS inquiries and develop and implement a process to include immigration status at the time of inquiry for immigration-related inquiries.
Estimated Completion Date (or Date Closed)	12/19/2024
Next Step is Up To	DHS
Narrative of Implementation Status	On December 19, 2024, OIG closed this recommendation as implemented, after the universe of open recommendations for this annual report was identified.
Component	PLCY
Report Number (Public)	OIG-23-58
Report Title	DHS Needs to Update its Management Strategy to Better Manage its Biometric Capability Needs
Report Received/ Issued Date	09/22/2023

Rec #	1
Recommendation	Update and finalize the DHS biometric strategic plan.
Estimated Completion Date (or Date Closed)	12/31/2024
Next Step is Up To	DHS
Narrative of Implementation Status	PLCY issued a request to DHS Components and Headquarters Offices on November 20, 2023, seeking information to support the update of the DHS Biometric Strategic Framework. PLCY will review these inputs and worked with those partners to draft the framework. During September 2024, this review and comment process was completed and the Headquarters senior review and clearance for PLCY began and is expected to be sent to the Components for a third review. PLCY expects the draft to be ready for distribution at the end of calendar year 2024.
Component	PLCY
Report Number (Public)	OIG-23-58
Report Title	DHS Needs to Update its Management Strategy to Better Manage its Biometric Capability Needs
Report Received/ Issued Date	09/22/2023
Rec #	3
Recommendation	In collaboration with key stakeholders, develop and implement a department-wide policy for the collection and use of all biometric modalities.
Estimated Completion Date (or Date Closed)	TBD
Next Step is Up To	DHS
Narrative of Implementation Status	The Department is taking a different approach to this recommendation than proposed in its formal response to the OIG's report, which is to close this recommendation through the completion of the Biometric Strategic Framework and the Roadmap. The Biometric Strategic Framework will address the "develop" part of the recommendation and the Roadmap will address the "implement" aspect of the recommendation.
Component	PRIV
Report Number (Public)	OIG-21-06
Report Title	DHS Privacy Office Needs to Improve Oversight of Department-wide Activities, Programs, and Initiatives

Report Received/ Issued Date	11/04/2020
Rec #	2
Recommendation	OIG recommended the DHS Chief Privacy Officer develop, implement, and formally communicate a process to ensure review of all proposed Information Sharing Access Agreements [ISAA] involving personally identifiable information.
Estimated Completion Date (or Date Closed)	12/31/2024
Next Step is Up To	DHS
Narrative of Implementation Status	Since January 2024, PRIV's Policy and Oversight team has been participating in ongoing discussions alongside PLCY, I&A, and the Chief Data Officer Directorate to discuss the Department's existing ISSA policy. The team continues to thoroughly review the policy while meeting regularly to formulate and refine it.
Component	PRIV
Report Number (Public)	OIG-23-53
Report Title	Homeland Advanced Recognition Technology System Compliance with 28 C.F.R. Part 23
Report Received/ Issued Date	09/19/2023
Rec #	1
Recommendation	The DHS Chief Privacy Officer work with the HART program office to monitor and close recommendations made in the HART Increment 1 Privacy Impact Assessment.
Estimated Completion Date (or Date Closed)	12/31/2024
Next Step is Up To	DHS
Narrative of Implementation Status	On March 29, 2024, PRIV provided a plan and timeline to address this recommendation. In accordance with the plan, PRIV is evaluating how OBIM is protecting privacy as described in the PIA and determining whether OBIM is following the recommendations made in the PIA.
Component	PRIV
Report Number (Public)	OIG-23-53
Report Title	Homeland Advanced Recognition Technology System Compliance with 28 C.F.R. Part 23

Report Received/ Issued Date	09/19/2023
Rec #	2
Recommendation	The DHS Chief Privacy Officer ensure DHS component systems that use and provide data to HART have current and up-to-date Privacy Act Assessments.
Estimated Completion Date (or Date Closed)	12/31/2024
Next Step is Up To	DHS
Narrative of Implementation Status	On July 29, 2024, PRIV requested that OIG close this recommendation as implemented. PRIV detailed its continuous monitoring strategy, which ensures that activities, operations, programs, technologies, systems, etc., which may impact privacy are continually reviewed at the system/program level to assess potential privacy risk and apply appropriate safeguards. PRIV provided links to PIAs that cover systems, which also have completed required review and updates to underlying Privacy Threshold Assessments over the past three years, to demonstrate implementation of responsive corrective action. There are three outstanding compliance documentation requirements that are underway, and PRIV is working with the respective Components to complete up-to-date compliance documentation. PRIV also provided information on how the Department's new privacy compliance tracking tool will automatically address this issue moving forward. On August 8, 2024, OIG informed PRIV that in order to close this recommendation, a PIA for the Biometric Identification Transnational Migration Alert Program is necessary, or DHS must provide evidence that it will not use or provide those data to HART.
Component	PRIV
Report Number (Public)	OIG-23-53
Report Title	Homeland Advanced Recognition Technology System Compliance with 28 C.F.R. Part 23
Report Received/ Issued Date	09/19/2023
Rec #	3
Recommendation	DHS Chief Privacy Officer in consultation with the DHS Office of Strategy, Policy, and Plans, issue guidance for when to review, update, or issue new information sharing and access agreements when upgrading or deploying new technologies that collect personally identifiable information.
Estimated Completion Date (or Date Closed)	10/31/2024
Next Step is Up To	DHS

Narrative of Implementation Status	PRIV's Policy and Oversight team participated in a discussion on January 18, 2024, alongside PLCY, I&A, and the Chief Data Officer Directorate to discuss the Department's existing ISSA policy. The team continues to thoroughly review the policy and continues to meet regularly to formulate and refine the existing policy. OCIO will review the ISAA draft guidance and revise the estimated completion date.
Component	S&T
Report Number (Public)	OIG-22-30
Report Title	S&T Needs to Improve Its Management and Oversight of R&D Projects
Report Received/ Issued Date	03/07/2022
Rec #	1
Recommendation	OIG recommended that the Senior Official Performing the Duties of the Under Secretary for S&T in consultation with the Office of Procurement Operations, develop and implement a process, to ensure required special clauses are included in contracts for project acquisitions with a high risk of unauthorized access to or disclosure of sensitive information.
Estimated Completion Date (or Date Closed)	09/09/2024
Next Step is Up To	OIG
Narrative of Implementation Status	On September 9, 2024, OIG closed this recommendation after the universe of open recommendations for this annual report was identified.
Component	SEC
Report Number (Public)	OIG-22-49
Report Title	DHS Could Do More to Address the Threats of Domestic Terrorism
Report Received/ Issued Date	07/05/2022
Rec #	1
Recommendation	We recommend the Counterterrorism Coordinator, with support from the Office of Strategy, Policy, and Plans, Office of Intelligence and Analysis, and the Management Directorate perform a needs assessment to identify the staffing and budget necessary for overseeing the Department-wide mission to counter domestic terrorism.

Estimated Completion Date (or Date Closed)	11/29/2024
Next Step is Up To	DHS
Narrative of Implementation Status	The Counter Terrorism Coordinator Office produced a memo outlining the vision for its future, including staffing, budget, and resources to execute National Terrorism Advisory System functions. The assessment was coordinated with I&A, CFO, MGMT, PLCY, and OLA. The memo is currently with Senior Official Performing the Duties of the Deputy Secretary's office for final approval.
Component	SEC
Report Number (Public)	OIG-22-49
Report Title	DHS Could Do More to Address the Threats of Domestic Terrorism
Report Received/ Issued Date	07/05/2022
Rec #	2
Recommendation	Counterterrorism Coordinator use the results of the needs assessment to establish a long-term governing body to oversee and coordinate the Department's efforts to counter domestic terrorism by creating a: <ul style="list-style-type: none"> a. charter with business rules and roles and responsibilities for long-term action; b. formalized documented process to monitor and track completion of action items; and c. formalized documented feedback process to review, update, and measure the impact of priority actions taken in response to changes in the domestic terrorism threat environment.
Estimated Completion Date (or Date Closed)	11/29/2024
Next Step is Up To	DHS
Narrative of Implementation Status	The Counterterrorism Coordinator Office produced a memo and is awaiting senior leadership endorsement as a baseline for formal office construct and resources. This memo will result in an approved analysis to justify a permanent office to support the Counterterrorism Coordinator.
Component	SEC
Report Number (Public)	OIG-22-49
Report Title	DHS Could Do More to Address the Threats of Domestic Terrorism
Report Received/ Issued Date	07/05/2022
Rec #	6

Recommendation	Counterterrorism Coordinator use the results of the needs assessment to ensure a dedicated level of staff support and resources to execute National Terrorism Advisory System functions.
Estimated Completion Date (or Date Closed)	11/29/2024
Next Step is Up To	DHS
Narrative of Implementation Status	The Counterterrorism Coordinator Office produced a memo and is awaiting senior leadership endorsement as a baseline for formal office construct and resources. This memo will result in an approved analysis to justify a permanent office to support the Counterterrorism Coordinator.
Component	TSA
Report Number (Public)	OIG-16-91
Report Title	TSA Oversight of National Passenger Rail System Security
Report Received/ Issued Date	05/13/2016
Rec #	1
Recommendation	That the TSA Administrator ensures TSA develops and adheres to a detailed, formal milestone plan to deliver the remaining 9/11 Act Notices of Proposed Rulemaking to DHS.
Estimated Completion Date (or Date Closed)	12/31/2025
Next Step is Up To	DHS
Narrative of Implementation Status	TSA continues to deliver the remaining 9/11 Act Notices of Proposed Rulemaking. For example, TSA published a proposed rule, Vetting of Certain Surface Transportation Employees, on May 23, 2023. TSA is currently adjudicating comments and intends to publish a final rule by the end of calendar year 2025. On November 11, 2022, TSA published an advance NPRM, Enhancing Surface Cyber Risk Management, seeking public input on a rulemaking to strengthen cybersecurity and resiliency in the pipeline and rail sectors consistent with the 9/11 Act provisions regarding security training programs, vulnerability assessments, and security plans. TSA drafted an NPRM that would address such requirements. On February 16, 2024, DHS submitted the NPRM to the Office of Information and Regulatory Affairs for review under Executive Order 12866, Regulatory Planning and Review.
Component	TSA
Report Number (Public)	OIG-18-04

Report Title	FAMS: Contribution to Domestic Aviation Transportation Security is Questionable
Report Received/ Issued Date	10/25/2017
Rec #	2
Recommendation	The Administrator for the Transportation Security Administration conduct a validation and verification study for the Dynamic Aviation Risk Management Solution report. Upon completion of the study, the Transportation Security Administration should conduct a cost-benefit analysis to determine whether the \$583.1 million in flight operations is being spent mitigating the most serious threat facing aviation transportation.
Estimated Completion Date (or Date Closed)	04/30/2025
Next Step is Up To	DHS
Narrative of Implementation Status	During June 2023, the TSA Administrator approved the new LE/FAMS Roadmap, which provides an overall strategy for FAMS operations. Since that time, LE/FAMS established implementation teams for each of the five priorities of the Roadmap. The first priority of Tactical Enforcement, the largest and most involved of LE/FAMS operations, concluded with the implementation team providing decision points for consideration to develop/modify operations to meet the intent of the Roadmap. LE/FAMS executive leadership is reviewing the decision points of the Tactical Enforcement implementation team. The implementation teams will continue to provide decision points for the four Roadmap priorities of Investigations and Assessments, Intelligence and Partnerships, Training and Technical Services, and Operations Management. While the Roadmap will not be fully implemented during 2024, LE/FAMS will be able to demonstrate operations have been modified and will continue to be modified as envisioned by the Roadmap to ensure TSA is assessing and mitigating the highest and immediate threats to transportation.
Component	TSA
Report Number (Public)	OIG-18-04
Report Title	FAMS: Contribution to Domestic Aviation Transportation Security is Questionable
Report Received/ Issued Date	10/25/2017
Rec #	4

Recommendation	The Assistant Administrator for the Office of Law Enforcement/Federal Air Marshal Service improve existing performance measures to determine the effectiveness of in-flight operations in addressing all risks facing aviation transportation, with a strong emphasis to ensure the highest risks are addressed.
Estimated Completion Date (or Date Closed)	04/30/2025
Next Step is Up To	DHS
Narrative of Implementation Status	LE/FAMS continues its efforts to implement this recommendation. In June 2023, the TSA Administrator approved the new LE/FAMS Roadmap, which provides an overall strategy for FAMS operations. LE/FAMS subsequently provided OIG with sample data of law enforcement and security duties and activities of LE/FAMS operations beyond the aircraft. In addition, LE/FAMS provided a dashboard which provided information on enhancing inflight operations to refine and ensure LE/FAMS is addressing the highest risks to aviation transportation. While the Roadmap will not be fully implemented within the next few months, LE/FAMS will be able to demonstrate operations have been modified and will continue to be modified as envisioned by the Roadmap, to ensure TSA is assessing and mitigating the highest and immediate threats to transportation.
Component	TSA
Report Number (Public)	OIG-18-70
Report Title	FAMS Need to Demonstrate How Ground Based Assignments Contribute to TSA's Mission
Report Received/ Issued Date	07/27/2018
Rec #	1
Recommendation	The Administrator of the Transportation Security Administration develop performance measures for all activities in FAMS' strategic plan as well as improve measurements for its Visible Intermodal Prevention and Response operations by fiscal year 2019.
Estimated Completion Date (or Date Closed)	04/30/2025
Next Step is Up To	DHS
Narrative of Implementation Status	During June 2023, the TSA Administrator approved the new LE/FAMS Roadmap, which provides an overall strategy for FAMS operations. Since that time, LE/FAMS established implementation teams for each of the five priorities of the Roadmap. The first priority of Tactical Enforcement, the largest and most involved of LE/FAMS operations, concluded with the implementation team providing decision points for consideration to develop/modify operations to meet the intent of the Roadmap. LE/FAMS executive

	leadership is reviewing the decision points of the Tactical Enforcement implementation team. The implementation teams will continue to provide decision points for the four Roadmap priorities of Investigations and Assessments, Intelligence and Partnerships, Training and Technical Services, and Operations Management. While the Roadmap will not be fully implemented during 2024, LE/FAMS will be able to demonstrate operations have been modified and will continue to be modified as envisioned by the Roadmap to ensure TSA is assessing and mitigating the highest and immediate threats to transportation.
Component	TSA
Report Number (Public)	OIG-18-70
Report Title	FAMS Need to Demonstrate How Ground Based Assignments Contribute to TSA's Mission
Report Received/ Issued Date	07/27/2018
Rec #	2
Recommendation	The Administrator of the Transportation Security Administration develop a method for tracking the Office of Law Enforcement/Federal Air Marshall Service's funding by operations.
Estimated Completion Date (or Date Closed)	04/30/2025
Next Step is Up To	DHS
Narrative of Implementation Status	During June 2023, the TSA Administrator approved the new LE/FAMS Roadmap, which provides an overall strategy for FAMS operations. LE/FAMS provided a subsequent update and documentation to OIG regarding the TSA Planning, Programming, Budgeting, Execution and Strategy process, which includes LE/FAMS operations. The update noted LE/FAMS does reallocate funding to address operational needs that were either not initially identified or require additional funding beyond what the programs initially requested in the spend plans.
Component	TSA
Report Number (Public)	OIG-23-44
Report Title	Cybersecurity System Review of the Transportation Security Administration's Selected High Value Assets
Report Received/ Issued Date	08/28/2023
Rec #	1

Recommendation	TSA Chief Information Officer require the selected High Value Asset system owner to document an approved secure baseline configuration and perform testing to verify that all approved settings are implemented.
Estimated Completion Date (or Date Closed)	02/28/2025
Next Step is Up To	DHS
Narrative of Implementation Status	TSA continues to work with the supporting Components of the TSA Chief Information Officer to ensure the completion, necessary documentation and timely updates for a secure baseline on figuration, and to perform testing that encompasses the entire system boundary, including equipment at the airports.
Component	TSA
Report Number (Public)	OIG-23-44
Report Title	Cybersecurity System Review of the Transportation Security Administration's Selected High Value Assets
Report Received/ Issued Date	08/28/2023
Rec #	2
Recommendation	TSA Chief Information Officer enforce the requirement for the selected High Value Asset system owner to apply security updates and service patches to remediate vulnerabilities on all devices, as required by applicable DHS policies.
Estimated Completion Date (or Date Closed)	02/28/2025
Next Step is Up To	DHS
Narrative of Implementation Status	TSA continues to work with the supporting components of the TSA Chief Information Officer to ensure the completion, necessary documentation and timely updates for a secure baseline configuration, and to perform testing that encompasses the entire system boundary, including equipment at the airports.
Component	TSA
Report Number (Public)	OIG-23-44
Report Title	Cybersecurity System Review of the Transportation Security Administration's Selected High Value Assets
Report Received/ Issued Date	08/28/2023
Rec #	3

Recommendation	TSA Chief Information Officer require the selected High Value Asset system owner to develop and implement a supply chain risk management plan to address and mitigate risks associated with the hardware components and software being used on the selected High Value Asset system.
Estimated Completion Date (or Date Closed)	08/29/2025
Next Step is Up To	DHS
Narrative of Implementation Status	TSA continues to work with stakeholders to develop a specific supply chain risk management plan for the system in accordance with National Institute of Standards and Technology, DHS, and TSA policies and guidance.
Component	TSA
Report Number (Public)	OIG-23-44
Report Title	Cybersecurity System Review of the Transportation Security Administration's Selected High Value Assets
Report Received/ Issued Date	08/28/2023
Rec #	4
Recommendation	TSA Chief Information Officer direct the selected High Value Asset system owner to strengthen its user account management procedures to ensure user access agreements are developed and signed by users before users are given access to the selected High Value Asset system or when the agreement is revised.
Estimated Completion Date (or Date Closed)	02/28/2025
Next Step is Up To	DHS
Narrative of Implementation Status	TSA continues to work with the supporting components of the TSA Chief Information Officer to strengthen account management documentation and procedures that ensure user access agreements are completed and signed before user access is granted, or when revision to the agreements occur.
Component	TSA
Report Number (Public)	OIG-23-44
Report Title	Cybersecurity System Review of the Transportation Security Administration's Selected High Value Assets
Report Received/ Issued Date	08/28/2023
Rec #	5

Recommendation	TSA Chief Information Officer require the selected High Value Asset system owner develop and implement detailed procedures on granting system access, including emergency or temporary access. In addition, the TSA Chief Information Officer should require the selected High Value Asset system owner to maintain a current list of system users and remove or disable inactive accounts according to applicable DHS and TSA policies.
Estimated Completion Date (or Date Closed)	02/28/2025
Next Step is Up To	DHS
Narrative of Implementation Status	TSA developed SOP for user account management, which includes provisions for emergency access.
Component	TSA
Report Number (Public)	OIG-23-44
Report Title	Cybersecurity System Review of the Transportation Security Administration's Selected High Value Assets
Report Received/ Issued Date	08/28/2023
Rec #	6
Recommendation	TSA Chief Information Officer direct the selected High Value Asset system owner to require all non-privileged users' system access requests be reviewed, authorized, and documented before granting system access. In addition, users' system access should be reviewed periodically and removed if it is no longer needed.
Estimated Completion Date (or Date Closed)	02/28/2025
Next Step is Up To	DHS
Narrative of Implementation Status	TSA continues to work with the supporting components of the TSA Chief Information Officer to document/update standard procedures and improve evidence that shows non-privileged access user requests and evidence of the reviews made. Documentation includes account management roles and descriptions, procedures, and monthly reviews which include removal or disabling of accounts when needed.
Component	TSA
Report Number (Public)	OIG-23-44
Report Title	Cybersecurity System Review of the Transportation Security Administration's Selected High Value Assets

Report Received/ Issued Date	08/28/2023
Rec #	7
Recommendation	TSA Chief Information Officer direct the selected High Value Asset system owner to review and document the approval of all privileged users' system access before granting system access. In addition, privileged users' system access should be reviewed and removed according to applicable DHS and TSA requirements if it is no longer needed.
Estimated Completion Date (or Date Closed)	02/28/2025
Next Step is Up To	DHS
Narrative of Implementation Status	TSA continues to work with the supporting components of the TSA Chief Information Officer to document/update standard procedures and improve evidence that shows non-privileged access user requests and evidence of the reviews made. Documentation in development includes procedures for approvals of all privileged access users that ensures system access user documentation is complete and recorded before system access is granted. Documentation of monthly reviews and user list/access maintenance is also being compiled for later submission to OIG.
Component	TSA
Report Number (Public)	OIG-23-44
Report Title	Cybersecurity System Review of the Transportation Security Administration's Selected High Value Assets
Report Received/ Issued Date	08/28/2023
Rec #	8
Recommendation	TSA Chief Information Officer require the selected High Value Asset system owner to develop and implement procedures to remove system access for separated users.
Estimated Completion Date (or Date Closed)	02/28/2025
Next Step is Up To	DHS
Narrative of Implementation Status	TSA continues to work with the supporting components of the TSA Chief Information Officer to document/update standard procedures. Implemented procedures effectively remove system access from separated users and documents the program's monthly meetings to review and maintain its user lists.
Component	TSA

Report Number (Public)	OIG-23-44
Report Title	Cybersecurity System Review of the Transportation Security Administration's Selected High Value Assets
Report Received/ Issued Date	08/28/2023
Rec #	9
Recommendation	TSA Chief Information Officer direct the selected High Value Asset system owner to require all system users sign Computer Access Agreements to acknowledge the rules of behavior when accessing the system.
Estimated Completion Date (or Date Closed)	02/28/2025
Next Step is Up To	DHS
Narrative of Implementation Status	TSA continues to work with the supporting components of the TSA Chief Information Officer to document/update standard procedures and improve evidence that accounts for all users, tracks signature and review dates, and effectively shows how agreements are received and processed to ensure they are signed.
Component	TSA
Report Number (Public)	OIG-23-44
Report Title	Cybersecurity System Review of the Transportation Security Administration's Selected High Value Assets
Report Received/ Issued Date	08/28/2023
Rec #	10
Recommendation	TSA Chief Information Officer direct the selected High Value Asset system owner to enforce users to receive security awareness training when they are given system access and annually thereafter.
Estimated Completion Date (or Date Closed)	02/28/2025
Next Step is Up To	DHS
Narrative of Implementation Status	TSA continues to work with the supporting components of the TSA Chief Information Officer to document standard procedures and improve tracking of all users, the date security awareness training was completed, and the date of reviews. As part of implementation of this recommendation, the system owner requires those seeking user accounts to complete initial Security Awareness Training annually. Completion of the security training is documented for each user and is captured and retained within TSA's

	Online Learning Center platform. The system owner reviews and tracks users each month via the Online Learning Center report records.
Component	TSA
Report Number (Public)	OIG-23-44
Report Title	Cybersecurity System Review of the Transportation Security Administration's Selected High Value Assets
Report Received/ Issued Date	08/28/2023
Rec #	11
Recommendation	TSA Chief Information Officer direct the selected High Value Asset system owner to strengthen its system-level Information Security Continuous Monitoring by ensuring (1) security documents contain current and accurate information about the system; (2) relevant policies and procedures are developed, reviewed, and approved; and (3) Plans of Action and Milestones are remediated promptly and include all required information.
Estimated Completion Date (or Date Closed)	02/28/2025
Next Step is Up To	DHS
Narrative of Implementation Status	TSA continues to work with the supporting components of the TSA Chief Information Officer to update security documentation to address the entire system boundary. TSA developed technical documentation that contains current and accurate information about the system. These documents are updated as changes to the program are implemented. TSA also follows guidelines provided by the TSA Information Assurance Division to ensure adherence to continuous monitoring requirements. Plans of Action and Milestones are tracked and updated as changes occur to ensure timely remediation. Work continues to ensure Plans of Action and Milestones are completed, sufficiently documented, and communicated to associated points of contact; and remediation discussions are held weekly.
Component	TSA
Report Number (Public)	OIG-23-44
Report Title	Cybersecurity System Review of the Transportation Security Administration's Selected High Value Assets
Report Received/ Issued Date	08/28/2023
Rec #	12

Recommendation	TSA Chief Information Officer require the selected High Value Asset System's Contingency Plan and Contingency Plan Test to be reviewed and approved in accordance with DHS and National Institute of Standards and Technology guidance.
Estimated Completion Date (or Date Closed)	04/30/2025
Next Step is Up To	DHS
Narrative of Implementation Status	TSA continues to work with the supporting components of the TSA Chief Information Officer to execute and document a Contingency Plan and Contingency Plan Test to be reviewed and approved in accordance with DHS and National Institute of Standards and Technology guidance. The requirement for a high availability system is a full functional failover of the boundary that includes all assets. This capability is projected to be completed during early FY 2025, pending approval of required Risk Acceptance Memos. After approval, work will begin to execute actual failover.
Component	TSA
Report Number (Public)	OIG-23-57
Report Title	Better TSA Tracking and Follow-up for the 2021 Security Directives Implementation Should Strengthen Pipeline Cybersecurity
Report Received/ Issued Date	09/26/2023
Rec #	1
Recommendation	The TSA Assistant Administrator for Policy, Plans, and Engagement, in consultation with interagency partners, such as the Department of Transportation, complete rulemaking that will permanently codify critical cybersecurity requirements for pipelines.
Estimated Completion Date (or Date Closed)	12/31/2025
Next Step is Up To	DHS
Narrative of Implementation Status	The Surface Cyber Risk Management NPRM Package is in the final stages of review by OMB. TSA anticipates that OMB's Office of Information and Regulatory Affairs will clear the NPRM for publication during early October 2024, at which time TSA will coordinate with the DHS to publish the NPRM in the Federal Register.
Component	TSA
Report Number (Public)	OIG-23-57

Report Title	Better TSA Tracking and Follow-up for the 2021 Security Directives Implementation Should Strengthen Pipeline Cybersecurity
Report Received/ Issued Date	09/26/2023
Rec #	2
Recommendation	The TSA Assistant Administrator for Surface Operations develop standard operating procedures and a formal tracking system to ensure consistent tracking and follow-up of the implementation of security directives and eventual regulations.
Estimated Completion Date (or Date Closed)	03/31/2025
Next Step is Up To	DHS
Narrative of Implementation Status	TSA completed the approval/coordination process for the updated Surface Inspection Standards and Procedures Section of the Surface Program Manual and is in the process of issuing it to the field.
Component	TSA
Report Number (Public)	OIG-23-57
Report Title	Better TSA Tracking and Follow-up for the 2021 Security Directives Implementation Should Strengthen Pipeline Cybersecurity
Report Received/ Issued Date	09/26/2023
Rec #	3
Recommendation	The TSA Assistant Administrator for Surface Operations include in TSA's standard operating procedures developed in response to recommendation 2, a requirement to conduct follow-up inspections that ensure pipeline operators have completed mitigation activities to address cybersecurity vulnerabilities.
Estimated Completion Date (or Date Closed)	03/31/2025
Next Step is Up To	DHS
Narrative of Implementation Status	TSA completed the approval/coordination process for the updated Surface Inspection Standards and Procedures Section of the Surface Program Manual and is in the process of issuing it to the field.
Component	USCG
Report Number (Public)	OIG-17-74-IQO

Report Title	Oversight Review of the United States Coast Guard Investigative Services
Report Received/ Issued Date	06/23/2017
Rec #	2
Recommendation	The Coast Guard Investigative Service (CGIS) articulate in policy what constitutes an OIG-referable allegation, train all necessary staff accordingly, and ensure that CGIS refers the requisite allegation to the OIG.
Estimated Completion Date (or Date Closed)	07/31/2025
Next Step is Up To	DHS
Narrative of Implementation Status	USCG is redrafting the CGIS Investigation Instruction, Commandant Instruction 5527.1 (series), which will include addressing this recommendation.
Component	USCG
Report Number (Public)	OIG-17-74-IQO
Report Title	Oversight Review of the United States Coast Guard Investigative Services
Report Received/ Issued Date	06/23/2017
Rec #	6
Recommendation	The CGIS Director, in consultation with the Coast Guard Directives and Publications Division, CG-612, replace the existing Coast Guard Investigations Manual with a document that complies with Systems Manual requirements.
Estimated Completion Date (or Date Closed)	07/31/2025
Next Step is Up To	DHS
Narrative of Implementation Status	USCG is redrafting the CGIS Investigation Instruction, Commandant Instruction 5527.1 (series), which will include addressing this recommendation.
Component	USCG
Report Number (Public)	OIG-17-74-IQO
Report Title	Oversight Review of the United States Coast Guard Investigative Services
Report Received/ Issued Date	06/23/2017

Rec #	7
Recommendation	The CGIS Director continue to update investigative policy and follow the Coast Guard clearance process outlined in M5215.6 prior to issuing new policy.
Estimated Completion Date (or Date Closed)	07/31/2025
Next Step is Up To	DHS
Narrative of Implementation Status	USCG is redrafting the CGIS Investigation Instruction, Commandant Instruction 5527.1 (series), which will include addressing this recommendation.
Component	USCG
Report Number (Public)	OIG-18-88
Report Title	Review of Coast Guard's Oversight of TWIC Program
Report Received/ Issued Date	09/28/2018
Rec #	2
Recommendation	Coast Guard's Assistant Commandant for Prevention Policy take action to more clearly define the applicable facilities that have certain dangerous cargo in bulk and which must implement the use of electronic TWIC readers as an access control measure.
Estimated Completion Date (or Date Closed)	05/29/2026
Next Step is Up To	DHS
Narrative of Implementation Status	The determination regarding which certain dangerous cargo facilities will be required to use electronic readers will be informed by the rulemaking process, including public comment process. A provision in the 2022 Coast Guard Authorization Act directs the Secretary of DHS to not implement TWIC reader regulations for certain facilities before May 8, 2026. The Office of the Federal Register published the conforming amendment rule on April 17, 2023. The rule will appear on the Office of the Federal Register's public inspection website (https://www.federalregister.gov/public-inspection/current at http://www.federalregister.gov/d/2023-08040). There is separate ongoing rulemaking to address whether the implementation date should remain May 8, 2026, or be moved to a later date.
Component	USCG
Report Number (Public)	OIG-18-88
Report Title	Review of Coast Guard's Oversight of TWIC Program

Report Received/ Issued Date	09/28/2018
Rec #	4
Recommendation	<p>Coast Guard's Assistant Commandant for Prevention Policy revise and strengthen the Coast Guard TWIC Verification and Enforcement Guide. At a minimum, the policy should:</p> <ul style="list-style-type: none"> • streamline guidance for oversight of the TWIC program by consolidating requirements from other interim Coast Guard policy documents; • include more specific procedures for recording the results of electronic TWIC verifications in the Marine Information for Safety and Law Enforcement system, such as updating the reference to the appropriate user guide and requiring inspectors to add a narrative explanation when card readers are not used for verifications; • define Coast Guard facility inspectors as law enforcement personnel, clarify the inspectors' authority for performing regulatory confiscations of TWIC cards, and outline the required procedures for documenting regulatory confiscations in the Marine Information for Safety and Law Enforcement system and returning the cards to TSA; and • specify key documents that Coast Guard facility inspectors must upload in the Marine Information for Safety and Law Enforcement system for annual compliance exams and security spot checks at regulated facilities, including but not limited to the completed inspection checklist, Form CG-835F, enforcement actions, and evidence of corrective action taken.
Estimated Completion Date (or Date Closed)	05/29/2026
Next Step is Up To	DHS
Narrative of Implementation Status	<p>The determination regarding which certain dangerous cargo facilities will be required to use electronic readers will be informed by the rulemaking process, including public comment process. A provision in the 2022 Coast Guard Authorization Act directs the Secretary of DHS to not implement TWIC reader regulations for certain facilities before May 8, 2026. The Office of the Federal Register published the conforming amendment rule on April 17, 2023. The rule will appear on the Office of the Federal Register's public inspection website (https://www.federalregister.gov/public-inspection/current at http://www.federalregister.gov/d/2023-08040). There is separate ongoing rulemaking to address whether the implementation date should remain May 8, 2026, or be moved to a later date.</p>
Component	USCG
Report Number (Public)	OIG-21-65

Report Title	Coast Guard Should Prioritize Upgrades to Rescue 21 Alaska and Expand its Public Notifications During Outages
Report Received/ Issued Date	09/21/2021
Rec #	1
Recommendation	The Commandant of the United States Coast Guard prioritize funding and purchasing of the appropriate technology needed to ensure full operational capability of Rescue 21 Alaska.
Estimated Completion Date (or Date Closed)	08/31/2026
Next Step is Up To	DHS
Narrative of Implementation Status	<p>The Assistant Commandant for Command, Control, Communications, Computers, and IT continues to carry out a three-phase modernization plan. The primary mission degraders will be corrected in Phase 1, which is expected to bring significant improvements to the Rescue 21 AK system: Phase 1: Replace obsolete generators and microwaves at Rescue 21 AK Remote Fixed Facilities (RFF).</p> <p>a. Generators – 22 of the 23 generators have been replaced, and the final site (Mt. Sheratin) is planned for third quarter of FY 2025. There will be two sites (Potato Point and Sheratin) in FY 2025 that will have generator structural work conducted. This effort is fully funded.</p> <p>b. Microwaves – 18 of the 18 Microwave links have been replaced as of June 2024.</p> <p>Phase 2: Replace obsolete Very High Frequency (VHF) radios at Rescue 21 AK RFFs.</p> <p>a. VHF radio recap contract for 10 prototype units was awarded in September 2021. The project includes replacing obsolete network equipment at RFF sites and is expected to be completed by summer of 2026. Hardware procurement and installation to support Phase II is fully funded.</p> <p>b. Motorola Radio Control System Upgrade – The Radio Control System is used to monitor the network on an on-going basis and proactively mitigate potential security issues. 18 of 35 sites have been completed. The remaining sites will be completed during FY 2025, pending available funds.</p> <p>c. Phase 2 can be completed in parallel with phase 1.</p> <p>Phase 3: Replace obsolete network infrastructure equipment.</p> <p>a. Modernization of RFFs – This effort will replace legacy equipment with modernized network equipment, allowing sectors to remotely monitor the health of the RFF. Estimated completion for this effort is the summer of 2026, pending funding availability.</p> <p>b. Phase 3 must be completed after phase 2.</p>

Component	USCG
Report Number (Public)	OIG-22-67
Report Title	DHS Component Collaboration on Law Enforcement Virtual Training Is Limited
Report Received/ Issued Date	09/15/2022
Rec #	5
Recommendation	The Commandant, United States Coast Guard, ensure that Coast Guard Investigative Services has access to operational training systems available to meet training requirements.
Estimated Completion Date (or Date Closed)	10/03/2024
Next Step is Up To	OIG
Narrative of Implementation Status	On October 3, 2024, OIG closed this recommendation after the universe of open recommendations for this annual report was identified.
Component	USCG
Report Number (Public)	OIG-23-05
Report Title	DHS Did Not Consistently Comply with National Instant Criminal Background Check System Requirements
Report Received/ Issued Date	12/22/2022
Rec #	3
Recommendation	United States Coast Guard, Assistant Commandant for Human Resources, establish a process for the Personnel Service Center to notify the Coast Guard Investigative Service of the completion of dishonorable discharges and that CGIS personnel enter them into NICS data.
Estimated Completion Date (or Date Closed)	12/31/2024
Next Step is Up To	DHS
Narrative of Implementation Status	CG-13 is on track to update the Discipline and Conduct Manual, Commandant Instruction M1600.2, which will include direction for the USCG Personnel Service Center to notify CGIS of any dishonorable discharges. As mentioned, dishonorable discharges are only determined by conviction and sentencing at Courts-Martial.
Component	USCG

Report Number (Public)	OIG-23-23
Report Title	The United States Coast Guard Needs to Improve Its Accounting for Non-Capitalized Personal Property Assets
Report Received/ Issued Date	04/26/2023
Rec #	1
Recommendation	The Assistant Commandant for Resources develop and implement a plan to update its February 2013 US Coast Guard Personal Property Management Manual to incorporate supplemental guidance and other changes, as necessary, including the transition to Financial System Modernization Solution.
Estimated Completion Date (or Date Closed)	12/31/2024
Next Step is Up To	DHS
Narrative of Implementation Status	USCG is ahead of schedule in updating the Personal Property Management Manual. The first draft is being reviewed by leadership and program. After the initial review process, additional edits will be made as needed, and an updated draft will be re-routed. Pending any issues or additional comments identified, the USCG Personal Property Management Manual will then be routed for concurrent clearance and approval.
Component	USCG
Report Number (Public)	OIG-23-23
Report Title	The United States Coast Guard Needs to Improve Its Accounting for Non-Capitalized Personal Property Assets
Report Received/ Issued Date	04/26/2023
Rec #	2
Recommendation	The Assistant Commandant for Resources develop and implement a plan to assess and make appropriate corrections to ensure the data quality of its Financial System Modernization Solution personal property inventory database.
Estimated Completion Date (or Date Closed)	12/31/2024
Next Step is Up To	DHS

Narrative of Implementation Status	The USCG Finance Center Property Operations Division published its first TTP to clarify responsibilities and better educate field level Accountable Property Officers to facilitate the processes of excessing and inventorying accountable personal property. This TTP Finance Center Property Operations Division upgraded its Property Action Tracker, now on version 3.0, to manage additions, modifications, and deletions to the System of Record. The Finance Center Property Operations Division has also bolstered the staff managing that workflow and are working with the Coast Guard Property Accountability Division (CG-841) on a Service-wide message explaining the change and reminding the users of the timelines for action items entered into the workflow. CG-841 is working with the Coast Guard Financial Systems Office (CG-86) and Finance Center Property Operations Division to modernize the Performance Assessment Report, Executive Dashboard to print inventory count forms and display status and to increase visibility on the status of property to senior leaders. CG-841 is also working with the Coast Guard Command, Control, Communications, Computers, Cyber, Intelligence Service Center (C5ISC) and Finance Center Property Operations Division to transition all Coast Guard workstations to a System of Record managed by C5ISC, employing modern inventory techniques. This will enable better monitoring of these connected devices with automated inventories, removing more than 54,000 assets from the financial System of Record: FSMS. Removing roughly 30 percent of assets from FSMS will allow property professionals in the field to focus more on maintaining other accountable assets.
Component	USCG
Report Number (Public)	OIG-23-23
Report Title	The United States Coast Guard Needs to Improve Its Accounting for Non-Capitalized Personal Property Assets
Report Received/ Issued Date	04/26/2023
Rec #	3
Recommendation	The Assistant Commandant for Resources comply with the U.S. Coast Guard Personal Property Management Manual and the Department of Homeland Security Personal Property Asset Management Manual by annually performing a complete inventory of all its non-capitalized personal property assets.
Estimated Completion Date (or Date Closed)	12/31/2024
Next Step is Up To	DHS
Narrative of Implementation Status	USCG was unable to achieve 100 percent compliance over non-capital property during FY 2023 but are continuing to provide the Property Performance Assessment Report for Coast Guard units to conduct their

	non-capital personal property inventory. CG-86 continues to hold bi-weekly Financial Management and Procurement Data Repository trainings to aid with questions on use and employment. The Financial Management and Procurement Data Repository team recently created physical inventory reports that will be used to increase visibility of USCG's completion of non-capital personal property inventory. That said, it is cumbersome to update property records in FSMS because the Property Administrators cannot make batch changes. For example, if a unit has 400 items that are verified in an inventory, the Property Administrator must open 400 separate items to update the inventory date for each item. Compounding this challenge has been turnover in the Property Administrator role. Both issues have led to a large backlog of items that need to be processed. USCG conducted field visits to address these problems and is looking into solutions to solve them.
Component	USCG
Report Number (Public)	OIG-23-46
Report Title	United States Coast Guard Needs to Determine the Impact and Effectiveness of Its Streamlined Inspection Program
Report Received/ Issued Date	08/30/2023
Rec #	1
Recommendation	United States Coast Guard require the Office of Commercial Vessel Compliance (CG-CVC): Develop and implement key performance indicators to facilitate the systematic assessment and evaluation of the Streamlined Inspection Program.
Estimated Completion Date (or Date Closed)	12/31/2024
Next Step is Up To	DHS
Narrative of Implementation Status	The CG-CVC will develop and implement key performance indicators key performance indicators to evaluate performance of vessels participating in the Streamlined Inspection Program against vessels of similar type and service under traditional USCG inspections, as well and monitor USCG performance in facilitating the enrollment process. These key performance indicators, and associated roles and responsibilities, will be documented via the CG-CVC Mission Management System (MMS). As part of this documentation in the CG-CVC MMS, the key performance indicators will be regularly reviewed for continual improvement, which will facilitate the systematic assessment and evaluation of the Streamlined Inspection Program.
Component	USCG

Report Number (Public)	OIG-23-46
Report Title	United States Coast Guard Needs to Determine the Impact and Effectiveness of Its Streamlined Inspection Program
Report Received/ Issued Date	08/30/2023
Rec #	2
Recommendation	United States Coast Guard require the Office of Commercial Vessel Compliance (CG-CVC): Collect and evaluate relevant and accurate Streamlined Inspection Program outcomes to ensure the program is operating as intended.
Estimated Completion Date (or Date Closed)	12/31/2024
Next Step is Up To	DHS
Narrative of Implementation Status	The CG-CVC will identify relevant Streamlined Inspection Program outcomes, which will be incorporated into the development of USCG's Streamlined Inspection Program key performance indicators. These key performance indicators, informed by relevant outcomes, will be documented and maintained within the CG-CVC MMS.
Component	USCG
Report Number (Public)	OIG-23-46
Report Title	United States Coast Guard Needs to Determine the Impact and Effectiveness of Its Streamlined Inspection Program
Report Received/ Issued Date	08/30/2023
Rec #	3
Recommendation	United States Coast Guard require the Office of Commercial Vessel Compliance (CG-CVC): Evaluate the impact the Streamlined Inspection Program has on the Coast Guard's mission and resources and ensure: (a) reported outcomes are accurate; and (b) the most beneficial alternative inspection program is used to improve the effectiveness and efficiency of the Coast Guard's inspection process.
Estimated Completion Date (or Date Closed)	12/31/2024
Next Step is Up To	DHS

Narrative of Implementation Status	The CG-CVC will develop key performance indicators to inform the evaluation of the outcomes of the Streamlined Inspection Program in comparison to traditional inspection regimes, as well as evaluate the use of USCG resources to ensure the program effectively maintains a similar level of safety and inform resource utilization. Evaluation and monitoring will be implemented through the CG-CVC MMS to ensure continual improvement.
Component	USCG
Report Number (Public)	OIG-23-55
Report Title	DHS Needs to Improve Annual Monitoring of Major Acquisition Programs to Ensure They Continue to Meet Department Needs
Report Received/ Issued Date	09/22/2023
Rec #	3
Recommendation	The Under Secretary for Management require the Coast Guard's Nationwide Automatic Identification System program to implement an effective corrective action plan to identify (1) the root cause of the performance deficiencies and (2) the steps needed to meet the performance measure baselines identified in the Acquisition Program Baseline.
Estimated Completion Date (or Date Closed)	09/30/2026
Next Step is Up To	DHS
Narrative of Implementation Status	USCG's Program Management Office worked with the System Sponsor Representative to implement an effective corrective action plan to identify the root cause of performance deficiencies and the steps needed to meet performance measure baselines. The corrective action plan resulted in the creation of two projects to reach the established key performance parameters: (1) Backend Modernization, created April 15, 2022; and (2) Base Station Replacement, created June 1, 2022. Currently, both projects are being monitored by DHS OCIO through the Program Health Assessments office. Base Station Replacement will replace obsolete hardware that does not allow for the full transmission of safety messages and is anticipated to be complete by September 2026. Further details of this effort include: identify replacement Nationwide Automatic Identification System Very High Frequency Base Station radio and start National Telecommunications and Information Administration certification (March 29, 2024); complete National Telecommunications and Information Administration certification (October 31, 2024); start multi-year replacement project (November 29, 2024); complete replacement of approximately 60 (45 percent) base

	stations (September 30, 2025; and complete replacement of 134 (100 percent) base stations (September 30, 2026).
Component	USCIS
Report Number (Public)	OIG-18-78
Report Title	USCIS' Medical Admissibility Screening Process Needs Improvement
Report Received/ Issued Date	09/21/2018
Rec #	1
Recommendation	USCIS Chief of the Regulatory Coordination Division for the Office of Policy and Strategy develop stricter ineligibility requirements for civil surgeon designations, which could include standards used by the Department of Health and Human Services Office of Inspector General, and implement processes to strengthen the vetting process of physicians and active civil surgeons.
Estimated Completion Date (or Date Closed)	12/31/2024
Next Step is Up To	DHS
Narrative of Implementation Status	USCIS remains committed to completing the draft proposed rule. The work remains on the Office of Policy and Strategy's internal list of projects and will be addressed as resources become available. During January 2024, the USCIS Senior Component Accountable Official met with leadership from Office of Policy and Strategy and the Field Operations Directorate to discuss whether there are other avenues of action available that would address the underlying intent of the recommendation. Based on discussions held during the calendar year, USCIS plans to provide an update to OIG by the end of calendar year 2024 with information on existing policies and statistics on civil surgeon revocations.
Component	USCIS
Report Number (Public)	OIG-22-10
Report Title	USCIS' U Visa Program is Not Managed Effectively and is Susceptible to Fraud
Report Received/ Issued Date	01/06/2022
Rec #	1

Recommendation	OIG recommended the Chief, Office of Policy and Strategy implement additional controls that mitigate risks of fraudulent Supplement B forms, such as requiring certifying officials to submit forms directly to USCIS.
Estimated Completion Date (or Date Closed)	01/31/2025
Next Step is Up To	DHS
Narrative of Implementation Status	USCIS continues to work on the NPRM for the U Visa Program, which will solicit public comment on a variety of potential options focused on improving the Form I-918, Supplement B certification process. USCIS expects the NPRM to be published by January 2025. However, this timeframe is dependent on other stakeholders completing final reviews, including DHS and OMB's Office of Information and Regulatory Affairs.
Component	USCIS
Report Number (Public)	OIG-22-10
Report Title	USCIS' U Visa Program is Not Managed Effectively and is Susceptible to Fraud
Report Received/ Issued Date	01/06/2022
Rec #	3
Recommendation	OIG recommended the Associate Director, Service Center Operations Directorate develop a plan to track the outcome of U visa-related fraud referrals and take steps to further mitigate fraud risks.
Estimated Completion Date (or Date Closed)	03/31/2025
Next Step is Up To	DHS
Narrative of Implementation Status	USCIS must finalize its Fraud Risk Framework, which it is being developed in response to recommendations from the September 2022 GAO report, "US Citizenship and Immigration Services: Additional Actions Needed to Mitigate Fraud Risks," GAO-22-105328. The Fraud Risk Framework outlines how USCIS will conduct fraud risk assessments and develop fraud risk profiles. Once implemented, this framework will have the capacity to include fraud schemes, such as those related to the U-Visa program. This revised draft document, currently under review by USCIS leadership, includes fraud risk profiles that identify the immigration benefits assessed to have the highest fraud risk. In addition, the Service Center Operations Directorate's Center for Fraud Detection Operations analyzes data in the FDNS NexGen system, a central repository for across USCIS that enables sharing of information, leads, and collaboration in ongoing investigations. Any potential fraud issues referred to the Center for

	Fraud Detection Operations leading to the creation of Leads or Cases are entered into the NexGen system. If fraud is substantiated and warrants further investigation and adjudicative action, including a referral to ICE, the Center for Fraud Detection Operations will take that action and enter the appropriate information in NexGen. Additionally, the Center for Fraud Detection Operations contacts ICE if no action is taken on a referral for 60 days to obtain current information on investigative actions.
Component	USCIS
Report Number (Public)	OIG-22-10
Report Title	USCIS' U Visa Program is Not Managed Effectively and is Susceptible to Fraud
Report Received/ Issued Date	01/06/2022
Rec #	5
Recommendation	OIG recommended the Associate Director, Service Center Operations Directorate enhance performance metrics to ensure the program achieves its purpose.
Estimated Completion Date (or Date Closed)	03/31/2025
Next Step is Up To	DHS
Narrative of Implementation Status	USCIS continues to implement its plan to revise Form I-765 to introduce a specific code for Employment Authorization Documents issued under the U Visa bona fide determination process. USCIS leadership cleared the proposed revisions to Form I-765 and Form I-765 60-Day Federal Register Notice will be submitted for publication during October 2024, which will be followed by a comment period, USCIS's review of the public comments, and final actions.
Component	USCIS
Report Number (Public)	OIG-22-65
Report Title	USCIS Should Improve Controls to Restrict Unauthorized Access to its Systems and Information
Report Received/ Issued Date	09/07/2022
Rec #	1
Recommendation	The Office of Human Capital and Training in conjunction with the Office of Information Technology evaluate the Employee and Contractor Exit Clearance Process and update as needed to ensure it provides the controls necessary to identify and communicate all separated employees in accordance with DHS policy of immediately revoking access to network and systems.

Estimated Completion Date (or Date Closed)	12/31/2024
Next Step is Up To	DHS
Narrative of Implementation Status	During December 2023, USCIS' OIT transferred the exit clearance process from myIT to myAccess to efficiently manage user accounts and system access, and to produce reports that can assist with audits and accountability. During March 2024, USCIS provided OIG with supporting documentation and requested that OIG close this recommendation as implemented, as USCIS had completed work to incorporate the Exit Clearance Process into myAccess. During subsequent meetings OIG noted that some documentation was in draft and that it would not consider closing this recommendation until the documents were final. OIT is finalizing the relevant documents.
Component	USCIS
Report Number (Public)	OIG-22-65
Report Title	USCIS Should Improve Controls to Restrict Unauthorized Access to its Systems and Information
Report Received/ Issued Date	09/07/2022
Rec #	2
Recommendation	The Office of Human Capital and Training in conjunction with the Office of Information Technology develop and implement a process to identify all transferred employees and ensure that their access is reviewed and verified immediately in accordance with DHS policy.
Estimated Completion Date (or Date Closed)	12/31/2024
Next Step is Up To	DHS
Narrative of Implementation Status	During March 2024, USCIS provided supporting documentation and requested that OIG close this recommendation as implemented, as USCIS had completed work to incorporate the Exit Clearance Process into myAccess. During subsequent meetings OIG noted that some documentation was in draft and that it would not consider closing this recommendation until the documents were final. OIT is finalizing the relevant documents.
Component	USCIS
Report Number (Public)	OIG-22-65
Report Title	USCIS Should Improve Controls to Restrict Unauthorized Access to its Systems and Information

Report Received/ Issued Date	09/07/2022
Rec #	3
Recommendation	The Office of Information Technology develops and implements a myAccess capability or an alternative manual review process to ensure that all privileged user and service account accesses are reviewed and validated at least annually.
Estimated Completion Date (or Date Closed)	08/01/2024
Next Step is Up To	OIG
Narrative of Implementation Status	On August 1, 2024, OIG closed this recommendation after the universe of open recommendations for this annual report was identified.
Component	USCIS
Report Number (Public)	OIG-22-65
Report Title	USCIS Should Improve Controls to Restrict Unauthorized Access to its Systems and Information
Report Received/ Issued Date	09/07/2022
Rec #	4
Recommendation	The Office of Information Technology finalize implementation of the proposed tiered privileged account project that allows users to use separate accounts when accessing less secure assets.
Estimated Completion Date (or Date Closed)	12/31/2024
Next Step is Up To	DHS
Narrative of Implementation Status	Based on analysis of current work and discussions with stakeholders, USCIS' OIT determined that additional time was necessary to finalize the solution for implementing a tiered privileged account project; and continues to work to deploy technical solutions, ensuring that Separation of Duties and Least Privilege access is addressed in the design. Policies and procedures are being updated as necessary, and additional validation work remains.
Component	USCIS
Report Number (Public)	OIG-22-65
Report Title	USCIS Should Improve Controls to Restrict Unauthorized Access to its Systems and Information

Report Received/ Issued Date	09/07/2022
Rec #	5
Recommendation	The Office of Information Technology implement managed service accounts or additional manual/technical controls to deny interactive logon and reset service account passwords timely.
Estimated Completion Date (or Date Closed)	09/30/2025
Next Step is Up To	DHS
Narrative of Implementation Status	Project stakeholders continue to meet, and some Service Accounts have been enrolled into CyberArk, an identify security platform. However, more time is needed to complete additional analyses and implement an automated process. Specifically, USCIS' OIT must integrate CyberArk in MyAccess, and this effort will also require updates to the MyAccess system. The system updates and integration will take an additional year to complete.
Component	USCIS
Report Number (Public)	OIG-22-65
Report Title	USCIS Should Improve Controls to Restrict Unauthorized Access to its Systems and Information
Report Received/ Issued Date	09/07/2022
Rec #	6
Recommendation	The Office of Information Technology perform an evaluation of Active Directory configurations based on users' roles and responsibilities and remove unnecessary privileges that allow access to service accounts.
Estimated Completion Date (or Date Closed)	12/31/2024
Next Step is Up To	DHS
Narrative of Implementation Status	During 2023, USCIS's OIT conducted an initial analysis of the issues and worked with stakeholders to identify solutions; and during 2024 worked to finalize the proposed solution. Program officials deployed required technical changes and are updating relevant policies and procedures. Work to verify and validate the changes remains ongoing.
Component	USCIS
Report Number (Public)	OIG-22-65
Report Title	USCIS Should Improve Controls to Restrict Unauthorized Access to its Systems and Information

Report Received/ Issued Date	09/07/2022
Rec #	7
Recommendation	The Office of Information Technology finalize and implement patching procedures for assessing and resolving system vulnerabilities.
Estimated Completion Date (or Date Closed)	03/31/2026
Next Step is Up To	DHS
Narrative of Implementation Status	During January 2024, USCIS' OIT developed dashboards to identify vulnerabilities that are coming due or are overdue; and conducted meetings with SMEs to discuss options to improve enterprise patching processes and timeliness. The Vulnerability Management program is now partially staffed and trained, and an SOP was established that outlines patching requirements and timelines. OIT is working on improvements to managing Information System Vulnerability Management Change Requests in ServiceNow. Ongoing work includes meeting with enterprise SMEs to identify and remediate vulnerabilities at the enterprise-level. Remaining work includes meeting with system teams to identify and remediate vulnerabilities at the system-level, draft an Accepted Risk memo if required, and finalize all related documentation.
Component	USCIS
Report Number (Public)	OIG-22-65
Report Title	USCIS Should Improve Controls to Restrict Unauthorized Access to its Systems and Information
Report Received/ Issued Date	09/07/2022
Rec #	8
Recommendation	The Office of Information Technology implement all required DISA STIG configuration settings for Enterprise Hosting Services, Enterprise Infrastructure Services, and Identity Credential Access and Management and Citizenship and Immigration Services Network or request a waiver to exclude settings that cannot be implemented.
Estimated Completion Date (or Date Closed)	03/31/2026
Next Step is Up To	DHS
Narrative of Implementation Status	USCIS' OIT has partially staffed the Configuration Management program; trained SMEs to assist with remediation efforts; completed the Configuration Management SOP; and developed multiple dashboards

	depicting the status of compliance with Defense Information Systems Agency Security Technical Implementation Guide configurations for all systems. Ongoing efforts include continuing development of the Configuration Management exceptions process to address failures, errors, and warnings showing on the Configuration Management Dashboards, and meeting with enterprise SMEs to identify and remediate non-compliant settings at the enterprise-level. Remaining work includes identifying and remediating non-compliant configuration settings at the system-level.
Component	USCIS
Report Number (Public)	OIG-22-79
Report Title	The Unified Coordination Group Struggled to Track Afghan Evacuees Independently Departing U.S. Military Bases
Report Received/ Issued Date	09/29/2022
Rec #	1
Recommendation	<p>The DHS Secretary ensure U.S. Immigration and Customs Enforcement and U.S. Citizenship and Immigration Services:</p> <ul style="list-style-type: none"> • identify Afghan evacuees who independently departed safe havens, were not on the Task Force's list of evacuees to contact, and have not yet completed medical requirements; and • provide Afghan evacuees with counseling on their parole requirements.
Estimated Completion Date (or Date Closed)	04/26/2024
Next Step is Up To	OIG
Narrative of Implementation Status	Between August 2023 and April 2024, USCIS engaged with OIG regarding the information needed to close this recommendation as implemented. On April 26, 2024, USCIS requested that OIG close this recommendation. Since then, USCIS requested updates but has not received a decision from OIG. According to OIG, a decision will not be made before the end of FY 2024.
Component	USCIS
Report Number (Public)	OIG-23-40
Report Title	USCIS Has Generally Met Statutory Requirements to Adjudicate Asylum Applications from Paroled Afghan Evacuees
Report Received/ Issued Date	08/18/2023

Rec #	1
Recommendation	The Associate Director of Refugee, Asylum and International Operations continue to evaluate their operations and ensure consistent compliance with statutory timelines for interviewing asylum applicants from the OAW population.
Estimated Completion Date (or Date Closed)	08/20/2024
Next Step is Up To	OIG
Narrative of Implementation Status	On August 20, 2024, OIG closed this recommendation after the universe of open recommendations for this annual report was identified.

V. Recommendation Discrepancies

Since 2010, DHS strictly adheres to a self-imposed practice of not closing any open recommendations without first reaching agreement with GAO or OIG staff. Specifically, DHS only closes recommendations in its database of record on the basis of monthly closures listings received from both GAO and OIG. This practice provides added confidence to Congress and the public, in addition to DHS's formal management response to each recommendation, that appropriate actions were taken to implement these recommendations or otherwise to resolve any disagreements.

DHS reconciles its list of open and closed recommendations to OIG's semiannual report to Congress every 6 months, and to GAO's public website at least annually. DHS has not identified any significant discrepancies between its information and OIG and GAO information. The few minor variances found during these reconciliations typically are due to database entry/update timing issues and are corrected quickly by mutual agreement.

VI. Determining Whether to Implement Recommendations Less Than 12 Months Old

DHS prepares a formal management response letter to every draft audit report with recommendations to the Department. DHS leadership, program officials, SMEs, and others, as appropriate, collaborate to determine whether the Department will concur (i.e., agree) or nonconcur (i.e., disagree) with a recommendation when writing these letters, which GAO and OIG include in their entirety as an Appendix to their final reports.

These letters address any significant accuracy and/or contextual concerns that were not addressed during the audit, as appropriate. Additionally, DHS also clearly agrees or disagrees with each recommendation and identifies what actions were taken, are ongoing, or are planned; identifies which specific office or individual (by title) is responsible for this activity; and includes an ECD, as appropriate. If an ECD is more than 12 months in the future, the response generally includes interim milestones.

DHS provides updated corrective action plans (CAP) for audit recommendations via 180- and 90-day letters for GAO and OIG recommendations, respectively. In accordance with 31 U.S.C. § 720, “Agency Reports” (amended by Pub. L. 115-414), DHS provides Congress, OMB, and GAO with updated CAPs on or before the 180th day after the date that final GAO reports with recommendations to DHS are received by DHS. Similarly, in accordance with DHS Instruction # 077-01-001, “Instruction on Follow-up and Resolution for Office of Inspector General Report Recommendations,” DHS provides OIG with updated CAPs on or before the 90th day after the date of final OIG reports with recommendations to DHS.

Appendix: Abbreviations

Abbreviation	Definition
ACE	Automated Commercial Environment
AD/CVD	Antidumping/Countervailing Duty
AES	Automated Export System
AMO	Air and Marine Operations
ALM	Account Lifecycle Management
APB	Acquisition Program Baseline
ASIP	Arctic Strategic Outlook Implementation Plan
ATD	Alternatives to Detention
ATF	Bureau of Alcohol, Tobacco, Firearms and Explosives
BD21	Biological Detection for the 21st Century
BOC	Business Object Code
BSDP	Border Security Deployment Program
C5ISC	Coast Guard Command, Control, Communications, Computers, Cyber, Intelligence Service Center
CAE	Component Acquisition Executive
CAP	Corrective Action Plan
CBP	U.S. Customs and Border Protection
CEAR	Commercial Enforcement Analysis and Response
C.F.R.	Code of Federal Regulations
CFATS	Chemical Facility Anti-Terrorism Standards
CGCM	Coast Guard Case Management
CFO	Chief Financial Officer
CG-CVC	USCG Office of Commercial Vessel Compliance
CGIS	Coast Guard Investigative Service
CHCO	Chief Human Capital Officer
CISA	Cybersecurity and Infrastructure Security Agency
CISO	Chief Information Security Officer
CISOD	Chief Information Security Officer Division
CMS	Cyber Mission Specialist
COR	Contracting Officer Representative
CPMO	Checkpoint Program Management Office

Abbreviation	Definition
CPO	Chief Procurement Officer
CRCL	Office for Civil Rights and Civil Liberties
CSC	Cargo Security and Control
CWMD	Countering Weapons of Mass Destruction
DHS	Department of Homeland Security
DNA	Deoxyribonucleic Acid
DOD	Department of Defense
DOI	Department of the Interior
DOJ	Department of Justice
DSO	Designated School Official
ECD	Estimated Completion Date
EEM	Electronic Export Manifest
EEO	Equal Employment Opportunity
EFSP	Emergency Food and Shelter Program
EPA	Environmental Protection Agency
ERO	Enforcement and Removal Operations
ESF	Emergency Support Function
FAMS	Federal Air Marshal Service
FBI	Federal Bureau of Investigation
FDNS	Fraud Detection and National Security Directorate
FEMA	Federal Emergency Management Agency
FID	Federal Insurance Directorate
FPDS	Federal Procurement Data System
FPMD	Floodplain Management Division
FPS	Federal Protective Services
FSM	Financial Systems Modernization
FSMS	Financial Systems Modernization Solution
FY	Fiscal Year
GAO	Government Accountability Office
GNDA	Global Nuclear Detection Architecture
GSA	General Services Administration
HART	Homeland Advanced Recognition Technology
HHS	Department of Health and Human Services
HMGP	Hazard Mitigation Grant Program

Abbreviation	Definition
HSI	Homeland Security Investigations
HUD	Department of Housing and Urban Development
IA	Individual Assistance
I&A	Intelligence and Analysis
IAPPG	Individual Assistance Program and Policy Guide
ICE	U.S. Immigration and Customs Enforcement
ICT	Information and Communications Technology
IHSC	ICE Health Service Corps
IMF	International Mail Facility
IMS	Infrastructure Managed Services
IPR	Intellectual Property Rights
IPT	Integrated Planning Team
ISAA	Information Sharing Access Agreements
IT	Information Technology
JCDC	Joint Cyber Defense Collaborative
JES	Joint Explanatory Statement
JFK	John F. Kennedy
JPMO	Joint Program Management Office
JRC	Joint Requirements Council
JTTF	Joint Terrorism Task Force
LE/FAMS	Office of Law Enforcement/Federal Air Marshal Service
LMD	Logistics Management Directorate
LMS	Learning Management System
MAR	Mission Analysis Report
MGMT	Management
MISLE	Marine Information for Safety and Law Enforcement
MOA	Memorandum of Agreement
MOU	Memorandum of Understanding
NARA	National Archives and Records Administration
NDAA	National Defense Authorization Act
NFIP	National Flood Insurance Program
NIST	National Institute of Standards and Technology
NPM	National Program Manager
NPRM	Notice of Proposed Rulemaking

Abbreviation	Definition
NSM-22	National Security Memorandum-22
NSSE	National Special Security Event
NVDC	National Vessel Documentation Center
OA	Office of Acquisition
OAW	Operation Allies Welcome
OBIM	Office of Biometric Identity Management
OBP	Office for Bombing Prevention
OCFO	Office of the Chief Financial Officer
OCHCO	Office of the Chief Human Capital Officer
OCIO	Office of the Chief Information Officer
OCPO	Office of the Chief Procurement Officer
OCSO	Office of the Chief Security Officer
OFAM	Offices of Facilities and Asset Management
OFO	Office of Field Operations
OGC	Office of the General Counsel
OIG	Office of the DHS Inspector General
OIT	Office of Information Technology
OMB	Office of Management and Budget
OPC	Offshore Patrol Cutter
OPR	Office of Professional Responsibility
ORR	Office of Response and Recovery
PACS	Physical Access Control System
PAPPG	Public Assistance Program and Policy Guide
PARM	Office of Program Accountability and Risk Management
PII	Personally Identifiable Information
PLCY	Office of Strategy, Policy, and Plans
PRIV	DHS Privacy Office
PIV	Personal Identity Verification
RAVEN	Repository for Analytics in a Virtualized Environment
RFF	Remote Fixed Facility
S&T	Science and Technology Directorate
SAMEPH	Seized Asset management and Enforcement Procedures Handbook
SBA	Small Business Administration
SIW	Self-Inspection Worksheet

Abbreviation	Definition
SLTT	State, Local, Tribal, Territorial
SME	Subject Matter Expert
SOP	Standard Operating Procedure
SRL	Severe Repetitive Loss
SRMA	Sector Risk management Agency
SWB	Southwest Border
TECS	Treasury Enforcement Communication System
TRA	Trade Regulatory Audit
TSA	Transportation Security Administration
TTO	Trade Transformation Office
TTP	Tactics, Techniques, and Procedures
TTU	Trade Transparency Unit
TWIC	Transportation Worker Identification Card
USBP	U.S. Border Patrol
U.S.C.	United States Code
USCG	United States Coast Guard
USCIS	U.S. Citizenship and Immigration Services
USM	Under Secretary for Management
USPS	United States Postal Service
UWW	United Way Worldwide
V&V	Verification and Validation
VDS	Vessel Documentation System
WYO	Write Your Own