



Homeland Security

Annual Performance Report

Fiscal Years 2016-2018

*With honor and integrity, we will
safeguard the American people, our
homeland, and our values.*



About this Report

The *U.S. Department of Homeland Security Annual Performance Report for Fiscal Years (FY) 2016-2018* presents the Department's performance measures and applicable results aligned to our missions, provides the planned performance targets for FY 2017 and FY 2018, and includes information on the Department's Strategic Review and our Agency Priority Goals. In addition, this report presents several FY 2016 Department-wide management initiatives followed by a summary of major management and performance challenges and high-risk areas identified by the DHS Office of Inspector General and the Government Accountability Office. The report is consolidated to incorporate our annual performance plan and annual performance report.

The *FY 2016 – 2018 Annual Performance Report* is one in a series of three reports which comprise the Department's performance and accountability reports:

- ***DHS Agency Financial Report:*** Delivery date – November 15, 2016.
- ***DHS Annual Performance Report:*** Delivery date – May 22, 2017
- ***DHS Summary of Performance and Financial Information:*** Delivery date – March 29, 2017.

When published, all three reports will be located on our public website at:
<http://www.dhs.gov/performance-accountability>.

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Section 1: Overview

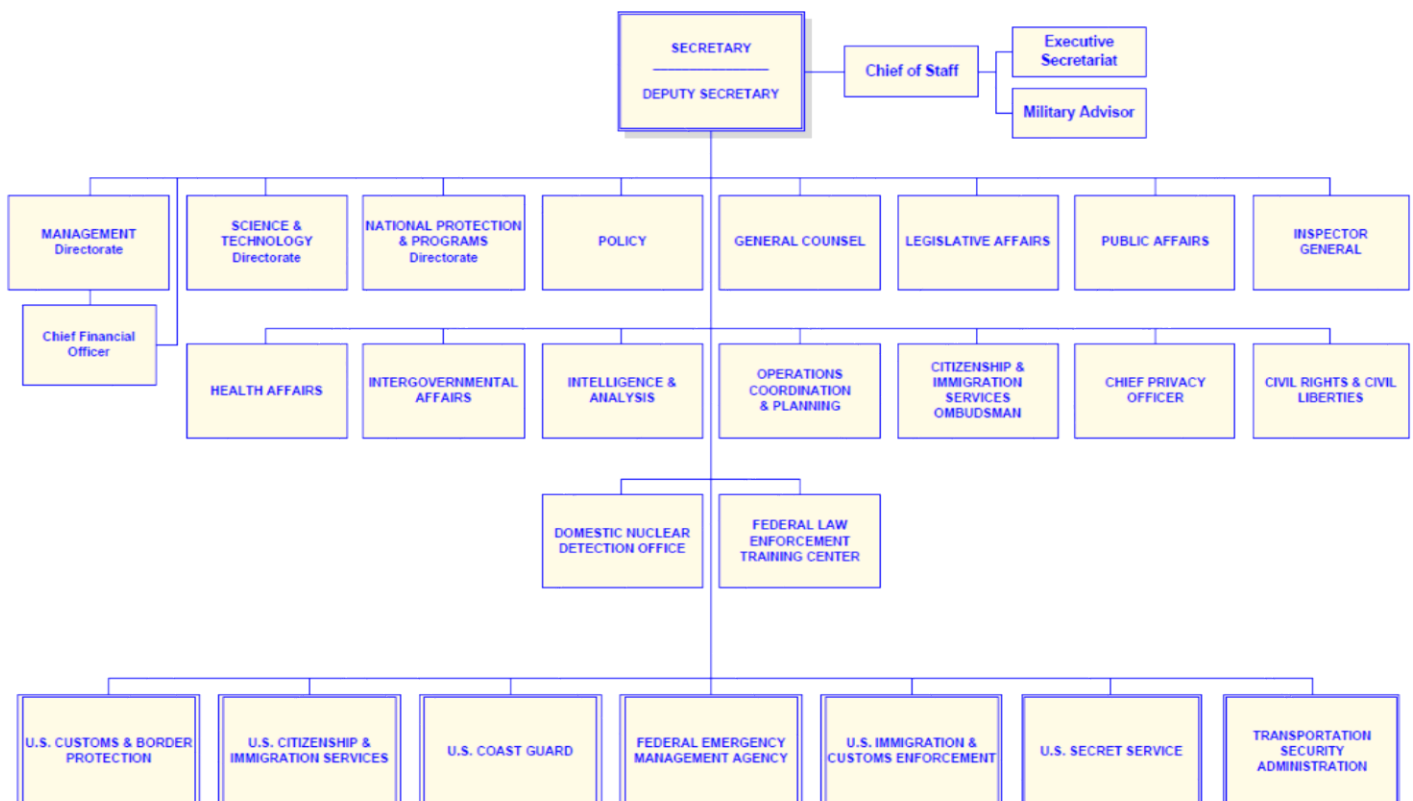
Introduction

The *U.S. Department of Homeland Security (DHS) Annual Performance Report (APR) for Fiscal Years (FYs) 2016-2018* presents the Department's performance measures and applicable results for FY 2016, associated performance targets for FY 2017 and FY 2018, and includes information on the Department's FY 2016 Strategic Review and our Agency Priority Goals (APGs). In addition, this report presents several FY 2016 Department-wide management initiatives followed by a summary of major management and performance challenges and high-risk areas identified by the DHS Office of Inspector General and the Government Accountability Office.

The FY 2016-2018 APR satisfies the *Government Performance and Results Act (GPRA)* and the *GPRA Modernization Act (GPRAMA) of 2010* requirement to publish the Department's Annual Performance Report and Annual Performance Plan.

Organization

DHS's operational Components lead the Department's frontline activities to protect our Nation. The remaining DHS Components provide resources, analysis, equipment, research, policy development, and support to ensure the frontline organizations have the tools and resources to accomplish the DHS mission. For the most up to date information on the Department's structure, visit our web site at <http://www.dhs.gov/organization>.



Missions and Goals for Homeland Security

Performance information in this report is organized around the missions and goals identified in the Department's [FY 2014-2018 Strategic Plan](#). The *FY 2014-2018 Strategic Plan* continues the Department's efforts to prioritize front-line operations while maximizing effectiveness and efficiency. The missions and goals of the Department are provided below.

Mission 1: Prevent Terrorism and Enhance Security

- Goal 1.1: Prevent Terrorist Attacks
- Goal 1.2: Prevent and Protect Against the Unauthorized Acquisition or Use of Chemical, Biological, Radiological, and Nuclear Materials and Capabilities
- Goal 1.3: Reduce Risk to the Nation's Critical Infrastructure, Key Leadership, and Events

Mission 2: Secure and Manage Our Borders

- Goal 2.1: Secure U.S. Air, Land, and Sea Borders and Approaches
- Goal 2.2: Safeguard and Expedite Lawful Trade and Travel
- Goal 2.3: Disrupt and Dismantle Transnational Criminal Organizations and Other Illicit Actors

Mission 3: Enforce and Administer Our Immigration Laws

- Goal 3.1: Strengthen and Effectively Administer the Immigration System
- Goal 3.2: Prevent Unlawful Immigration

Mission 4: Safeguard and Secure Cyberspace

- Goal 4.1: Strengthen the Security and Resilience of Critical Infrastructure Against Cyber Attacks and other Hazards
- Goal 4.2: Secure the Federal Civilian Government Information Technology Enterprise
- Goal 4.3: Advance Cyber Law Enforcement, Incident Response, and Reporting Capabilities
- Goal 4.4: Strengthen the Cyber Ecosystem

Mission 5: Strengthen National Preparedness and Resilience

- Goal 5.1: Enhance National Preparedness
- Goal 5.2: Mitigate Hazards and Vulnerabilities
- Goal 5.3: Ensure Effective Emergency Response
- Goal 5.4: Enable Rapid Recovery

Mature and Strengthen Homeland Security

- Goal 1: Integrate Intelligence, Information Sharing, and Operations
- Goal 2: Enhance Partnerships and Outreach
- Goal 3: Strengthen the DHS International Affairs Enterprise in Support of Homeland Security Missions
- Goal 4: Conduct Homeland Security Research and Development
- Goal 5: Ensure Readiness of Frontline Operators and First Responders
- Goal 6: Strengthen Service Delivery and Manage DHS Resources

Organizational Performance Management Framework in DHS

DHS created a robust performance framework that drives performance management and enables the implementation of performance initiatives. This approach also facilitates the reporting of results within the Department for a comprehensive set of measures aligned to the missions and goals of the Department. The DHS Performance Management Framework is depicted in the graphic below and will be discussed in further detail.



Figure 1: DHS Performance Management Framework

Performance Community

The DHS performance community is led by the Chief Operating Officer (COO), the Performance Improvement Officer (PIO), the Deputy PIO (DPIO), and the Assistant Director for Performance Management, all who are supported by performance analysts in the Office of Program Analysis and Evaluation (PA&E) located under the DHS Chief Financial Officer (CFO). In DHS, the COO and PIO are involved in managing performance through a variety of venues. The performance community also includes Component PIOs and Agency Priority Goal (APG) Leads—the senior leaders driving performance management efforts in their respective Components—interacting with

senior DHS leadership on performance management issues. Component performance analysts are the performance measurement experts within their Component who communicate key guidance to program managers, provide advice on measure development concepts, collect and review quarterly and year-end data, coordinate with Component leadership on communicating results internally, and are the primary points of contact within Components on GPRAMA initiatives.

At the headquarters level, leadership and performance analysts in CFO/PA&E manage GPRAMA performance initiatives for the Department under the direction of the COO and PIO, along with guidance provided by the CFO. CFO/PA&E performance analysts are the liaison among internal and external stakeholders on performance matters, managing implementation of the framework outlined above, and ensuring the Department meets its GPRAMA responsibilities. CFO/PA&E brings together this community, shown in the diagram below, to drive performance initiatives.

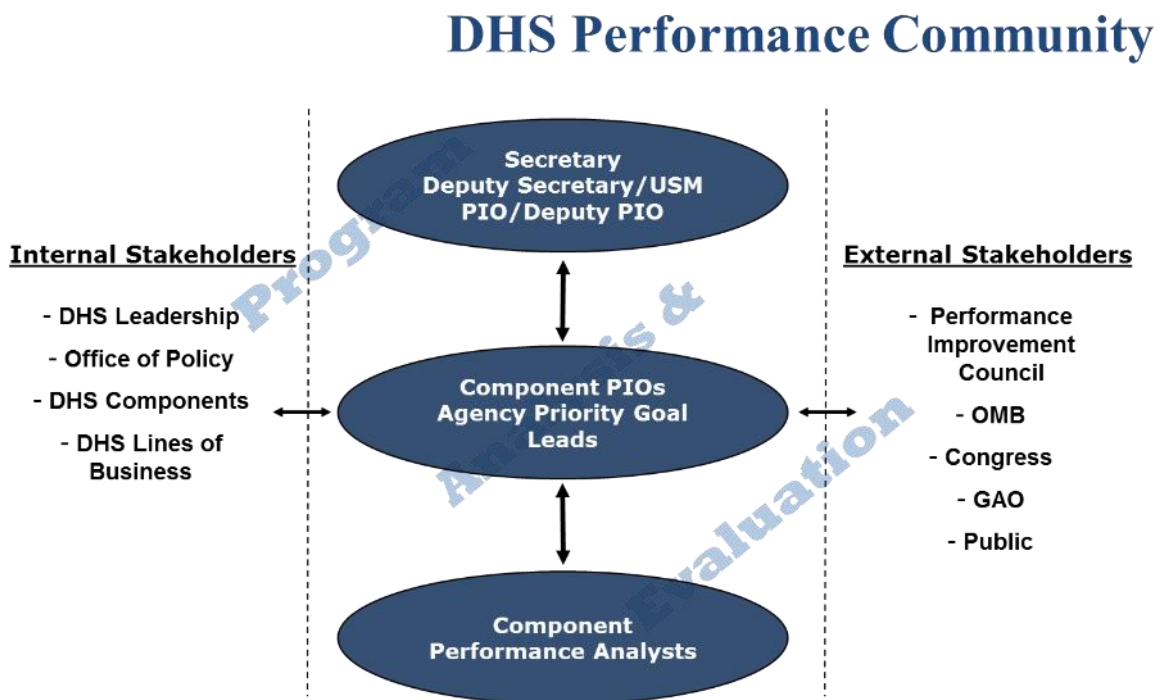


Figure 2: DHS Organizational Performance Community

Managing our Measures

The following figure shows the linkage between our strategic plan, the Department's mission programs, and the measures we use to gauge performance. This approach to measurement ensures that DHS can assess the achievement of our missions as identified in the DHS Strategic Plan.

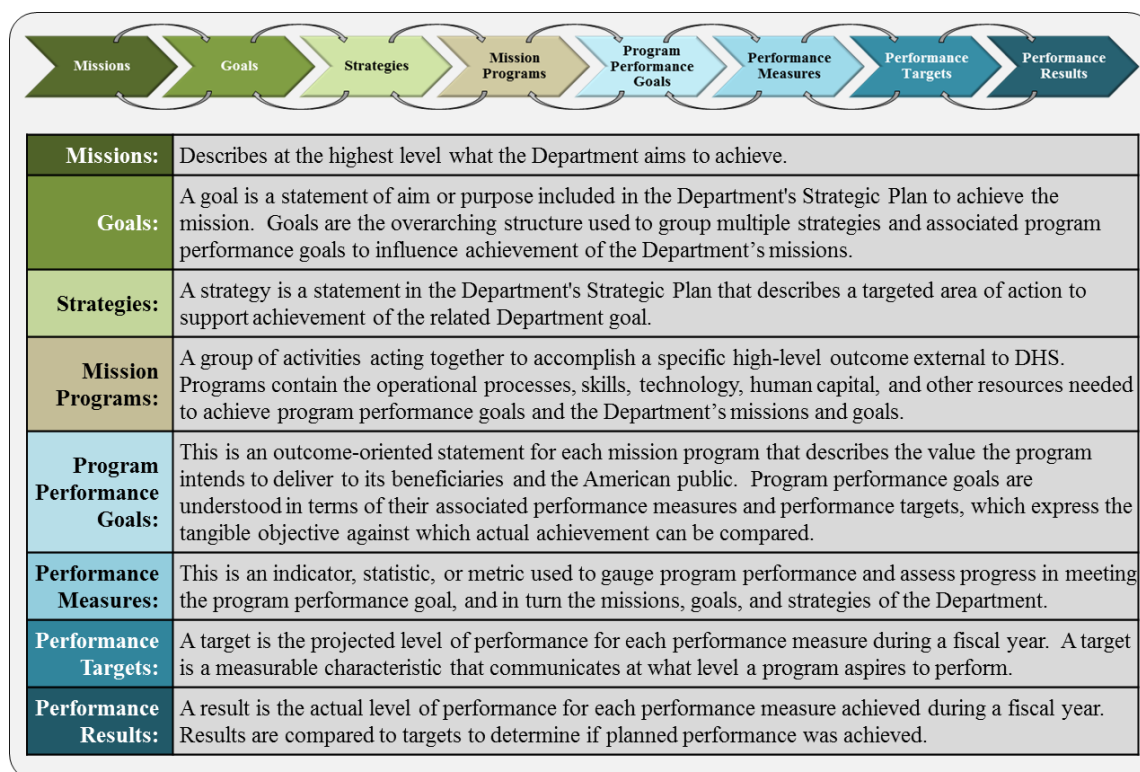


Figure 3: DHS Performance Cascade

With the support of leadership, CFO/PA&E initiates the annual measure improvement process each spring to enhance our set of publicly reported measures to more effectively convey the results delivered to meet our missions. Improvement ideas are derived from several sources:

- Feedback provided by senior leadership to mature our ability to describe the value delivered by DHS;
- Suggestions from the Office of Management and Budget (OMB) to achieve greater visibility into program performance and connection to program resources;
- Recommendations from other external stakeholders such as the Government Accountability Office (GAO) and Congress;
- Suggestions from CFO/PA&E performance analysts working to fill gaps and improve quality; and
- Component leadership and program managers wishing to continually implement measures that are meaningful to their business operations.

This process typically begins in March, with proposed changes from programs in DHS Components submitted by June 30th of each year. These proposals are reviewed by Component leadership and by Headquarters performance analysts. Approved changes are then submitted to OMB for their review and approval. Our publicly reported measures associated with our performance budget deliverables are then published in the Department's APR, the Component Strategic Context Chapters of the Congressional Justification, and support other strategic management processes such as Senior Executive Service certification and personnel performance plans.

Performance Data Verification and Validation

The Department recognizes the importance of collecting complete, accurate, and reliable performance data since this helps determine progress toward achieving program and Department goals. Performance data are considered reliable if transactions and other data that support reported performance measures are properly recorded, processed, and summarized to permit the preparation of performance information in accordance with criteria stated by management. OMB Circular A-136, Financial Reporting Requirements, OMB Circular A-11, and the Reports Consolidation Act of 2000 (P.L. No. 106-531) further delineate this responsibility by requiring agency heads to attest to the completeness and reliability of the performance data they report and put procedures in place to ensure valid data as part of the Management Assurance process.

DHS implemented a multi-pronged approach to effectively mitigate risks and reinforce processes that enhance the Department's ability to report complete and reliable data for GPRAMA performance measure reporting. This approach consists of: 1) an annual change control process that uses a tool called the Performance Measure Definition Form (PMDF); 2) a central information technology repository for performance measure information; 3) the Performance Measure Checklist for Completeness and Reliability; and 4) annual assessments of the completeness and reliability of a sample of our performance measures by an independent review team.

Annual Change Control Process and the PMDF

CFO/PA&E has used a continuous improvement process annually as a means to mature the breadth and scope of our publicly reported set of measures. This process employs a tool known as the PMDF that provides a structured format to operationally describe every measure we publicly report in our performance deliverables. The PMDF provides instructions on completing all data fields and includes elements such as the measure name, description, scope of data included and excluded, where the data is collected and stored, a summary of the data collection and computation process, and what processes exist to double-check the accuracy of the data to ensure reliability. These data fields on the form reflect GAO's recommended elements regarding data quality.¹ The PMDF is used as a change management tool to propose and review new measures, make changes to existing measures, and to retire measures we want to remove from our strategic and management measure sets. This information is maintained in a Department central data repository, discussed next, and is published annually as Appendix A to our Annual Performance Report.

Central Information Technology (IT) Repository for Performance Measure Information

All of DHS's approved measures are maintained in the FYHSP system, which is a Department-wide IT system accessible to all relevant parties in DHS. The system is a modular database which allows for the management of the Department's performance plan and the capturing of performance results on a quarterly basis. The FYHSP system stores all historical information about each measure including specific details regarding: scope; data source; data collection methodology; and explanation of data reliability check. The data in the system are then used as the source for all quarterly and annual Performance and Accountability Reporting. Finally, the performance data in the FYHSP system are used to populate the Department's business intelligence tools to provide real-time information.

¹ Managing for Results: Greater Transparency Needed in Public Reporting Quality of Performance Information for Selected Agencies' Priority Goals (GAO-15-788). GAO cited DHS's thoroughness in collecting and reporting this information in their review of the quality of performance information in their report.

Performance Measure Checklist for Completeness and Reliability

The Performance Measure Checklist for Completeness and Reliability is a means for Component PIOs to attest to the quality of the information they are providing in our performance and accountability reports. Using the *Checklist*, Components self-evaluate key controls over GPRAMA performance measure planning and reporting actions at the end of each fiscal year. Components describe their control activities and provide a rating regarding their level of compliance and actions taken for each key control. Components also factor the results of any internal or independent measure assessments into their rating. The *Checklist* supports the Component Head assurance statements attesting to the completeness and reliability of performance data. Individual Component Head assurance statements serve as the primary basis for the Secretary's assertion whether or not the Department has effective controls over financial and performance reporting as well as efficiencies of our operations.

Independent Assessment of the Completeness and Reliability of Performance Measure Data

CFO, PA&E conducts an assessment of performance measure data for completeness and reliability on a subset of its performance measures annually using an independent review team. This independent review team assesses selected Component GPRAMA measures using the methodology prescribed in the *DHS Performance Measure Verification and Validation Handbook*, documents its findings, makes recommendations for improvement, and may perform a subsequent follow-up review to observe the implementation of recommendations. Corrective actions are required for performance measures that rate low on the scoring factors. The Handbook is made available to all Components to encourage the development and maturation of internal data verification and validation capabilities, increase transparency, and facilitate the review process. The results obtained from the independent assessments are also used to support Component leadership assertions over the reliability of their performance information reported in the Performance Measure Checklist and Component Head Assurance Statement.

Management Assurance Process for GPRAMA Performance Measure Information

The Management Assurance Process requires all Component Heads in DHS to assert that performance measure data reported in the Department's Performance and Accountability Reports are complete and reliable. If a measure is considered unreliable, the Component is directed to report the measure on the Performance Measure Checklist for Completeness and Reliability along with the corrective actions the Component is taking to correct the measure's reliability.

The DHS Office of Risk Management and Assurance, within the Office of the CFO, oversees the management of internal controls and the compilation of many sources of information to consolidate into the Component Head and the Agency Assurance Statements. The [Agency Financial Report](#) contains statements attesting to the completeness and reliability of performance measure information in our Performance and Accountability Reports. Any unreliable measures and corrective actions are specifically reported in the Annual Performance Report.

Based on the process described above, all performance information is deemed complete and reliable except for the following measure:

- *Percent of respondents indicating that operational cybersecurity information products provided by DHS are timely and actionable* (National Protection and Program Directorate (NPPD))
 - For the FY 2016 reporting period, this measure was deemed unreliable due to the lack of stakeholder feedback during the period. This measure is being retired due to challenges in getting a meaningful response from those receiving the information products upon which conclusions can be made.

Quarterly Performance Reporting

Quarterly reporting of the Department's Strategic and Management measure information is provided by the various Components, reviewed by DHS Headquarters staff, and entered into the Department's performance management IT system maintained by PA&E. This information is then packaged and presented to DHS leadership and made available to all internal managers to support their on-going program management activities.

Performance and Accountability Reporting

The Department follows the Office of Management and Budget Circular A-136 and A-11 guidance to produce the following reports:

- DHS Agency Financial Report;
- DHS Annual Performance Report; and
- DHS Summary of Performance and Financial Information.

Combined, these reports comprise our annual performance and accountability reporting requirements. When published, all three reports are located on our public website at: <http://www.dhs.gov/performance-accountability>.

Agency Priority Goals

Agency Priority Goals (APGs) are one of the tenets of GPRAMA and provide opportunities for leadership to significantly drive improvement in near-term performance. APGs are defined for a two-year implementation period, and DHS currently has three APGs focused on combatting transnational criminal organizations, enhancing federal network security, and enhancing disaster preparedness and response. More detailed information on the DHS APGs is presented in Section 3: Other Information. Quarterly updates and additional detail are available at www.performance.gov.

Performance Reviews

DHS has implemented the Performance Review initiative of GPRAMA as a means for senior leadership to be actively engaged in the management of efforts to deliver near-term results in priority areas relevant to stakeholders. The Department uses its quarterly reporting process to gather updates on our APGs from our Goal Leads. The Department has implemented a straightforward quarterly review process of our APGs. Quarterly reporting of APG information, including measure results, progress updates, and future plans, are provided by APG Goal Leads, reviewed by DHS Headquarters staff, and entered into the Government-wide web site,

www.performance.gov. This information is then packaged and presented to DHS Leadership to make decisions on critical milestones for APG success.

Strategic Reviews

DHS conducted its third annual Strategic Review of progress and results delivered for the sixteen strategic goals in the DHS FY 2014-2018 Strategic Plan. For each strategic goal, an assessment team was guided by a senior executive who assembled a team from Components who play a significant role in implementing operations that affect goal performance.






DHS leveraged the expertise of those working directly to advance progress on the strategic goals to conduct the first phase of the review, which is a self-assessment. Then a Headquarters team conducted an independent cross cutting review by examining the findings from the sixteen assessment teams. This analysis is summarized with major conclusions and recommendations and used for leadership discussion and action.



Figure 4: DHS FY 2016 Strategic Review Assessment Recommendation Process

The Assessment Teams conducted their review during the January to March timeframe, the Headquarters review occurred in April, and leadership briefings and delivery of summary results to OMB occurred in May. This approach is designed to support the OMB-established timeline in order to make the information available to the Agency and OMB during the budget development process. The following graphic identifies the progress findings² for all sixteen mission goals evaluated. Detailed Summaries of Progress are provided for each goal in the [DHS Performance by Strategic Goal](#) section.

² OMB Circular A-11 directs all CFO Act agencies to identify a subset of goals as “Demonstrating Noteworthy Progress” and a subset of goals as “Focus Areas for Improvement.”

Mission 1 Prevent Terrorism and Enhance Security	Mission 2 Secure and Manage Our Borders	Mission 3 Enforce and Administer Our Immigration Laws	Mission 4 Safeguard and Secure Cyberspace	Mission 5 Strengthen National Preparedness and Resilience
				
Goal 1.1: Prevent Terrorist Attacks	Goal 2.1: Secure U.S. Air, Land, and Sea Border and Approaches	Goal 3.1: Strengthen and Effectively Administer the Immigration System	Goal 4.1: Strengthen the Security and Resilience of Critical Infrastructure against Cyber Attacks and other Hazards	Goal 5.1: Enhance National Preparedness
Goal 1.2: Prevent and Protect Against the Unauthorized Acquisition or Use of CBRN Materials and Capabilities	Goal 2.2: Safeguard and Expedite Lawful Trade and Travel	Goal 3.2: Prevent Unlawful Immigration	Goal 4.2: Secure the Federal Civilian Government Information Technology Enterprise	Goal 5.2: Mitigate Hazards and Vulnerabilities
Goal 1.3: Reduce Risk to the Nation's Critical Infrastructure, Key Leadership, and Events	Goal 2.3: Disrupt and Dismantle Transnational Criminal Organizations and Other Illicit Actors		Goal 4.3: Advance Cyber Law Enforcement, Incident Response, and Reporting Capabilities	Goal 5.3: Ensure Effective Emergency Response
			Goal 4.4: Strengthen the Cyber Ecosystem	Goal 5.4: Enable Rapid Recovery

Noteworthy Progress

Satisfactory Progress

Focus Areas for Improvement

Figure 5: DHS FY 2016 Strategic Review Summary Results

Planning, Programming, Budgeting, and Execution (PPBE) and the Performance Budget

Performance management is relevant to each stage of the Department's PPBE process. PPBE is a system that integrates policies, strategy, and prioritized goals to guide resource allocation decisions, and then translate into our budget and program plan, serve as the means to execute our mission, and ultimately provide feedback to each of the other stages of PPBE. DHS incorporated the PPBE system into our processes in accordance with the provisions of the [Homeland Security Act of 2002](#). PPBE is a cyclic annual system consisting of four sequential but sometimes overlapping phases.

Planning initiates the new cycle of the DHS PPBE system. The objective of the Planning Phase is to identify and communicate resource planning priorities to guide development of Component resource plans, and conduct the analytic activities necessary to prepare for the subsequent Program and Budget Review. Additionally, the Planning Phase identifies potential issues for further study during future cycles of the Future Years Homeland Security Program. The Resource Planning Guidance (RPG) is the principal output of the Planning Phase.

Programming follows the planning phase. The objective of the programming phase is to translate resource planning priorities, as identified in the RPG, and Component plans into specific resource allocation decisions articulated over a five-year period consistent with Secretarial direction and the missions and goals of the DHS Strategic Plan. Programming is initiated with the issuance of Program and Budget Review (PBR) Guidance—a memorandum outlining the key themes and focus areas as well as programmatic issue teams, base budget review topics, and leadership issues—and submission of Component RAPs, and concludes with the issuance of the RAD and recording of

decisions in the FYHSP system. Components may begin programming in the fall at or about the time of RPG issuance.

Budgeting occurs concurrently with the programming phase. The objective of the budgeting phase is to develop a fully justified one-year budget submission for DHS, including the defense of that budget to OMB and Congress. The principal outputs of the budgeting phase are the budget justification materials for OMB and Congress. The enactment of an appropriation completes the budgeting phase.

Execution begins at the start of the fiscal year. The objective of the execution phase is to responsibly expend resources and to account for cost and performance to determine if programs perform DHS missions in the most cost-effective manner. At the same time, a strategic review is conducted to assess, using evidence, progress on implementation of the strategic plan, and the DHS performance measure results are published in the APR. Strategic review, program evaluation, execution review, and other analyses inform the subsequent planning phase.

To further Department-wide PPBE integration, the Department continues to implement its management reform initiatives, which began in 2014. The Department has conducted specific activities across four lines of effort:

1. Inclusive senior leader discussion and decision making forums that provide an environment of trust and transparency;
2. Strengthened management processes for investment, including requirements, budget, and acquisition processes that look at cross-cutting issues across the Department;
3. Focused, collaborative Departmental strategy, planning, and analytic capability that supports more effective DHS-wide decision-making and operations; and
4. Enhanced coordinated operations to harness the significant resources of the Department more effectively.

These changes have led to better traceability through each step of the PPBE process, while supporting the Department's broader goal of better understanding the broad and complex DHS mission space and empowering DHS Components to effectively execute their operations.



Section 2:

Performance Results

Performance Summary of DHS

This section provides to the President, the Congress, and the public a clear picture of how the Department of Homeland Security is working toward accomplishing its mission by presenting our “strategic set” of measures. These measures have been developed over time to align with the strategy published in the *DHS FY 2014 – 2018 Strategic Plan*, as required by GPRAMA. These measures best communicate our progress in the delivery of results and the assessment of our success in achieving our strategic goals. DHS also manages a larger set of measures, known as our “management set.” These measures are available in the Strategic Context chapter of each Component’s Congressional Budget Justification located on the DHS budget webpage at: <http://www.dhs.gov/dhs-budget>. In addition, Components and their programs manage a large number of operational measures to inform program management. Our capital investment plans for major investments also contain measures that relate to key performance indicators and may link to our strategic or management measures sets. Following the Performance Summary of DHS, the Annual Performance Report provides detail for each goal within each mission in the DHS Performance by Strategic Goal section.

Departmental Summary of Results

A review of the results at the close of FY 2016 demonstrates that 68 percent of the Department’s strategic measures met their targets. The results for the percent of measures that met their targets by mission are shown in the table below by the black diamond. When reviewing the trends in the results, 71 percent of measures sustained or improved performance from FY 2015. The results by mission for those that sustained or improved are shown in the table below by the white diamond. The FY 2017-2018 performance plan includes a total of 97 measures, representing 12 measures that were retired from our previous performance plan and the introduction of 18 new measures.

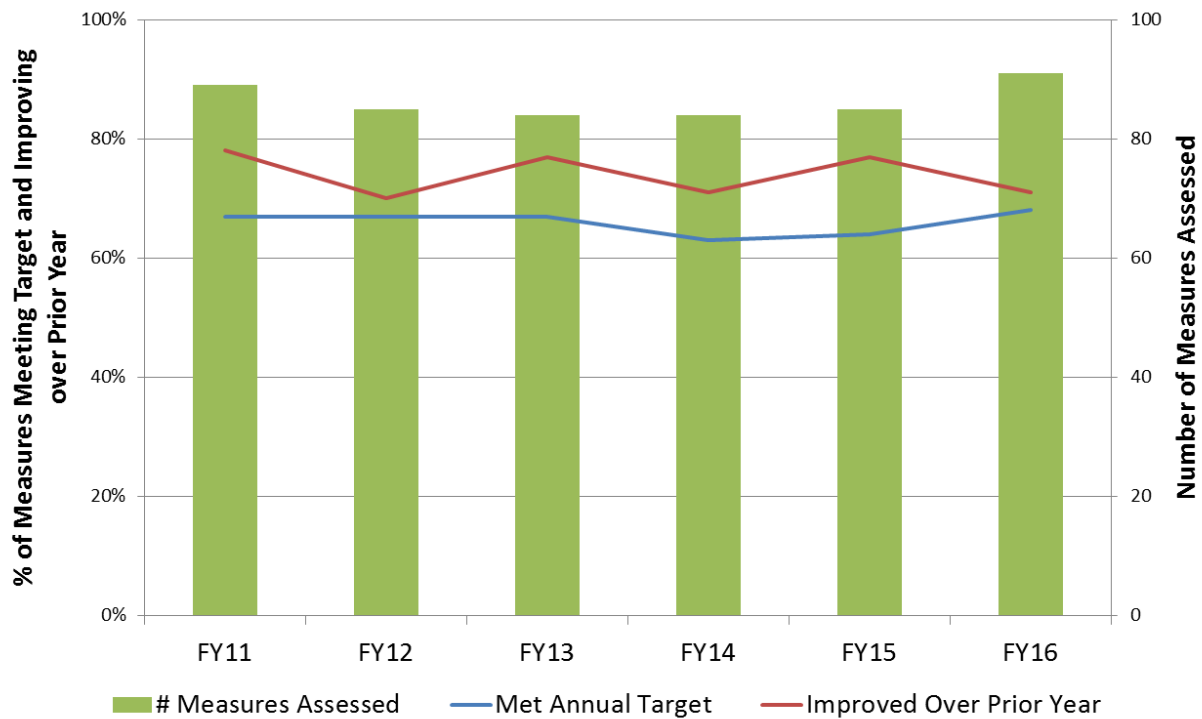
Mission	Performance Summary				
	Scale:	0%	25%	50%	75% 100%
Mission 1: Prevent Terrorism and Enhance Security				◆	◆
Mission 2: Secure and Manage Our Borders				◆	◆
Mission 3: Enforce and Administer Our Immigration Laws			◆◆		
Mission 4: Safeguard and Secure Cyberspace			◆◆		
Mission 5: Strengthen National Preparedness and Resilience				◆	◆

◆ - Percent of measures that met their FY 2016 target.

◆ - Percent of measures that maintained or improved actual performance results compared to FY 2015.

This year’s overall results are consistent with historical results. The following chart shows that the measures meeting their target on an annual basis varied between 63 to 67 percent from FY 2011

through FY 2016. Likewise, the percent of measures that maintained or improved over the prior year ranged from 70 to 78 percent.



The DHS Performance by Strategic Goal section of this report presents information for each of our strategic goals. Each goal begins with a statement of the goal and its strategies, which are described in more detail in the FY 2014-2018 DHS Strategic Plan. Next, a *Strategic Review Summary of Progress* narrative is presented as a result of the Department's Strategic Review assessment followed by a *Performance Highlight* in the form of a short "success" story from FY 2016. This is followed by *Performance Results and Plan* information, presenting measure results and future planned performance. For the performance measures, prior fiscal year results are presented for trend analysis. For those measures that did not meet their current year targets, explanations with corrective action are provided. In addition, changes to measure names and targets from the previous year's report are identified. To continually improve our set of performance measures, new measures are introduced and measures are retired each year and are identified, if applicable, in the measure tables.

DHS Performance by Strategic Goal

Mission 1: Prevent Terrorism and Enhance Security

Goal 1.1: Prevent Terrorist Attacks

Strategies

- *Analyze, fuse, and disseminate terrorism information*
- *Deter and disrupt operations*
- *Strengthen transportation security*
- *Counter violent extremism*

Strategic Review Summary of Progress

The Department of Homeland Security (DHS) has determined that this goal is making satisfactory progress.

Assessment Lead

Ken Fletcher, Chief Risk Officer, Transportation Security Administration (TSA), Office of the Chief Risk Officer

Introduction

DHS applies a multifaceted approach to preventing terrorist attacks in the United States, focusing on risk-based passenger and cargo screening, intelligence and information-sharing, and working beyond our borders to deter and disrupt threats at the earliest point possible. DHS performs and oversees security operations at the Nation's airports, screening hundreds of millions of passengers annually to ensure the freedom of movement of people and commerce. Through these efforts, DHS has continued to increase security and achieve system-wide efficiencies while working to balance security needs against wait times for the traveling public.

Achievements

DHS operations continue to positively impact homeland security by vetting millions of visa applications via the Pre-Adjudicated Threat Recognition and Intelligence Operations Team (PATRIOT) system; assessing nearly 100% of potentially high-risk inbound cargo prior to arrival; screening hundreds of millions of passengers; screening billions of bags; and flying Federal Air Marshals to protect passenger aircraft. See TSA's cargo and vetting measures in the Performance Results and Plan section for historical results. TSA continues to enhance officer training and increased security effectiveness and deterrence for aviation security.

Through improved intelligence and information sharing with personnel from federal, state, local, territorial, tribal (SLTT), and private sector partners, DHS has adapted operations to address

evolving threats, adjust passenger pre-boarding analysis rules, and update state and local officer safety procedures.

DHS continues to evaluate transportation and port facilities for compliance with U.S. and international security regulations and standards. The Department conducts port facility, air carrier, and airport assessments annually. In instances of non-compliance, DHS provides remediation guidance to strengthen the security posture. See TSA's compliance measures in the Performance Results and Plan section for historical results.

In 2016, the Air Marshal Service initiated a recruitment effort to support the hiring of Federal Air Marshals. The recruitment strategy includes outreach focused on female, law enforcement, and veteran organizations.

DHS engages stakeholders to enhance security capacity by sharing information with communities affected by violent extremist (VE) recruitment and conducting round tables and exercises with law enforcement and communities affected by VE to improve communications and build trust. DHS has also increased the availability of training and exercises to our partners to include counter-improvised explosive device preparedness and active shooter response.

Challenges

While much progress has been made in preventing terrorist attacks, the ongoing and ever-changing threat will continue to present the Department with challenges. Recent terrorist attacks show that the threat is fluid and increasingly decentralized. Large-scale migrations due to humanitarian, political, and economic crises emanating from higher threat regions present opportunities for exploitation by bad actors. DHS must employ strategies that leverage SLTT and private sector partners, as they may be better positioned to uncover threats and respond in a timely manner. Additionally, changes in the trust relationship between communities and law enforcement may weaken partnerships and DHS's ability to combat VE. DHS must continue to build trust between communities and law enforcement to ensure a clear understanding of a common goal.

The recent proliferation of readily available encryption capabilities enables masking of adversaries' communications, which inhibits DHS's ability to develop timely and useful intelligence products and impedes counterterrorism efforts. While communications have improved within DHS and with external stakeholders, further improvements will strengthen the DHS security posture.

Performance Highlight



Demonstrating Innovative Solutions

In FY 2016, the Transportation Security Administration (TSA) established the Innovation Task Force (ITF) to encourage innovation by conducting field demonstrations of emerging capabilities. Through data and information sharing, partnering with stakeholders across the aviation sector, and fostering a platform for innovation, ITF aims to promote rapid development of new solutions and refine requirements and processes. Ultimately, ITF enhances TSA's ability to respond to an evolving terrorist threat and a dynamic screening environment.

In less than nine weeks, ITF established Hartsfield-Jackson Atlanta International Airport (ATL) as an innovation site and demonstrated Automated Screening Lanes (ASLs) in partnership with Delta Air Lines.

The ASLs demonstration (which included automated bin returns, multiple divestiture stations, and enhanced bin tracking and data capabilities) was recognized by partner airlines, vendors, and travelers for its expediency to design and deploy the new technology, and for reducing wait times and improving the passenger experience. Senator Tom Carper commented, "This partnership between Delta and TSA's Innovation Task Force in Atlanta could—and should—serve as a model for other airports across the country as one of many smart solutions that could make flights more secure while also making the screening process less of a burden for passengers, airlines, and airports."

Success at ATL has enabled expansion of ITF to target airports around the country for additional demonstrations and next-generation solutions. As TSA Administrator Peter Neffenger recognized, "[ITF] already succeeded in that they are thinking differently. It's an example of how we're changing the way we think as a system."

Performance Results and Plan

In FY 2016, there were eleven strategic performance measures used to assess the Department's efforts for this goal. For the FY 2017-2018 performance plan, three new measures are being introduced and two measures are being retired. In FY 2016, 64 percent of the measures met their target and 82 percent maintained or improved actual results compared to FY 2015.

Goal	Performance Summary				
Scale:	0%	25%	50%	75%	100%
Goal 1.1: Prevent Terrorist Attacks	<div><div></div><div></div><div></div><div></div><div></div><div></div><div></div><div></div><div></div><div></div><div></div><div></div><div></div><div></div><div></div><div></div><div></div><div></div><div></div><div></div><div></div><div></div><div></div><div></div><div></div><div></div><div></div><div></div><div></div><div></div><div></div><div></div><div></div><div></div><div></div><div></div><div></div><div></div><div></div><div></div><div></div><div></div><div></div><div></div><div></div><div></div><div></div><div></div><div></div><div></div><div></div><div></div><div></div><div></div><div></div><div></div><div></div><div></div><div></div><div></div><div></div><div></div><div></div><div></div><div></div><div></div><div></div><div></div><div></div><div></div><div></div><div></div><div></div><div></div><div></div><div></div><div></div><div></div><div></div><div></div><div></div><div></div><div></div><div></div><div></div><div></div><div></div><div></div><div></div><div></div><div></div><div></div><div></div><div></div><div></div><div></div><div></div><div></div><div></div><div></div><div></div><div></div><div></div><div></div><div></div><div></div><div></div><div></div><div></div><div></div><div></div><div></div><div></div><div></div><div></div><div></div><div></div><div></div><div></div><div></div><div></div><div></div><div></div><div></div><div></div><div></div><div></div><div></div><div></div><div></div><div></div><div></div><div></div><div></div><div></div><div></div><div></div><div></div><div></div><div></div><div></div><div></div><div></div><div></div><div></div><div></div><div></div><div></div><div></div><div></div><div></div><div></div><div></div><div></div><div></div><div></div><div></div><div></div><div></div><div></div><div></div><div></div><div></div><div></div><div></div><div></div><div></div><div></div><div></div><div></div><div></div><div></div><div></div><div></div><div></div><div></div><div></div><div></div><div></div><div></div><div></div><div></div><div></div><div></div><div></div><div></div><div></div><div></div><div></div><div></div><div></div><div></div><div></div><div></div><div></div><div></div><div></div><div></div><div></div><div></div><div></div><div></div><div></div><div></div><div></div><div></div><div></div><div></div><div></div><div></div><div></div><div></div><div></div><div></div><div></div><div></div><div></div><div></div><div></div><div></div><div></div><div></div><div></div><div></div><div></div><div></div><div></div><div></div><div></div><div></div><div></div><div></div><div></div><div></div><div></div><div></div><div></div><div></div><div></div><div></div><div></div><div></div><div></div><div></div><div></div><div></div><div></div><div></div><div></div><div></div><div></div><div></div><div></div><div></div><div></div><div></div><div></div><div></div><div></div><div></div><div></div><div></div><div></div><div></div><div></div><div></div><div></div><div></div><div></div><div></div><div></div><div></div><div></div><div></div><div></div><div></div><div></div><div></div><div></div><div></div><div></div><div></div><div></div><div></div><div></div><div></div><div></div><div></div><div></div><div></div><div></div><div></div><div></div><div></div><div></div><div></div><div></div><div></div><div></div><div></div><div></div><div></div><div></div><div></div><div></div><div></div><div></div><div></div><div></div><div></div><div></div><div></div><div></div><div></div><div></div><div></div><div></div><div></div><div></div><div></div><div></div><div></div><div></div><div></div><div></div><div></div><div></div><div></div><div></div><div></div><div></div><div></div><div></div><div></div><div></div><div></div><div></div><div></div><div></div><div></div><div></div><div></div><div></div><div></div><div></div><div></div><div></div><div></div><div></div><div></div><div></div><div></div><div></div><div></div><div></div><div></div><div></div><div></div><div></div><div></div><div></div><div></div><div></div><div></div><div></div><div></div><div></div><div></div><div></div><div></div><div></div><div></div><div></div><div></div><div></div><div></div><div></div><div></div><div></div><div></div><div></div><div></div><div></div><div></div><div></div><div></div><div></div><div></div><div></div><div></div><div></div><div></div><div></div><div></div><div></div><div></div><div></div><div></div><div></div><div></div><div></div><div></div><div></div><div></div><div></div><div></div><div></div><div></div><div></div><div></div><div></div><div></div><div></div><div></div><div></div><div></div><div></div><div></div><div></div><div></div><div></div><div></div><div></div><div></div><div></div><div></div><div></div><div></div><div></div><div></div><div></div><div></div><div></div><div></div><div></div><div></div><div></div><div></div><div></div><div></div><div></div><div></div><div></div><div></div><div></div><div></div><div></div><div></div><div></div><div></div><div></div><div></div><div></div><div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◆ - Percent of measures that met their FY 2016 target.

◆ - Percent of measures that maintained or improved actual performance results compared to FY 2015.

Below are the strategic measures that gauge efforts to prevent terrorist attacks. For those measures that did not meet their targets, an explanation with corrective action is provided. In addition, changes to measure names and targets from the previous year's report are identified. Finally, to continually improve our set of performance measures, new measures are introduced and measures are retired each year, and are identified, if applicable, in the measure tables.

Screening and Vetting Measures: Secure Flight is a risk-based passenger prescreening program that enhances security by identifying passengers by potential risk before they arrive at the airport through matching their names against trusted traveler lists and watchlists. A significant effort has also gone into managing expedited screening of passengers while still maintaining a strong security posture. Problems that may occur in the screening/vetting are managed with our redress process.

Percent of domestic air enplanements vetted against the terrorist watch list through Secure Flight (TSA)

Prior Results					FY 2016		Future Targets	
FY 2011	FY 2012	FY 2013	FY 2014	FY 2015	Target	Result	FY 2017	FY 2018
100%	100%	100%	100%	100%	100%	100%	Retired*	

* This measure is being replaced with the new consolidated measure “Percent of passenger data submissions that successfully undergo Secure Flight watch list matching.”

Percent of international air enplanements vetted against the terrorist watch list through Secure Flight (TSA)

Prior Results					FY 2016		Future Targets	
FY 2011	FY 2012	FY 2013	FY 2014	FY 2015	Target	Result	FY 2017	FY 2018
100%	100%	100%	100%	100%	100%	100%	Retired*	

* This measure is being replaced with the new consolidated measure “Percent of passenger data submissions that successfully undergo Secure Flight watch list matching.”

Percent of passenger data submissions that successfully undergo Secure Flight watch list matching (TSA)

Prior Results					FY 2016		Future Targets	
FY 2011	FY 2012	FY 2013	FY 2014	FY 2015	Target	Result	FY 2017	FY 2018
---	---	---	---	---	---	---	100%*	100%

* New measure added to replace the two measures directly above.

Percent of daily passengers receiving expedited physical screening based on assessed low risk (TSA)

Prior Results					FY 2016		Future Targets	
FY 2011	FY 2012	FY 2013	FY 2014	FY 2015	Target	Result	FY 2017	FY 2018
---	---	---	---	---	50%	46%	50%	50%

Explanation for Target Not Met: This measure was introduced to gauge the percent of daily passengers who received expedited physical screening because they meet low risk protocols or have been otherwise assessed at the checkpoint as low-risk. [TSA Pre✓®](#) incorporates modified screening protocols for eligible participants who have enrolled in the TSA Pre✓® program, as well as known crew members, active duty service members, and other trusted populations. In an effort to strengthen aviation security while enhancing the passenger experience, TSA is focusing on risk-based, intelligence-driven security procedures and enhancing its use of technology in order to focus its resources on the unknown traveler. In FY 2016, TSA achieved 46 percent, missing expectations for the first year of this measure. At the start of the fiscal year, TSA removed certain groups receiving expedited screening based on a reassessment of the risk analysis. This security

decision impacted the program's ability to reach its target. TSA is currently investigating ways to continue to grow the TSA Pre✓[®] enrolled population.

Average number of days for DHS Traveler Redress Inquiry Program (TRIP) redress requests to be closed (TSA)

Prior Results					FY 2016		Future Targets	
FY 2011	FY 2012	FY 2013	FY 2014	FY 2015	Target	Result	FY 2017	FY 2018
99	93	52	62	50	< 60	44	< 55*	< 55

* FY 2017 target changed from < 60 to <55 to be in line with prior year results.

Compliance Measures: TSA has taken actions to increase the rate of compliance, including increased industry outreach and Compliance Security Enhancement Through Testing activities, a risk-based testing program for leading security indicators. TSA evaluates and documents security at airports against agreed upon aviation and airport security standards and takes enforcement and other actions when necessary.

Percent of overall compliance of domestic airports with established aviation security indicators (TSA)

Prior Results					FY 2016		Future Targets	
FY 2011	FY 2012	FY 2013	FY 2014	FY 2015	Target	Result	FY 2017	FY 2018
95.9%	95.0%	94.4%	94.0%	95.0%	100%	93%	100%	100%

Explanation for Target Not Met: The performance results indicate domestic airports compliance with transportation security regulations determined by TSA inspections and tests. The target of 100% compliance by all regulated entities was not attained in FY 2016 due to TSA's continued focus on high-risk areas for targeted inspections and testing activities based on intelligence and dynamic security priorities. Airports have conducted vulnerability self-assessments and have prepared mitigation plans to improve compliance and to reduce security vulnerabilities. TSA also works collaboratively with the airports to ensure they comply with all security requirements and takes enforcement and other actions when necessary.

Percent of air carriers operating from domestic airports in compliance with leading security indicators (TSA)

Prior Results					FY 2016		Future Targets	
FY 2011	FY 2012	FY 2013	FY 2014	FY 2015	Target	Result	FY 2017	FY 2018
99.2%	98.1%	98.0%	98.0%	98.0%	100%	98.0%	100%	100%

Explanation for Target Not Met: The performance results indicate air carriers' compliance with transportation security regulations determined by TSA inspections and testing. The target of 100% compliance by all regulated entities was not attained in FY 2016 due to TSA's continued focus on high-risk areas for targeted inspections and testing activities based on intelligence and dynamic security priorities. TSA has taken a collaborative approach to compliance with air carriers, including Compliance Security Enhancement Through Testing (COMSETT) activities, a risk-based testing program for leading security indicators. Furthermore, TSA is developing additional tools, such as self-audits and voluntary self-disclosure program to improve compliance.

Percent of foreign airports that serve as last points of departure and air carriers involved in international operations to the United States advised of necessary actions to mitigate identified vulnerabilities in order to ensure compliance with critical security measures (TSA)

Prior Results					FY 2016		Future Targets	
FY 2011	FY 2012	FY 2013	FY 2014	FY 2015	Target	Result	FY 2017	FY 2018
---	---	100%	100%	100%	100%	100%	100%	100%

Percent of overall level of implementation of industry agreed upon Security and Emergency Management action items by mass transit and passenger rail agencies (TSA)

Prior Results					FY 2016		Future Targets	
FY 2011	FY 2012	FY 2013	FY 2014	FY 2015	Target	Result	FY 2017	FY 2018
28%	39%	69%	78%	80%	82%	71%	75%	77%

* The FY 2017 target previously published as 86% in the FY 2015 – 2017 Annual Performance Report was changed to 75% due to fiscal constraints as the industry is not in a position to dedicate additional resources.

Explanation for Target Not Met: A revised collection methodology was used for this measure in FY 2016. While results are more accurate, the overall results were lower than the last two years. Moving forward, efforts to improve assessment scores will focus on information sharing activities to include emphasizing implementation of specific security action item best practices in those areas with low scores. TSA Surface Inspectors will provide information and recommendations for improvement—in particular highlighting the availability of TSA training and exercise resources. Transit agencies will also be encouraged to review practices in place at counterpart agencies with superior programs.

Air Cargo Screening Measures: Securing the global supply chain, while ensuring its smooth functioning, is essential to our national security and economic prosperity. Air cargo vetting is but one venue the Department actively targets to ensure the safety of our nation.

Percent of domestic cargo audits that meet screening standards (TSA)

Prior Results					FY 2016		Future Targets	
FY 2011	FY 2012	FY 2013	FY 2014	FY 2015	Target	Result	FY 2017	FY 2018
---	---	---	---	---	95%	98%	96%	97%

Percent of international cargo audits that meet screening standards (TSA)

Prior Results					FY 2016		Future Targets	
FY 2011	FY 2012	FY 2013	FY 2014	FY 2015	Target	Result	FY 2017	FY 2018
---	---	---	---	---	95%	97%	96%	97%

Information Sharing Measures: Protecting the country from ever-evolving, transnational threats requires a strengthened homeland security enterprise that shares information across traditional organizational boundaries. Consistent with Administration direction, DHS has set forth a robust information sharing environment and continues to work with our homeland security partners to build our architecture for information sharing to continuously improve relevance, timeliness, and usefulness of intelligence information.

Percent of intelligence reports rated “satisfactory” or higher in customer feedback that enable customers to understand the threat (Intelligence and Analysis (I&A))

Prior Results					FY 2016		Future Targets	
FY 2011	FY 2012	FY 2013	FY 2014	FY 2015	Target	Result	FY 2017	FY 2018
---	90%	93%	95%	95%	94%	95%	95%	95%

* FY 2017 target changed from 94% to 95% to be in line with historical results.

Percent of Intelligence and Analysis finished intelligence reports incorporating DHS and state/local originated data (I&A)

Prior Results					FY 2016		Future Targets	
FY 2011	FY 2012	FY 2013	FY 2014	FY 2015	Target	Result	FY 2017	FY 2018
---	---	---	---	---	---	---	80%*	80%

* New measure added to expand the measures used to gauge the value in providing intelligence information to the larger intelligence community.

Number of intelligence reports shared with the intelligence community (I&A)

Prior Results					FY 2016		Future Targets	
FY 2011	FY 2012	FY 2013	FY 2014	FY 2015	Target	Result	FY 2017	FY 2018
---	---	---	---	---	---	---	2,680*	2,730

* New measure added to expand the measures used to gauge the value in providing intelligence information to the larger intelligence community.

Goal 1.2: Prevent and Protect Against the Unauthorized Acquisition or Use of Chemical, Biological, Radiological, and Nuclear Materials and Capabilities

Strategies

- *Anticipate chemical, biological, radiological, and nuclear emerging threats*
- *Identify and interdict unlawful acquisition and movement of chemical, biological, radiological, and nuclear precursors and materials*
- *Detect, locate, and prevent the hostile use of chemical, biological, radiological, and nuclear materials and weapons*

Strategic Review Summary of Progress

The Department of Homeland Security (DHS) has determined that this goal is making satisfactory progress.

Assessment Lead

John Zabko, Assistant Director, Domestic Nuclear Detection Office (DNDO), Architecture & Plans Directorate

Introduction

DHS Components implement programs to enhance the security of the global supply chain and chemical facilities; biological threat detection and surveillance; and nuclear detection efforts and forensics (the investigation of nuclear materials to find evidence to identify the material and support attribution of the materials in order to prosecute smuggling networks). These programs facilitate a reduction in the risks of chemical, biological, radiological, and nuclear (CBRN) threats.

Achievements

DHS continues to facilitate collaborative, whole-of-government efforts towards aligning capabilities and resources to anticipate and mitigate emerging CBRN threats. The most recent [Global Nuclear Detection Architecture](#) (GNDA) Annual Report shows measurable growth in state and local CBRN mitigation capabilities. DHS and interagency partners continued to refine and implement programs designed to help make the access, transportation, and storage of high-risk chemicals more secure. For example, the Department made improvements to the Chemical Facility Anti-Terrorism Standards (CFATS) program—the Department’s regulations governing security at high-risk chemical facilities—that have expedited the development and approval of site security plans for high-risk chemical facilities, improving their security posture. Other areas of positive performance include compliance and security operations in the maritime domain. Regulation compliance continues to remain high, which is assessed through waterborne patrols of maritime critical infrastructure and boarding of high-risk vessels.

Feedback from stakeholders indicates measureable growth in state and local capabilities in relation to the GNDA framework. Additional feedback from the Office of Health Affairs, National Biosurveillance Integration Center Federal Stakeholder Survey also shows positive trends and

indicates that information products related to biological events are useful to the majority of stakeholders. Specific measures tracking progress for this goal are presented in the following Performance Results and Plan section.

Challenges

Challenges in this goal revolve around three major areas: 1) difficulty clearly identifying the threat that may include external actors and internal actors collaborating with external players; 2) limited programmatic flexibility can inhibit U.S. Government ability to quickly respond to rapidly evolving threats; and 3) sustainment of leadership support across the U.S. Government and the Homeland Security Enterprise for counter-CBRN mission goals and objectives. To maintain the current level of support for DHS counter-CBRN efforts, the Department must continue to document and share information on demonstrable threats, mitigation actions, and resulting successes.

Performance Highlight



Deployment of New On-dock Radiation Monitoring Solution

In furtherance of the Department of Homeland Security (DHS) mission to prevent nuclear terrorism, DHS partnered with a commercial port to deploy a new automated radiation scanning solution that supports the dual objectives of detecting radiological and nuclear material while facilitating the flow of commerce. In collaboration with U.S. Customs and Border Protection (CBP) and with support from the Pacific Northwest National Laboratory (PNNL), the Domestic Nuclear Detection Office (DNDO) initiated a public-private partnership with the Port of Los Angeles' Trans Pacific Container Service Corporation

(TraPac) to integrate, test, evaluate and place into operation a new and innovative system for the TraPac Intermodal Container Transfer Facility on-dock rail solution. The system uses conveyors that transport cargo containers past Radiation Portal Monitor (RPM) detectors installed in fixed positions inside the automation area. Throughout the country other on-dock rail terminals use mobile RPMs which have a significantly higher cost of operation and maintenance.

Performance Results and Plan

In FY 2016, there were four strategic performance measures used to assess the Department's efforts for this goal. For the FY 2017-2018 performance plan, two new measures are being introduced. In FY 2016, 100 percent of the measures met their target and 100 percent maintained or improved actual results compared to FY 2015.

Goal	Performance Summary				
	Scale:	0%	25%	50%	75% 100%
Goal 1.2: Prevent and Protect Against the Unauthorized Acquisition or Use of Chemical, Biological, Radiological, and Nuclear Materials and Capabilities					◆◆

◆ - Percent of measures that met their FY 2016 target.

◆ - Percent of measures that maintained or improved actual performance results compared to FY 2015.

Below are the strategic measures that gauge efforts to prevent and protect against the unauthorized acquisition or use of chemical, biological, radiological, and nuclear materials and capabilities. For those measures that did not meet their targets, an explanation with corrective action is provided. In addition, changes to measure names and targets from the previous year's report are identified. Finally, to continually improve our set of performance measures, new measures are introduced and measures are retired each year, and are identified, if applicable, in the measure tables.

Domestic Nuclear Detection Measures: The Department has the primary responsibility within the U.S. Government for implementing domestic nuclear detection efforts for a managed and coordinated response to radiological and nuclear threats, as well as integration of federal nuclear forensics programs. The Securing the Cities program provides financial assistance to state, local, tribal, and territorial (SLTT) organizations to develop a robust regional radiological/nuclear detection program. In addition, the Department maintains radiation portal monitors at our land ports of entry, international rail ports of entry, and sea ports of entry.

Number of people covered by Securing the Cities program preventive radiological and nuclear (rad/nuc) detection capabilities (in millions) (DNDO)

Prior Results					FY 2016		Future Targets	
FY 2011	FY 2012	FY 2013	FY 2014	FY 2015	Target	Result	FY 2017	FY 2018
---	---	---	23.0	23.0	37.0	37.0	37.0	46.0

Percent of cargo conveyances that pass through radiation portal monitors upon entering the nation via land border and international rail ports of entry (DNDO)

Prior Results					FY 2016*		Future Targets	
FY 2011	FY 2012	FY 2013	FY 2014	FY 2015	Target	Result	FY 2017	FY 2018
FOUO	FOUO	FOUO	FOUO	FOUO	FOUO	FOUO	FOUO	FOUO

* This measure met its target for FY 2016 and for all prior years from FY 2011, however the targets and results for this measure are For Official Use Only (FOUO).

Percent of containerized cargo conveyances that pass through radiation portal monitors at sea ports of entry (DNDO)

Prior Results					FY 2016*		Future Targets	
FY 2011	FY 2012	FY 2013	FY 2014	FY 2015	Target	Result	FY 2017	FY 2018
FOUO	FOUO	FOUO	FOUO	FOUO	FOUO	FOUO	FOUO	FOUO

* This measure met its target for FY 2016 and for all prior years from FY 2011, however the targets and results for this measure are FOUO.

Performance Standards at High-risk Chemical Facilities Measure: The Chemical Facility Anti-Terrorism Standards (CFATS) program identifies and regulates high-risk chemical facilities to ensure they have security measures in place to reduce the risks associated with these chemicals. Initially authorized by Congress in 2007, the program uses a dynamic multi-tiered risk assessment process and requires facilities identified as high-risk to meet and maintain performance-based security standards appropriate to the facilities and the risks they pose. DHS chemical security inspectors work in all 50 states to help ensure facilities have security measures in place to meet CFATS requirements.

Percent of performance standards implemented by the highest risk chemical facilities and verified by DHS (National Protection and Programs Directorate)

Prior Results					FY 2016		Future Targets	
FY 2011	FY 2012	FY 2013	FY 2014	FY 2015	Target	Result	FY 2017	FY 2018
---	---	46%	78%	93%	95%	97%	95%	95%

Biological Detection Capability Measures: The Office of Health Affairs (OHA) has the responsibility to provide early detection of a bioterrorism event and helps communities prepare a coordinated response. The combination of detection, rapid notification, and response planning helps federal, state, and local decision-makers take steps to save lives and mitigate damage. In FY 2016, the Department is introducing three new measures to gauge effectiveness in this area.

Average time (in hours) to initiate a BioWatch National Conference Call to discuss the detection of a biological agent of concern and assess the risk to public health with federal, state, and local partners (OHA)

Prior Results					FY 2016		Future Targets	
FY 2011	FY 2012	FY 2013	FY 2014	FY 2015	Target	Result	FY 2017	FY 2018
---	---	---	---	---	---	---	≤ 3.0*	≤ 3.0

* New measure added to gauge the speed at which appropriate parties are notified if a biological agent of concern is detected.

Time between laboratory receipt of BioWatch detector samples to completion of screening for known biological micro-organisms of interest (in hours) (OHA)

Prior Results					FY 2016		Future Targets	
FY 2011	FY 2012	FY 2013	FY 2014	FY 2015	Target	Result	FY 2017	FY 2018
---	---	---	---	---	---	---	≤ 7.0*	≤ 7.0

* New measure added to gauge the timeliness of testing results and notifying the appropriate parties if a biological agent of concern is detected.

Goal 1.3: Reduce Risk to the Nation's Critical Infrastructure, Key Leadership, and Events

Strategies

- Enhance security for the Nation's critical infrastructure from terrorism and criminal activity
- Protect key leaders, facilities, and national special security events

Strategic Review Summary of Progress

The Department of Homeland Security (DHS) has determined that this goal is making satisfactory progress.

Assessment Lead

Robert Novy, Deputy Assistant Director, Office of Investigations, U.S. Secret Service (USSS)

Introduction

National security depends on the protection of key leaders (e.g., President, Vice President, and foreign dignitaries) and events (e.g., National Special Security Events such as the United Nations General Assembly) and the safeguarding of the Nation's critical infrastructure (e.g., Federal Government facilities). DHS Components and partners across all levels of government and within the private sector work together to assess and reduce risk to protected people, facilities, and events.

Achievements

One way DHS demonstrated achievements related to this goal is through DHS's role in organizing and securing two complex National Special Security Events, the Republican National Convention (RNC) and the Democratic National Convention (DNC). The ability to concurrently plan and coordinate these major events across multiple major metro areas demonstrated the Department's ability to effect collaboration across numerous DHS Components and their partners. DHS has also demonstrated its ability to effectively exercise large scale flexibility by successfully safeguarding multiple Presidential candidates simultaneously.

DHS also continues to ensure the security of our Federal Government buildings through the Federal Protective Service, which performs thousands of federal facility evaluations and inspections each year and provides notifications of countermeasure deficiencies to facility managers for future enhancements. The Department's Protective Security Advisors also coordinated national-level outreach activities in response to threats and responded to hundreds of incidents across the Nation, providing situational awareness and facilitating information exchanges with Federal, State, and local partners. Specific measures tracking progress for this goal are presented in the following Performance Results and Plan section.

Challenges

The shifting threat landscape drives the need to enhance capabilities for preventing, protecting against, responding to, and mitigating terrorist attacks. Specifically, terror groups urge supporters, including Western followers, to attack soldiers, law enforcement officers, government employees,

and federal facilities. Recent attacks show the terrorist threat is increasingly decentralized, harder to detect, and demonstrates an inclination to strike public gatherings and special events.

DHS relies upon coordinated and concerted efforts by public and private entities to reduce and manage risk to the Nation's critical infrastructure, key leadership, and events. Challenges exist in recruiting and retaining highly-qualified personnel for critical infrastructure programs.

Performance Highlight



2016 Republican and Democratic National Conventions

The 2016 Republican National Convention (RNC) and Democratic National Convention (DNC) were the 53rd and 54th events, since September 1998, to be designated National Special Security Events (NSSEs). The U.S. Secret Service (USSS) was the lead federal agency for operational security planning and implementation for both the 2016 RNC and DNC. The USSS initiated operational security planning for these events nearly 12 months prior to the conventions, and

the successful completion of these NSSEs was the result of the coordinated efforts of a myriad of federal, state and local agencies, including other Components of DHS.

USSS coordinators for RNC and DNC invited major stakeholders to be members of an executive steering committee in each city to oversee the development of a custom operational security plan for each convention. In addition, the event coordinators recruited subject matter experts, representing more than 50 law enforcement, public safety, and military entities, to be members of nearly two-dozen subcommittees. The subcommittees were responsible for developing various aspects of these event security plans, from airspace security and crowd management to transportation security and tactical coordination, from intelligence/counterterrorism and critical infrastructure protection to explosive device response and interagency communication. Extensive and realistic multi-agency tabletop exercises, joint tactical and other practical exercises took place weeks prior to the conventions to ensure that operational security plans would work as intended. All of this preparation led to the successful completion of these vital NSSEs.

Performance Results and Plan

In FY 2016, there were eight strategic performance measures used to assess the Department's efforts for this goal. For the FY 2017-2018 performance plan, one new measure is being introduced and one measure is being retired. In FY 2016, 63 percent of the measures met their target and 63 percent maintained or improved actual results compared to FY 2015.

Goal	Performance Summary				
Scale:	0%	25%	50%	75%	100%
Goal 1.3: Reduce Risk to the Nation's Critical Infrastructure, Key Leadership, and Events	<div><div></div></div>				

◆ - Percent of measures that met their FY 2016 target.

◇ - Percent of measures that maintained or improved actual performance results compared to FY 2015.

Below are the strategic measures that gauge efforts to reduce risk to the Nation's most critical infrastructure, key leadership, and events. For those measures that did not meet their targets, an explanation with corrective action is provided. In addition, changes to measure names and targets from the previous year's report are identified. Finally, to continually improve our set of performance measures, new measures are introduced and measures are retired each year, and are identified, if applicable, in the measure tables.

Secure Critical Infrastructure from Terrorism and Criminal Activity Measures:

The nation's critical infrastructure provides the essential services that underpin American society. Critical infrastructure must be secure and able to withstand and rapidly recover from all hazards. From federally-owned public buildings to maritime high-risk facilities to the financial sector, the Department takes a proactive and coordinated approach to strengthen and maintain critical infrastructure that is vital to public confidence and the Nation's safety, prosperity, and well-being.

Percent of tenants satisfied with the level of security provided at federal facilities (NPPD)

Prior Results					FY 2016		Future Targets	
FY 2011	FY 2012	FY 2013	FY 2014	FY 2015	Target	Result	FY 2017	FY 2018
77.8%	78%	82%	76%	71%	87%	75%	Retired*	

* Retiring this measure due to challenges in the GSA survey that changes every year and prevents consistent measurement. The Federal Protective Service will now conduct their own survey and is replacing this measure with: "Percent of Facility Security Committee Chairs (or designated officials) satisfied with the level of security provided at federal facilities."

Explanation for Target Not Met: The effectiveness of security services provided to federal facilities is important, as this enhances security for the nation's critical infrastructure, ultimately helping prevent terrorism and enhancing security. To better understand effectiveness, the Federal Protective Service (FPS) uses General Services Administration survey data. In FY 2016, 11,005 respondents answered that they were satisfied or highly satisfied with the security presence and measures in [the] building. With that, the tenant satisfaction performance measure is now retired. DHS developed a new survey for FY 2017 designed solely for those individuals with direct knowledge of the services provided by FPS. This audience specificity will improve the quality data the program receives, leading to more actionable results. FPS will analyze the results of this survey to improve performance and communication between FPS security services and the federal facilities they serve.

Percent of Facility Security Committee Chairs (or designated officials) satisfied with the level of security provided at federal facilities (NPPD)

Prior Results					FY 2016		Future Targets	
FY 2011	FY 2012	FY 2013	FY 2014	FY 2015	Target	Result	FY 2017	FY 2018
---	---	---	---	---	---	---	78%*	79%

* New measure added to reflect a much more informed and engaged set of individuals who interact regularly with FPS and have better insight into the state of facility security.

Percent of high-risk facilities that receive a facility security assessment in compliance with the Interagency Security Committee (ISC) schedule (NPPD)

Prior Results					FY 2016		Future Targets	
FY 2011	FY 2012	FY 2013	FY 2014	FY 2015	Target	Result	FY 2017	FY 2018
---	---	34%	93%	100%	100%	96%	100%	100%

Explanation for Target Not Met: DHS continually seeks to enhance the exchange of information on risks to critical infrastructure (CI) and develop situational awareness capabilities. This measure reports the percent of high risk (Facility Security Level 3 and 4) facilities that receive a facility security assessment (FSA) in compliance with the Interagency Security Committee (ISC) schedule. DHS provides these FSAs to examine threats applied to federal buildings and the vulnerabilities and consequences associated with those threats. Due to facility inventory fluctuation (i.e., changes in Facility Security Levels within the year), DHS did not meet its target of 100 percent and will take action to review the inventory on a quarterly basis to assess necessary changes in the assigned work.

Security compliance rate for high risk maritime facilities (USCG)

Prior Results					FY 2016		Future Targets	
FY 2011	FY 2012	FY 2013	FY 2014	FY 2015	Target	Result	FY 2017	FY 2018
99.9%	98.7%	99.3%	99.3%	99.6%	100%	97.6%	100%	100%

Explanation for Target Not Met: This measure is a leading indicator of maritime facility security and resiliency in our Nation's ports. While performance did not fully achieve its target, data indicate that the overall "Security Compliance Rate for High Risk Maritime Facilities" remains extremely high at 97.6 percent. In total, only 83 of the approximately 3,450 High Risk Facilities were not in compliance. The U.S. Coast Guard will continue to partner with the maritime industry to assist in the development and execution of effective *Maritime Transportation Security Act* regulated maritime facility security programs.

Financial crimes loss prevented through a criminal investigation (in billions) (USSS)

Prior Results					FY 2016		Future Targets	
FY 2011	FY 2012	FY 2013	FY 2014	FY 2015	Target	Result	FY 2017	FY 2018
\$4.85	\$2.75	\$4.20	\$3.04	\$1.47	\$1.80	\$2.42	\$1.90	\$2.10

Percent of currency identified as counterfeit (USSS)

Prior Results					FY 2016		Future Targets	
FY 2011	FY 2012	FY 2013	FY 2014	FY 2015	Target	Result	FY 2017	FY 2018
0.0078%	0.0085%	0.0072%	0.0068%	0.0058%	< 0.0090%	0.0057%	< 0.0088%	< 0.0088%

Protect Key Leaders, Facilities, and National Special Security Event Measures:

DHS protects key leaders, facilities, and National Special Security Events by: 1) working with partners across the homeland security enterprise to coordinate intelligence, information sharing, security, and response resources; 2) protecting the President, the Vice President, visiting heads of state, major Presidential candidates, and other designated protectees; and 3) assessing risk and coordinating support to partners during major special events across the Nation through the Special Events Assessment Rating.

Percent of total protection activities that are incident-free at the White House Complex, Vice President's Residence, and other protected facilities (USSS)

Prior Results					FY 2016		Future Targets	
FY 2011	FY 2012	FY 2013	FY 2014	FY 2015	Target	Result	FY 2017	FY 2018
100%	100%	100%	99.7%	100%	100%	100%	100%	100%

Percent of protectees that arrive and depart safely (USSS)

Prior Results					FY 2016		Future Targets	
FY 2011	FY 2012	FY 2013	FY 2014	FY 2015	Target	Result	FY 2017	FY 2018
100%	100%	100%	100%	100%	100%	100%	100%	100%

Percent of National Special Security Events that were successfully completed (USSS)

Prior Results					FY 2016		Future Targets	
FY 2011	FY 2012	FY 2013	FY 2014	FY 2015	Target	Result	FY 2017	FY 2018
100%	100%	100%	100%	100%	100%	100%	100%	100%

Mission 2: Secure and Manage Our Borders

Goal 2.1: Secure U.S. Air, Land, and Sea Borders and Approaches

Strategies

- *Prevent illegal import and entry*
- *Prevent illegal export and exit*

Strategic Review Summary of Progress

The Department of Homeland Security (DHS), in consultation with the Office of Management and Budget (OMB), has highlighted this goal as a focus area for improvement.

Assessment Leads

Justin Bristow, Acting Chief, Strategic Planning, Policy, and Analysis Directorate, U.S. Customs and Border Protection (CBP), U.S. Border Patrol

Captain Mark Frankford, Director of Law Enforcement, Maritime Security & Defense Operations Policy, U.S. Coast Guard (USCG)

Introduction

This goal is focused on the Department's ability to detect and prevent the illegal entry of goods and people into the United States that pose a threat to national, economic, and public safety. Together with other federal, state, local, and tribal law enforcement officers, the Department helps maintain a secure nation. Securing the borders and approaches is an ongoing and complex task influenced by many environmental and policy factors outside of the direct influence of DHS. While the Department has made progress in its ability to identify and apprehend individuals trying to illegally enter the United States or smuggle contraband across our borders, the nature of the ever-evolving threats continue to present new and complex challenges to the Department's ability to protect U.S. borders and approaches.

Achievements

DHS continues to impact U.S. border security through targeting, surveillance, and interdictions. While being faced with the constant threat of bad actors attempting to penetrate U.S. borders with the purpose of illegally importing or exporting illicit goods, people, or money, DHS apprehends hundreds of thousands of individuals trying to illegally cross the land and sea borders, along with seizing hundreds of tons of drugs. While the department has decreased the rate of recidivism, increased the interdiction effectiveness rate, interdicted the highest number of Cubans at sea since 1994, and continues to resolve the majority of aircraft incursions, unpredictable future flows continue to exert pressure on the Department's ability to secure U.S. land, sea, and air borders and approaches.

DHS has also refined and executed border security strategies, targeting illicit flows of drugs and the drivers of illegal immigration from Mexico and Central America. DHS strengthened international

partnerships and bolstered international capabilities by engaging in a variety of northern and southern U.S. border security initiatives and by providing resources to train, advise, and assist partners in Mexico and Central America. These initiatives help combat threats before they reach our borders. In addition, DHS refocused its counter-network investigations, and drug and migrant interdiction efforts through the stand-up of three Joint Task Forces, which is discussed further in Goal 2.3.

Challenges

While the performance measures presented in this report offer evidence of progress, large risks and historical trends provide the basis to highlight this goal as a focus area for improvement. These challenges include continuously changing modes, tactics, and routes utilized by migrants and illicit networks for illegal migration and illicit criminal movement across the U.S. border. These challenges are further heightened by the fact that activity on the border is outpacing efforts to recapitalize assets and technology and grow its workforce. Due to these external risks, DHS has found it is challenged to grow, adapt, and modernize component capacities and capabilities to adequately posture for and respond to external threats.

Corrective Action

DHS has ongoing plans in place to help mitigate current risks and address existing challenges, including: 1) continue to use the Southern Border and Approaches Campaign Plan to drive operations to secure the border and staff through support for newly created Joint Task Forces; 2) review existing migration contingency plans, study the drivers and indicators of mass migration, and draft a maritime migration contingency plan to shape future interdiction efforts; 3) continue ongoing activities to develop performance measures that are useful for internal management along with external reporting of strategies and results related to border security; 4) continue to expand international collaboration with Mexico and Central American countries in accordance with the *U.S. Strategy for Engagement in Central America* and the *Caribbean Border Counternarcotics Strategy*; and 5) develop ongoing initiatives and doctrine to achieve improved situational awareness of illegal border activity.

Performance Highlights



Another Cross-border Drug Tunnel Dismantled

Federal officials seized a cross-border tunnel on the morning of March 23, 2016 following a lengthy multi-agency investigation that resulted in six arrests and the confiscation of more than a ton of marijuana. The tunnel—more than 400 yards in length— stretches from the former El Sarape Restaurant, now a coffee shop, in Mexicali, Mexico, to a two-bedroom Calexico residence located at 902 E. Third Street, about 300 yards north of the international border. In the front room of the residence, agents found a hole concealed in the floor about three feet in

diameter with an opening that descends several feet beneath the foundation.

This is the first operational tunnel discovered in Calexico in nearly a decade. According to federal investigators, it also represents the first time drug traffickers are known to have purchased property and constructed a house for the sole purpose of concealing the exit of a subterranean drug tunnel. The search warrant affidavit and charging documents allege the traffickers scouted properties in the area and selected the Third Street parcel in a residential section of Calexico. The sale of the property for \$240,000 was finalized by the defendants in April 2015.

“This significant cross-border drug seizure and tunnel discovery is an excellent example of the integrated efforts taking place daily across multiple law enforcement agencies to protect America by providing secure borders,” said El Centro Sector Chief Patrol Agent Rodney S. Scott. “This tunnel discovery is further proof that America’s investment in border security is paying off. As we continue to improve border security, criminal organizations are forced to resort to tunneling and other complicated and costly smuggling methods, which increases their exposure to detection by law enforcement.”

Performance Results and Plan

In FY 2016, there were six strategic performance measures used to assess the Department’s efforts for this goal. For the FY 2017-2018 performance plan, two new measures are being introduced. In FY 2016, 67 percent of the measures met their target and 83 percent maintained or improved actual results compared to FY 2015.

Goal	Performance Summary				
Scale:	0%	25%	50%	75%	100%
Goal 2.1: Secure U.S. Air, Land, and Sea Borders and Approaches	<div><div></div><div></div><div></div><div></div><div></div><div></div><div></div><div></div><div></div><div></div><div></div><div></div><div></div><div></div><div></div><div></div><div></div><div></div><div></div><div></div><div></div><div></div><div></div><div></div><div></div><div></div><div></div><div></div><div></div><div></div><div></div><div></div><div></div><div></div><div></div><div></div><div></div><div></div><div></div><div></div><div></div><div></div><div></div><div></div><div></div><div></div><div></div><div></div><div></div><div></div><div></div><div></div><div></div><div></div><div></div><div></div><div></div><div></div><div></div><div></div><div></div><div></div><div></div><div></div><div></div><div></div><div></div><div></div><div></div><div></div><div></div><div></div><div></div><div></div><div></div><div></div><div></div><div></div><div></div><div></div><div></div><div></div><div></div><div></div><div></div><div></div><div></div><div></div><div></div><div></div><div></div><div></div><div></div><div></div><div></div><div></div><div></div><div></div><div></div><div></div><div></div><div></div><div></div><div></div><div></div><div></div><div></div><div></div><div></div><div></div><div></div><div></div><div></div><div></div><div></div><div></div><div></div><div></div><div></div><div></div><div></div><div></div><div></div><div></div><div></div><div></div><div></div><div></div><div></div><div></div><div></div><div></div><div></div><div></div><div></div><div></div><div></div><div></div><div></div><div></div><div></div><div></div><div></div><div></div><div></div><div></div><div></div><div></div><div></div><div></div><div></div><div></div><div></div><div></div><div></div><div></div><div></div><div></div><div></div><div></div><div></div><div></div><div></div><div></div><div></div><div></div><div></div><div></div><div></div><div></div><div></div><div></div><div></div><div></div><div></div><div></div><div></div><div></div><div></div><div></div><div></div><div></div><div></div><div></div><div></div><div></div><div></div><div></div><div></div><div></div><div></div><div></div><div></div><div></div><div></div><div></div><div></div><div></div><div></div><div></div><div></div><div></div><div></div><div></div><div></div><div></div><div></div><div></div><div></div><div></div><div></div><div></div><div></div><div></div><div></div><div></div><div></div><div></div><div></div><div></div><div></div><div></div><div></div><div></div><div></div><div></div><div></div><div></div><div></div><div></div><div></div><div></div><div></div><div></div><div></div><div></div><div></div><div></div><div></div><div></div><div></div><div></div><div></div><div></div><div></div><div></div><div></div><div></div><div></div><div></div><div></div><div></div><div></div><div></div><div></div><div></div><div></div><div></div><div></div><div></div><div></div><div></div><div></div><div></div><div></div><div></div><div></div><div></div><div></div><div></div><div></div><div></div><div></div><div></div><div></div><div></div><div></div><div></div><div></div><div></div><div></div><div></div><div></div><div></div><div></div><div></div><div></div><div></div><div></div><div></div><div></div><div></div><div></div><div></div><div></div><div></div><div></div><div></div><div></div><div></div><div></div><div></div><div></div><div></div><div></div><div></div><div></div><div></div><div></div><div></div><div></div><div></div><div></div><div></div><div></div><div></div><div></div><div></div><div></div><div></div><div></div><div></div><div></div><div></div><div></div><div></div><div></div><div></div><div></div><div></div><div></div><div></div><div></div><div></div><div></div><div></div><div></div><div></div><div></div><div></div><div></div><div></div><div></div><div></div><div></div><div></div><div></div><div></div><div></div><div></div><div></div><div></div><div></div><div></div><div></div><div></div><div></div><div></div><div></div><div></div><div></div><div></div><div></div><div></div><div></div><div></div><div></div><div></div><div></div><div></div><div></div><div></div><div></div><div></div><div></div><div></div><div></div><div></div><div></div><div></div><div></div><div></div><div></div><div></div><div></div><div></div><div></div><div></div><div></div><div></div><div></div><div></div><div></div><div></div><div></div><div></div><div></div><div></div><div></div><div></div><div></div><div></div><div></div><div></div><div></div><div></div><div></div><div></div><div></div><div></div><div></div><div></div><div></div><div></div><div></div><div></div><div></div><div></div><div></div><div></div><div></div><div></div><div></div><div></div><div></div><div></div><div></div><div></div><div></div><div></div><div></div><div></div><div></div><div></div><div></div><div></div><div></div><div></div><div></div><div></div><div></div><div></div><div></div><div></div><div></div><div></div><div></div><div></div><div></div><div></div><div></div><div></div><div></div><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◆ - Percent of measures that met their FY 2016 target.

◇ - Percent of measures that maintained or improved actual performance results compared to FY 2015.

Below are the strategic measures that gauge efforts to secure U.S. air, land, and sea borders and approaches. For those measures that did not meet their targets, an explanation with corrective action is provided. In addition, changes to measure names and targets from the previous year’s report are identified. Finally, to continually improve our set of performance measures, new measures are introduced and measures are retired each year, and are identified, if applicable, in the measure tables.

Border effectiveness and detection measures:

The following measures help the Department assess our ability to detect and prevent the illegal entry of goods and people into the United States that pose a threat to national, economic, and public safety. Securing the borders and approaches is an ongoing and complex task influenced by many environmental and policy factors outside of the direct influence of DHS. While the Department has made progress in its ability to identify and apprehend individuals trying to illegally enter the United States or smuggle contraband across our borders, the nature of the ever-evolving threats continue to present new and complex challenges to the Department's ability to protect U.S. borders and approaches.

Rate of interdiction effectiveness along the Southwest Border between ports of entry (CBP)

Prior Results					FY 2016		Future Targets	
FY 2011	FY 2012	FY 2013	FY 2014	FY 2015	Target	Result	FY 2017	FY 2018
---	---	---	79.28%	81.01%	81.00%	82.67%	81.00%	81.00%

Migrant interdiction effectiveness in the maritime environment (USCG)

Prior Results					FY 2016		Future Targets	
FY 2011	FY 2012	FY 2013	FY 2014	FY 2015	Target	Result	FY 2017	FY 2018
---	---	---	---	74.8%	74%	79.3%	74.5%	75%

Percent of recurring border surveillance implemented in remote low risk areas between ports of entry (CBP)

Prior Results					FY 2016		Future Targets	
FY 2011	FY 2012	FY 2013	FY 2014	FY 2015	Target	Result	FY 2017	FY 2018
---	---	---	---	---	---	---	70%*	80%

* New measure added to articulate how the Department is employing capability in traditionally low flow, low risk areas to identify illegal activity.

Percent of time the U.S. Border Patrol meets its goal of responding to potential illegal activity in remote, low-risk areas (CBP)

Prior Results					FY 2016		Future Targets	
FY 2011	FY 2012	FY 2013	FY 2014	FY 2015	Target	Result	FY 2017	FY 2018
---	---	---	---	---	---	---	95%*	96%

* New measure added to articulate how the Department is responding to illegal activity in traditionally low flow, low risk areas to identify illegal activity.

Percent of people apprehended multiple times along the southwest border (CBP)

Prior Results					FY 2016		Future Targets	
FY 2011	FY 2012	FY 2013	FY 2014	FY 2015	Target	Result	FY 2017	FY 2018
---	---	16%	14%	14%	≤ 17%	12.3%	≤ 17%	≤ 17%

Percent of detected conventional aircraft incursions resolved along all borders of the United States (CBP)

Prior Results					FY 2016		Future Targets	
FY 2011	FY 2012	FY 2013	FY 2014	FY 2015	Target	Result	FY 2017	FY 2018
95.3%	96.0%	99.3%	98.8%	99.3%	100%	99.7%	98.5%*	98.5%

* Targets modified from the 100% target to more accurately reflect historical performance and acknowledgement that the Office of Air and Marine lacks control over certain situations that affect this measure.

Explanation for Target Not Met: The Air and Marine Operations Center (AMOC) employs a hemispheric approach to integrate domestic and foreign radars to help fill coverage gaps, increasing Air and Marine Operations ability to detect, track, and interdict aircraft involved in illicit activity. In FY 2016, AMOC resolved 296 of 297 Border Incursions. The one unresolved conventional aircraft incursion was based on a single report from a U.S. Customs and Border Protection Officer on the northern border during Q1. Air and Marine Operations worked with United States Border Patrol and the Royal Canadian Mounted Police in an effort to locate the aircraft; however, the AMOC could not acquire the radar contact and the investigation was closed. To increase our capability in the future to be able to track incursions via radar, and thus increase our probability to detect and track, AMOC has added 19 of 31 identified additional radars and continues to work closely with the Federal Aviation Administration (FAA) to acquire the feeds as they become available.

Amount of smuggled outbound currency seized at the ports of entry (in millions) (CBP)

Prior Results					FY 2016		Future Targets	
FY 2011	FY 2012	FY 2013	FY 2014	FY 2015	Target	Result	FY 2017	FY 2018
\$47.0	\$31.9	\$36.9	\$37.7	\$37.6	\$30.0	\$28.9	\$30.0	\$30.0

Explanation for Target Not Met: Although CBP maintained its FY 2016 outbound enforcement effort at levels similar to FY 2015, there were significant decreases in both the number of seizures and the average dollar value of the amount seized in FY 2016. This was due in large part to a significant decrease in very-large seizures in FY 2016. This is a continuation of the general trend towards smaller seizure amounts observed over the past six years. CBP will continue to conduct risk-based outbound enforcement operations to identify and seize currency being transported out of the country illegally and work with other law enforcement agencies and both local and international partners to identify and disrupt outbound smuggling activities.

Number of smuggled outbound weapons seized at the ports of entry (CBP)

Prior Results					FY 2016		Future Targets	
FY 2011	FY 2012	FY 2013	FY 2014	FY 2015	Target	Result	FY 2017	FY 2018
---	---	731	411	505	400	661	400	400

Goal 2.2: Safeguard and Expedite Lawful Trade and Travel

Strategies

- *Safeguard key nodes, conveyances, and pathways*
- *Manage the risk of people and goods in transit*
- *Maximize compliance with U.S. trade laws and promote U.S. economic security and competitiveness*

Strategic Review Summary of Progress

The Department of Homeland Security (DHS), in consultation with the Office of Management and Budget (OMB), has determined that this goal is making noteworthy progress.

Assessment Lead

Colleen Manaher, Director, U.S. Customs and Border Protection (CBP), Office of Field Operations

Introduction

Lawful trade and travel are critically important to the health of our Nation's economy and vitality of our society. This is made clear by the steady increase in both business and tourist travelers who choose to visit the United States, and by the continued increases in the volume of imports and exports. With trade and travel projected to continue to grow, DHS and its partners must work to secure and expedite the increasing flows of people and goods to keep our Nation safe and prosperous.

Achievements

DHS facilitated and secured international trade by ensuring the safe transport of more than \$2 trillion in imports annually and generating nearly \$50 billion in fees for the U.S. Treasury. The Department supported the safe transit of more than \$3 trillion in domestic commerce over 25,000 miles of U.S. waterways, maintained more than 47,000 navigational aids, and expended tens of thousands of hours supporting movement through ice-impeded lakes and waterways. DHS further facilitated trade by establishing and expanding 10 Centers of Excellence and Expertise that streamline services to trade by industry and by enhancing trade initiatives and international agreements. DHS also continued to expand the Customs-Trade Partnership Against Terrorism (C-TPAT) with new Mutual Recognition Agreements, improving the security of private companies' supply chains against terrorism.

DHS continued to facilitate travel by aggressively expanding Global Entry to help make travel both safer and faster. DHS screens hundreds of millions of people annually entering the U.S. at ports of entry while also identifying hundreds of thousands of inadmissible aliens and preventing tens of thousands of individuals with possible links to national security from traveling. To manage the ever-increasing flow of international travelers, DHS has increased the use of innovative time-saving technologies such as

The National Agriculture Cargo Targeting Unit is collaborating with the Advanced Targeting System and the International Trade Data System development groups to enhance program capabilities via business requirements to provide a platform for agriculture targeting.

Automated Passport Control kiosks, Mobile Passport Control, and piloted experiments to refine state-of-the-art biometric and Radio Frequency Identification applications. More accomplishments are outlined in the performance measures for this goal listed on the Performance Results and Plan section that follows.

Challenges

The potential for catastrophic consequences associated with terrorist activities endures as gaps in our trade and travel channels offer potential avenues for harm. DHS has developed and maintained programs, such as the National Targeting Center, Container Security Initiative, and C-TPAT, to help mitigate these risks. The fluid nature of supply chains and travel patterns, along with other exogenous factors, present unique challenges for DHS as there is no one solution to secure and expedite lawful trade and travel. DHS mitigates these challenges through technological and operational improvements to continually increase the efficiency and security at ports of entry, mitigating the risk of economic damage to the United States. Finally, maintaining border security is a continuing challenge to securing and expediting lawful trade and travel. DHS is mitigating these risks by developing an Entry/Exit solution at ports of entry and successfully managing expansion of Trusted Trader and Trusted Traveler programs, such as Global Entry. Additionally, the use of existing partnerships and targeting programs extends a zone of security beyond the physical borders, helping to identify potentially harmful people and cargo before it reaches our borders.

Performance Highlight




Preclearance Operations in Punta Cana, Dominican Republic

In August 2016, the Preclearance Field Office and Punta Cana Airport Officials met to finalize logistics for what will be the second new preclearance international airport in 18 years. The Preclearance Field Office works proactively to expand our borders by setting up and operating international ports in support of our layered approach to border security. Joining CBP's 16 other international preclearance ports, Punta Cana, Dominican Republic, will be the first of 10 new international ports.

CBP Officers located abroad perform equivalent security and agricultural operations as their domestic coworkers, screening travelers before they ever board their plane, train, or ship. Each new port prevents countless security threats reaching American soil. Punta Cana, alone, will cover an additional 1.5 million passengers annually and supports CBP's long-term goal of preclearing 33 percent of all US-bound passengers.

Performance Results and Plan

In FY 2016, there were seven strategic performance measures used to assess the Department's efforts for this goal. In FY 2016, 71 percent of the measures met their target and 71 percent maintained or improved actual results compared to FY 2015.

Goal	Performance Summary				
	Scale:	0%	25%	50%	75% 100%
Goal 2.2: Safeguard and Expedite Lawful Trade and Travel					

◆ - Percent of measures that met their FY 2016 target.

◇ - Percent of measures that maintained or improved actual performance results compared to FY 2015.

Below are the strategic measures that gauge efforts to safeguard and expedite lawful trade and travel. For those measures that did not meet their targets, an explanation with corrective action is provided. In addition, changes to measure names and targets from the previous year's report are identified. Finally, to continually improve our set of performance measures, new measures are introduced and measures are retired each year, and are identified, if applicable, in the measure tables.

Trade Revenue and Compliance Measures:

Lawful trade and travel is important to the health of our Nation's economy. The following measures gauge the Department's efforts to ensure those traveling to our country, and those companies importing goods, are doing so legally and paying any required duties or fees.

Percent of imports compliant with U.S. trade laws (CBP)

Prior Results					FY 2016		Future Targets	
FY 2011	FY 2012	FY 2013	FY 2014	FY 2015	Target	Result	FY 2017	FY 2018
97.67%	96.46%	97.66%	97.99%	98.89%	97.50%	99.18%	97.50%	97.50%

Percent of import revenue successfully collected (CBP)

Prior Results					FY 2016		Future Targets	
FY 2011	FY 2012	FY 2013	FY 2014	FY 2015	Target	Result	FY 2017	FY 2018
99.12%	98.88%	98.73%	99.56%	98.61%	100%	99.06%	100%	100%

Explanation for Target Not Met: To effectively manage the \$2.4 trillion in imports entered into the customs territory, CBP deploys a multi-pronged approach to trade facilitation and enforcement: informed compliance; stakeholder engagement; structured summary targeting; and the issuance of punitive administrative penalties or judicial forfeiture for the most egregious violators. In spite of CBP's efforts, the only way to successfully collect 100 percent of all collectable revenue would be to review all 160 million lines of commercial merchandise entered into the customs territory.

Percent of cargo by value imported to the U.S. by participants in CBP trade partnership programs (CBP)

Prior Results					FY 2016		Future Targets	
FY 2011	FY 2012	FY 2013	FY 2014	FY 2015	Target	Result	FY 2017	FY 2018
55.1%	54.7%	55.2%	53.9%	52.2%	53.0%	53.0%	53.0%*	53.0%

* The FY 2017 target previously published as 62.0% in the FY 2015 – 2017 Annual Performance Report was changed to 53.0% to be in line with historical data.

Percent of inbound cargo identified by CBP as potentially high-risk that is assessed or scanned prior to departure or at arrival at a U.S. port of entry (CBP)

Prior Results					FY 2016		Future Targets	
FY 2011	FY 2012	FY 2013	FY 2014	FY 2015	Target	Result	FY 2017	FY 2018
---	98%	98%	99.22%	99.76%	100%	99.28%	100%	100%

Explanation for Target Not Met: This measure gauges the overall percent of inbound cargo in the sea, air, and land environments identified as potentially high risk by the Automated Targeting System (ATS) that is reviewed, scanned, or otherwise examined prior to loading or at arrival at a US port of entry. Changes to targeting algorithms in FY 2016 led to a slight decrease in air examinations. A small percentage of cargo is not reviewed due to status changes en route, information processing and data entry errors, or logistical and scheduling anomalies. To improve measure results, the CBP Office of Field Operations is working with the Targeting & Analysis Systems Program Directorate to resolve status tracking problems and information processing errors, and with shippers and carriers to rectify logistical and scheduling issues. The Office of Field Operations will continue to work with the Targeting & Analysis Systems Program Directorate, shippers, and carriers to resolve identified issues and implement permanent process improvements.

Maritime Trade and Travel Measures

Managing the flow of goods traveling in the maritime environment and ensuring those using our sovereign waters to fish legally are key elements to safeguarding our economic way of life. The following measures help gauge the Department's efforts in this arena.

Availability of maritime navigation aids (USCG)

Prior Results					FY 2016		Future Targets	
FY 2011	FY 2012	FY 2013	FY 2014	FY 2015	Target	Result	FY 2017	FY 2018
98.5%	98.3%	98.2%	98.2%	97.7%	97.5%	97.7%	97.5%	97.5%

Number of detected incursions of foreign fishing vessels violating U.S. waters (USCG)

Prior Results					FY 2016		Future Targets	
FY 2011	FY 2012	FY 2013	FY 2014	FY 2015	Target	Result	FY 2017	FY 2018
122	160	189	198	224	< 220	163	< 224	< 248

Fishing regulation compliance rate (USCG)

Prior Results					FY 2016		Future Targets	
FY 2011	FY 2012	FY 2013	FY 2014	FY 2015	Target	Result	FY 2017	FY 2018
97.4%	98.3%	98.1%	97.5%	97.1%	96.5%	96.8%	97.0%	96.5%

Goal 2.3: Disrupt and Dismantle Transnational Criminal Organizations and Other Illicit Actors

Strategies

- *Identify, investigate, disrupt, and dismantle transnational criminal organizations*
- *Disrupt illicit actors, activities, and pathways*

Strategic Review Summary of Progress

The Department of Homeland Security (DHS) has determined that this goal is making satisfactory progress.

Assessment Lead

Peter Edge, Executive Associate Director, U.S. Immigration and Customs Enforcement (ICE), Homeland Security Investigations (HSI)

Introduction

Transnational criminal organizations (TCOs) are increasing in strength and capability. They rely on revenues generated through the sale of illegal drugs and counterfeit goods, human trafficking and smuggling, and other criminal activities. They are also gaining strength by taking advantage of the same innovations in management and supply chain structures that are propelling multinational corporations. DHS aims to disrupt and dismantle TCOs with effective enforcement and interdiction across land, sea, and air and to do so while still facilitating the flow of lawful trade, travel, and commerce across our borders.

Achievements

Through coordinated operations and investigations, DHS continues to impact the ability of TCOs to conduct illicit activities such as drug smuggling, illicit trade and travel activities, and smuggling currency. In support of the Southern Borders and Approaches Campaign Plan, the Department continued to stand up three Joint Task Forces (JTFs), JTF-East, JTF-West, and JTF-Investigations, in order to better integrate intelligence, planning, interdiction, and investigative efforts across components. The JTFs facilitated efforts to implement a counter-network strategy by leveraging international and intergovernmental patterns and programs to identify, prioritize, and target illicit networks. The Department also continues to deploy the Homeland Criminal Organization Target Priority Investigations, or HOMECORT, to better identify and prioritize top-tier investigations, develop counter-network and investigation strategies, synchronize investigations, and better leverage Department resources. Performance measure results for Homeland Security Investigation efforts are found in the following Performance Results and Plan

On June 1, 2016, Newark Fugitive Operations Team arrested the subject of an arrest warrant and Interpol Red Notice issued by Salvadoran authorities for the crime of Aggravated Homicide. The subject was a documented member of the Saylor Locos clique of the Mara Salvatrucha (MS-13) transnational criminal organization.

section, and a report on efforts by the JTFs is found farther back in the report on the Agency Priority Goal focused on combatting transnational criminal organizations.

Challenges

Transnational criminal organizations continue to thrive and penetrate many industries, including intellectual property, narcotics, and human smuggling. Many TCOs' ability to continue to operate is due in part to their use of innovating and evolving technology and methods. While ICE Homeland Security Investigations (HSI) uses a rigorous planning and review process to determine what investigative areas may need new focus or enhancement, due to the nature of the constantly changing transnational criminal threat, numerous challenges exist in accurately predicting and planning future responses. While DHS has established the JTFs as a key in our efforts to disrupt and dismantle TCOs, challenges that impede progress persist, including not being fully staffed and lacking the legislative authority³ to direct DHS Components.

Performance Highlight



ICE Makes 84 Arrests in PA, DE, and WV during Targeted Operation

In May 2016, Immigration and Customs Enforcement (ICE) Enforcement and Removal Operations (ERO) concluded a week-long enforcement operation targeting criminal aliens and other immigration violators.⁴ During the operation, part of a larger agency effort prioritizing the arrest and removal of convicted criminal aliens tied to transnational criminal organizations as well as other enforcement priorities, Officers arrested 84 individuals in Pennsylvania, Delaware, and West Virginia. The arrested targets possessed convictions for corruption of a

minor, robbery, felony fraud, and cocaine and heroin possession, among other crimes.

Prioritized enforcement efforts allow ICE to focus its resources on the most egregious offenders, including convicted criminals and public-safety threats to the community.


Performance Results and Plan

In FY 2016, there were three strategic performance measures used to assess the Department's efforts for this goal. For the FY 2017-2018 performance plan, one new measure is being introduced and three measures are being retired. In FY 2016, 67 percent of the measures met their target and 67 percent maintained or improved actual results compared to FY 2015.

³ The *National Defense Authorization Act* for Fiscal Year 2017 includes legislative authority for the JTFs.

⁴ See ICE Newsroom, "ICE Arrests 84 in PA, DE, WV during operation targeting criminal aliens,"

<https://www.ice.gov/news/releases/ice-arrests-84-pa-de-wv-during-operation-targeting-criminal-aliens>

Goal	Performance Summary
	Scale: 0% 25% 50% 75% 100%
Goal 2.3: Disrupt and Dismantle Transnational Criminal Organizations and Other Illicit Actors	

◆ - Percent of measures that met their FY 2016 target.

◇ - Percent of measures that maintained or improved actual performance results compared to FY 2015.

Below are the strategic measures that gauge efforts to disrupt and dismantle transnational criminal organizations and other illicit actors. For those measures that did not meet their targets, an explanation with corrective action is provided. In addition, changes to measure names and targets from the previous year's report are identified. Finally, to continually improve our set of performance measures, new measures are introduced and measures are retired each year, and are identified, if applicable, in the measure tables.

Dismantlement of Transnational Criminal Organizations Measures:

DHS aims to disrupt and dismantle TCOs with effective enforcement. TCOs are increasing in strength and capability and they rely on revenues generated through the sale of illegal drugs and counterfeit goods, human trafficking and smuggling, and other criminal activities. They are also gaining strength by taking advantage of the same innovations in management and supply chain structures that are propelling multinational corporations. The following measures provide insight to how ICE HSI assesses its effectiveness in combatting TCOs. Evidence of the Department's efforts against TCOs may also be found in the APG section of this report.

Percent of significant Homeland Security Investigation cases that result in a disruption or dismantlement (ICE)

Prior Results					FY 2016		Future Targets	
FY 2011	FY 2012	FY 2013	FY 2014	FY 2015	Target	Result	FY 2017	FY 2018
---	---	---	---	---	---	---	15.8%*	15.9%

* New measure added by the Department to provide the full range of disruption and dismantlement cases.

Percent of significant drug investigations that resulted in a disruption or dismantlement (ICE)

Prior Results					FY 2016		Future Targets	
FY 2011	FY 2012	FY 2013	FY 2014	FY 2015	Target	Result	FY 2017	FY 2018
---	---	---	---	14.5%	15.0%	9.6%	Retired*	

* This measure is being retired from the strategic set of measures and being replaced with the full range measure "Percent of significant Homeland Security Investigation cases that result in a disruption or dismantlement." ICE will continue to track results for this measure under the Department's Management measure set.

Explanation for Target Not Met: HSI did not meet its target for this measure in FY 2016 primarily due to a shift in ICE HSI's counter-drug resources to focus on the public health crisis with heroin and fentanyl. Historically, ICE HSI's work in heroin and fentanyl has not produced a significant quantity of Significant Case Report (SCR) level cases. This shift has created some expected lag in development of cases to a maturation point where SCR designation would be appropriate. ICE HSI expects to see progress consistent with pre-2016 levels in this measure as the need to supplement the USSS subsides and HSI's work in addressing the heroin and fentanyl threat progresses under a new strategy.

Percent of significant transnational gang investigations that resulted in a disruption or dismantlement (ICE)

Prior Results					FY 2016		Future Targets	
FY 2011	FY 2012	FY 2013	FY 2014	FY 2015	Target	Result	FY 2017	FY 2018
---	---	---	---	12.0%	13.0%	13.5%	Retired*	

* This measure is being retired from the strategic set of measures and being replaced with the full range measure “Percent of significant Homeland Security Investigation cases that result in a disruption or dismantlement.” ICE will continue to track results for this measure under the Department’s Management measure set.

Percent of significant child exploitation or child sex trafficking investigations that resulted in a disruption or dismantlement (ICE)

Prior Results					FY 2016		Future Targets	
FY 2011	FY 2012	FY 2013	FY 2014	FY 2015	Target	Result	FY 2017	FY 2018
---	---	---	---	18.1%	20.0%	29.9%	Retired*	

* This measure is being retired from the strategic set of measures and being replaced with the full range measure “Percent of significant Homeland Security Investigation cases that result in a disruption or dismantlement.” ICE will continue to track results for this measure under the Department’s Management measure set.

Mission 3: Enforce and Administer Our Immigration Laws

Goal 3.1: Strengthen and Effectively Administer the Immigration System

Strategies

- *Promote lawful immigration*
- *Effectively administer the immigration services system*
- *Promote the integration of lawful immigrants into American society*

Strategic Review Summary of Progress

The Department of Homeland Security (DHS) has determined that this goal is making satisfactory progress.

Assessment Lead

Joseph Moore, Chief Financial Officer, U.S. Citizenship and Immigration Services (USCIS), Office of the Chief Financial Officer

Introduction

The Department is committed to strengthening the immigration system and securely processing millions of citizenship and immigration benefit requests received each year, including applications for naturalization, lawful permanent residence, change of status, refugee and asylum protection, and deferred action for childhood arrivals⁵. DHS is also committed to seeking better ways to: provide accurate and useful information to its customers; accurately adjudicate citizenship and immigration benefit requests in a timely manner; and promote an awareness and understanding of citizenship.

Achievements

Despite a significant annual increase in the number of applications, the Department strives to ensure that only eligible individuals are provided benefits, and in doing so, has maintained a high accuracy rate on its adjudication decisions for all approved naturalization and permanent residence applications. Refugee interviews led to the admission of refugees near the annual presidential ceiling, demonstrating the Department's ability to effectively administer immigration services to those in most need of humanitarian assistance and protections. Furthermore, the Department has consistently achieved an overall National Customer Service Center satisfaction rating of 86 percent or better over the past several years. To promote

USCIS is transitioning from paper-based immigration processing to electronic processing. Nearly every year, USCIS receives more than seven million requests for immigration benefits or agency action and now over 30 percent of these requests are processed electronically.

⁵ For purposes of this report, the term benefit request includes other, non-benefit granting requests processed by USCIS (e.g., deferred action for childhood arrivals)

lawful immigration, DHS hosts thousands of public engagements, reaching hundreds of thousands of individuals. The Citizenship and Immigration Services Ombudsman (CISOMB) has taken steps to focus on the timely resolution of case-related inquiries regarding the delivery of citizenship and immigration services. In addition, since a good immigration system must be able to rapidly respond to changes in demand, DHS is moving to online filing and case processing to improve the adjudication process and make information more accessible and secure.

DHS has initiated and continues to uphold several initiatives to improve customer service, highlight the importance of citizenship, and support individuals who aspire to become U.S. citizens. For example, DHS supports the Citizenship Public Education and Awareness Campaign in several states that are home to more than 75 percent of the overall lawful permanent resident population and also began accepting credit card payments for the naturalization application fee in an effort to increase access to citizenship. Specific results associated with this goal are presented in the Performance Results and Plan section that follows.

Challenges

DHS projects an increase in the number of benefit requests it will receive. The increased workload could prevent the agency from being able to meet its targeted case processing times and result in an increase in the case backlog. DHS will continue to mitigate these challenges by taking a number of steps, including redirecting incoming cases to other locations with additional capacity, shifting adjudication priorities to address cases with the highest pending inventories, and leveraging the use of overtime and other scheduling options. DHS will also focus on increasing efficiency by transitioning from a paper-based process to an electronic filing, adjudication, and case management system. CISOMB is also receiving a sustained increase in its caseload of requests for assistance from the public, significantly increasing caseload demands on current employees. In order to meet these demands, CISOMB has diverted staff to ensure individuals and employers receive individualized case assistance.

Performance Highlight

Ask Emma



Hide



Hi, I'm Emma. I'm here to help you with your questions about this site. What would you like to ask me?

■ [Hablar con Emma en español](#)

USCIS Uses Technology to Help Its Customers

U.S. Citizenship and Immigration Services (USCIS) is leveraging technology to create multi-channel tools that give customers faster and easier access to immigration information, when and where they need it.

The flagship of the new suite of tools is [myUSCIS](#), an online one-stop shop for immigration information. It includes an Explore My Options tool, civics practice test, citizenship class locator, and Find a Doctor (for required immigration physicals), all of which are accessible from any mobile

device, anytime, anywhere. Nearly 3 million sessions were initiated in myUSCIS in its first year.

myUSCIS is joined by Emma, an interactive tool that helps customers get answers to their immigration questions in plain English or Spanish. In just over 6 months, Emma responded to more than 2.7 million inquiries from more than 730,000 visitors. Ninety percent of English-speaking individuals and 85 percent of Spanish-speaking individuals were successful when using Emma to answer their questions.

USCIS is garnering a reputation as a leader in digital services for fundamentally transforming how it serves a multifaceted, mobile, and sometimes vulnerable, customer base. Public and private agencies have validated USCIS' latest innovations with several prestigious awards and recognition.

Performance Results and Plan

In FY 2016, there were five strategic performance measures used to assess the Department's efforts for this goal. In FY 2016, 40 percent of the measures met their target and 40 percent maintained or improved actual results compared to FY 2015.

Goal	Performance Summary				
Scale:	0%	25%	50%	75%	100%
Goal 3.1: Strengthen and Effectively Administer the Immigration System	<div><div></div></div>				



- Percent of measures that met their FY 2016 target.



- Percent of measures that maintained or improved actual performance results compared to FY 2015.

Below are the strategic measures that gauge efforts to strengthen and effectively administer the immigration system. For those measures that did not meet their targets, an explanation with corrective action is provided. In addition, changes to measure names and targets from the previous year's report are identified. Finally, to continually improve our set of performance measures, new measures are introduced and measures are retired each year, and are identified, if applicable, in the measure tables.

Citizenship and Immigration Measures:

The number of individuals applying for immigration benefits continues to rise. The Department is committed to strengthening the immigration system and securely processing millions of citizenship and immigration benefit requests and finding better ways to provide accurate and useful information to its customers.

Percent of customers satisfied with the citizenship and immigration-related support received from the National Customer Service Center (USCIS)

Prior Results					FY 2016		Future Targets	
FY 2011	FY 2012	FY 2013	FY 2014	FY 2015	Target	Result	FY 2017	FY 2018
80%	93%	87%	86%	88%	85%	85%	85%	85%

Average of processing cycle time (in months) for naturalization applications (N-400) (USCIS)

Prior Results					FY 2016		Future Targets	
FY 2011	FY 2012	FY 2013	FY 2014	FY 2015	Target	Result	FY 2017	FY 2018
4.6	4.6	4.7	5.5	5.0	≤ 5.0	5.8	≤ 5.0	≤ 5.0

Explanation for Target Not Met: This measure assesses the program's ability to meet its published processing time goals. USCIS experienced an elevated N-400 cycle time as a result of actual receipts in FY 2016 that were 26 percent higher than projected receipts. Although the cycle time is above the target, USCIS has maintained the accuracy of N-400 decisions. In FY 2017, USCIS will continue to balance workloads to ensure national cycle time parity across each of the 86 field offices, and leverage overtime and other scheduling options.

Average of processing cycle time (in months) for adjustment of status to permanent resident applications (I-485) (USCIS)

Prior Results					FY 2016		Future Targets	
FY 2011	FY 2012	FY 2013	FY 2014	FY 2015	Target	Result	FY 2017	FY 2018
4.4	5.1	4.7	6.0	6.4	≤ 4.0	6.9	≤ 4.0	≤ 4.0

Explanation for Target Not Met: This measure assesses the program's ability to meet its published processing time goals. USCIS experienced an elevated I-485 cycle time as a result of higher than projected receipts, along with hiring and retention challenges. Although the cycle time is above the target, USCIS maintained the accuracy of I-485 decisions. In FY 2017, USCIS will continue to balance workloads, and leverage overtime and other scheduling options to improve cycle times. In addition, USCIS will execute new hiring strategies and implement additional workplace flexibilities to mitigate hiring and retention issues that negatively impact cycle times. Based on the importance of the I-485, USCIS will make a concentrated effort to improve the cycle time in FY 2017.

Citizenship Training to Facilitate Assimilation Measure:

The Department is also committed to providing training to aid individuals in the assimilation to the United States. The Department promotes instruction and training on citizenship rights and responsibilities and provides federal leadership, tools, and resources to proactively foster immigrant civic integration. One method the Department uses to promote instruction and training on citizenship rights and responsibilities is providing grants for citizenship preparation resources, support, and information to immigrants and immigrant-serving organizations.

Percent of students enrolled in classes under the Citizenship and Integration Grant Program that show educational gains (USCIS)

Prior Results					FY 2016		Future Targets	
FY 2011	FY 2012	FY 2013	FY 2014	FY 2015	Target	Result	FY 2017	FY 2018
---	---	---	---	75%	80%	75%	80%	80%

Explanation for Target Not Met: This measure reports on grant recipients' ability to increase English knowledge necessary for students receiving services under the program to pass the naturalization test. USCIS did not meet its target since a significant percentage of enrolled students were not both pre- and post-tested. USCIS believes that the students who did not return to post-test are more likely to have achieved measurable educational gains and have a higher level of confidence in their ability to be successful in the naturalization process. USCIS took steps to ensure requirements for grant recipients better align with program goals by requiring in its most recent funding opportunity that: 1) grant recipients pre- and post-test at least 80 percent of all enrolled students; and (2) at least 80 percent of the post-tested students demonstrate educational gain. For new grant recipients, USCIS expects the targets to serve as an incentive to increase rates of post-testing and strengthen efforts to improve educational gains.

Employment Verification Measures:

E-Verify is an Internet-based system that allows an employer, using information reported on an employee's Form I-9, to determine the eligibility of an employee to work in the United States. For most employers, the use of E-Verify is voluntary and limited to determining the employment eligibility of new hires only.

Percent of workers determined to be "Employment Authorized" after an initial mismatch (USCIS)

Prior Results					FY 2016		Future Targets	
FY 2011	FY 2012	FY 2013	FY 2014	FY 2015	Target	Result	FY 2017	FY 2018
0.28%	0.24%	0.22%	0.19%	0.17%	≤ 0.80%	0.16%	≤ 0.70%	≤ 0.60%

Goal 3.2: Prevent Unlawful Immigration

Strategies

- *Prevent unlawful entry, strengthen enforcement, and reduce drivers of unlawful immigration*
- *Arrest, detain, and remove criminals, fugitives, and other dangerous foreign nationals*

Strategic Review Summary of Progress

The Department of Homeland Security (DHS) has determined that performance toward this goal is making satisfactory progress.

Assessment Lead

Thomas Homan, Executive Associate Director, U.S. Immigration and Customs Enforcement (ICE), Enforcement and Removal Operations

Introduction

DHS is committed to providing effective immigration enforcement that focuses the Department's resources on arresting, detaining, and removing foreign nationals who pose the largest threat to the United States. DHS does this through its immigration enforcement priorities, a risk-based strategy to arrest, detain, and remove prioritized criminal aliens. The top priorities include threats to national security, convicted criminals, threats to public safety, and recent border crossers. DHS also focuses on reducing the drivers of unlawful immigration, creating a culture of employer compliance that deters employers from exploiting undocumented workers, strengthening partnerships with state and local law enforcement through outreach efforts, pursuing immigration charges against and removing criminals, identifying and preventing large-scale immigration fraud, enhancing efficiency in the removal process, and improving the detention system.

Achievements

As DHS continues to refine its approach to immigration enforcement priorities, the percent of removals that represent top enforcement priorities, such as convicted criminals and threats to national security, are steadily increasing. In the face of the lack of cooperation from some state and local law enforcement agencies, DHS created the Priority Enforcement Program (PEP), addressing state and local law enforcement's concerns and providing a flexible approach to partnering with

DHS created PEP by addressing state and local law enforcement's concerns and providing a flexible approach to partnering with state and local law enforcement to take custody of dangerous individuals and convicted criminals before they are released into the community.

state and local law enforcement to take custody of dangerous individuals and convicted criminals before they are released into the community. DHS also maintains a network of detention centers to house aliens in the removal process. For several years, DHS has ensured detention facilities are in compliance with detention standards. USCIS has also improved vetting of certain immigrants and refugees by using social media, improving its ability to detect potentially unqualified or fraudulent applicants. For a more

specific discussion of performance results associated with this goal, see the Performance Measure Results and Plan section.

Challenges

Recent changes in immigration policy, surges in unlawful immigration levels, and changes to migrant demographics challenge DHS's capacity to accomplish its objectives. The Department continues to build on lessons learned and has proactively planned for additional staff, facilities, transportation, and contingency options as the dynamic operational environment dictates their use. In addition, many of the ICE performance results are negatively impacted by laws and policies in jurisdictions nationwide limiting state and local law enforcement cooperation with ICE detainers. When local jurisdictions decline ICE detainers, ICE must dedicate additional officer resources to locate and arrest criminal aliens in the public domain. This increases processing times, officer hours, and safety risks to both officers and the public. The PEP engagement strategy, developed for counties with the most declined detainers, has improved ICE's relationship with those counties and led to increased cooperation. Challenges also continue to exist despite some improvements in DHS's ability to translate and interpret social media posts in certain critical foreign languages to determine potential anti-American or terrorist threats, along with the lack of access to closed or deleted social media accounts.

Performance Highlight



Special High Risk Charter (SHRC) Missions

ICE's Air Operations (IAO) Division, in conjunction with the Removal Management Division (RMD), has the duty and responsibility to plan and conduct SHRC flights to repatriate alien nationals who have "Failed to Comply" with their removal order, or those that cannot be removed by normal commercial air transportation to Europe, Central Asia, the Pacific Rim, Africa, and the Middle East.

IAO conducted 30 SHRC flights in FY 2016 resulting in 419 removals of people to dozens of countries, which included flights to 17 new

countries due to continuing efforts to repatriate individuals. This significantly exceeded the previous year's SHRC removals.

In order to achieve greater success in FY 2016, IAO focused on improving its efficiency and effectiveness in the planning and execution of SHRC missions. Specifically, IAO focused on increasing its overall communication with all stakeholders which led to an increase in productivity in planning and completing SHRC missions. As a direct result of implementing newly identified operational efficiencies and creating an environment fostering a collaborative approach, FY 2016 SHRC missions have been completed with minimal issues.

Performance Results and Plan

In FY 2016, there were seven strategic performance measures used to assess the Department's efforts for this goal. For the FY 2017-2018 performance plan, one new measure is being introduced and two measures are being retired. In FY 2016, 71 percent of the measures met their target and 57 percent maintained or improved actual results compared to FY 2015.

Goal	Performance Summary				
Scale:	0%	25%	50%	75%	100%
Goal 3.2: Prevent Unlawful Immigration					

◆ - Percent of measures that met their FY 2016 target.

◇ - Percent of measures that maintained or improved actual performance results compared to FY 2015.

Below are the strategic measures that gauge efforts to prevent unlawful immigration. For those measures that did not meet their targets, an explanation with corrective action is provided. In addition, changes to measure names and targets from the previous year's report are identified. Finally, to continually improve our set of performance measures, new measures are introduced and measures are retired each year, and are identified, if applicable, in the measure tables.

Detaining and Removing Foreign Nationals Measures:

DHS is committed to providing effective immigration enforcement that focuses the Department's resources on arresting, detaining, and removing foreign nationals who pose the largest threat to the United States. DHS does this through its immigration enforcement priorities, a risk-based strategy to arrest, detain, and remove prioritized criminal aliens. The top priorities include threats to national security, convicted criminals, threats to public safety, and recent border crossers.

Percent of detention facilities found in compliance with the national detention standards by receiving a final acceptable inspection rating (ICE)*

Prior Results					FY 2016		Future Targets	
FY 2011	FY 2012	FY 2013	FY 2014	FY 2015	Target	Result	FY 2017	FY 2018
95%	97%	100%	100%	100%	100%	100%	100%	100%

* Previous measure name: Percent of detention facilities found in compliance with the national detention standards by receiving an acceptable inspection rating

Average length of stay in detention of all convicted criminal aliens prior to removal from the United States (in days) (ICE)

Prior Results					FY 2016		Future Targets	
FY 2011	FY 2012	FY 2013	FY 2014	FY 2015	Target	Result	FY 2017	FY 2018
34.7	31.9	33.5	37.5	40.3	≤ 37.5	43.9	≤ 44.0*	≤ 44.0

* The FY 2017 target previously published as ≤ 37.0 in the FY 2015 – 2017 Annual Performance Report was changed to ≤ 44.0 to reflect trends in average length of stay.

Explanation for Target Not Met: The Average Length of Stay (ALOS) goal was not met and exceeded FY 2015 results by nearly four days. ALOS is affected by many factors outside ICE's control including federal court decisions such as *Rodriguez v. Jennings* in the 9th Circuit which mandates bond hearings for cases detained more than 180 days. Aliens are filing motions and/or lengthening their cases' final disposition to reach the 180-day mark before posting bond, which has led to a significant increase in affected areas of responsibility. Also, intakes of citizens from countries with higher ALOS (e.g., Guatemala (44.5 days), Honduras (45 days), and El Salvador (71.5 days)) increased 33%. To address delays which are related to travel document issuance, the ICE Director continues to meet with the relevant countries. After working with El Salvador, ICE can, on a case-by-case basis, now remove Failure to Comply cases for inspection in country versus awaiting travel document issue pending consular interview while in ICE custody.

Percent of removal orders secured by ICE attorneys that support current enforcement priorities (ICE)

Prior Results					FY 2016		Future Targets	
FY 2011	FY 2012	FY 2013	FY 2014	FY 2015	Target	Result	FY 2017	FY 2018
---	---	---	---	---	60%	85%	85%	98%

Percent of ICE removals that support current enforcement priorities (ICE)

Prior Results					FY 2016		Future Targets	
FY 2011	FY 2012	FY 2013	FY 2014	FY 2015	Target	Result	FY 2017	FY 2018
---	---	---	---	---	---	---	99.0%*	99.0%

* New measure added to consolidate three prior ICE measures describing criminal removals to better define “serious” crimes and reflect ICE’s focus on the Department’s highest civil immigration enforcement priorities.

Percent of total aliens removed that are criminal aliens (ICE)

Prior Results					FY 2016		Future Targets	
FY 2011	FY 2012	FY 2013	FY 2014	FY 2015	Target	Result	FY 2017	FY 2018
---	---	---	---	59%	57%	58%	Retired*	

* This measure is being retired and replaced with a measure that better encompasses current priorities. New measure is listed above: “Percent of ICE removals that support DHS’s top enforcement priorities.”

Number of convicted criminal aliens removed per fiscal year (ICE)

Prior Results					FY 2016		Future Targets	
FY 2011	FY 2012	FY 2013	FY 2014	FY 2015	Target	Result	FY 2017	FY 2018
216,698	225,390	216,810	177,960	139,368	158,664	138,669	140,000*	140,000

* The FY 2017 target previously published as 161,060 in the FY 2015 – 2017 Annual Performance Report was changed to 140,000 to reflect trends in average length of stay.

Explanation for Target Not Met: This goal was not met, but trailed FY 2015 by less than 700 removals. A number of factors outside of ICE’s control affected criminal removals including a surge in Priority 1 border cases, which necessitated the use of detention space and officer resources on such cases in lieu of criminal aliens apprehended in the interior of the United States. Performance is also being affected by the rising proportion and volume of populations with higher ALOS. Additionally, results were impacted by the trend of local laws, executive orders, and policies in hundreds of jurisdictions that limit state and local law enforcement’s ability to cooperate with ICE detainers. To improve performance, ICE deployed Mobile Criminal Alien Teams (MCATs) to assist with enforcement efforts in areas where personnel resources are not commensurate with workload by conducting operations to locate and arrest at-large criminal aliens.

Employer Enforcement:

The Department focuses on reducing the drivers of unlawful immigration, creating a culture of employer compliance that deters employers from exploiting undocumented workers, and strengthening partnerships with outreach efforts toward state and local law enforcement.

Number of enforcement-related actions against employers that violate immigration-related employment laws (ICE)*

Prior Results					FY 2016		Future Targets	
FY 2011	FY 2012	FY 2013	FY 2014	FY 2015	Target	Result	FY 2017	FY 2018
---	---	4,743	2,191	1,928	1,854	1,928	1,854	1,854

* Previous measure name: Number of employers audited, sanctioned, or arrested for violating immigration-related employment laws or otherwise brought into compliance with those laws.

Citizenship and Immigration Benefits Fraud Measure:

The Department is committed to strengthening USCIS' efforts to ensure immigration benefits are not granted to individuals who pose a threat to national security or public safety, or who seek to defraud our immigration system.

Percent of applications for citizenship and immigration benefits not approved following a potential finding of fraud (USCIS)

Prior Results					FY 2016		Future Targets	
FY 2011	FY 2012	FY 2013	FY 2014	FY 2015	Target	Result	FY 2017	FY 2018
---	---	---	---	---	90%	91.3%	90%	90%

Mission 4: Safeguard and Secure Cyberspace

Goal 4.1: Strengthen the Security and Resilience of Critical Infrastructure against Cyber Attacks and other Hazards

Strategies

- *Enhance the exchange of information and intelligence on risks to critical infrastructure and develop real-time situational awareness capabilities that ensure machine and human interpretation and visualization*
- *Partner with critical infrastructure owners and operators to ensure the delivery of essential services and functions*
- *Identify and understand interdependencies and cascading impacts among critical systems*
- *Collaborate with agencies and the private sector to identify and develop effective cybersecurity policies and best practices*
- *Reduce vulnerabilities and promote resilient critical infrastructure design*

Strategic Review Summary of Progress

The Department of Homeland Security (DHS) has determined that performance toward this goal is making satisfactory progress.

Assessment Lead

Sue Armstrong, Acting Director, Strategy, Policy, and Plans, National Protection and Programs Directorate (NPPD)

Introduction

DHS collaborates with federal, state, local, tribal, territorial, international, and private-sector entities to maintain near real-time situational awareness of both physical and cyber events, share information about risks that may disrupt critical infrastructure, and build capabilities to reduce those risks. DHS accomplishes this by identifying and understanding interdependencies, collaborating with stakeholders to identify and develop effective cybersecurity policies and best practices, and reducing vulnerabilities and promoting resilient critical infrastructure design. DHS has effectively incorporated cybersecurity into critical infrastructure strategic planning through initiatives such as Presidential Policy Directive-8, the National Preparedness Goal, the Federal Facility Cybersecurity Strategy, the U.S. Coast Guard Cyber Strategy, and the Sector Specific Plans, which all reflect the impact of the cyber threat to critical infrastructure.

Achievements

DHS collaborated with federal, state, local, tribal, territorial, international, and private-sector entities to maintain near real-time situational awareness of both physical and cyber events, share information about risks that may disrupt critical infrastructure, and build capabilities to reduce those risks. Annually, DHS distributes thousands of threat products; analyzes tens of thousands of threat

or incident reports; supports hundreds of threat working groups; and maintains a presence of more than 13,000 personnel operating from more than 200 field offices.

DHS updated plans to address security and risk management initiatives for critical infrastructure across the nation. The critical infrastructure addressed in the plan updates include, but are not limited to, communication, defense, energy, financial, food, health, information technology, transportation, nuclear, and water systems. DHS also produced the National Risk Estimate on Risks to U.S. Critical Infrastructure from Insider Threat report to provide analysis on growing risk to critical infrastructure and outline mitigation solutions. Lastly, federal, state, local, tribal, and territorial partners continue to report survey results of satisfaction with cyber threat intelligence products distributed by DHS. Additional information about these and other performance measure results can be found in the Performance Results and Plan section.

The Industrial Control Systems Working Group Meeting held in May and September brought together over 300 stakeholders from the Industrial Control Systems Community to talk about ways to defend control systems from a cyberattack.

Challenges

The Nation faces persistent challenges with the widespread, growing, and ever changing threat of cyber-attacks and an insufficient number of cybersecurity professionals. DHS works with partners at all levels of government, and from the private and non-profit sectors, to share information, build greater trust, and to support improvements in partner capabilities to make our cyber and physical infrastructure more secure. Another challenge is measuring effectiveness of the DHS toolset and stakeholder implementation of best practices related to the security and resilience of critical infrastructure against cyber-attacks and other hazards. This is largely attributed to the fact that DHS conducts this capacity building in a system, which by design, is voluntary. DHS will continue to improve performance measurement and other techniques to accurately evaluate impact and effectiveness of strategies, planning and products.

Performance Highlight



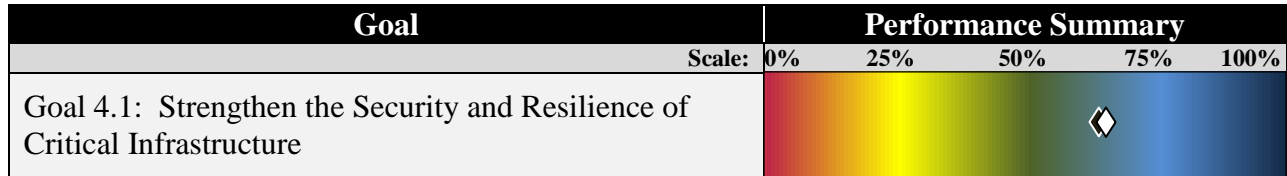
Lessons Learned from Cyberattack to Ukraine's Critical Infrastructure

On December 23, 2015, Ukraine suffered a debilitating cyberattack to its power infrastructure. This was the first known cyberattack to critical infrastructure that resulted in physical impacts. Since then, the National Cybersecurity and Communications Integration Center (NCCIC) and the Federal Bureau of Investigation (FBI) have been actively working with the Government of Ukraine while also assisting with the mitigation and recovery efforts for impacted Ukrainian entities.

During their work, the team learned that the attackers leveraged commonly available tools and tactics that could also be used to bring down U.S. infrastructure systems. To help secure our own infrastructure, the NCCIC and the FBI conducted an extensive, multi-city action campaign alerting over 1,000 critical infrastructure entities across the country of the techniques used by the threat actions, and also offering strategies to improve their security posture.

Performance Results and Plan

In FY 2016, there were six strategic performance measures used to assess the Department's efforts for this goal. For the FY 2017-2018 performance plan, one new measure is being introduced and two measures are being retired. In FY 2016, 67 percent of the measures met their target and 67 percent maintained or improved actual results compared to FY 2015.



◆ - Percent of measures that met their FY 2016 target.

◇ - Percent of measures that maintained or improved actual performance results compared to FY 2015.

Below are the strategic measures that gauge efforts to strengthen the security and resilience of critical infrastructure. For those measures that did not meet their targets, an explanation with corrective action is provided. In addition, changes to measure names and targets from the previous year's report are identified. Finally, to continually improve our set of performance measures, new measures are introduced and measures are retired each year, and are identified, if applicable, in the measure tables.

Cyber Intelligence Information Sharing Measure: Protecting the country from ever-evolving, transnational threats requires a strengthened homeland security enterprise that shares information across traditional organizational boundaries. Consistent with Administration direction, DHS has set forth a robust information sharing environment and continues to work with our homeland security partners to build our architecture for information sharing to continuously improve relevance, timeliness, and usefulness of intelligence information.

Percent of intelligence reports rated “satisfactory” or higher in customer feedback that enable customers to manage risks to cyberspace (Intelligence and Analysis (I&A))

Prior Results					FY 2016		Future Targets	
FY 2011	FY 2012	FY 2013	FY 2014	FY 2015	Target	Result	FY 2017	FY 2018
---	88%	94%	94%	93%	94%	84%	95%	95%

Explanation for Target Not Met: The ability of federal, state, local, tribal, territorial, and private sector partners to share accurate information quickly is essential to the Nation's security and resilience. In today's interconnected world, every second can make a difference in either preventing an incident or responding to an event that affects the Nation. This measure assesses how well the Department provides actionable intelligence to our partners to manage risks to cyberspace. In FY 2016, [I&A](#) achieved an 84 percent rating, down from previous years primarily due to a perceived lack of responsiveness. I&A consistently monitors customer satisfaction with all analytical products including those related to cybersecurity issues. Managers and analysts are regularly provided the feedback with the intent of ensuring all analytic products are responsive to our customer needs. I&A is evaluating changes to organizational processes and tools.

Infrastructure and Cybersecurity Measures: DHS collaborates with federal, state, local, tribal, territorial, international, and private-sector entities to identify and understand interdependencies and deficiencies. The following measures reflect the collaboration with stakeholders to identify and develop effective cybersecurity policies and best practices to reduce vulnerabilities and promote resilient critical infrastructure design.

Percent of organizations that have implemented at least one cybersecurity enhancement after receiving a cybersecurity vulnerability assessment or survey (NPPD)

Prior Results					FY 2016		Future Targets	
FY 2011	FY 2012	FY 2013	FY 2014	FY 2015	Target	Result	FY 2017	FY 2018
---	---	100%	63%	100%	100%	100%	100%	100%

Percent of facilities that are likely to integrate vulnerability assessment or survey information into security and resilience enhancements (NPPD)

Prior Results					FY 2016		Future Targets	
FY 2011	FY 2012	FY 2013	FY 2014	FY 2015	Target	Result	FY 2017	FY 2018
---	---	---	89%	90%	80%	90%	80%	80%

Percent of respondents indicating that operational cybersecurity information products provided by DHS are timely and actionable (NPPD)

Prior Results					FY 2016		Future Targets	
FY 2011	FY 2012	FY 2013	FY 2014	FY 2015	Target	Result	FY 2017	FY 2018
---	58%	74%	79%	81%	85%	N/A	Retired*	

* For the FY 2016 reporting period, this measure was deemed unreliable due to no data collected during the period. This measure is being retired due to challenges in the response rate.

Percent of respondents indicating that operational cybersecurity information products provided by DHS are helpful (NPPD)

Prior Results					FY 2016		Future Targets	
FY 2011	FY 2012	FY 2013	FY 2014	FY 2015	Target	Result	FY 2017	FY 2018
---	---	---	---	---	---	---	78%*	78%

* New measure added to obtain better customer response on information products provided by the National Cybersecurity and Communications Integration Center.

Percent of survey respondents that were satisfied or very satisfied with the timeliness and relevance of cyber and infrastructure analysis based products (NPPD)

Prior Results					FY 2016		Future Targets	
FY 2011	FY 2012	FY 2013	FY 2014	FY 2015	Target	Result	FY 2017	FY 2018
---	---	---	---	---	80%	93%	90%*	92%

* The FY 2017 target previously published as 82% in the FY 2015 – 2017 Annual Performance Report was changed to 90% to be more ambitious and in-line with current results.

Percent of respondents reporting that DHS critical infrastructure information will inform their decision making on risk mitigation and resilience enhancements (NPPD)

Prior Results					FY 2016		Future Targets	
FY 2011	FY 2012	FY 2013	FY 2014	FY 2015	Target	Result	FY 2017	FY 2018
---	---	---	---	---	71%	92%	74%	77%

Goal 4.2: Secure the Federal Civilian Government Information Technology Enterprise

Strategies

- *Coordinate government purchasing of cyber technology to enhance cost-effectiveness*
- *Equip civilian government networks with innovative cybersecurity tools and protections*
- *Ensure government-wide policy and standards are consistently and effectively implemented and measured*

Strategic Review Summary of Progress

The Department of Homeland Security (DHS), in consultation with the Office of Management and Budget (OMB), has highlighted this goal as a focus area for improvement.

Assessment Lead

Mark Kneidinger, Director of Federal Network Resilience, National Protection and Programs Directorate (NPPD), Office of Cybersecurity and Communications

Introduction

The Federal Government provides essential services and information that many Americans rely on and cybersecurity is one of the biggest threats to this capability. Not only must the government protect its own networks, it must serve as a role model to others in implementing security services. DHS plays a leading role in securing the federal civilian information technology (IT) network by coordinating government-wide cybersecurity technology purchases, equipping civilian government networks with innovative cybersecurity tools and protections, and ensuring that government-wide policies and standards are consistently and effectively implemented.

Achievements

DHS coordinates the government purchasing of cyber technology to secure the federal civilian IT network and deliver cost savings. The two principal programs are EINSTEIN and Continuous Diagnostics and Mitigation (CDM). EINSTEIN provides federal agencies with an integrated set of intrusion detection and prevention capabilities along with analytics and information sharing. CDM identifies cybersecurity risks on an ongoing basis, prioritizes those risks based on potential impacts, and enables agencies to mitigate the most significant problems first. Both EINSTEIN and CDM continue to meet the majority of milestones relating to the delivery of these programs' services as the need continues to expand.

EINSTEIN 3 Accelerated Program Selected as Nextgov Bold Award Finalist due to its dynamically adaptable intrusion prevention security services that prevent—in real-time—malicious traffic from harming Federal government networks.

Through the use of binding directives the Secretary of Homeland Security can direct federal agencies to address critical vulnerabilities identified on their networks by DHS. The use of such directives has resulted in a significant reduction of known critical vulnerabilities on the federal

civilian IT network. Further discussion of performance measures related to this goal can be found in the Performance Results and Plan section.

Challenges

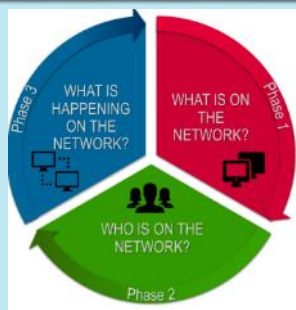
Although the Department has made achievements toward this goal, significant challenges remain. While EINSTEIN and CDM capabilities are being made available to agencies, there is a lag between when DHS makes the tools available and when agencies implement them. Federal Chief Information Officers (CIOs) and their staffs generally work diligently to implement these capabilities, but they must juggle implementation with ongoing operational requirements, differing skillsets, and levels of CIO authority within agencies. DHS and OMB recognize these challenges and are working with federal agencies to provide additional support.

DHS also recognizes that while EINSTEIN provides a baseline level of network protection, it can only detect and prevent malicious traffic for similar and recognizable activity that has already been observed by the system. While this capability is necessary, it is insufficient to protect against previously unseen malicious activity. DHS is piloting capabilities that can detect and stop traffic based on how the traffic behaves, as opposed to how it matches previously observed malicious traffic. These capabilities will be able to be implemented within the platform already deployed by DHS.

Corrective Action Plan

DHS has ongoing plans in place to help mitigate current risks and address existing challenges. These plans include the continued expansion of the CDM program with the goal of delivering network management tools to participating agencies. DHS also plans to deploy EINSTEIN intrusion prevention system coverage to 100% of federal, civilian executive branch employees in addition to ensuring that all of DHS cybersecurity and cyber law enforcement components can share cyber threat information in near real time utilizing an automated process. DHS will track challenges faced by agencies through various governing bodies and outreach activities and conduct assessments of federal agency networks to identify risks and vulnerabilities and propose corresponding mitigations. Finally, DHS will assist Federal CIOs and Chief Information Security Officers as they mature their organizations' ability to integrate new technology, process, and policy into current and future solutions.

Performance Highlight



CDM Program Begins Shared Service Delivery

On June 29, 2016, DHS awarded a contract to begin implementation of shared service delivery for its Continuous Diagnostics and Mitigation (CDM) program. This shared services approach will improve the government's ability to identify and mitigate the impact of cybersecurity vulnerabilities and defects. The new CDM technology will help agencies better understand and manage who and what is on their networks. This will include vulnerability scanning, hardware and software asset management, and the monitoring of people-based accounts. The shared services approach allows these federal departments and agencies to use a strategically-sourced blanket purchase agreement to get a consistent set of solutions at a reduced cost. The result provides a consistent, government-wide set of continuous diagnostic solutions that informs system personnel of flaws at near-network speed.

Performance Results and Plan

In FY 2016, there were two strategic performance measures used to assess the Department's efforts for this goal. For the FY 2017-2018 performance plan, three new measures are being introduced and one measure is being retired. In FY 2016, 100 percent of the measures met their target and 100 percent maintained or improved actual results compared to FY 2015.

Goal	Performance Summary				
	Scale:	0%	25%	50%	75% 100%
Goal 4.2: Secure the Federal Civilian Government Information Technology Enterprise					◆◆

◆ - Percent of measures that met their FY 2016 target.

◆◆ - Percent of measures that maintained or improved actual performance results compared to FY 2015.

Below are the strategic measures that gauge efforts to secure the federal civilian government information technology enterprise. For those measures that did not meet their targets, an explanation with corrective action is provided. In addition, changes to measure names and targets from the previous year's report are identified. Finally, to continually improve our set of performance measures, new measures are introduced and measures are retired each year, and are identified, if applicable, in the measure tables.

Securing the Federal Civilian Network Measures: DHS plays a leading role in securing the federal civilian information technology (IT) network by coordinating government-wide cybersecurity technology purchases, equipping civilian government networks with innovative cybersecurity tools and protections, and ensuring that government-wide policies and standards are consistently and effectively implemented.

Percent of annual risk and vulnerability assessments completed for twenty-three cabinet level agencies and one-third of all non-cabinet level agencies (NPPD)

Prior Results					FY 2016		Future Targets	
FY 2011	FY 2012	FY 2013	FY 2014	FY 2015	Target	Result	FY 2017	FY 2018
---	---	---	---	---	---	42%*	60%	80%

Note: This was not a strategic measure in FY 2016 but did report data as part of the Federal Cybersecurity APG. For the Strategic Measure set, this is a new measure being added to expand the measures supporting this goal.

Percent of federal, civilian executive branch personnel for whom EINSTEIN intrusion prevention system coverage has been deployed (NPPD)

Prior Results					FY 2016		Future Targets	
FY 2011	FY 2012	FY 2013	FY 2014	FY 2015	Target	Result	FY 2017	FY 2018
---	---	---	---	---	---	80%*	100%	100%

Note: This was not a strategic measure in FY 2016 but did report data as part of the Federal Cybersecurity APG. For the Strategic Measure set, this is a new measure being added to expand the measures supporting this goal.

Percent of traffic monitored for cyber intrusions at civilian Federal Executive Branch agencies (NPPD)

Prior Results					FY 2016		Future Targets	
FY 2011	FY 2012	FY 2013	FY 2014	FY 2015	Target	Result	FY 2017	FY 2018
---	73.0%	82.4%	88.5%	89.0%	95.0%	98.7%	95.0%	95.0%

Percent of known malicious cyber traffic prevented from causing harm at federal agencies (NPPD)

Prior Results					FY 2016		Future Targets	
FY 2011	FY 2012	FY 2013	FY 2014	FY 2015	Target	Result	FY 2017	FY 2018
---	---	---	100%	100%	100%	100%	Retired*	

* This measure is being retired since the current solution ensures all indicators are paired with a countermeasure.

Percent of participating federal, civilian executive branch agencies for which Phase 3 continuous diagnostics and mitigation tools have been delivered to monitor their networks (NPPD)

Prior Results					FY 2016		Future Targets	
FY 2011	FY 2012	FY 2013	FY 2014	FY 2015	Target	Result	FY 2017	FY 2018
---	---	---	---	---	---	0%*	97%	100%

Note: This was not a strategic measure in FY 2016 but did report data as part of the Federal Cybersecurity APG. Phase 3 tools are not scheduled to begin delivery until FY 2017. For the Strategic Measure set, this is a new measure being added to expand the measures supporting this goal.

Goal 4.3: Advance Cyber Law Enforcement, Incident Response, and Reporting Capabilities

Strategies

- Respond to and assist in the recovery from cyber incidents
- Deter, disrupt, and investigate cybercrime

Strategic Review Summary of Progress

The Department of Homeland Security (DHS) has determined that this goal is making satisfactory progress.

Assessment Lead

Robert Novy, Deputy Assistant Director, Office of Investigations, U.S. Secret Service (USSS)

Introduction

Online criminal activity threatens the safe and secure use of the Internet. Law enforcement performs an essential role in achieving our Nation's cybersecurity objectives by detecting, investigating, and preventing a wide range of cybercrimes, from identity theft and fraud to child exploitation, and apprehending and prosecuting those responsible. In addition to criminal prosecution, there is a need to rapidly detect and respond to incidents, including the development of quarantine and mitigation cybersecurity strategies, as well as to quickly share incident information so that others may protect themselves. Safeguarding and securing cyberspace requires close coordination among federal law enforcement entities; network security experts; state, local, tribal, and territorial officials; and private sector stakeholders.

Achievements

DHS continues to increase its capability to provide cybersecurity assessments, investigations, and responses to cyber incidents. DHS law enforcement entities and partners consistently process several thousand terabytes of data on thousands of devices; arrest thousands of cyber criminals; recover hundreds of thousands of financial accounts; and respond to hundreds of industrial cyber incidents.

DHS continues to execute a multi-pronged approach through investigation, education, and research to protect critical infrastructure and vital public and private services from cyber criminals. Recent achievements include cyber-investigators bringing to justice major domestic and international criminals; providing training, tools, and equipment to thousands of domestic and international partners; performing hundreds of community outreach events; and developing and implementing new technology, including sharing cyber threat indicators in near real time and collecting digital evidence from several thousand device types to

Members of the National Cybersecurity and Communications Integration Center (NCCIC) won yet another "Capture the Flag" cyber-focused competition at the 28th Annual Forum of Incident Response and Security Teams (FIRST) in Seoul, South Korea.

share with law enforcement partners. More results can be found in the Performance Results and Plan section.

Challenges

Criminal trends show increased use and sophistication of phishing, account takeovers, malicious software, ransomware, hacking attacks, and network intrusions, which have resulted in major data breaches. Moreover, cybercriminals often work transnationally and anonymously, creating challenges for law enforcement. Other challenges exist in recruitment, hiring, and retention of cybersecurity professionals.

Performance Highlight



Major Cybercriminal Extradited From Czech Republic

Evgeny Tarasovich Levitsky, of Nikolaev, Ukraine, was arraigned on August 5, 2016 on federal charges of conspiracy to commit bank fraud, bank fraud, conspiracy to commit wire fraud, and wire fraud.


In 2008, an American credit card processor, RBS WorldPay, was hacked in one of the most sophisticated and organized computer fraud attacks ever conducted. A team of hackers compromised the data encryption used to protect customer data on payroll debit cards and raised the account limits on compromised accounts to amounts exceeding \$1,000,000. The hackers then provided a network of

cashers with 44 counterfeit payroll debit cards, which were used to withdraw more than \$9 million from over 2,100 ATMs in at least 280 cities worldwide, including cities in the United States, Russia, Ukraine, Estonia, Italy, Hong Kong, Japan, and Canada. The \$9 million loss occurred within a span of less than 12 hours.

This joint investigation by the U.S. Secret Service and the Federal Bureau of Investigation led to the charging of 14 individuals involved in the hack and cash out crimes. This includes the alleged frontrunner, Evgeny Tarasovich Levitsky, who was extradited from the Czech Republic to face federal charges of conspiracy to commit bank fraud, bank fraud, conspiracy to commit wire fraud, and wire fraud. Michael Breslin, Special Agent in Charge of the U.S. Secret Service's Criminal Investigative Division, stated: "Based on our longstanding role in transnational cyber investigations and network intrusions, the U.S. Secret Service worked in conjunction with our law enforcement partners to provide critical evidence to further this investigation. Our partnerships in law enforcement, the private sector, and academia are our greatest resources in combatting these sophisticated and complex crimes and today's arraignment is proof that our strong commitment endures across all borders."

Performance Results and Plan

In FY 2016, there were six strategic performance measures used to assess the Department's efforts for this goal. In FY 2016, 33 percent of the measures met their target and 33 percent maintained or improved actual results compared to FY 2015.

Goal	Performance Summary				
Scale:	0%	25%	50%	75%	100%
Goal 4.3: Advance Cyber Law Enforcement, Incident Response, and Reporting Capabilities					

◆ - Percent of measures that met their FY 2016 target.

◇ - Percent of measures that maintained or improved actual performance results compared to FY 2015.

Below are the strategic measures that gauge efforts to advance cyber law enforcement, incident response, and reporting capabilities. For those measures that did not meet their targets, an explanation with corrective action is provided. In addition, changes to measure names and targets from the previous year's report are identified. Finally, to continually improve our set of performance measures, new measures are introduced and measures are retired each year, and are identified, if applicable, in the measure tables.

Cyber Law Enforcement Measures: Online criminal activity threatens the safe and secure use of the Internet. Law enforcement performs an essential role in achieving our Nation's cybersecurity objectives by detecting, investigating, and preventing a wide range of cybercrimes, from identity theft and fraud to child exploitation, and apprehending and prosecuting those responsible.

Amount of dollar loss prevented by Secret Service cyber investigations (in millions) (USSS)

Prior Results					FY 2016		Future Targets	
FY 2011	FY 2012	FY 2013	FY 2014	FY 2015	Target	Result	FY 2017	FY 2018
---	---	\$1,119	\$384	\$589	\$575	\$558	\$600	\$650

Explanation for Target Not Met: The Criminal Investigations program prevented \$558 million dollars in financial losses through cyber investigations. This was achieved through the successful and proactive investigations of computer-related and telecommunications crimes. This target was not met due to several factors including the field special agent workforce reaching a historic low and campaign protection drawing more resources away from investigative activities, which impacted investigative performance measures more greatly than anticipated. USSS will improve performance by addressing staffing shortfalls through hiring and retention.

Number of law enforcement individuals trained in cybercrime and cyber forensics both domestically and overseas (USSS)

Prior Results					FY 2016		Future Targets	
FY 2011	FY 2012	FY 2013	FY 2014	FY 2015	Target	Result	FY 2017	FY 2018
---	---	1,517	1,533	2,070	1,800	1,906	1,900	1,600

Number of financial accounts recovered (in millions) (USSS)

Prior Results					FY 2016		Future Targets	
FY 2011	FY 2012	FY 2013	FY 2014	FY 2015	Target	Result	FY 2017	FY 2018
---	---	3.90	0.29	0.93	0.40	0.51	0.40	0.50

Terabytes of data forensically analyzed for criminal investigations (USSS)

Prior Results					FY 2016		Future Targets	
FY 2011	FY 2012	FY 2013	FY 2014	FY 2015	Target	Result	FY 2017	FY 2018
---	---	4,002	4,902	6,052	6,000	3,334	7,000	7,000

Explanation for Target Not Met: The Criminal Investigations program did not meet its goal in FY 2016. However, the USSS still forensically analyzed 3,334 terabytes of data. While the number of terabytes analyzed has been historically increasing each fiscal year, campaign staffing and other required protective duties impacted investigations more heavily than anticipated. USSS will improve performance by addressing staffing shortfalls through hiring and retention.

Number of cyber mitigation responses (USSS)

Prior Results					FY 2016		Future Targets	
FY 2011	FY 2012	FY 2013	FY 2014	FY 2015	Target	Result	FY 2017	FY 2018
---	---	---	---	---	410	157	250*	390

* The FY 2017 target previously published as 430 in the FY 2015 – 2017 Annual Performance Report was changed to 250 to be in line with the first year results.

Explanation for Target Not Met: The effects of campaign staffing, other required protective duties, and technology changes in the financial industry impacted the cyber mitigation response measure results more than anticipated. The increased usage of Europay, MasterCard, and Visa (EMV) chip credit card technology also likely impacted the frequency of network intrusion in payment systems used by US retailers. However, the effects of this technology change (the liability shift occurred in October 2015) cannot be separated from campaign impacts at this time. USSS will improve performance by addressing staffing shortfalls through hiring and retention.

Incident Response and Reporting Measure: To support against cyber-intrusions, there is a need to rapidly detect and respond to incidents, including the development of quarantine and mitigation cybersecurity strategies, as well as to quickly share incident information so that others may protect themselves. Safeguarding and securing cyberspace requires close coordination among federal law enforcement entities; network security experts; state, local, tribal, and territorial officials; and private sector stakeholders.

Percent of incidents detected by the U.S. Computer Emergency Readiness Team for which targeted agencies are notified within 30 minutes (NPPD)

Prior Results					FY 2016		Future Targets	
FY 2011	FY 2012	FY 2013	FY 2014	FY 2015	Target	Result	FY 2017	FY 2018
---	---	89.0%	87.2%	96.6%	94.0%	97.0%	96.0%	98.0%

Goal 4.4: Strengthen the Cyber Ecosystem

Strategies

- *Drive innovative and cost effective security products, services, and solutions throughout the cyber ecosystem*
- *Conduct and transition research and development, enabling trustworthy cyber infrastructure*
- *Develop skilled cybersecurity professionals*
- *Enhance public awareness and promote cybersecurity best practices*
- *Advance international engagement to promote capacity building, international standards, and cooperation*

Strategic Review Summary of Progress

The Department of Homeland Security (DHS) has determined this goal is making satisfactory progress.

Assessment Lead

Dr. Pete Fonash, Chief Technology Officer, National Protection and Programs Directorate (NPPD), Office of Cybersecurity and Communications

Introduction

DHS seeks to ensure a strong and healthy cyber-ecosystem through innovation and cost effective security products, conducting research and transitioning products to market, developing and executing programs and initiatives to cultivate skilled cybersecurity professionals, enhancing public awareness of cybersecurity, and advancing international engagements to promote capacity building and cooperation around cybersecurity.

Achievements

DHS has expanded and maintained research and development (R&D) collaboration through a series of joint projects in order to connect international cybersecurity R&D efforts. The Department has also initiated and maintained an initiative to strengthen relationships with companies in Silicon Valley and to co-invest in promising technologies across the nation; demonstrate and pilot near-term technologies; and transition emerging innovative technology and solutions. This initiative builds on the Security Innovation Network to engage startups developing products that address key homeland security challenges. DHS has transitioned many federally-funded cybersecurity R&D projects into commercial available programs, such as tools to detect and trace vulnerabilities and threats on networks.

DHS won three of seven awards at the prestigious Government Information Security Leadership Awards (GISLA) gala in May. Presented annually by the International Information Security Certification Consortium (ISC)², these awards showcase how DHS has improved cyber.


DHS also developed skilled cybersecurity professionals and enhanced public awareness through the Federal Virtual Training Environment (FedVTE) program and National Cyber Security Awareness Month. The FedVTE program increased the number of cyber-related courses available, expanded

the program to additional state, local, tribal, and territorial partners, as well as increased the courses taken in partnership with Hire Our Heroes™, which provides veterans’ access to training. The National Cyber Security Awareness Month initiative expanded to reach a national audience with hundreds of events drawing thousands of attendees.

Challenges

The cybersecurity landscape continuously changes via new technologies, operational experience, and emerging threats, requiring continuous evaluation of progress and adjustment of related activities. Overcoming challenges in achieving good research and translating it into operational products requires constant initiative and flexibility. At the organizational and individual levels, there is an uphill battle to make cybersecurity and cybersecurity awareness a mainstream topic of conversation and action throughout the Homeland Security Enterprise.

Performance Highlight



Cyber Storm V: National Cyber Exercise

In March 2016, more than 1,100 people from more than 60 organizations across the country and worldwide participated in [Cyber Storm V](#), the Nation’s most extensive cybersecurity exercise which was conducted over three days.

Hosted by the Department of Homeland Security, participants ranging from across government, critical infrastructure, and the private sector were presented with a scenario. New participants included the public health sector and the retail sector. This scenario required participants to exercise their training, policies, processes, and procedures for identifying and responding to a multi-sector cyberattack targeting critical infrastructure. The Cyber Storm V scenario created an environment that promoted cooperation and information sharing across the United States government, states, the private sector, and international partners.

Performance Results and Plan

In FY 2016, there was one strategic performance measure used to assess the Department’s efforts for this goal. In FY 2016, 100 percent of the measures met their target and 100 percent maintained or improved actual results compared to FY 2015.

Goal	Performance Summary				
	Scale:	0%	25%	50%	75% 100%
Goal 4.4: Strengthen the Cyber Ecosystem		<div></div>			

- ◆ - Percent of measures that met their FY 2016 target.
- ◇ - Percent of measures that maintained or improved actual performance results compared to FY 2015.

Below is a strategic measure that gauges efforts to strengthen the cyber ecosystem.

Research and Development Measure: DHS's Science and Technology Directorate (S&T) supports the improvement in the Nation's cyber-ecosystem through innovation and development of cost effective cybersecurity products.

Percent of planned cybersecurity products and services transitioned to government, commercial and open sources (S&T)

Prior Results					FY 2016		Future Targets	
FY 2011	FY 2012	FY 2013	FY 2014	FY 2015	Target	Result	FY 2017	FY 2018
---	---	89%	93%	60%	73%	73%	80%	80%

Mission 5: Strengthen National Preparedness and Resilience

Goal 5.1: Enhance National Preparedness

Strategies

- *Empower individuals and communities to strengthen and sustain their own preparedness*
- *Build and sustain core capabilities nationally to prevent, protect against, mitigate, respond to, and recover from all hazards*
- *Assist federal entities in the establishment of effective continuity programs that are regularly updated, exercised, and improved*

Strategic Review Summary of Progress

The Department of Homeland Security (DHS), in consultation with the Office of Management and Budget (OMB), has determined this goal is making noteworthy progress.

Assessment Lead

Kathleen Fox, Assistant Administrator, Federal Emergency Management Agency (FEMA), National Preparedness Directorate

Introduction

Preparedness against hazards, such as natural disasters, acts of terrorism, and pandemics is a shared responsibility that calls for the involvement of the entire nation, known as the “whole community” approach. DHS continues to expand its whole community implementation of the National Preparedness System to build and sustain core capabilities identified in the National Preparedness Goal. These efforts include building resilience through the grassroots campaign, America’s PrepareAthon!, and by providing planning, training, exercise support, and resources to federal, state, local, tribal, and private sector partners. DHS engages the whole community, ensuring emergency managers, responders, and citizens have the necessary tools to effectively prepare for, respond to, and recover from a full range of threats and hazards.

Achievements

The Department continued to implement the whole community approach to preparedness by engaging individuals, private and nonprofit sectors, and all levels of government in preparedness activities. The Department has successfully used the APGs to drive measurable improvements that positively impact stakeholders and the American public. The Department has made progress towards this goal due to the multi-year effort to have all states use a common approach in developing a Threat and Hazard Identification and Risk Assessment (THIRA) for risks faced by their communities. DHS continues to help mature state and local capabilities to prepare and respond to disasters and report changes in capabilities through the THIRA and State Preparedness Report process. Most states and territories are demonstrating improvement towards achieving their core capability targets in their THIRAs, with a goal of having

On April 11, 2016, Congress passed the IPAWS Modernization Act of 2015 to modernize the nation’s alert and warning infrastructure.

70 percent of states and territories achieve intermediate or above proficiency on these targets in FY 2017. As states continue to demonstrate improvement toward achieving their THIRA core capability targets, the State Homeland Security Program investments continue to fund projects that address capability gaps states and territories identified in their State Preparedness Report.

The Department continues to collaborate with external and internal stakeholders to enhance whole community efforts to identify, prevent, and quickly address emerging threats. To continue to build our capabilities, FEMA has expanded the Community Emergency Response Team programs and has increased the number of citizens trained to respond to disasters to several hundred thousand. The Department continues to validate whole community planning capabilities through exercises, Joint Counterterrorism Awareness Workshops, and thousands of local citizen preparedness activities. DHS also collaborated with interagency and industry partners to strengthen whole community efforts to prepare and respond to an oil or hazardous materials release. Both FEMA and the U.S. Coast Guard have worked to expand the capacity to lead major national incidents through designations and certifications of senior level officials. USCG also initiated a nation-wide program regarding regional exercises with industry and signed agreements to ensure the secure movement of equipment at seaports during emergencies. Businesses and public-private partnerships are increasingly incorporating emergency preparedness into technology platforms, such as Internet and social media tools and services. More accomplishments are outlined in the performance measures for this goal listed in the Performance Results and Plan section that follows.

Challenges

The greatest challenge in emergency management is preparing for catastrophic disasters. The National Preparedness Report identified cybersecurity, economic recovery, housing, and infrastructure systems as continued national areas for improvement, and recently added natural and cultural resources and supply chain integrity and security core capabilities as national areas for improvement. States and territories continue to be most prepared to meet their targets in the response mission area and less prepared in other mission areas, particularly recovery. DHS continues to work to develop measures to assess federal capability to meet a catastrophic event in all mission areas.

Performance Highlight



Professionalizing the Disaster Workforce to Improve Emergency Response for Survivors

The federal response to Hurricane Katrina brought home the fact that the Nation requires a professional and fully prepared disaster workforce to support the American people in their hour of need. In the ensuing years, FEMA established the FEMA Qualification System, including identification of 23 cadres ranging from operations, planning, and logistics to legal advisors and disability coordinators. FEMA leadership also recognized the need to develop and conduct a standardized training deployment process for cadre members. The result is

implementation of the FEMA Incident Workforce Academy (FIWA) which became fully operational at the Center for Domestic Preparedness in Anniston, Alabama in 2016.

In FY 2016, the FIWA Branch hosted 40 classes for 1,085 students, and 356 staff deploying in support of disaster operations. As a result of these efforts, fully trained staff deployed to support state, local, and tribal partners delivering disaster assistance to tens-of-thousands of citizens from Oregon to Texas and from South Dakota to West Virginia and Louisiana.

Performance Results and Plan

In FY 2016, there were five strategic performance measures used to assess the Department's efforts for this goal. For the FY 2017-2018 performance plan, one new measure is being introduced and two measures are being retired. In FY 2016, 40 percent of the measures met their target and 100 percent maintained or improved actual results compared to FY 2015.

Goal	Performance Summary				
Scale:	0%	25%	50%	75%	100%
Goal 5.1 Enhance National Preparedness	<div><div></div></div>				

◆ - Percent of measures that met their FY 2016 target.

◆ - Percent of measures that maintained or improved actual performance results compared to FY 2015.

Below are the strategic measures that gauge efforts to enhance national preparedness. For those measures that did not meet their targets, an explanation with corrective action is provided. In addition, changes to measure names and targets from the previous year's report are identified. Finally, to continually improve our set of performance measures, new measures are introduced and measures are retired each year, and are identified, if applicable, in the measure tables.

State, Local, and Territorial Jurisdiction Preparedness Measures: The National Preparedness Goal is, "A secure and resilient Nation with the capabilities required across the whole

community to prevent, protect against, mitigate, respond to, and recover from the threats and hazards that pose the greatest risk.” These measures gauge state, local, and territorial jurisdictions’ preparedness against hazards. DHS continues to expand its whole community implementation of the National Preparedness System to build and sustain core capabilities identified in the National Preparedness Goal. The Threat and Hazard Identification and Risk Assessment [THIRA](#) is a four step common risk assessment process that helps the whole community—including individuals, businesses, faith-based organizations, nonprofit groups, schools and academia and all levels of government—understand its risks and estimate capability requirements.

Percent of states and territories with a Threat and Hazard Identification and Risk Assessment (THIRA) that meets current DHS guidance (FEMA)

Prior Results					FY 2016		Future Targets	
FY 2011	FY 2012	FY 2013	FY 2014	FY 2015	Target	Result	FY 2017	FY 2018
---	---	86%	71%	77%	100%	86%	100%	100%

Explanation for Target Not Met: FEMA has set the target for this measure to be 100 percent in light of its importance to the “whole community.” In FY 2016, 86 percent of states and territories have developed a THIRA that meets all 4 steps of the current DHS guidance. FEMA provides technical assistance to help jurisdictions improve their THIRA by improving their targets developed for each core capability in the National Preparedness Goal and understanding their resource needs to meet their target. FEMA will continue to provide technical assistance in FY 2017, as jurisdictions specifically identified challenges with THIRA Step 3 (describing impacts and desired outcomes and establishing capability targets and target statements) and Step 4 (applying the results of the THIRA by estimating resources required to meet capability targets), as well as Whole Community Engagement.

Percent of states and territories that have achieved an intermediate or above proficiency to address their targets established through their THIRA (FEMA)

Prior Results					FY 2016		Future Targets	
FY 2011	FY 2012	FY 2013	FY 2014	FY 2015	Target	Result	FY 2017	FY 2018
---	---	---	---	---	68%	66%	70%	70%

Explanation for Target Not Met: States and territories that have achieved an intermediate or above proficiency to address their targets established through their THIRA have self-reported above the 3.0 threshold—on a five-point scale—when averaging across the planning, organization, equipment, training, and exercise elements rated by grantees for each core capability. Thirty-seven out of 56 states and territories (66.1 percent) achieved an average high-priority capability rating at or above the intermediate proficiency threshold—one state short of the target to meet 68 percent. FEMA will continue technical assistance to help jurisdictions as they prepare their THIRA and State Preparedness Report submissions.

Percent of high-priority core planning capabilities rated as proficient by states and territories (FEMA)

Prior Results					FY 2016		Future Targets	
FY 2011	FY 2012	FY 2013	FY 2014	FY 2015	Target	Result	FY 2017	FY 2018
---	39.6%	38.3%	44.3%	46.3%	46.0%	47%	Retired	

* This measure is being retired for the measure above was introduced last year to advance our understanding of core planning capabilities.

Federal Agency Preparedness Measure: This measure gauges federal executive departments and agencies to ensure that primary mission essential functions continue to be performed during a wide range of emergencies.

Percent of federal agencies ready to initialize continuity of essential functions and services in the event of a catastrophic disaster (FEMA)

Prior Results					FY 2016		Future Targets	
FY 2011	FY 2012	FY 2013	FY 2014	FY 2015	Target	Result	FY 2017	FY 2018
---	---	---	---	96.6%	95.5%	99.0%	97.0%	98.5%

Individual Citizen Preparedness Measure: This measure gauges the extent that individual citizens are prepared in case of emergency.

Percent of adults that participated in a preparedness exercise or drill at their workplace, school, home or other community location in the past year (FEMA)

Prior Results					FY 2016		Future Targets	
FY 2011	FY 2012	FY 2013	FY 2014	FY 2015	Target	Result	FY 2017	FY 2018
---	---	---	43%	N/A *	46%	44%	Retired**	

* FEMA was unable to report FY 2015 results. In an effort to streamline the survey in FY 2015, FEMA shortened the composite questions that provided data for this measure that resulted in a methodology error. FEMA took corrective action to restore data collection for the FY 2016 survey.

** This measure is being retired and replaced with the measure: "Percent of adults that took a preparedness action at their workplace, school, home or other community location in the past year."

Explanation for Target Not Met: This measure uses a survey to collect individual disaster preparedness data from a random sample of households across the Nation. Improving the public's knowledge and ability to take effective protective actions for hazards is a key objective of preparing the public to act quickly and effectively in emergency situations. This measure shows a positive increase of approximately one percent over a two year period. With a United States adult population of about 248 million in 2016, this change represents an increase of about 3.7 million adults participating in drills or exercises. Research indicates that trends for behavioral change measures for the national population are difficult to predict and may take decades. FEMA has implemented a new measure with a minor change in methodology to better reflect actions adults take to be prepared in case of an emergency.

Percent of adults that took a preparedness action at their workplace, school, home or other community location in the past year (FEMA)

Prior Results					FY 2016		Future Targets	
FY 2011	FY 2012	FY 2013	FY 2014	FY 2015	Target	Result	FY 2017	FY 2018
---	---	---	---	---	---	---	90%*	92%

* New measure added to replace the measure directly above to broaden the scope to include additional preparedness actions.

Goal 5.2: Mitigate Hazards and Vulnerabilities

Strategies

- *Promote public and private sector awareness and understanding of community-specific risks*
- *Reduce vulnerability through standards, regulation, resilient design, effective mitigation, and disaster risk reduction measures*
- *Prevent maritime incidents by establishing, and ensuring compliance with, standards and regulations*

Strategic Review Summary of Progress

The Department of Homeland Security (DHS) has determined that performance toward this goal is making satisfactory progress.

Assessment Lead

Co-Lead: Roy Wright, Deputy Associate Administrator, Federal Emergency Management Agency (FEMA), Insurance & Mitigation

Co-Lead: Verne Gifford, CAPT, Director of Inspections & Compliance, U.S. Coast Guard (USCG)

Introduction

DHS is uniquely positioned not only to support communities during a disaster, but also to enable partners to take steps that will decrease risk and mitigate future hazards before a disaster strikes. While risk cannot be completely eliminated, DHS can influence and support more positive outcomes in reducing risks by: mitigating hazards and vulnerabilities through promoting public and private sector awareness and understanding of community-specific risks; reducing vulnerability through effective mitigation and disaster risk reduction measures; and preventing maritime incidents by establishing, and ensuring compliance with standards and regulations.

Achievements

The Department continued to increase active participation by all segments of society in building, sustaining, and delivering core capabilities. Consistent increases have been seen in the percent of communities in high earthquake, flood, and wind-prone areas that adopt disaster resistant building codes; the percent of the population where Risk Mapping Assessment and Planning has been deployed; and the percent of U.S. population (excluding territories) covered by planned mitigation strategies. In the maritime environment, DHS efforts continue to result in decreases in 5-year averages of chemical discharge incidents, oil spills, as well as deaths and injuries in commercial and recreational boating. Finally, DHS continues to partner with industry and academia to develop innovative technologies to support mitigation efforts. Most recently DHS collaborated with industry partners to develop innovative flood control technologies, including a tunnel plug fabric design to create stairwell covers. DHS also developed a system that identifies community resilience indicators that enable community risk assessment and resilience planning that can save lives, reduce property loss, and enhance resilience to disruptive events. Additional accomplishments for this goal are outlined in the performance measures in the following Performance Results and Plan section.

Challenges

Though DHS made advances in mitigating hazards and vulnerabilities, significant challenges persist. The National Flood Insurance Program (NFIP) currently owes the U.S. Department of the Treasury more than \$23 billion primarily to pay claims from Hurricane Katrina. DHS will continue work on the development of an affordability framework for the NFIP. Prevention programs continue to work with industry and regulated partners to identify and mitigate these risks.

Performance Highlight



Wireless Emergency Alerts Continue to Save Lives Across the Country

In early 2016, severe storms brutalized Sarasota, Florida, an area of the country where tornado sirens are ineffective, and basements are uncommon. The National Weather Service (NWS) leveraged FEMA's Integrated Public Alert and Warning System (IPAWS) to issue a tornado warning via Wireless Emergency Alert (WEA) to local residents. Use of the WEA functions inherent to IPAWS provided citizens in the midst of the impacted area with enough warning to seek shelter in closets, bathrooms, and other interior spaces. The NWS warnings sent to residents' mobile phones likely prevented injuries and potentially saved lives. "If something happens in the middle of the night like we saw on Sunday, there's nothing else that's going to alert you like that," said Aaron Gallaher, communication director for the Florida


Division of Emergency Management.

One month later, New Mexico authorities used IPAWS to issue an AMBER Alert after a two-year old girl was abducted at gunpoint in Albuquerque. A citizen who received the AMBER Alert spotted the abductor's vehicle and alerted the police. Police apprehended the suspect, and recovered the little girl.

These two examples illustrate how IPAWS alerts and warnings saved lives and assisted recovery of missing children during FY 2016. IPAWS is an integrated modernization of the Nation's alert and warning infrastructure that enables public safety authorities to disseminate messages through multiple media pathways to alert and warn the public about a broad range of emergencies. Investments in technologies like IPAWS are mitigation strategies to reduce damage and save lives.

Performance Results and Plan

In FY 2016, there were four strategic performance measures used to assess the Department's efforts for this goal. In FY 2016, 100 percent of the measures met their target and 100 percent maintained or improved actual results compared to FY 2015.

Goal	Performance Summary				
Scale:	0%	25%	50%	75%	100%
Goal 5.2: Mitigate Hazards and Vulnerabilities					

◆ - Percent of measures that met their FY 2016 target.

◇ - Percent of measures that maintained or improved actual performance results compared to FY 2015.

Below are the strategic measures that gauge efforts to mitigate hazards and vulnerabilities. For those measures that did not meet their targets, an explanation with corrective action is provided. In addition, changes to measure names and targets from the previous year's report are identified. Finally, to continually improve our set of performance measures, new measures are introduced and measures are retired each year, and are identified, if applicable, in the measure tables.

Mitigation Measures: DHS understands that effective mitigation activities save lives and reduce long-term costs of disasters. The measures below reflect some of the key mitigation activities that DHS can influence to support positive outcomes in reducing risks.

Percent of communities in high earthquake, flood, and wind-prone areas adopting disaster-resistant building codes (FEMA)

Prior Results					FY 2016		Future Targets	
FY 2011	FY 2012	FY 2013	FY 2014	FY 2015	Target	Result	FY 2017	FY 2018
48%	56%	57%	61%	63%	62%	68%	63%	64%

Percent of U.S. population (excluding territories) covered by planned mitigation strategies (FEMA)

Prior Results					FY 2016		Future Targets	
FY 2011	FY 2012	FY 2013	FY 2014	FY 2015	Target	Result	FY 2017	FY 2018
68.7%	71.0%	76.7%	79.6%	80.8%	79.0%	81.0%	79.0%	79.0%

Benefit to cost ratio of the hazard mitigation grants (FEMA)

Prior Results					FY 2016		Future Targets	
FY 2011	FY 2012	FY 2013	FY 2014	FY 2015	Target	Result	FY 2017	FY 2018
---	---	---	---	---	1.3	1.6	1.4	1.5

Three-year average number of serious marine incidents (USCG)

Prior Results					FY 2016		Future Targets	
FY 2011	FY 2012	FY 2013	FY 2014	FY 2015	Target	Result	FY 2017	FY 2018
---	---	---	---	696	≤ 701	688	≤ 698	≤ 698

Goal 5.3: Ensure Effective Emergency Response

Strategies

- *Provide timely and accurate information*
- *Conduct effective, unified incident response operations*
- *Provide timely and appropriate disaster assistance*
- *Ensure effective emergency communications*

Strategic Review Summary of Progress

The Department of Homeland Security (DHS), in consultation with the Office of Management and Budget (OMB), has highlighted this goal as a focus area for improvement.

Assessment Lead

Co-Lead: Damon Penn, Assistant Administrator, Federal Emergency Management Agency (FEMA), Response

Co-Lead: Anthony Popiel, CAPT, Deputy Director, U.S. Coast Guard (USCG), Incident Management and Preparedness Policy

Introduction

Striving to protect America and its citizens against major accidents, disruptions, natural disasters and deliberate attacks, DHS uses a “survivor-centric” approach while acting as the federal coordinator during disaster response, supporting state, local, tribal, territorial, and regional governments while working closely with nongovernmental organizations and the private sector to help leverage needed resources. The Department provides timely and accurate information to individuals and communities to support public safety and inform appropriate actions by the public before, during, and after emergencies and conducts effective, unified incident response operations.

Achievements

DHS partners with the private sector, non-governmental organizations, and other community organizations and individuals to ensure effective emergency response to numerous declared disasters. While there has been an attrition of the reserve workforce which impacts cadre readiness, over the past year the Department has been able to consistently initiate incident management and support actions within 72 hours of an emergency.

National, DHS, and Component strategies drive program execution and policy changes. For example, DHS utilized hundreds of exercises to improve emergency preparedness and response protocols. DHS also updated and maintains the National Emergency Communications Plan (NECP), the Nation’s overarching strategy for emergency communications, to help DHS and stakeholders target resources to ensure effective emergency communications. Other notable achievements include the launching of an efficient emergency response personnel management database, establishing teams to review technology gaps and

During the Houston, Texas flooding in April 2016, Houston Fire Department personnel used datacasting (broadcasting real-time video and critical data) to get video footage into the Emergency Operations Center to share with city leaders for situational awareness.

coordinate R&D efforts to close gaps across DHS mission areas, and delivering over 186 technical assistance opportunities to state and local public safety organizations to improve technical Emergency Communications competencies. For a more specific discussion of performance results associated with this goal, see the Performance Measure Results and Plan section.

Challenges

DHS has not had to respond to a large scale event since 2012, when Hurricane Sandy impacted the East Coast; however, the likelihood of another large scale disaster is high and DHS needs to build a disaster workforce capable of responding not just to the small disasters, but also for potential large-scale future events. FEMA's reservist workforce suffers from a high attrition rate and USCG faces similar challenges that are impacting the Department's ability to retain and grow the surge capacity and reserve forces needed for larger disaster events.

DHS recognizes several other emerging challenges that may impact success in achieving this goal. Legacy emergency communications systems, including the Integrated Public Alert and Warning System's Primary Entry Point, require extensive modernization and integration to improve interoperability and reduce fragmentation. The pace of emergency communications innovation is evolving faster than public safety officials' ability to incorporate these changes into doctrine and policy. The First Responder Network Authority is developing a network specifically for public safety use. These will lead to opportunities for capability enhancement; however, some efforts are fragmenting current systems and contributing to a system with less interoperability. To fully realize the potential of these innovations, DHS will continue to prioritize this transition and incorporate these new technologies under the NECP. Finally, evolving infrastructure systems rely on cyber technology, creating efficiency but also introducing the risk of exploitation, misuse, or failure. With increasing dependency on new technologies and cyber infrastructure, DHS and industry must ensure an effective, efficient, and resilient response in the case of a disruption.

Corrective Actions

The largest challenges in this area relate to the disaster workforce and interoperability of the emergency communication systems. In terms of corrective actions, there are several ongoing and future efforts taking place to ensure DHS has a disaster workforce in place capable of effectively responding to a large scale disaster. Across the department, DHS Components are working to right-size, staff, administer, and manage their emergency response workforces through a variety of initiatives. These initiatives include USCG's Force Planning Construct, a FEMA Legislative Change Proposal, improved recruiting processes, and changes to FEMA's pay scales in order to attract and maintain qualified employees.

DHS recognizes that the interoperability of emergency communication systems is also a large risk to ensuring effective emergency response. To address this risk FEMA intends to continue implementation of the National Emergency Communications Plan to improve response coordination and interoperability of communications networks to ensure unity of response across all levels of government. Work is also underway to develop a plan to modernize Primary Entry Point stations that are part of the National Public Warning System in order to provide a more resilient and updated public warning system.

Performance Highlight



Mass Rescue Operation at Sea

On August 17th, 2016, USCG Sector San Juan received a distress call from cruise ship **CARIBBEAN FANTASY**. The cruise ship, carrying more than 500 passengers and crew onboard, experienced an engine room fire that quickly spread throughout the vessel. Sector San Juan immediately activated its Mass Rescue Operations (MRO) plan, launching USCG assets and coordinating with various federal and local agencies to assist. All 500+ passengers and crew evacuated into life rafts and were safely transported to shore by responding government, commercial, and private vessels.

The outstanding coordination and response of involved agencies is a result of the combined efforts of maritime stakeholders to ensure proper measures are in place for such an event. MRO incidents are challenging and complex, requiring extensive planning and preparation for optimal response. USCG works nation-wide with industry stakeholders, and other federal, state, and local agencies to establish and exercise regional MRO plans to ensure seamless response and multi-agency coordination should real-world incidents like this occur.

Performance Results and Plan

In FY 2016, there were nine strategic performance measures used to assess the Department's efforts for this goal. For the FY 2017-2018 performance plan, one new measure is being introduced. In FY 2016, 67 percent of the measures met their target and 78 percent maintained or improved actual results compared to FY 2015.

Goal	Performance Summary				
Scale:	0%	25%	50%	75%	100%
Goal 5.3: Ensure Effective Emergency Response	<div><div></div><div></div><div></div><div></div><div></div><div></div><div></div><div></div><div></div><div></div><div></div><div></div><div></div><div></div><div></div><div></div><div></div><div></div><div></div><div></div><div></div><div></div><div></div><div></div><div></div><div></div><div></div><div></div><div></div><div></div><div></div><div></div><div></div><div></div><div></div><div></div><div></div><div></div><div></div><div></div><div></div><div></div><div></div><div></div><div></div><div></div><div></div><div></div><div></div><div></div><div></div><div></div><div></div><div></div><div></div><div></div><div></div><div></div><div></div><div></div><div></div><div></div><div></div><div></div><div></div><div></div><div></div><div></div><div></div><div></div><div></div><div></div><div></div><div></div><div></div><div></div><div></div><div></div><div></div><div></div><div></div><div></div><div></div><div></div><div></div><div></div><div></div><div></div><div></div><div></div><div></div><div></div><div></div><div></div><div></div><div></div><div></div><div></div><div></div><div></div><div></div><div></div><div></div><div></div><div></div><div></div><div></div><div></div><div></div><div></div><div></div><div></div><div></div><div></div><div></div><div></div><div></div><div></div><div></div><div></div><div></div><div></div><div></div><div></div><div></div><div></div><div></div><div></div><div></div><div></div><div></div><div></div><div></div><div></div><div></div><div></div><div></div><div></div><div></div><div></div><div></div><div></div><div></div><div></div><div></div><div></div><div></div><div></div><div></div><div></div><div></div><div></div><div></div><div></div><div></div><div></div><div></div><div></div><div></div><div></div><div></div><div></div><div></div><div></div><div></div><div></div><div></div><div></div><div></div><div></div><div></div><div></div><div></div><div></div><div></div><div></div><div></div><div></div><div></div><div></div><div></div><div></div><div></div><div></div><div></div><div></div><div></div><div></div><div></div><div></div><div></div><div></div><div></div><div></div><div></div><div></div><div></div><div></div><div></div><div></div><div></div><div></div><div></div><div></div><div></div><div></div><div></div><div></div><div></div><div></div><div></div><div></div><div></div><div></div><div></div><div></div><div></div><div></div><div></div><div></div><div></div><div></div><div></div><div></div><div></div><div></div><div></div><div></div><div></div><div></div><div></div><div></div><div></div><div></div><div></div><div></div><div></div><div></div><div></div><div></div><div></div><div></div><div></div><div></div><div></div><div></div><div></div><div></div><div></div><div></div><div></div><div></div><div></div><div></div><div></div><div></div><div></div><div></div><div></div><div></div><div></div><div></div><div></div><div></div><div></div><div></div><div></div><div></div><div></div><div></div><div></div><div></div><div></div><div></div><div></div><div></div><div></div><div></div><div></div><div></div><div></div><div></div><div></div><div></div><div></div><div></div><div></div><div></div><div></div><div></div><div></div><div></div><div></div><div></div><div></div><div></div><div></div><div></div><div></div><div></div><div></div><div></div><div></div><div></div><div></div><div></div><div></div><div></div><div></div><div></div><div></div><div></div><div></div><div></div><div></div><div></div><div></div><div></div><div></div><div></div><div></div><div></div><div></div><div></div><div></div><div></div><div></div><div></div><div></div><div></div><div></div><div></div><div></div><div></div><div></div><div></div><div></div><div></div><div></div><div></div><div></div><div></div><div></div><div></div><div></div><div></div><div></div><div></div><div></div><div></div><div></div><div></div><div></div><div></div><div></div><div></div><div></div><div></div><div></div><div></div><div></div><div></div><div></div><div></div><div></div><div></div><div></div><div></div><div></div><div></div><div></div><div></div><div></div><div></div><div></div><div></div><div></div><div></div><div></div><div></div><div></div><div></div><div></div><div></div><div></div><div></div><div></div><div></div><div></div><div></div><div></div><div></div><div></div><div></div><div></div><div></div><div></div><div></div><div></div><div></div><div></div><div></div><div></div><div></div><div></div><div></div><div></div><div></div><div></div><div></div><div></div><div></div><div></div><div></div><div></div><div></div><div></div><div></div><div></div><div></div><div></div><div></div><div></div><div></div><div></div><div></div><div></div><div></div><div></div><div></div><div></div><div></div><div></div><div></div><div></div><div></div><div></div><div></div><div></div><div></div><div></div><div></div><div></div><div></div><div></div><div></div><div></div><div></div><div></div><div></div><div></div><div></div><div></div><di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◆ - Percent of measures that met their FY 2016 target.

◇ - Percent of measures that maintained or improved actual performance results compared to FY 2015.

Below are the strategic measures that gauge efforts to ensure effective emergency response. For those measures that did not meet their targets, an explanation with corrective action is provided. In addition, changes to measure names and targets from the previous year's report are identified. Finally, to continually improve our set of performance measures, new measures are introduced and measures are retired each year, and are identified, if applicable, in the measure tables.

Disaster Response Measures: The measures below represent those activities that are known key indicators to a successful response to a disaster. DHS uses a "survivor-centric" approach while acting as the federal coordinator during disaster response to support state, local, tribal, territorial, and

regional governments while working closely with nongovernmental organizations and the private sector to help leverage needed resources.

Percent of incident management and support actions taken that are necessary to stabilize an incident that are performed within 72 hours or by the agreed upon time (FEMA)

Prior Results					FY 2016		Future Targets	
FY 2011	FY 2012	FY 2013	FY 2014	FY 2015	Target	Result	FY 2017	FY 2018
---	---	100%	100%	100%	100%	100%	100%	100%

Percent of Incident Management Assistance Teams establishing joint federal and state response objectives within 18 hours (FEMA)

Prior Results					FY 2016		Future Targets	
FY 2011	FY 2012	FY 2013	FY 2014	FY 2015	Target	Result	FY 2017	FY 2018
---	---	100%	100%	100%	100%	100%	100%	100%

Percent of shipments for required life-sustaining commodities (meals, water, tarps, plastic sheeting, cots, blankets, and generators) and key initial response resources delivered by the agreed upon date (FEMA)

Prior Results					FY 2016		Future Targets	
FY 2011	FY 2012	FY 2013	FY 2014	FY 2015	Target	Result	FY 2017	FY 2018
---	---	---	---	---	95%	99%	95%	95%

Operational readiness rating of FEMA's specialized incident workforce cadres (FEMA)

Prior Results					FY 2016		Future Targets	
FY 2011	FY 2012	FY 2013	FY 2014	FY 2015	Target	Result	FY 2017	FY 2018
---	---	---	---	---	69%	61%	74%	80%

Explanation for Target Not Met: Deployment activities supporting recent disaster operations influenced the decrease in readiness of the incident workforce cadres. The Field Operations Directorate will continue to recruit, equip, and train the incident workforce to increase FEMA's operational readiness in FY 2017. FEMA is adding measures in FY 2017 to more directly track progress made in staffing and qualifying the incident workforce.

Percent of incident management planned workforce currently on board (FEMA)

Prior Results					FY 2016		Future Targets	
FY 2011	FY 2012	FY 2013	FY 2014	FY 2015	Target	Result	FY 2017	FY 2018
---	---	---	---	---	---	---	76%*	80%

* New measure added to provide a means to know the status of staffing and training efforts across all cadres.

Percent of people in imminent danger saved in the maritime environment (USCG)

Prior Results					FY 2016		Future Targets	
FY 2011	FY 2012	FY 2013	FY 2014	FY 2015	Target	Result	FY 2017	FY 2018
77.3%	77.3%	79.0%	79.0%	80.0%	100%	79.3%	100%	100%

Explanation for Target Not Met: Minimizing the loss of life by rendering aid to persons in distress involves multi-mission stations, cutters, aircraft, and boats linked by communications networks. [Search and Rescue \(SAR\)](#) is one of the USCG's oldest missions. To meet this responsibility, the

USCG maintains SAR facilities on the East, West, and Gulf coasts; in Alaska, Hawaii, Guam, and Puerto Rico; and on the Great Lakes and inland U.S. waterways. Several factors hinder successful response including untimely distress notification to the USCG, incorrect distress site location reporting, severe weather conditions at the distress site, and distance to the scene. The USCG saved 5,160 lives in FY 2016, which was 79.4 percent of those in danger, and is consistent with long-term results and trends. The USCG will continue to plan, train, develop better technologies, and invest in capable assets to continue their exemplary performance in saving lives in the maritime environment.

Emergency Communication Measures: Effective communications are an essential function during an emergency. The measures below reflect achievements in improving communications capabilities to support response efforts.

Percent of the U.S. population directly covered by FEMA connected radio transmission stations (FEMA)

Prior Results					FY 2016		Future Targets	
FY 2011	FY 2012	FY 2013	FY 2014	FY 2015	Target	Result	FY 2017	FY 2018
84%	85%	90%	90%	90%	90%	90%	90%	90%

Percent of time the Integrated Public Alert and Warning System (IPAWS) infrastructure is operating and available for use by federal, state, and local officials for the dissemination of emergency alerts (FEMA)

Prior Results					FY 2016		Future Targets	
FY 2011	FY 2012	FY 2013	FY 2014	FY 2015	Target	Result	FY 2017	FY 2018
---	---	---	---	---	99.9%	99.8%	99.9%	99.9%

Explanation for Target Not Met: In the 4th quarter of FY 2016, a single FEMA-wide Domain Name System (DNS) error—FEMA's DNS security certificate had expired—caused the IPAWS environment, and the backup system, to be unreachable for 14 straight hours. While the IPAWS application and systems remained operational, external connectivity failed. This outage affected all resources on the FEMA.gov domain. FEMA continues to strive to improve upon its systems and services and will continue to do so going forward in FY 2017.

Percent of calls made by National Security/Emergency Preparedness users during emergency situations that DHS ensured were connected (NPPD)

Prior Results					FY 2016		Future Targets	
FY 2011	FY 2012	FY 2013	FY 2014	FY 2015	Target	Result	FY 2017	FY 2018
97.8%	99.4%	96.8%	99.3%	99.3%	97.5%	99.0%	98.0%	98.5%

Percent of States and Territories with operational communications capabilities at the highest levels relative to Threat and Hazard Identification and Risk Assessment (THIRA) preparedness targets (NPPD)

Prior Results					FY 2016		Future Targets	
FY 2011	FY 2012	FY 2013	FY 2014	FY 2015	Target	Result	FY 2017	FY 2018
---	---	---	---	---	55%	55%	56%	57%

Goal 5.4: Enable Rapid Recovery

Strategies

- *Ensure continuity and restoration of essential services and functions*
- *Support and enable communities to rebuild stronger, smarter, and safer*

Strategic Review Summary of Progress

The Department of Homeland Security (DHS) has determined that this goal is making satisfactory progress.

Assessment Lead

Keith Turi, Assistant Administrator, Federal Emergency Management Agency (FEMA)

Introduction

DHS plays a key role in facilitating recovery following a disaster by supplementing communities' recovery core capabilities; promoting infrastructure resilience guidelines and use of standards; and encouraging the development of continuity plans for communities, government, and private sector organizations. The devastating effects of large disasters, such as Hurricane Sandy, have highlighted the need to reform our national approach to long-term recovery. Communities devastated by a disaster, particularly large-scale events, face complex and difficult challenges including restoring economic viability, rebuilding infrastructure and public services, and establishing resilience against future hazards.

Achievements

The Department, after a successful pilot program, developed and maintains a new design to deliver Public Assistance (PA), which streamlines processes for state, local, and tribal officials. The new delivery model focuses on specialized processing to promote increased efficiency in the delivery of recovery assistance to applicants. The new model enables PA grant funding to segment work, consolidate resources, and standardize procedures.

Preliminary testing of the model in Iowa demonstrated that the new model's tools and process show strong indications of being able to expedite the delivery of assistance as well as enhance customer service to applicants. Additionally, policies have been updated to increase resiliency and maximize risk reduction by strengthening minimum PA codes and standards. The Department continues to receive high customer satisfaction ratings for both individual assistance and PA programs. In the maritime environment, the Department manages and supports multiple federal clean-up projects. Additionally, the Department successfully supports hundreds of events totaling tens of millions of dollars that require coordination across federal, state, local, tribal entities, and non-governmental organizations. More accomplishments are outlined in the Performance Results and Plan section.

Critical capabilities provided by rapidly deployed Mobile Communications Office Vehicles during 13 disasters, 132 unit deployments, encompassing 4781 days provides survivors with access to systems to request Federal assistance and significantly enhances recover efforts.

Challenges

The successful implementation of the new PA Delivery Model will require extensive training, coordination, and communication with internal and external partners. To prepare for this challenge, gaps in knowledge, skills, and abilities will be addressed through targeted training programs to ensure consistent implementation. Another challenge the Department faces is the collection of relevant data points to assess the efficiency and effectiveness of its programs and collaborative efforts of the interagency partners with respect to recovery efforts. FEMA is in the midst of multiple data modernization projects to improve data collection, has established a routine interagency readiness assessment process, and is developing a recovery performance framework. Aligned with concerns about the ability to respond to a large scale event are those associated with the long-term recovery efforts needed to address these types of events.

Performance Highlight



A New Public Assistance Delivery Model

FEMA is implementing a new Public Assistance (PA) Program Delivery Model focused on being customer and employee centric. This new process is a four-phased approach promoting efficiency, effectiveness, timeliness, and continuous improvement to meet the diverse needs of customers. Stage one implementation of the new delivery model occurred in Oregon beginning in February 2016, with stages two through four planned in FY 2017.

In the new process, PA segments its projects into lanes by the amount of work completed, documentation available, and

complexity of the work. Staff are trained in specialized roles and given defined workflow processes to increase the accuracy of the projects and stability of service to FEMA customers and partners. This allows FEMA to appropriately address each applicant's needs and provide a larger pool of subject matter experts across disaster operations. Additionally, the new model applies modern project management techniques, tools and templates, and expanded communication avenues. These methods increase data displayed in operational dashboards and reports, thereby increasing transparency and timeliness of decision-making. Through this program, FEMA has enabled efficient support to state, local, tribal, and territories in need of assistance.

Performance Results and Plan

In FY 2016, there were two strategic performance measures used to assess the Department's efforts for this goal. In FY 2016, 50 percent of the measures met their target and zero percent maintained or improved actual results compared to FY 2015.

Goal	Performance Summary				
	Scale:	0%	25%	50%	75% 100%
Goal 5.4: Enable Rapid Recovery		◆		◆	

◆ - Percent of measures that met their FY 2016 target.

◇ - Percent of measures that maintained or improved actual performance results compared to FY 2015.

Below are the strategic measures that gauge efforts to enable rapid recovery. For those measures that did not meet their targets, an explanation with corrective action is provided. In addition, changes to measure names and targets from the previous year's report are identified. Finally, to continually improve our set of performance measures, new measures are introduced and measures are retired each year, and are identified, if applicable, in the measure tables.

Recovery Assistance Measures: The measures below assess how individuals and communities rate the services they receive with respect to recovery efforts. The Department facilitates recovery following a disaster by supplementing communities' recovery core capabilities; promoting infrastructure resilience guidelines and use of standards; and encouraging the development of continuity plans for communities, government, and private sector organizations.

Percent of recovery services through Individual Assistance delivered to disaster survivors gauging the quality of program services, supporting infrastructure, and customer satisfaction following a disaster (FEMA)

Prior Results					FY 2016		Future Targets	
FY 2011	FY 2012	FY 2013	FY 2014	FY 2015	Target	Result	FY 2017	FY 2018
---	---	94.5%	91.5%	96.9%	94.0%	95.3%	95.0%	96.0%

Percent of recovery services through Public Assistance delivered to communities gauging the quality of program services, supporting infrastructure, and customer satisfaction following a disaster (FEMA)

Prior Results					FY 2016		Future Targets	
FY 2011	FY 2012	FY 2013	FY 2014	FY 2015	Target	Result	FY 2017	FY 2018
---	---	86.2%	90.9%	92.0%	93.0%	90.0%	93.0%	93.0%

Explanation for Target Not Met: This measure is a weighted percent of how FEMA delivers quality services to communities following a disaster based upon three categories: program services; supporting infrastructure; and customer satisfaction. Sub-elements within these categories include ensuring timely kickoff meetings following requests for public assistance (RPA); having available grant management systems; assuring that business staff are in place; and delivering these services to enhance customer satisfaction of those receiving public assistance. The time to complete the kickoff meeting following an RPA has been difficult to meet due to process issues. Public Assistance (PA) continues to improve and implement the New Delivery model as more disasters are declared. After completing Phase 1 this year, PA will utilize its lessons learned to improve its efficiency and effectiveness for delivering this program. In FY 2017, PA will be implementing the new customer relationship management tool that will capture new data elements to evolve the implementation of the new model.

Mature and Strengthen Homeland Security

In considering the evolution of the Department and the ever-changing environment in which it operates, we have identified several key, cross-cutting functional areas of focus for action within the Department that must be accomplished in order for it to successfully execute its core missions. These functions, and the critical activities associated with them, serve as the supporting foundation that underpins all homeland security missions, and are considered management goals not strategic goals. The majority of measures to gauge our success in Mature and Strengthen are in our management set of measures, which are available in the Strategic Context chapter of each Component's Congressional Budget Justification located on the DHS budget webpage at: <http://www.dhs.gov/dhs-budget>. A small number of activities in this area produce results that are deemed more strategic in nature, and are displayed here.

Goal: Integrate Intelligence, Information Sharing, and Operations

Strategies

- *Enhance unity of regional operations coordination and planning*
- *Share homeland security information and analysis, threats, and risks*
- *Integrate counterintelligence*
- *Establish a common security mindset with domestic and international partners*
- *Preserve civil rights, civil liberties, privacy, oversight, and transparency in the execution of homeland security activities*

Performance Highlight



Homeland Security Intelligence Council

Under Secretary Francis X. Taylor, in his role as DHS Chief Intelligence Officer (CINT), initiated a new management structure under the Homeland Security Intelligence Council (HSIC) to better integrate the DHS Intelligence Enterprise (IE). The CINT designated Intelligence Mission Managers, structured similarly to the Office of the Director of Intelligence National Intelligence Managers, to focus on the five priority mission areas in the Department: Borders and Immigration, Cyber and Critical Infrastructure, Counterterrorism and Countering Violent Extremism, Aviation Security, and Counterintelligence and Security. This nascent effort has already begun to strengthen departmental communities of interest and will build a

stronger foundation for integrated intelligence production for decision makers. This construct has evolved into a tool for the CINT and the HSIC to bring to bear the collective efforts of the DHS IE to address the most pressing homeland security intelligence challenges. It has improved intelligence support to decision makers across the Department, ensuring all DHS intelligence assets are incorporated into serving customer needs.

Performance Results and Plan

In FY 2016, there was one strategic performance measure used to assess the Department's efforts for this goal. For the FY 2017-2018 performance plan, two new measures are being introduced and one measure is being retired.

Operations Coordination Measures: The Office of Operations Coordination provides information daily to the Secretary of Homeland Security, senior leaders, and the homeland security enterprise to enable decision-making; oversees the National Operations Center; and leads the Department's Continuity of Operations and Government Programs to enable continuation of primary mission essential functions in the event of a degraded or crisis operating environment. The measures below describe needed reports and situational awareness products which must be delivered in a timely manner to improve homeland security.

Percent of initial breaking homeland security blast calls initiated between the National Operations Center and designated homeland security partners within targeted timeframes (Operations Coordination (OPS))

Prior Results					FY 2016		Future Targets	
FY 2011	FY 2012	FY 2013	FY 2014	FY 2015	Target	Result	FY 2017	FY 2018
100%	100%	100%	98%	N/A	98%	N/A	Retired*	

* This measure is being retired and replaced with the following two measures to improve reporting capabilities and timeliness.

Explanation of Results: For the last two years there have been no reportable events. This measure assesses the rate at which DHS completes inter- and intra-agency blast calls to provide executive decision makers inside and outside DHS immediate verbal situational reports on breaking homeland security situations of national importance. All of the National Operations Center (NOC) duties following an incident are designed to prepare the Secretary to brief the American public within 60 minutes of a significant event. If the blast call does not happen in a timely manner, the NOC will not have the information and situational awareness necessary to prepare DHS senior leadership for this essential requirement. The targeted timeframe to initiate the blast call is within 10 minutes of the Senior Watch Officer determining that the breaking homeland security situation is at least a Phase-1 event. Due to the low volume of reportable event, this measure is being retired.

Percent of National Operations Center incident reports and situational awareness products produced and disseminated to the homeland security enterprise within targeted timeframes (OPS)

Prior Results					FY 2016		Future Targets	
FY 2011	FY 2012	FY 2013	FY 2014	FY 2015	Target	Result	FY 2017	FY 2018
---	---	---	---	---	---	---	90%*	90%

* New measure added to replace the measure directly above to improve reporting capabilities and timeliness.

Percent of risk assessments for federal security support of large public/community special events completed within the targeted time frame (OPS)

Prior Results					FY 2016		Future Targets	
FY 2011	FY 2012	FY 2013	FY 2014	FY 2015	Target	Result	FY 2017	FY 2018
---	---	---	---	---	---	---	98%*	98%

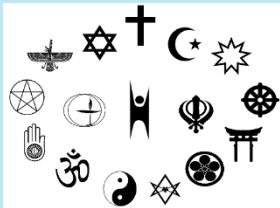
* New measure added to assess DHS's responsive in providing risk assessments for special events throughout the country.

Goal: Enhance Partnerships and Outreach

Strategies

- *Promote regional response capacity and civil support*
- *Strengthen the ability of federal agencies to support homeland security missions*
- *Expand and extend governmental, nongovernmental, domestic, and international partnerships*
- *Further enhance the military-homeland security relationship*

Performance Highlight



Communities Discuss Religious Intolerance

In FY 2016, the White House hosted a special event with DHS and the U.S. Department of Justice (DOJ), which brought together a diverse group of federal government officials, community and faith-based leaders, and advocacy groups to talk about an issue that impacts far too many people in our nation: religious discrimination. From March to June of 2016, DHS, DOJ and other federal agencies hosted a series of roundtables across the country with community stakeholders to discuss issues such as religious bias and

obstacles to religious practice. DOJ released a [report on these roundtables](#) and, along with other federal agencies, announced new steps they are taking to address religious discrimination.

Building safe and resilient communities that protect religious freedom is a fundamental part of the Department's mission. On behalf of DHS, the Office for Civil Rights and Civil Liberties (CRCL) works closely with communities to promote tolerance and ensure safety at houses of worship. CRCL support includes:

- CRCL holds quarterly roundtables with demographically and religiously diverse communities. These roundtables provide an open forum for communities to discuss religious intolerance that can result in hate crimes or bias-motivated threats at the local level.
- In addition to our roundtables, CRCL also works with international partners through the United Nations Human Rights Council, to train countries on how to promote religious tolerance.
- Also, FEMA and the DHS Center for Faith-based and Neighborhood Partnerships provide [resources, training, and guidance](#) on how to protect their houses of worship.

We will continue to work with DOJ, other interagency partners, and community stakeholders to overcome the challenges to religious freedom and safeguard the fundamental rights of all that we encounter in our homeland security mission.

Performance Results and Plan

In FY 2016, there was one strategic performance measure used to assess the Department's efforts for this goal.

Partnerships and Outreach Measure: The Department promotes an integrated national approach to homeland security by coordinating and advancing federal interaction with state, local,

tribal, and territorial (SLTT) governments. The measure below is but one example of our efforts to partner with organizations making a difference in the health and welfare of our Nation.

Percent of National Center for Missing and Exploited Children (NCMEC) examinations requested that are conducted (U.S. Secret Service (USSS))

Prior Results					FY 2016		Future Targets	
FY 2011	FY 2012	FY 2013	FY 2014	FY 2015	Target	Result	FY 2017	FY 2018
100%	100%	100%	100%	100%	100%	100%	100%	100%

Goal: Strengthen the DHS International Affairs Enterprise in Support of Homeland Security Missions

Strategies

- *Establish strategic priorities for the Department's international affairs enterprise*
- *Establish a coordination and communication mechanisms across the DHS international affairs enterprise*

Performance Highlight



Strengthening Homeland Security Through High-Level International Engagement

In 2016, the Office of International Engagement (OIE), within the Office of Policy, successfully supported the Secretary and Deputy Secretary in strengthening international partnerships through a series of key engagements. Specifically, OIE

provided Departmental leadership both detailed and large-scale support ranging from detailed policy memos, pre-briefings, as well as the logistical coordination and planning with international partners for four ministerial-level summits. Among these engagements were the G6+1 Ministerial Conference (France, Germany, Italy, Poland, Spain, the UK, and the United States); the Five Country Ministerial Conference (Australia, Canada, New Zealand, the UK, and the United States); and two gatherings of the Justice and Home Affairs Ministerial forum (EU participation included Justice and Home Affairs ministerial leadership and US participation included DHS and Department of Justice leadership). These multilateral opportunities further deepened and advanced vital agreements such as the Passenger Name Recognition, the Advance Passenger Information system, and the Global Entry program. These agreements have contributed to an advanced system of information sharing among the US and our partners. On a broader level, each DHS high-level engagement over the past year has allowed leadership to reinforce the critical role the Department plays in creating and advancing ways to defend from the threat of terrorism, organized crime, human trafficking, and more.

Goal: Conduct Homeland Security Research and Development

Strategies

- *Employ scientific study to understand homeland security threats and vulnerabilities*
- *Develop innovative approaches and effective solutions to mitigate threats and vulnerabilities*
- *Leverage the depth of capacity in national labs, universities, and research centers*

Performance Highlight



Datacasting Improves Data Sharing and Interoperability

DHS's Science and Technology (S&T) Directorate has worked diligently to ensure first responders have the tools, technologies and knowledge they need to save lives and protect property while staying safe. Datacasting is a way to transmit encrypted live video and data over existing broadcast television signals to a targeted audience within public safety, thus improving data sharing and interoperability at minimal cost and effort.

S&T supported deployment of a prototype datacasting system installed at the City of Houston Emergency Operations Center during the NCAA Final Four National Championship Games in April 2016. Participants were able to use the system effectively with little hands-on training, citing the ability to upload or stream real time video from a smartphone that enabled officers in the field to relay data to the datacasting system for wider dissemination.

During the Houston flooding in April 2016, Houston Fire Department personnel surveyed the flooded areas via helicopter, but lacked an onboard camera or video streaming capability. A cell phone was used to stream live video into the datacasting system, making it possible to get the video footage into the Emergency Operations Center to share with city leaders for situational awareness.

Performance Results and Plan

In FY 2016, there was one strategic performance measure used to assess the Department's efforts for this goal.

Research and Development Measure: As DHS's primary research and development (R&D) arm, S&T manages science and technology research, from development through transition, for the Department's operational Components and the Nation's first responders. S&T's engineers, scientists and researchers work closely with industry and academic partners to ensure R&D investments address the high-priority needs of today and the growing demands of the future. The

measure below assesses our progress in working with DHS component partners to develop several Apex programs that incorporate our visionary goals.

Percent of Apex technologies or knowledge products transitioned to customers for planned improvements in the Homeland Security Enterprise (S&T)

Prior Results					FY 2016		Future Targets	
FY 2011	FY 2012	FY 2013	FY 2014	FY 2015	Target	Result	FY 2017	FY 2018
				82%	80%	100% *	80%	80%

* This measure consists of completing transitions of high priority and high value research and development projects known as Apex projects. A successful transition is the ownership and operation of a technology or knowledge product by a customer within the Homeland Security Enterprise. In FY 2016, a total of six transitions were planned for Air Entry/Exit Re-engineering and Apex Border Enforcement Analytics Project. Despite delays in funding, all six transitions were completed in FY 2016.

Goal: Ensure Readiness of Frontline Operators and First Responders

Strategies

- Support systems for training, exercising, and evaluating capabilities
- Support law enforcement, first responder, and risk management training

Performance Highlight



Homeland Security Leadership Academy

The Federal Law Enforcement Training Centers (FLETC) is in its second year of partnering with the National Sheriffs' Association to deliver a two-week executive leadership training program for command level local law enforcement leaders. The program addresses some of the most critical challenges faced by state, local, and tribal law enforcement executives, and includes leadership topics such as leading in a crisis, ethics, emotional intelligence, critical thinking, and decision making. Participants engage in realistic training scenarios, facilitating review of their own operations, policies, procedures, and readiness for an active shooter situation, pandemic emergency,

or some other type of major event. Additionally, they participate in simulated exercises to identify barriers and biases that can impede decision-making and to collaborate on methods of overcoming obstacles in the midst of a crisis. The program also includes an executive forum, which features expert panelists answering questions on topics such as recruitment, community trust, safety, mental health, and data collection and analysis.

There are now 47 HSLA graduates from 45 agencies, representing 34 states and one U.S. territory. They are leaders within their agencies and their communities who now have a unique connection to FLETC and the Department of Homeland Security. This summer, graduates of the pilot 2015 HSLA program received follow-on training at the NSA annual conference in Minneapolis, Minnesota, earning a certification in Homeland Security. FLETC plans to provide this follow-on training opportunity each year at the NSA conference for HSLA graduates.

Performance Results and Plan

In FY 2016, there were two strategic performance measures used to assess the Department's efforts for this goal.

Federal Law Enforcement Training Measure: The Federal Law Enforcement Training Centers (FLETC) provides career-long training to law enforcement professionals to help them fulfill their responsibilities safely and proficiently. Over the past 46 years, FLETC has grown into the Nation's largest provider of law enforcement training. These measures provide an assessment of how well our training programs are being received by those receiving the training. These measures also assess the capacity of our training programs.

Number of federal law enforcement training programs and/or academies accredited or re-accredited through the Federal Law Enforcement Training Accreditation process (FLETC)

Prior Results					FY 2016		Future Targets	
FY 2011	FY 2012	FY 2013	FY 2014	FY 2015	Target	Result	FY 2017	FY 2018
66	83	97	107	114	118	119	123	128

Percent of Partner Organizations that agree the Federal Law Enforcement Training Centers training programs address the right skills (e.g., critical knowledge, key skills and techniques, attitudes/behaviors) needed for their officers/agents to perform their law enforcement duties (FLETC)

Prior Results					FY 2016		Future Targets	
FY 2011	FY 2012	FY 2013	FY 2014	FY 2015	Target	Result	FY 2017	FY 2018
98.5%	96%	100%	91%	98%	95%	95%	95%	95%

Goal: Strengthen Service Delivery and Manage DHS Resources

Strategies

- *Recruit, hire, retain, and develop a highly qualified, diverse, effective, mission-focused, and resilient workforce*
- *Manage the integrated investment life cycle to ensure that strategic and analytically based decisions optimize mission performance*
- *Manage and optimize financial resources, property/assets, procurements, security, and DHS IT*
- *Establish and execute a comprehensive and coordinated DHS health and medical system*

Performance Highlight



DHS Employs Innovative Approach to Critical Cybersecurity Workforce Requirement

One of the Secretary's primary goals for 2016 was to increase the Department's cybercapacity. In order to achieve this critical objective, in May of this year, the Chief Human Capital Officer, Chief Information Officer, and Chief Security Officer Councils jointly worked with representatives from every DHS Component to sponsor a DHS-wide Cyber and Technology Job Fair, which took place July 27-28. The Department identified more than 300 positions as mission critical hires across the department and posted announcements on USAJOBS, resulting in the receipt of more than 14,000 applications. A cross-department team

designed the hiring event to provide an opportunity for both scheduled and walk-in candidates to be interviewed, and if selected, receive a tentative job offer and initiate the security clearance process prior to leaving the job fair.

As a result of this extensive collaboration across DHS, 326 well-qualified candidates have received tentative job offers. Typically, the federal hiring process takes four to six months from the time a hiring manager interviews a candidate until they actually come onboard. However, due to the innovative approach of initiating the security clearance process at the job fair, within the first 30 days following the hiring event, 103 candidates cleared security and 22 candidates began work. Acquiring the talent to fill these critical positions in such a streamlined manner has a significant impact on increasing the cybercapabilities within DHS, during a time when cyberthreats to our Nation are continuing to evolve and grow.



Section 3: Other Information

Priority Goals

FY 2016 – 2017 Agency Priority Goals

DHS's FY 2016 – 2017 APG's are a set of focused initiatives that support the Agency's longer-term strategic framework. The goal statement and overview for our three APGs are listed below. Each of these has a set of performance measures that are provided on OMB's public portal www.performance.gov. This site also provides more detailed information about each measure, and the quarterly results that were obtained. The site also provides quarterly information regarding Progress Updates and Next Steps. Visit the web site to obtain more detailed information for each of these initiatives.

Agency Priority Goal 1: Combatting Transnational Criminal Organizations (Aligns to Mission 2)

Goal Statement: Decrease the ability of targeted transnational criminal organizations to conduct illicit activities impacting the southern border and approaches region of the United States. By September 30, 2017, actions by the DHS Joint Task Forces via synchronized component operations will result in the disruption and/or dismantlement of 15 percent of targeted transnational criminal organizations.

Overview: Transnational criminal organizations (TCOs) are self-perpetuating associations of individuals who operate transnationally for the purpose of obtaining power, influence, monetary and/or commercial gains, wholly or in part by illegal means. This is accomplished while protecting their activities through a pattern of corruption and/or violence, or while protecting their illegal activities through a transnational organizational structure and the exploitation of transnational commerce or communication mechanisms. There is no single structure under which transnational organized criminals operate; they vary from hierarchies to clans, networks, and cells, and may evolve to other structures.

Transnational Criminal Organizations (TCO's) are an adaptive and innovative adversary; they are known to search for new ways to leverage their business model to generate profits and engage in criminal activity - whether it be finding new smuggling routes and methods or entering into new criminal enterprises. TCOs represent a persistent threat to western hemisphere stability, economic prosperity, free trade, and security, because of their control of illicit trade, travel, and finance—by utilizing existing and/or creating new illegal pathways for smuggling throughout the Southern Border and Approaches region. This region extends from the waters off Los Angeles, California, eastward to Puerto Rico and the Virgin Islands, and southward to the North Coast of South America. The region includes approximately 2,000 miles of land border with Mexico, 3,050 miles of coastline along California, the Gulf of Mexico, and Florida, as well as the airspace spanning U.S. territorial land and waters, and international waters of the Eastern Pacific Ocean, and Caribbean Sea. The greatest criminal threat within this region is posed by TCOs in regional groups in Central and South America and the Caribbean. This threat is based on their ability to generate massive

illicit profits, which they have been known to use to suborn public officials and law enforcement, and perpetuate drug-related violence and other crimes, such as kidnappings and extortion.

To more effectively combat the TCO threat, DHS established Joint Task Forces (JTFs) to integrate intelligence, planning, interdiction and investigative efforts across U.S. Customs and Border Protection, U.S. Immigration and Customs Enforcement, and the U.S. Coast Guard, and to prioritize and target threat streams operating in the Southern Border and Approaches region, as well as combat TCO activity and splinter organizations present within the U.S. and internationally. DHS will leverage both domestic and international resources and capabilities through intelligence, information sharing, and law enforcement collaboration to weaken and eliminate TCOs who pose the greatest threat to border security, while still facilitating the flow of lawful trade, travel, and commerce across our nation's borders.

Disrupting and/or dismantling TCOs is a primary outcome of the JTFs and is a result of concentrated, unified actions taken by DHS law enforcement components to identify, target and stop some of the most dangerous and damaging criminal and smuggling operations impacting our Nation's southern border and approaches regions. Daily actions are taken to counter and degrade threats posed by TCOs, but true disruptions and dismantlements of operations are hard won battles. Disruptions and dismantlements incapacitate threats from targeted TCOs, represent the best and most enduring successes against these criminal organizations, and demonstrate gains to border security made possible through coordinated law enforcement campaigns. Since new threats continuously present themselves, new lists are created throughout each year that targets the highest priority threats.

Progress Update: The Joint Task Forces (JTFs) continued to use operational plans to focus on disrupting and dismantling targeted TCOs, advancing progress in implementing the DHS Southern Border and Approaches Campaign Plan. The JTFs demonstrated the ability to conduct integrated joint investigations and operations within their joint operating areas or functions, supported by DHS operational components. Coordination mechanisms to share intelligence with JTF-Investigations, JTF-West and JTF-East ensure appropriate consequence application against TCOs who pose the greatest threat to border security. In addition to planning and executing several highly successful operations during FY 2016, all three JTFs received Component validation and Secretary approval for their operational priorities that they will continue to follow into FY 2017.

JTF-West continued their priority efforts to integrate intelligence, planning, interdiction, and investigative activities beyond traditional DHS component operational capabilities and the immediate border. JTF-West demonstrated the ability of leveraging the full spectrum of DHS intelligence, interdiction, and investigative efforts which has maximized consequence application to illicit network members attempting to exploit operational seams, prosecutorial thresholds and those abusing current immigration benefits. JTF-West implemented and executed four fiscal year-wide operations, along with a separate 35-day operation "ALL IN" which was not part of JTF-West's originally planned operations, but directly supported the Southern Border and Approaches Campaign Plan (SBACP) objectives.

JTF-East implemented a Regional Coordinating Guide (RCG) in the East Caribbean Joint Operating Area that fused together eight component operations to maximize performance and reduce redundancy. The Eastern Caribbean Regional Integrating Group (ECRIG) continued to bear results through the RCG for components to collaborate and disrupt migrant smuggling networks. ECRIG's

coordinated effort resulted in the execution of one joint operation and four arrests linked to a TCO. JTF-East coordinated the intelligence consolidation efforts to produce intelligence assessments and address current threats in Puerto Rico and Bahamas. This sustained migrant detection and interdiction capabilities en route to the United States via Caribbean and Central American pathways. During this quarter, JTF-East has also increased its engagement with Department of Defense commands through staff meetings and collaborative operational planning events.

JTF-Investigations, in coordination with several Homeland Security Investigations (HSI) Attaché offices, executed enforcement actions that resulted in the criminal arrest of an identified TCO cell leader and 33 other members of a broader group of smuggling networks. This multinational effort occurred under HSI's Operation Citadel, a multinational effort that focuses on increasing partner nation capacity to identify, disrupt, and dismantle TCOs, and other support networks involved in human smuggling throughout South and Central America, and Mexico. A second, significant effort was the Homeland Criminal Organization Targeting (HOMECORT) Process, a Southern Border and Approaches Campaign investigations prioritization process, led by JTF-Investigations, to counter the top transnational criminal networks impacting the national security of the homeland. With this comprehensive criminal network analysis and national case coordination effort, JTF-Investigations achieved great success, to include arrests of significant TCO leaders.

Agency Priority Goal 2: Enhance Federal Network Security (Aligns to Mission 4)

Goal Statement: Improve federal network security by providing federal civilian executive branch agencies with the tools and information needed to diagnose, mitigate, and respond to cybersecurity threats and vulnerabilities. By September 30, 2017, DHS will deliver two phases of continuous diagnostics and mitigation tools to 100 percent of the participating federal civilian executive branch agencies so that they can monitor their networks.

Overview: The 2014 Quadrennial Homeland Security Review and the FY14-18 DHS Strategic Plan recognizes the continuing need to secure the federal civilian executive branch agencies' information technology networks and systems. By law, each head of a federal department or agency is primarily responsible for their agency's own cybersecurity. The Department of Homeland Security has overall responsibility for protecting federal civilian executive branch systems from cyber threats, helping agencies better defend themselves, and providing response teams to assist agencies during significant incidents. There is no one "silver bullet" for cybersecurity. The key is to install multiple layers of protection to best secure federal networks.

DHS's National Cybersecurity and Communications Integration Center (NCCIC) is the U.S. government's 24/7 hub for cybersecurity information sharing, incident response and coordination. The NCCIC shares information on cyber threats and incidents, and provides on-site assistance to victims of cyberattacks. The NCCIC is also where DHS manages the EINSTEIN system, the first basic layer of protection DHS provides at the network perimeter of each federal civilian executive branch agency. While there are three parts to the EINSTEIN set of capabilities, the focus is currently on the deployment of the third phase, known as EINSTEIN 3 Accelerated which has the capacity to identify and block known malicious traffic.

DHS also helps federal agencies identify and fix problems inside their networks in near real-time using the Continuous Diagnostics and Mitigation program (CDM). Once fully deployed, CDM will

constantly scan agency networks for vulnerabilities that bad actors could exploit if they did breach an agency's perimeter. The CDM Program consists of three phases that are currently in various stages of availability to federal civilian executive branch agencies. The first phase of CDM focuses on "What is on the Network," specifically asset management. This includes hardware and software assets, managing configuration settings, and vulnerabilities, all of which are foundational capabilities to protect systems and data. Phase 2 ("Who is on the Network") covers user account and network privilege management; and Phase 3 ("What is Happening on the Network") covers boundary protection, event management and security lifecycle management.

As of October 1, 2015, DHS has delivered the first phase of CDM to the 23 civilian Chief Financial Officer Act agencies, covering 97 percent of the federal civilian Executive Branch government. These agencies are expected to deploy these CDM tools on their networks within the fiscal year.

Information sharing is also fundamental to achieving cybersecurity. The NCCIC shares information on cyber threats, vulnerabilities, and incidents. In order to sufficiently address the rapidly evolving threats to our cyber systems, DHS and its partners must move beyond information sharing methods that are overly reliant on manual processes to be able to share cyber information in as close to real-time as possible. DHS is pursuing an aggressive schedule to deploy one of its next-generation information sharing techniques. The Department has an automated system in place to share cyber threat indicators, and DHS will extend this capability across the federal government and to the private sector, so that the larger community can send and receive threat indicators in near real-time. This goal aligns with Administration cybersecurity priorities. The goal was established in coordination with OMB policies and guidance, to include the Cybersecurity Strategy and Implementation Plan, the Fiscal Year 2015-2016 Guidance on Federal Information Security and Privacy Management Requirements, and the Cybersecurity CAP goal.

Progress Update:

Continuous Diagnostics and Mitigation (CDM): The CDM Program has delivered the remaining Phase 1 (asset management) tools to the final group of participating federal civilian executive branch agencies. The final award for the remaining Phase 2 tools was to have been complete in Q4 FY 2016, however, that procurement was delayed due to a protest. The final portion of Phase 2 is expected to be delivered to the remaining Phase 2 agencies in Q1 FY 2017. Once the final group of Phase 2 tools is delivered, DHS will meet its original FY 2016 target of 100%.

National Cybersecurity Protection System (NCPS): By the end of Q4 FY 2016, 47 additional federal, civilian executive branch Chief Financial Officer (CFO) Act Department and Agency (D/As) entities were brought on to E³A services. Cumulatively, these D/As represent approximately 1.5 million users, or 80% of the CFO Act agencies .gov user population under the updated methodology.

Several factors influenced the FY 2016 target participation rate. The revision of the EINSTEIN Memorandum of Agreement resulted in delayed deployment of D/A entities with statutory responsibility for collecting statistical information and applying special handling instructions. In addition, phased deployments of large agencies separately over periods of several weeks or months due to network architecture, sub-component autonomy, and variations in services currently available from Internet Service Providers (ISPs) extended the time and resources needed to deploy E³A resources.

Automated Indicator Sharing (AIS): In this quarter, the Department of Homeland Security (DHS) Security Operations Center (SOC) successfully completed its connection to the automated indicator sharing server hosted by the National Cybersecurity and Communications Integration Center (NCCIC), allowing them to retrieve cyber threat indicators and defensive measures at machine-to-machine speed. The cyber threat information will be shared to other DHS components according to current DHS SOC methods. Progress has been slower than expected in implementing and testing connectivity with other DHS components. NCCIC will support the DHS SOC as it expands sharing and increases automation among the DHS components. DHS expects to meet the FY 2017 goal of 10 components participating in automated indicator sharing.

Risk and Vulnerability Assessments (RVAs): DHS Cybersecurity Risk and Vulnerability Assessments (RVA) test an organization's ability to defend itself from malicious cyber-attacks. The RVA is a critical element in Federal cybersecurity and is a cost-effective means to prevent a cyber incident. This measure quantifies the number of unique Federal agencies that received RVAs. Throughout FY 2016, requests for assessments grew drastically, and the program continued to grow in capacity. The program completed this high volume of assessments through surge capacity contracting and re-allocation of funds from other mission areas. During the 2nd quarter of FY 2016, the Office of Management and Budget (OMB), the National Security Council (NSC), and DHS leadership directed the program to reprioritize RVA resources toward high value assets (HVAs) and CFO Act agencies. This reprioritization led the program to complete 51 total assessments to ensure the security of HVAs, but left other agencies unassessed.

Agency Priority Goal 3: Enhance Disaster Preparedness and Response (Aligns to Mission 5)

Goal Statement: Enhance the Nation's ability to respond to and recover from a catastrophic disaster through whole community preparedness and partnership. By September 30, 2017, 70 percent of states and territories will achieve an intermediate or above proficiency toward meeting the targets established through their Threat and Hazard Identification and Risk Assessment.

Overview: FEMA continues to allocate resources to supplement whole community investment to prepare for the greatest challenge in emergency management—a catastrophic disaster. In order to successfully respond to and recover from a catastrophic event, the whole community, including FEMA, state and local governments, and individuals that may be affected, need to build and sustain capabilities and implement the National Preparedness System to achieve the National Preparedness Goal of a secure and resilient Nation.

In order to achieve this goal, FEMA has implemented activities and programs that assist in addressing gaps in state and local planning efforts, improved the governance, coordination structures, and guidance for managing the Agency's incident workforce, and designed and delivered accessible information and tools to promote collective actions and empower grassroots problem solving.

Progress Update:

- FEMA's analysis of FY 2016 State Preparedness Report (SPR) submissions shows that while states and territories had an overall increase in reported capabilities, they did not achieve the target of 68 percent for high-priority capabilities at or above the intermediate proficiency threshold.

- Thirty states and territories reported an increase in average capability, 21 reported a decrease in average capability, and five reported no change in average capability from the previous year.
 - In Q4, FEMA provided technical assistance trainings to 90 jurisdictions (195 participants) to help jurisdictions improve their submissions for the December 2016 THIRA and SPR; define the resource they need to reach their THIRA core capability targets; and include the whole community in disaster planning to increase capabilities by sharing resources with neighboring jurisdictions and leveraging resources from the non-governmental sector. FEMA's Homeland Security Grant Program provides funds for states and territories to maintain their existing preparedness capabilities and fill gaps identified in their SPR.
- The National Exercise Program increased participation by private and non-profit organizations and other whole community partners. Twenty-eight exercises out of seventy-three in FY16 included substantive participation from private and non-profit organizations (38 percent), exceeding the target of 15 percent. For example, the Palo Duro II functional exercise in Amarillo, Texas focused on foreign animal disease outbreak, with over 25 percent of the participants from the private sector, state veterinarians, and academic communities, along with significant participation from the pork, dairy and cattle industries.
 - The Q4 operational readiness results, based on the Cadre Operational Readiness and Deployment Status (CORDS) Report data, show a decrease of 1 percent from Q3 (62 percent). The Field Operations Directorate continues to recruit, equip, and train the incident workforce to increase FEMA's operational readiness.
 - FEMA continues to implement its Plan to Reduce Disaster Administrative Costs. FEMA completed several initiatives in the plan, including providing increased transparency on administrative costs and providing greater access to disaster spend plan data within the agency. The Plan also includes multi-year efforts such as the new Public Assistance Delivery Model and Grants Management Modernization.
 - The Individual Assistance Division published the Individual and Households Program Unified Guide (IHPUG) developed in support of FEMA's Strategic Objective 1.1: *Streamline and simplify disaster services for individuals and communities*. The IHPUG describes how FEMA ensures Individual and Household Program (IHP) assistance is available and accessible for disaster survivors, and clarifies the types of IHP assistance FEMA provides.
 - The IHP Branch conducted a complete update to the letters sent to disaster assistance applicants. The assistance and eligibility information is now provided to disaster survivors in a clear and concise manner, using plain language, and eliminates overly complicated or non-essential program information. Disaster Survivor Focus Groups were conducted to review/compare existing letters to the proposed letter revisions. The first focus group sessions were conducted in Monroe, Louisiana.
 - An enhancement to the process of awarding additional rental assistance to applicants will be in effect with the next disaster declaration. The new process reduces the amount of paperwork the survivor has to submit to be approved for Continued Temporary Housing Assistance (CTHA). During the first cycle of recertification all required documents for eligibility calculation must be submitted for an eligibility review. For all additional cycles, if no changes are self-reported or identified, the documents required are significantly

reduced. This will simplify the process for disaster survivors and for caseworkers, resulting in fewer errors and better customer service.

Cross-Agency Priority Goals

Per the GPRA Modernization Act requirement to address Cross-Agency Priority (CAP) Goals in the agency strategic plan, the annual performance plan, and the annual performance report please refer to www.Performance.gov for the agency's contributions to those goals and progress, where applicable. DHS currently contributes to the following CAP Goals:

- Mission Oriented:
 - Cybersecurity (Lead);
 - Improve energy efficiency to affect climate change;
 - Mitigate insider threat risks;
 - Identify job-creating opportunities;
 - Modernize infrastructure permitting modernization; and
 - Improve science, technology, engineering, and mathematics education opportunities.
- Management Focused:
 - Deliver world class customer service;
 - Improve IT delivery customer service and outcomes;
 - Improve government's buying power through strategic sourcing;
 - Expand agencies use of shared services to improve performance and efficiency; improve administrative effectiveness and efficiency through benchmarking;
 - Support the interoperability and openness of data;
 - Improve the transfer of new technologies from the laboratory to the commercial marketplace; and
 - Build the workforce we need for tomorrow.

Management Initiatives

This section discusses several of the FY 2016 Department-wide management programs and initiatives that are delivering greater service and protection to American citizens and our other customers. The initiatives are presented in the following categories:

- Management Reform
- Customer Service
- Human Capital Management
- Information Technology
- Acquisition Management/Strategic Sourcing
- Sustainability
- Financial Stewardship

Management Reform

In the years following the commencement of the Department’s management reform initiatives, DHS continues its commitment to institutionalizing transparent, unified, decision-making processes and empowering DHS Components to collectively address the Department’s complex mission space.

In November 2016, the DHS Inspector General released a report noting the Department’s “significant progress” at address many of DHS’s management challenges:

“Progress has been made both in tone and substance. In the last 3 years, DHS leadership has taken steps to forge multiple components into a single organization. New policies and directives have been created to ensure cohesive budgeting planning and execution, including ensuring a joint requirements process. The Department also has a process to identify and analyze its mission responsibilities and capabilities, with an eye toward understanding how components fit together and how each adds value to the enterprise. A new method for coordinating operations, the Southern Border and Approaches Campaign, was created to try to reduce the silos and redundancy.”⁶

Specific notable management reform initiatives accomplishments include:

- Winter Studies are a central output from the RPG. These Component-led efforts developed analytically informed solutions to some of the Department’s highest priority areas, with several informing the FY 2017-2021 and FY 2018-2022 Program and Budget Review. In addition, a number of Winter Studies added value beyond the Program and Budget Review. For example, the Joint Duty Winter Study explored the creation and design of a workforce rotation program to strengthen the Department’s greatest resource—its workforce. It sought to do so by identifying and incentivizing participation in professional development work rotations outside member’s home Component. This program will improve overall mission effectiveness and also Department-wide morale by providing meaningful career opportunities at various levels throughout the Department. The Joint Duty program has been recently authorized by the *2017 National Defense Authorization Act*.
- The continued productivity and evolution of both Senior Leader Forums—the Deputy’s Management Action Group and the Senior Leaders Council—which both meet twice

⁶ DHS Office of the Inspector General “Major Management and Performance Challenges Facing the Department of Homeland Security”. OIG-17-08. 7 November 2016.

monthly to address the Department's most challenging issues in a transparent, collaborative fashion.

- The three Joint Task Forces⁷ (JTFs) (East, West, and Investigations) continue to use operational plans to focus on disrupting and dismantling targeted Transnational Criminal Organizations (TCOs,) advancing progress in implementing the DHS Southern Border and Approaches Campaign Plan. The JTFs demonstrated the ability to conduct integrated joint investigations and operations within their joint operating areas or functions, supported by DHS operational components. The JTFs provide coordination mechanisms to share intelligence to address the greatest threats to border security.

Customer Service

Air Passenger Screening Customer Service Initiatives

The Transportation Security Administration (TSA) performs and oversees security operations at the nation's airports, screening more than 740 million travelers annually, to ensure the freedom of movement of people and commerce. TSA has taken several steps to improve the travelers' experience maintaining a strong security posture. Several examples are provided below.

Social Media Updates: The award-winning AskTSA program launched September 2015 on Twitter and operates 365 days per year to address inquiries/concerns from the 2.2 million passengers traveling daily. The AskTSA team works in partnership with private industry, airlines, and airports to improve the overall travel experience. The AskTSA team addresses traveler inquiries and concerns in real-time before, during, and after travel. Since its launch, AskTSA has responded to more than 100,000 passenger inquiries. By providing passengers direct access to TSA staff, questions are answered as the traveler needs the information. This can range from something simple, such as what items are allowed on airplanes, to more complex queries about TSA Pre✓[®], and interactions with the airlines. This leads to less frustration for the traveler and an improved airport experience. The program also directly benefits TSA by gaining direct input from the traveling public and allowing leadership to improve operational efficiencies by hearing these passenger concerns. Ultimately, the program demonstrates TSA's concern for the travelers and their questions and issues; it provides another forum to compliment the TSA workforce, and identifies trends. In July 2016, the AskTSA program was expanded to the Facebook Messenger platform in order to reach a larger audience. AskTSA is the first U.S federal government entity with an account for engaging with and providing services to the public on Facebook Messenger

TSA Website: TSA's website serves as the primary public source of information available 24/7 regarding activities to protect the nation's transportation systems with an average of more than 3.5 million visitors per month. TSA launched a one-stop customer service page with the top frequently asked questions from travelers by category and providing the multiple channels customers can use to contact TSA and provide feedback. TSA also streamlined the TSA Pre✓[®] webpage to make enrolling easier than ever. This webpage focuses on the selling points of the program, and simplifies the application process. TSA developed a series of one-minute travel tips

⁷ The 2017 National Defense Authorization Act permits DHS to use Joint Task Forces as a means to implement operational programs.

videos for the video gallery on tsa.gov focused on helping to clarify screening procedures and policies for travelers including *Traveling with an Infant*, *3-1-1 Liquids Rule* and *Traveling with a Firearm*. The series has been highly successful in educating the public with more than one million views, and continues to add new videos.

Traveler Redress Inquiry Program (TRIP): In FY 2016, DHS TRIP continued its successful Mobile Redress program, wherein DHS TRIP staff provides one-stop assistance to travelers who have experienced screening difficulty and wish to apply for redress. Using historical application data as a guide, DHS TRIP has proposed 2017 venues for Mobile Redress where there may be an increased need for information about how to apply for redress through DHS TRIP.

Expedited Screening: Through ongoing efforts to accelerate enrollment in DHS Trusted Traveler Programs and expand TSA Pre✓® to trusted, pre-vetted populations, TSA has strengthened security at screening checkpoints while simultaneously increasing its operational efficiency and improving the passenger experience. As of September 30, 2016, TSA Pre✓® was available at more than 160 airports through 19 participating airlines, now including international participating airlines AeroMexico, Air Canada, Etihad Airlines, and Lufthansa. Expedited screening benefits include members of TSA's Pre✓® application program, members of CBP's Trusted Traveler programs, members of Congress, federal judges, all members of the U.S. Armed Forces including those serving in the National Guard and reserves, and government employees from select agencies. The TSA Pre✓® application program enrollment reached the three million passenger milestone in July 2016 and thousands continue to apply on a daily basis. In July 2016, 97 percent of TSA Pre✓® passengers waited less than 5 minutes for screening. Through these combined efforts, as of September 30, 2016, approximately 46 percent of the traveling public was receiving expedited screening.



TSA Customer Service Branch (CSB): CSB manages the TSA contact center, which fields inquiries by telephone, email, or online portal. These direct inquiries from travelers concern a wide variety of issues, ranging from prohibited and permitted items to identification requirements to trusted traveler program enrollment. Through the TSA Contact Center (TCC) we answered 1,337,058 inquiries, 28,739 TSA Cares contacts, 9,401 TSA Pre✓® contacts, and addressed 8,774 in Spanish.

CSB is also responsible for development of customer service strategy at TSA. In 2016, in order to bring awareness to the services TSA provides to the traveling public, CSB staff visited Ronald Reagan Washington National Airport, Fort Lauderdale, and Miami and engaged with over 750 passengers at the checkpoint informing them of the services that TSA provides through the contact center, social media and TSA Cares. In addition, CSB established regional calls with the Customer Support Quality Improvement Managers at the airport, to develop a better relationship and direct avenue of communication. As a result of customer survey responses, CSB initiated four service improvement projects in the areas of Equal Employment Opportunity (EEO), Interactive

Voice Response (IVR), Customer Satisfaction Survey, and Customer Support Manager (CSM) engagement.

In FY 2016, the TCC modified two current customer satisfaction surveys to increase participation. As a result of survey scores, TSA has proposed changes in the EEO intake triage process which are intended to increase response time. The TCC also established a modified response process which allows individuals with advanced yet less complex inquiries to receive a timelier response. In addition, the Interactive Voice Response system was modified to provide callers with better self-service options.

Multicultural Branch: In FY 2016, TSA's Multicultural Branch conducted outreach to external stakeholder organizations representing the multicultural and civil liberty communities to facilitate mutual understanding, exchange information, and strengthen partnerships. These efforts ultimately improve our Nation's security.

TSA created and works with a coalition of more than 300 national groups and organizations representing constituents with disabilities and medical conditions and/or multicultural communities (TSA Multicultural and Disability Coalition) to provide information and gather feedback on security screening; again in 2016, the Traveler Engagement Division successfully conducted the Annual Coalition Conference.

The Multicultural Branch developed and coordinated TSA TV segments regarding transgender issues and religious headwear with the Office of Public Affairs. The Branch also routinely issued informational pieces aimed at providing officers with the tools necessary to positively engage members of the religious, cultural and transgender community. The Multicultural Branch provided in-person civil rights and liberties training to officers across the country, which includes a religious and cultural competency, often including multicultural coalition members as consultants/briefers.



Disability Branch: In FY 2016, TSA provided information to the public to help manage expectation regarding screening through the monthly publication of What to Expect to TSA's Disability and Medical Conditions Coalition. In addition, TSA launched a renewed TSA Notification Card for individuals with disabilities and medical conditions to discreetly inform officers about their reasonable accommodation requests for screening. TSA also filmed TSA TV segments, screened for all TSA employees through the intranet that focused on the TSA Notification Card, screening breast milk, and screening individuals with ostomy.

TSA Claims Process: TSA screens millions of passengers and bags each year; occasionally TSA will damage an article. To ensure an easy-to-navigate claim process and a professional customer experience, information on how to file a claim is available on TSA's user-friendly public website. Claims may be presented to TSA by email, fax, or standard mail. TSA has educated officers on actions that may lead to claims, promoted efficient baggage tracking, lost and found systems, and other procedural changes to reduce claims and keep the public's trust. This work has resulted in a 50 percent reduction in tort claims over the last six years.

Ports of Entry Customer Service Initiatives

Key Accomplishments in FY 2016

On February 13, 2015, the Department of Homeland Security (DHS) and the Department of Commerce (Commerce) released a report titled *"Supporting Travel and Tourism to Grow Our Economy and Create More Jobs: a National Goal on the International Arrivals Process and Airport-Specific Action Plans."* The report defined a national goal that was developed through extensive consultation with leaders from the airline industry, airport authorities, state, and local governments, as well as other industry leaders in the customer experience space:



"The United States will provide a best-in-class international arrival experience, as compared to our global competitors, to an ever-increasing number of international visitors while maintaining the highest standards of national security. Together, the public and private sectors endeavor to ensure that legitimate travelers feel secure and welcome and view their arrival experience as the very best as compared to our global competitors."

In 2016, a subsequent report was released, which provided an update on progress towards reaching the national goal. Working in full partnership with private industry and local government stakeholders, CBP continues to demonstrate its commitment to facilitating economic growth while reducing wait times for international travelers. CBP is committed to establishing the metrics and processes necessary to support ongoing improvement, and is working to standardize its Facility of the Future to maximize efficiencies.

To support the national goal identified above, CBP continues to aggressively reassess its passenger flows and pursue new and innovative technologies that will assist officers in their efforts to provide national security and efficiently facilitate travel through our nation's ports of entry. In April 2016, CBP approved its new *Innovation Strategy*, with the goal of creating a unified CBP arrivals process that utilizes the latest technology to enhance frontline risk assessment capabilities, streamline processes, and augment operational efficiency while ensuring security. Concurrently, CBP is drafting its *Future Vision for the Office of Field Operations (OFO) Innovation*, which builds upon, and brings efficacy to, the strategy identified above, and re-envision the CBP arrivals process as a unified, biometric-based process that enhances security while streamlining passenger facilitation. These new processes will not only provide for a more seamless and unique customer experience, it will also free up CBP resources and allow CBP Officers to focus more on facilitating travel and on CBP's national security mission.

In the meantime, to address the substantial increases in travel volume to the U.S. and the continuing growth in worldwide travel, CBP continues to make substantial improvements in traveler facilitation through automation, innovation, and trusted traveler programs. In FY 2016, CBP deployed 409 Automated Passport Control (APC) kiosks to 42 locations, bringing the total to 1,556 kiosks at 49 air and sea locations. Mobile Passport Control (MPC), the smartphone equivalent of APC, has been deployed to 20 airports, 15 of which in FY16 alone. The MPC mobile app has been downloaded over one million times and is used roughly 75,000 times per month. Global Entry kiosks are now installed at 67 airports and over 5 million travelers have Global Entry benefits. The kiosks have been used over 25 million times. CBP is continuing to expand Global Entry membership as quickly as possible and international Global Entry partnerships will continue to expand to additional countries.

Key Challenges

To realize the national goal of a best-in-class arrival experience, we need a substantial transformation of CBP's business processes. Creating the CBP Arrivals Area of the Future, based on the *Future Vision* described above, requires significant expansion of CBP Officers' use of mobile technology and a consolidation of all CBP operations in one location of the Federal Inspection Services area. In addition to deploying over 1,500 mobile tablets, CBP is piloting its use of biometric identify validation technologies at select locations, both in the exit and entry domains.

CBP is also working closely with Enterprise Services to draft and publish the next iteration of the Airport Technical Design Standards (ATDS), which incorporates many of the *Future Vision's* design requirements highlighted above. Since the ATDS only applies to *new* facilities, a major challenge at many current locations is facility capacity, including sufficient space for the passenger queue and enough distance between booths or podiums to accommodate travelers with baggage. Significant baggage delivery delays may cause bottlenecks that impact overall passenger processing.

Next Steps

Over the next few years, CBP will continue to aggressively develop, test, and implement its *Future Vision* and expand its Business Transformation Initiatives, such as APC, MPC, and Global Entry. These efforts will be supported by quarterly reports to management and timely updates to stakeholders and the traveling public. In addition, CBP has begun, and will continue, to engage with its private sector partners and begin testing solutions to prove the potential positive outcomes of the CBP Arrivals Area of the Future, and continue working with a growing number of private sector partners across the country to incorporate new concepts into their designs. Lastly, the Airport Technical Design Standard is slated for release at the end of the calendar year and will be geared towards the concept of the CBP Arrivals Area of the Future.

Disaster Assistance Customer Service Initiatives

Key Accomplishments

New Public Assistance Delivery Model: In 2016, FEMA launched a new delivery model for the Public Assistance (PA) Grant Program. The PA Program is FEMA's largest grant program and

averages \$4.7 billion a year. An after action review of the first stage of implementation of the model yielded valuable lessons learned, including a number focused on customer service: to improve communication with applicants; and to utilize technology to improve customer relations and the processing of grants. One of the biggest changes in the new delivery model is applying lean management principles to continuously improve roles, responsibilities, tools, and processes in real time. As a result, stakeholders will consistently have the ability to have input and effect change on a continual basis. FEMA's continued focus on strengthening people, processes and procedures, and tools in the New PA Delivery Model will expedite community recovery and rebuilding by bringing greater simplicity, accuracy, efficiency, accessibility, and timeliness to the PA program.

Public Assistance Program and Policy Guide (PAPPG): In January 2016, FEMA published the PAPPG, which combines all Public Assistance (PA) Grant Program policy into a single volume and provides an overview of the PA Grant Program implementation process with links to other publications and documents that provide additional process details. This document incorporates and supersedes language from previous PA Program publications and 9500 Series documents.

Individuals and Households Program Unified Guidance (IHPUG): On September 30, 2016, FEMA published the IHPUG that was developed in support of FEMA's Strategic Priority 1: Be Survivor Centric in Mission and Program Delivery - Objective 1.1: Streamline and simplify disaster services for individuals and communities. The IHPUG provides specific information describing how FEMA ensures Individuals and Households Program (IHP) assistance is available and accessible for disaster survivors and clarifies the types of IHP assistance FEMA provides. It supersedes 15 stand-alone policies and 18 processing guidance memoranda and provides state, local, territorial, and tribal government officials a concise reference tool to assist with the needs of disaster survivors in their jurisdiction.

Individuals and Households Program (IHP) Letters Revisions: FEMA conducted a complete update to the letters sent to disaster survivors who applied for assistance under FEMA's Individuals and Households Program. The letters were rewritten to ensure use of clear, concise, plain language on forms of assistance and eligibility. The letters were uploaded in the National Emergency Management Information System (NEMIS) and have been used on all Presidentially-declared disasters where the Individuals and Households Program was authorized since DR-4273-West Virginia (declared June 25, 2016).

Disaster Assistance Improvement Program: The Disaster Assistance Improvement Program (DAIP) was put in place in 2008 to simplify the process of identifying and applying for disaster assistance. DAIP is a partnership of 17 Federal agencies with DHS/FEMA as the managing agency. This partnership represents over 70 forms of disaster assistance and recovery programs. DAIP has implemented and maintains the disasterassistance.gov web portal and utilizes a continuous improvement process to address survivor feedback to enhance its usability and capabilities. This web portal increases access to disaster assistance and serves as a central clearinghouse for federal disaster assistance and recovery programs. Disaster survivors can apply for multiple forms of assistance directly online through the web portal, can check on the status of their application, and receive email and text notifications for application status changes.

In FY2016, DAIP hosted 4,104,108 visitors to disasterassistance.gov; supported registration intake for 17 presidentially declared disasters; and implemented a data exchange between FEMA and the Department of Housing and Urban Development (HUD).

Key Challenges and Next Steps

Call Center Surge Staffing for Catastrophic Events: One of FEMA's challenges is the ability to meet a surge of survivors contacting FEMA in the wake of a catastrophic event. Since 2004, FEMA has leveraged a number of surge options to handle large scale disasters; however, surge staffing options proved to be expensive, unreliable, and inefficient. In response to Louisiana Flooding (DR-4277-LA), declared August 14, 2016, FEMA augmented disaster survivor registration capabilities by training employees from multiple FEMA organizational components and work locations to conduct disaster registration intake. This added capability was highly successful in preventing long caller wait times as experienced by disaster survivors in previous disasters. FEMA will continue to utilize this form of surge support along with additional, scalable call center staffing solutions to respond to future large-scale events.



Decreases to Public Assistance Customer Satisfaction Surveys in FY 2016: There was a decrease in the customer satisfaction in FEMA's Public Assistance Grant Program in fiscal year 2016. Two main components were a decrease from 88 percent to 83 percent of the sub-recipients that felt that the administrative burden of FEMA's pre-disaster documentation requirements were reasonable and a decrease from 90 percent to just above 85 percent in the number of sub-recipients that felt FEMA staff understood the local conditions. The PA New Model will help address this concern through the assignment of Program Delivery Managers by geographic grouping and project complexity of grant applications.

U.S. Citizenship and Immigration Services Customer Service Initiatives

Key Accomplishments in FY 2016

Public Engagement Efforts

USCIS holds a variety of external stakeholder events to share information and obtain feedback on USCIS programs and policies. As of September 30, 2016, USCIS hosted 81 national engagements and 3,982 local engagements reaching more than 201,603 individuals. This included 324 engagements on deferred action for childhood arrivals with 29,708 attendees; 1,234 multilingual outreach events with more than 76,350 participants; and more than 374 engagements with underserved populations that reached more than 26,177 people. During FY 2016, USCIS also expanded its public education and customer awareness efforts by enhancing communications on immigration scams and the unauthorized practice of immigration law; more than 1,615 engagements reached more than 81,416 customers. USCIS also trained more than 1,000 librarians, and had approximately 5,983 librarians registered to receive information specific to USCIS outreach.

Citizenship Outreach

In FY 2016, USCIS continued the [Citizenship Public Education and Awareness Campaign](#) to promote awareness of the rights, responsibilities, and importance of U.S. citizenship, and the free citizenship preparation resources available to permanent residents and immigrant-serving organizations. The campaign targeted key media markets in California, New York, Texas, Florida, New Jersey, Illinois, Massachusetts, Virginia, Washington, and Arizona – where 75 percent of the overall permanent resident population resides. The campaign included print and digital ads in English, Spanish, Chinese, Vietnamese, Korean, and Tagalog. It also included multilingual radio and video public service announcements. Over the course of the campaign’s four phases, digital ads generated nearly 151 million impressions resulting in approximately 1.3 million clicks and print ads provided more than 19 million impressions. Additionally, USCIS renewed its [formal partnership](#) with the Institute of Museum and Library Services (IMLS) to provide immigration and citizenship information at public libraries across the United States. The partnership expands the availability of information about the citizenship and naturalization process for immigrants. In FY 2016, USCIS program offices collaborated with IMLS to conduct four national webinars for librarians on citizenship and immigration-related topics. More than 230 library representatives participated. USCIS also developed a series of tip sheets and informational materials to help libraries better serve the immigrant community.

myUSCIS

USCIS is leveraging technology to create multi-channel tools that give customers faster and easier access to immigration information, when and where they need it. The flagship of the new suite of tools is myUSCIS, an online one-stop shop for immigration information. It includes an Explore My Options tool, civics practice test, citizenship class locator, and Find a Doctor (for required immigration physicals), all of which are accessible from any mobile device, anytime, anywhere. In addition, the USCIS enhanced the case status and appointment scheduling online tools to make them more useful and customer-friendly. [My.uscis.gov](#) saw nearly 3 million sessions in its first year.

USCIS Electronic Immigration System (ELIS)

USCIS continues to modernize the process for receiving and adjudicating immigration benefit requests by using its electronic immigration system to change from a paper-based process to an electronic process and gradually expand the system to cover all USCIS citizenship and immigration benefits. In FY 2016, the percent of total agency workload processed by USCIS ELIS on a monthly basis reached 31.26 percent. During the year, USCIS introduced several form types in USCIS ELIS used to support Deferred Action for Childhood Arrivals (DACA) and Temporary Protected Status (TPS) for Nicaragua, including the following: a) Form I-821D, Consideration of Deferred Action for Childhood Arrival; b) Form I-821, Application for Temporary Protected Status; c) Form I-765, Application for Employment Authorization; and d) Form I-131, Application for Travel Document. In FY 2016, USCIS also began to integrate the naturalization product line into USCIS ELIS. This included USCIS’ flagship form, the Form N-400, Application for Naturalization, and continued the deployment of additional functionality to USCIS ELIS including: a) Form N-336, Request for a Hearing on a Decision in Naturalization Proceedings (Under Section 336 of the INA); b) N-565, Application for Replacement Naturalization/Citizenship Document; and c) Payment of Form I-131A, Application for Travel Document (Carrier Documentation).

Key Challenges

USCIS ELIS

One of the key challenges for USCIS is transitioning from a paper-based process to processing benefit requests electronically. USCIS is addressing the challenges and risks inherent to any major IT acquisition and deployment through a variety of means, including the use of the Agile development methodology, obtaining stakeholder input, and providing end-user training and post-implementation troubleshooting to minimize short-term inefficiencies that could result during the transition to processing USCIS workload digitally. Also, with employees located in offices around the world, training employees so they can efficiently adjudicate benefit requests electronically is challenging, and complicated by the use of the agile development methodology, where the functionality of the system is undergoing continuous development. This requires our training to be flexible and updated continuously.

Public Engagement Efforts

USCIS recognizes the diversity of its customers. In order to meet the various needs of our customer populations, USCIS has implemented strategies to seek stakeholder and customer input through ongoing research and engagement. This includes user-research and testing for public-facing online tools, as well as in-language resources and outreach efforts.

Next Steps

USCIS ELIS

In FY 2017, USCIS will continue integrating the naturalization product line into USCIS ELIS. This will include: a) Form N-600, Application for Certificate of Citizenship; b) Form N-600K, Application for Citizenship and Issuance of Certificate Under Section 322; and c) Form N-400, Application for Naturalization (Military Naturalization). Additionally, USCIS will begin to introduce the functionality for family-based Adjustment of Status in USCIS ELIS. This includes the following forms: a) Form I-130, Petition for Alien Relative; b) Form I-129F, Petition for Alien Fiancé(e); Form I-360, Petition for Amerasian, Widow(er), or Special Immigrant; c) Form I-485, Application to Register Permanent Residence or Adjust Status; and d) several ancillary forms focused on supporting family-based Adjustment of Status.

myUSCIS

USCIS works closely with external stakeholders to identify all customer populations which we serve. To better understand the diversity of customers and the customer experience, the myUSCIS team is conducting ethnographic research to learn about the immigrant journey.

Through personal interviews with volunteers who are researching immigration issues, in the process of filing, or recently completed an application with USCIS, myUSCIS is identifying process gaps and opportunities to improve the customer experience digitally and to inform agency policy and procedures.



Human Capital Management



The Office of the Chief Human Capital Officer (OCHCO) continued to strengthen the human capital line of business by maturing the Human Capital Strategic Plan (HCSP) and operational framework for completing cross-cutting human capital strategic priorities in FY 2016 and beyond. The HCSP emphasizes management integration, accountability tracking, and the use of human capital data analysis to meet DHS mission needs. FY 2016 was the second year DHS developed and implemented an annual operational plan jointly developed by OCHCO and the components to

support continuous performance improvement. The department also conducted another full-year of HRstat reviews – quarterly, data-driven assessments of program performance in support of each of the four HCSP goals.

These planning and implementation efforts by the DHS human capital community along with the integration and support provided by line of business partners were key to GAO awarding DHS a “Fully Addressed” rating for implementing the human capital strategy (HCM #1) in its February 2015 High Risk Report. OCHCO’s accomplishments over the past year have been instrumental in GAO’s decision to advance the ratings of two additional (of the six remaining) high risk outcomes as “Fully Addressed” and two more as “Mostly Addressed,” meaning little work is required to achieve the “Fully Addressed” rating.

Key Accomplishments in FY 2016

The following summarizes key human capital accomplishments from implementing the FY 2016 Operational Plan.

- Conducted the biennial revalidation of DHS Mission Critical Occupations (MCOs) using a newly designed automated process to align DHS occupations to each DHS mission area.
- Expanded the application of the 5-step workforce planning framework to include all 17 of the department’s priority MCOs. In August, components completed the final step of the workforce planning model and measured results on previously defined performance measures.
- Strengthened and enhanced the value and use of human capital data through the implementation of all FY 2016 deliverables outlined in OCHCO’s Five-Year Human Capital Data Plan. This achievement, along with the new MCO revalidation process and the completion of the third cycle of workforce planning, resulted in GAO’s plan to rate DHS as “Fully Addressed” in the area of linking workforce planning to program planning (HCM #2) in its FY 2017 high risk report.
- Issued Employee Learning and Development policy, standardizing guidance for training across DHS.
- Issued and initiated implementation of a training Needs Assessment Guide and a Training Evaluation Guide, which will improve the relevance and quality of DHS training.

- Continued to implement and manage the Balanced Workforce Strategy (BWS) by helping components maintain an appropriate mix of federal and contractor resources. During FY 2016 BWS audits were completed for TSA, and the Offices of Policy and Intelligence & Analysis to ensure compliance with DHS policy and to identify and share promising practices.
- Signed the DHS Strategic Outreach and Recruitment Plan, FY16-19 to drive DHS's federal government-leading diversity program. These efforts were key to GAO's plan to rate DHS as "Fully Addressed" in the outreach and recruiting outcome (HCM #3) in its FY 2017 high risk report.
- DHS continues to be one of the leading employers of veterans in the federal government. During FY 2016 24.1% of the department's new hires were veterans. Hiring veterans including those with disabilities is an additional element of an ongoing commitment to sustain a highly qualified and diverse workforce.
- Coordinated DHS engagement at high-value diverse recruiting opportunities, including the first-ever cybersecurity hiring event, which led to the hiring of more than 300 cyber professionals.
- Facilitated improved employee engagement through department-wide activities including: an all-executives meeting in Washington, DC to discuss morale, engagement and other DHS top priorities; Secretary and Deputy Secretary town hall meetings with employees across the country recognizing achievement and service, and improving communication with employees; strengthened executive performance plan requirements with specific measures focusing on employee engagement; and a communications campaign of "leader alerts" distributed toolkits and resources to executives and supervisors.
- Demonstrated a significant increase in the Federal Employee Viewpoint survey results for 2016; the DHS response rate was 3 percentage points higher than in 2015, and exceeded the government-wide rate by 4 percentage points. DHS's Employee Engagement Index, comprising three sub-indices (Leaders Lead, Supervisors, and Intrinsic Work Experience), increased three percentage points as well, reflecting an overall upward trend in the Federal Employee Viewpoint Survey (FEVS) scores across the Department.

Key Challenges

While the DHS human capital community achieved success across several areas in FY 2016, some key challenges remain.

- Lack of standard methods across the department to document staffing needs and incorporate them into position management and financial planning systems.
- Need to improve human resources information technology capabilities to optimize core human capital activities such as hiring, workforce planning, personnel security, and case management.
- Career paths within and between components need to be better defined and reinforced to enhance employee retention and morale, and succession planning needs to be strengthened to ensure leadership continuity.
- Need to build on efforts to reach underrepresented populations, particularly in law enforcement occupations, to enhance the diversity of the DHS workforce.
- While there has been significant progress made in reducing time to hire, law enforcement hiring continues to experience longer delays due in part to extensive background screening.

- The HR profession across DHS is understaffed and needs further development opportunities to better support hiring and retention efforts in key mission areas.

Next Steps

These challenges are being addressed through the following human capital initiatives outlined in the FY 2017 operational plan.

- Enhance human resource information technology capabilities to improve end-to-end hiring, DHS-wide position management, and other core HR processes through the implementation of newly prioritized HRIT Strategic Improvement Opportunities.
- Examine career pathing data, and develop a Joint Duty Assignment Program to provide cross-component rotational experiences to improve and develop DHS leaders with broad departmental perspective.
- Establish a succession planning framework to ensure vacant critical executive positions are filled quickly with qualified leaders, and to better prepare DHS supervisors and managers to fill vacant executive positions.
- Continue efforts to enhance recruiting and onboarding programs to include new forms of media to attract, engage, and hire employees, including broadening recruitment efforts to women regarding law enforcement careers and to minority serving institutions.
- Build on DHS and component efforts to streamline the hiring process, particularly for priority MCOs, to reduce time to hire and increase fill rates.
- Continue initiatives to improve FEVS scores and increase employee engagement. Initiatives include: monitoring component FEVS action plans; implementing communication tools such as an innovation toolkit, a guide to conducting town hall meetings, and a stay interview guide; and distributing “Leader Alerts” for executives, supervisors, and managers and “Connected,” a monthly all-employee newsletter.
- Develop and implement an HR Academy and a plan to train new and existing human capital staff, which will improve quality and promote consistency in the delivery of human capital services.

Acquisition Management/Strategic Sourcing

Acquisition Innovations in Motion and Procurement Innovation Lab

Acquisition Innovations in Motion (AIiM) is a structure and framework for creating recurring and meaningful engagements with industry. It promotes targeted acquisition initiatives designed to improve the manner in which DHS does business.

Since its inception, the Department has hosted many AIiM sponsored industry events. This has provided an opportunity for industry to hear from the Department’s senior leadership on the importance of industry engagement, and on topics that affect Components and offices across DHS (e.g., biometrics, research and development, big data, and improving on contract pricing strategies). The Department listens to attendees and works together with its industry partners to promote healthy discussions.

The external industry engagement component of AIiM features three types of events:

- Requirements Events focused on specific mission requirements or program challenges impacting specific DHS offices or components;
- Major Events where industry attendees learn about acquisition and procurement issues that affect the Department as a whole, or processes that have an impact on a broad spectrum of industry; and
- Learning Events at which the Department and industry come together to share best practices, explore innovation opportunities and understand business processes. These events include both meetings and webinars.

The Department held two Reverse Industry Day events which enabled industry leaders and the Department's acquisition workforce to have a meaningful dialogue about how DHS does business. At these events, our industry partners are able to teach the DHS acquisition community about what matters most important to them as they do business with the Department in areas such as capturing, pricing, bidding, and winning DHS contracts.

On November 10, 2015, AIiM held two Strategic Sourcing events, one for industry and a second for the DHS workforce. In addition, AIiM held a number of Acquisition Innovation Roundtables on various subjects with participation from industry and DHS, as well as several webinars for industry, including one on the Biometrics Strategic Framework and another joint webinar with the Chief Information Officer and Chief Procurement Officer.

The Procurement Innovation Lab (PIL) is a component of AIiM. It provides a safe virtual space for experimenting with innovative techniques designed to increase efficiencies in the procurement process and institutionalize best practices. In a March 9, 2016 memorandum, the White House cited the PIL's innovative work when it announced a new initiative to accelerate the establishment of "acquisition innovation labs" in all federal agencies.

The PIL aims to enhance the department's mission by providing the most effective and efficient procurement support. This is achieved through:

- Removing entry barriers for innovative, non-traditional contractors to compete for DHS business opportunities;
- Shortening time-to-award, which will open more time for government and industry to focus on tasks, not administration; and
- Increasing probabilities of successful contract performance by focusing on, during bid and proposal evaluation, vendors' actual capabilities and not their writing skills. All these will save taxpayer dollars and enhance the department's mission and public image.

The PIL serves as a unique test environment for exploring and refining innovations in acquisition and gives teams an opportunity to showcase success stories to the DHS acquisition community. As of October 2016, nine projects have been completed and nine projects are in various stages. Some are procurements (e.g., E3A - Einstein 3 Accelerated Service Extension) and some are aimed at improving specific processes (e.g., low risk closeout procedures; enhanced ordering procedures for EAGLE II, PIL Digi-Badges).

A major piece of the PIL is reciprocal learning and a continuous feedback loop. PIL offers interactive "radio talk show" format webinars, which have been well received by participants. Nineteen webinars have been offered to the DHS acquisition workforce that share best practices learned from PIL projects or other resources, such as the Digital Services Playbook and Innovative Contracting Case Studies. PIL's webinars have had over 200 attendees.

The PIL has an opportunity to engage more components of DHS. To do this, the Chief Procurement Officer has appointed Component Acquisition Innovation Advocates to build a strong culture of innovation in each Component contracting activity. More project submissions with new, innovative techniques are expected from components outside of Headquarters because of this effort.

Procurement must actively engage all stakeholders, including industry partners, to frankly discuss what works well and what does not. A procurement organization with a transparent and feedback-informed learning culture will enhance the Department's ability to fulfill its important mission.

Information Technology

Information technology (IT) plays a critical role in the Department of Homeland Security's (DHS) ability to deliver effective, efficient services, and solutions that ultimately provide for the security of the American people. DHS identified the following integrated priorities to develop and deploy secure technology solutions: "Gold Standard" for Government-wide cybersecurity, innovative and agile technology solutions, reliable technology infrastructure, and cybersecurity and technology workforce.

"Gold Standard" for Government-wide Cybersecurity



The growing number of cyber-attacks on Federal Government networks is becoming more sophisticated, aggressive, persistent, and dynamic by highly-skilled and organized cyber adversaries. The Department needs to protect the Homeland through continuous improvement of DHS's cyber defenses. In the cybersecurity field, DHS has set the standard for the Federal Government. In 2016, OMB cited the DHS Cybersecurity Maturity Model as a best practice and that methodology is being used to prioritize funding requests for the tools and support to address the Department's most critical internal vulnerabilities and technology gaps. In January 2016, DHS issued the Cyber Policy

Directive to strengthen its cyber infrastructure by targeting 100 percent two-factor authentication for Homeland Secure Data Network users, which was an average 99 percent for HSDN token usage at the end of FY2016; establishing the ability to complete searches for indicators of compromise within 24 hours; following principles of least privilege; requiring annual Information Technology Security Awareness Training for all personnel; initiating social engineering awareness programs; and deploying solutions to prevent the activation of malicious links or attachments in phishing emails. The Federal Information Security Management Act (FISMA) tracks DHS's ability to see and protect DHS hardware and software assets. DHS worked with its Components throughout FY 2016 to identify and remove any barriers to achieving the FISMA security goals. DHS is also among the government-wide leaders in

meeting FISMA cross-agency priority goals for information security, increasing its success rate to 98 percent in FY2016, up from 95 percent for FY2015. In FY2016, DHS reported 98 percent for FY2016 FISMA Cross Agency Priority Goals, up from 95 percent for FY 2015. To enhance cyber network defenses across the Department, DHS will help federal agencies identify and resolve problems inside their networks in near real-time using Continuous Diagnostics and Mitigation (CDM). CDM offers federal agencies commercial off-the-shelf tools, which will constantly scan agency networks for vulnerabilities that could potentially be exploited. DHS forecasts full Phase 1 implementation of the tools and sensors for hardware, software, configuration, and vulnerability management by September 2017. The lessons DHS learns will support deployment of CDM across the Federal Government.

Innovative and Agile Technology Solutions



In this digital age, technology is evolving at an increasingly rapid pace. To enable mission delivery in this changing IT landscape, DHS has drastically changed its approach to take advantage of emerging technologies from multiple sources, and develop strategic partnerships with internal lines of business and industry. How DHS does business is impacted by its ability to obtain and implement the latest IT developments in a timely and effective manner. Five program-level integrated project teams (IPTs) were established to pilot acquisition process improvements using a lean, agile approach

that facilitate increased customer value, accountability, and oversight; faster time-to-market and reduced cost and risk. To significantly quicken the time it takes to contract for and begin agile development support services, a new multi-award contract will be awarded in FY2017 to provide DHS components with highly-qualified agile teams focused on deploying IT capabilities quickly and securely in support of DHS component missions. DHS will also award a next generation Enterprise Computing Services (ECS) contract in FY 2017 that will establish an ECS Framework to manage the use, performance, and synchronized delivery of cloud service offerings within the Department, from both Federal and commercial providers. The ECS Framework will make it easier, safer, cost effective, and more productive for DHS Components and consumers to discover, access, and integrate cloud services to support their mission.

Homeland Security Information Network (HSIN), a trusted network to share Sensitive But Unclassified information, enables federal, state, local, territorial, tribal, international, and private sector homeland security partners to manage operations, analyze data, send alerts and notices, and in general, share the information they need to do their jobs. HSIN now has federated access with the Department of Justice Regional Information Sharing System, the Law Enforcement Enterprise Portal, and other mission critical DHS systems and fusion centers that expand the ability to collaborate with more than 8,900 law enforcement and criminal justice agencies, including more than 117,000 law enforcement officers across the nation. In FY 2016, OCIO increased users to 70,000— a 20 percent annual increase based on mission growth strategy. OCIO and HSIN also supported 32 new major events such as the Papal Visit to Washington, DC and the Super Bowl.

Reliable Technology Infrastructure

A reliable technology infrastructure ensures IT can deliver effective, efficient services, and solutions that ultimately provide for the security of the American people. Priorities that lead to significant efficiencies

and better protection of the DHS IT infrastructure and network are critical. In FY2016, an IT Infrastructure Assessment was selected as a Winter Study for the FY 2018-2022. The study focused on upgrades needed to refresh and sustain end of life/end of support infrastructure that supports DHS Mission Essential Systems (MES), including ensuring adequate funding for disaster recovery. By identifying and proposing upgrades to these infrastructure issues now, systems will be refreshed before they break or become obsolete. The Winter Study was completed in March 2016 and included a scorecard that assessed Component-identified MES needs that will inform the Department's future analysis and strategy on IT infrastructure and propose recommendations to be evaluated in the FY 2018-2022 Program and Budget Review.

In 2010, the Office of Management and Budget (OMB) created the Federal Data Center Consolidation Initiative (FDCCI) to reverse the historic growth of federal data centers and curb rapid expansion and financial burdens associated with maintaining inefficient data centers. It propels efficient computing platforms by promoting the use of "Green IT" to reduce the overall energy and real estate footprint of government data centers and increasing the IT security posture of the government. In March 2016, DHS achieved the OMB FDCCI goal of 40 percent consolidation of legacy data centers. DHS is the fourth of the 16 cabinet-level agencies to reach the FDCCI 40 percent goal since it was established in 2013.

The Federal IT Acquisitions Reform Act (FITARA) aims to ensure agency CIOs have significant involvement in Budget Formulation and Planning, Acquisition and Execution, and Workforce and Organization. This will assist agencies in establishing management practices that align IT resources with agency missions, goals, programmatic priorities, and statutory requirements. FITARA will strengthen the agency CIO's accountability for the agency's cost, schedule, performance, and security for maintaining and enhancing DHS infrastructure and systems. In FY 2016, the DHS OCIO collaborated with DHS lines of business and Components to identify and establish new processes to ensure the visibility into and participation of the CIO in the development of all annual and multi-year planning, programming, budgeting, and execution decisions in addition to implementing new processes and enhancements in acquisition, organization, and workforce functions.

Cybersecurity and Technology Workforce

The DHS missions are challenging, budgets are limited, and IT is evolving at a rapid pace. Attracting, developing, and retaining the highest-quality workforce that can meet today's and tomorrow's challenges is critical to all of the DHS Components and missions. In July 2016, DHS hosted its first ever two-day hiring event aimed at filling mission-critical positions to protect our Nation's cyberspace. Several thousand people attended this innovative hiring event, which marked the first time eligible candidates could interview for an opening, receive a tentative job offer, and initiate the security process – all on the spot. DHS was able to expedite the hiring process, interview hundreds of potential candidates, and immediately extend tentative job offers to more than 300 talented entrepreneurs, computer scientists, engineers, and problem solvers as of November 2016. OCIO is currently working with OPM to provide DHS hiring managers the capability to mine the resumes of more than 14,000 applicants of the DHS-wide vacancy announcements, to fill additional vacancies across the department.

The DHS Digital Services team works on high visibility IT projects across DHS to address risks and challenges, and to provide IT subject matter expertise and experience in leading large technology

initiatives, change management, web development, user-centered design, and technology policy. The DHS Digital Services team involvement has driven significant engineering and product design enhancements and supported three major releases, including electronic filing and processing of USCIS Form I-90 (Application to Replace Permanent Resident Card) and USCIS Immigrant Fee payment along with myUSCIS Explore My Options, Help Center, and Practice Civics Test features.

Since 2012, DHS has offered an Information Technology Program/Project Management (ITPM) Training Program to provide IT-focused program and project management competencies such as cost, schedule, risk, acquisition, and integration management. The ITPM Track is key to ensuring that the Department has the capacity to manage its nearly \$6 billion IT portfolio. OCIO has completed four IT PM tracks thus far. The ITPM Track graduates receive a Masters Certificate in Project Management with a concentration in IT Project Management awarded by The George Washington University. Additionally, the majority of courses are certified by the Project Management Institute (PMI) enabling students to take the PMP Certification Exam and receive a PMP Certification. Upon Program completion, students are also eligible to apply for the ITPM Rotational Program where they are referred to various Programs across DHS to apply their training skillsets and acquire on-the-job experience.

Sustainability

Sustainability is embraced by DHS leadership and is incorporated into mission operations, supporting projects and business processes related to contracting, acquisition, financial planning, information technology, asset management, and project and program execution. At DHS, the approach to sustainability balances cost, schedule, operations, maintenance, safety requirements, and employee morale with creating and maintaining conditions that fulfill the economic, environmental, social, and security needs of the American people. The DHS Strategic Sustainability Performance Plan (SSPP) is the backbone for successful integration of sustainable practices into the daily business processes and decision-making that supports the DHS mission. The SSPP reflects the Department's strategic vision for doing business in a more efficient and sustainable way, and incorporates environmental compliance. Incorporating sustainability into day-to-day business processes and decision-making is an important step in enhancing mission performance and demonstrating our commitment to compliance with environmental and energy statutes, regulations, and Executive Orders and to protecting the nation's natural resources.

DHS conducted its first Sustainability Summit to discuss new requirements, share best management practices, and network among Components. This two-day summit was a joint initiative between DHS headquarters and the United States Coast Guard where 80 participants from across the Department came together for the single purpose of improving sustainability performance. Guest speakers from the White House Council on Environmental Quality, Environmental Protection Agency, and Department of Energy gave presentations that provided attendees with insight to the requirements and practical solutions to achieving goals. Subject matter experts from environmental, energy, sustainability, and historic preservation were present, as well as different lines of business representing real estate, facilities management and purchasing.

In FY 2016⁸, DHS achieved the following:

⁸ FY 2016 measure reports reflect FY 2015 actual results.

- Reduced scope 1&2 greenhouse gas emissions by 20 percent and scope 3 emissions by 38 percent against a 2008 baseline;
- Exceeded the 95% goal for sustainable acquisitions;
- Replaced 149 vehicles with HEVs;
- Increased E85 fuel use by 15% from the previous year;
- Achieved a 26 percent energy intensity reduction goal against a 2003 baseline;
- Realized a 8.6 percent electricity usage from renewable energy sources;
- Used conservation initiatives at facilities across DHS to reduce the potable water intensity by 30 percent; and
- Awarded \$75.5 million in performance-based contracting to further reduce energy usage and cost, exceeding the goal of \$73.2 million.

In FY 2016, the DHS Sustainable Practices Award Program selected 10 winners (teams and individual awards) for their efforts in advancing the Department's sustainability goals. This included the first ever Historic Preservation Award. The winners attended a ceremony hosted by the Under Secretary for Management in July of 2016. Nine nominations were eligible to compete in the Presidential GreenGov Awards Program.



Above: 2016 Lean, Clean and Green Award, Immigration and Customs Enforcement (ICE), from left to right, Chip Fulghum, DHS Chief Sustainability Officer, Jeffery Orner, DHS Chief Readiness Support Officer, Maryellen Brady, ICE Deputy Program Director, Jorge Santiago, ICE Program Director Facilities West, Ed Awni, ICE Executive Director Office of Asset and Facilities Management, Pankaj Shah, ICE Architect, and Russell C. Deyo, Under Secretary for Management.

The DHS Office of the Chief Procurement Officer, Office of the Chief Information Officer, and Office of the Chief Readiness Support Officer were recognized by the Green Electronics Council on May 23, 2016, for accomplishments in purchasing EPEAT (Electronic Product Environmental Assessment Tool) Products. DHS earned the maximum of three gold stars for having a sustainable purchasing policy, setting EPEAT specifications in contracts, and establishing a tracking system for accurate reporting. In FY 2015 DHS purchased 76,260 units of EPEAT registered televisions, printers and computers. Over the lifetime of the products, this is equivalent to taking 2,063 average U.S. passenger cars off the road for a year and avoiding about \$1,194,000 in energy costs.

Development of the Office of the Chief Readiness Support Officer Consolidated Asset Portfolio and Sustainability Information System (CAPSIS) continued to improve sustainability reporting data quality and enable more timely and easily defended management decisions. The Sustainability Performance Management piece of CAPSIS links key data with real property, fleet, and personal property information which can be used to identify opportunities for improvements in sustainability. Improving these processes assists in measuring and reporting our progress, and provides the ability to initiate course corrections in order to achieve our goals. In support of these goals, the Department will comply with all environmental and energy laws, regulations, and Executive Orders. DHS remains committed to pursuing and achieving the strategies and goals established in its Sustainability Plan.

Financial Stewardship

Key Accomplishments

The Department's commitment to financial stewardship, accountability, and transparency is evidenced by DHS earning a fourth consecutive unmodified (clean) audit opinion on our financial statements in FY 2016. The Department also provided modified assurance that internal control over financial reporting was operating effectively as of September 30, 2016, with the exception of the material weaknesses identified in the Secretary's Assurance Statement in the FY 2016 Agency Financial Report.

A clean audit opinion, and our renewed focus on internal controls are just two examples of the ways DHS continues to improve financial management. In FY 2016, the Department also achieved a major system modernization milestone when the Domestic Nuclear Detection Office migrated to a federal shared service provider. DHS is leveraging successes and lessons learned from this shared services implementation, reducing risk in future migrations through deliberative approaches to resource management, business process re-engineering, change management, and scheduling rigor and oversight.

Finally, DHS is implementing the Common Appropriations Structure, where the Department is moving from over 70 different appropriation types to four common appropriations for all Components⁹. This new budgeting approach will provide a simplified, consistent structure that allows the Department to compare like missions and activities in future budget requests, as well as monitoring execution.

These achievements demonstrate the Department's dedication to proper stewardship of taxpayer dollars, and are the result of strong commitment from DHS leadership and the expertise and hard work of our financial management community.

⁹ With the exception of the U.S. Coast Guard that will transition to the Common Appropriations Structure once their financial system has been modernized.

Key Challenges

In FY 2017, DHS will face challenges similar to other federal agencies, resulting from the transition of the Administration. The Department will need to ensure adequate resources are primarily supporting our critical mission in addition to remediation of the remaining internal control weaknesses; progressing and minimizing risks associated with financial systems modernization; and supporting transitions needs - all while sustaining the Department's unmodified audit opinion.

Next Steps

In FY 2017, DHS will continue to mature its DHS-wide internal control infrastructure by implementing well-documented, effective internal controls that are validated through routine monitoring and remediating previously identified internal control weaknesses. Over the past several years, the Department implemented a risk based internal controls assessment approach. DHS plans to expand this strategy with more Components performing internal control assessments over significant financial and IT business processes and systems throughout the year. This will allow the Department to identify and respond to new risks of material financial errors. The Department remains aware of its three material weaknesses and is committed and focused on remediating the conditions contributing to these deficiencies. The Department will work closely with Components to sustain the improvements made in FY 2016 and prioritize the corrective actions that remain.

In addition, the Department will continue its efforts towards modernizing financial systems across the Department. The Transportation Security Administration, U.S. Coast Guard, Immigration and Customs Enforcement, and Federal Emergency Management Agency are in the process of modernizing their financial systems. Although modernization will take years to accomplish, it will enable automated, real-time, and transparent information. All these improvements build on our foundation of successful, repeatable business practices. We will eliminate the need for numerous manual workarounds and ensure the accuracy of our financial, budget, and programming information.

Major Management and Performance Challenges and High-Risk Areas – Summary of Progress

DHS responds to reports on major management and performance challenges, and high-risk areas from both the DHS Office of Inspector General (OIG) and the U.S. Government Accountability Office (GAO), respectively. Annually, OIG reports what is considered to be the most serious challenges facing the Department. OIG's 2016 Major Management and Performance Challenges report identified challenges in six broad areas.

- Unity of Effort
- Employee Preparedness and Morale
- Acquisition Management
- Grants Management
- Cybersecurity
- Management Fundamentals

More specific information about these challenges, the Department's progress addressing them and next steps can be found in the management response to OIG's report *Major Management and Performance Challenges Facing the Department of Homeland Security*, OIG-17-08, dated November 7, 2016, and located at: <https://www.oig.dhs.gov/assets/Mgmt/2017/OIG-17-08-Nov16.pdf>.

Every two years, GAO identifies federal programs and operations that are high risk because of their greater vulnerabilities to fraud, waste, abuse, and mismanagement. GAO also includes areas needing broad-based transformations to address major economic, efficiency, or effectiveness challenges. GAO maintains these high-risk items on the list until it is satisfied that acceptable progress has occurred to address them. The most recent report, *High Risk Series: An Update* (GAO-15-290), located at: <http://www.gao.gov/assets/670/668415.pdf>, was published on February 11, 2015. The two areas in which DHS is the lead federal agency, as well as eight government-wide areas with significant DHS equities, are listed below.

Scope	Issue Area	Year Issue First Added to GAO's High Risk List
DHS-specific	Strengthening DHS Management Functions	2003
	National Flood Insurance Program	2006
Government-wide	Ensuring the Security of Federal Information Systems and Cyber Critical Infrastructures and Protecting the Privacy of Personally Identifiable Information	1997
	Strategic Human Capital Management	2001
	Managing Federal Real Property	2003
	Establishing Effective Mechanisms for Sharing and Managing Terrorism-Related Information to Protect the Homeland	2005

Scope	Issue Area	Year Issue First Added to GAO's High Risk List
	Ensuring the Effective Protection of Technologies Critical to U.S. National Security Interests	2007
	Improving Federal Oversight of Food Safety	2007
	Limiting the Federal Government's Fiscal Exposure by Better Managing Climate Change Risks	2013
	Improving the Management of IT Acquisitions and Operations	2015

DHS carries out multiple complex and highly diverse missions. Although the Department continually strives to improve the efficiency and effectiveness of all its programs and operations, the areas identified above merit a higher level of focus and attention. Overcoming challenges in these areas requires long-term strategies for ensuring stable operations, sustained management attention, and resources.

The remainder of this section provides a brief summary of the Department's efforts in addressing each GAO high-risk area.

GAO High-Risk – Status Update

GAO High-Risk Area: Strengthening DHS Management Functions (DHS-specific)
<p>Overview: In 2003, GAO designated “Implementing and Transforming DHS” as high risk, due to the significant challenges associated with transforming 22 agencies, into one cohesive department. This high risk area includes challenges related to strengthening and integrating four management areas: acquisition, information technology (IT), financial, and human capital management.</p> <p>In response to this high-risk designation, DHS biannually publishes the <i>Integrated Strategy for High Risk Management</i> (Integrated Strategy) which GAO has stated “provides a path for DHS to be removed from GAO’s high-risk list,” if implemented and sustained (see https://www.dhs.gov/sites/default/files/publications/DHS%20Integrated%20Strategy%20for%20High-Risk%20Management%20-%20August%202016_1.pdf). In 2013, GAO acknowledged DHS’s significant maturation and narrowed this high risk area from “Implementing and Transforming DHS” to “Strengthening DHS Management Functions.” According to GAO, this refocusing is a reflection of “the considerable progress in transforming [DHS’s] original component agencies into a single cabinet-level department.”</p>
<p>Lead Office and Official: Office of the USM, Michelle Benecke, executive director for Management Integration</p>
<p>Progress: In August 2016, DHS published its eleventh <i>Integrated Strategy</i>, which outlines DHS’s progress and serves as the roadmap for removal from GAO’s high-risk list. The strategy is composed of 11 initiatives with goals and metrics that correlate directly to GAO’s 30 agreed-upon high risk outcomes. GAO’s outcomes consist of desired end-states of maturation for several of DHS’s management functions.</p>

GAO has highlighted DHS's efforts on this high-risk issue area as a select example of an administration initiative leading to progress and listed the progress made as among the most highly-rated across the Federal Government (*High Risk Series: Key Actions to Make Progress Addressing High-Risk Issues*, GAO-16-480R, dated April 25, 2016). Making major strides during the past two years, the Department has:

- “Fully Addressed” or “Mostly Addressed” 17 of the 30 (57 percent) of GAO’s outcomes with further progress expected when GAO publishes its February 2017 *High-Risk Series*.
- Fully met three of the five (60 percent) criteria for list removal (leadership commitment, a framework to monitor progress and corrective action plans), making DHS one of the only two agencies on the High Risk List to have met at least three of GAO’s criteria; and partially met the two remaining criteria (capacity [i.e., resources] and demonstrated, sustained progress).
- Participated in a June 2016 Senate roundtable to share best practices, as an agency that had made progress on High-Risk List issues, at the invitation of U.S. Senator Thomas R. Carper, Ranking Member, Homeland Security and Governmental Affairs Committee.
- Achieved a fourth consecutive unmodified (i.e., clean) audit opinion on all five financial statements in November 2016—a confirmation of the Department’s ongoing commitment to sound financial management practices. DHS received its first unmodified audit opinion in December 2013. These successes led to GAO assessing the associated outcomes as “Fully Addressed.”
- Continued to conduct annual cycles of strategic human capital planning and implementation, demonstrating the sustainability of the GAO outcomes for human capital management.
- Made significant progress in reforming acquisition oversight, by creating common standards, integrated processes, and greater visibility of performance across all acquisition programs.
- Developed the Cyber Maturity Model, received favorably by Congress and the Office of Management and Budget, to identify and address areas that require strengthening to improve cybersecurity across the Department.

Since 2010, DHS has intensified its focus on strengthening its management foundation so that it could support higher-order initiatives. Examples include: strengthening the delegations of authority to clarify the roles between the Department and Components; elevating the role of the Program Accountability and Risk Management (PARM) function to improve the quality and oversight of acquisition programs; improving the quality and integrity of the Department’s financial statements; and, using the lessons learned from the Integrated Investment Life Cycle Management pilots to implement the Secretary’s *Unity of Effort* initiative. This effort focuses on strengthening all elements of the investment process, including strategy development, planning, and joint requirements, which will ensure that the total budget is spent effectively and efficiently.

Planned Actions and Key Milestones: DHS will continue to make significant progress in implementing the *Integrated Strategy* and strengthening the Department. During Fiscal Year (FY) 2017, DHS expects to accomplish the following:

- Continue addressing the outstanding GAO outcomes, with a goal of fully addressing or mostly addressing 21 of the 30 outcomes by December 31, 2017.
- Sustain progress in meeting GAO's criteria for high-risk list removal.
- Obtain the fifth consecutive clean audit opinion on financial statements
- Continue the DHS Human Capital Leadership Council practice of annually updating operational plans to support the implementation of the FY 2015-2019 Human Capital Strategic Plan.
- Continue strengthening acquisition oversight and management throughout the Department. There are five associated GAO outcomes for acquisition. DHS's goal is to be rated by GAO as having fully addressed or mostly addressed these five outcomes in the February 2019 *High-Risk Series: An Update*.
- Maintain the security of DHS's internal information technology (IT) systems and networks through continued cross-Component collaboration (for example, continued actions to improve Federal Information Security Modernization Act [FISMA] scores); and bring all 12 categories of scores into compliance.

GAO High-Risk Area: National Flood Insurance Program (DHS-specific)

Overview: The Federal Emergency Management Agency's (FEMA) National Flood Insurance Program (NFIP) is a key component of the Federal Government's efforts to limit the damage and financial impact of floods. However, it likely will not generate sufficient revenues to repay billions of dollars borrowed from the U.S. Department of the Treasury to cover claims from the 2005 hurricanes or future catastrophic losses within ten years, possibly more. The lack of sufficient revenues highlights structural weaknesses in how the program is funded. Also, GAO found weaknesses in NFIP management and operations, including financial reporting processes and internal controls, and oversight of contractors that place the program at risk. FEMA has begun to address these issues, including implementing legislation, improving contractor oversight, and taking the first steps toward financial systems modernization with the NFIP Phoenix Program, which replaces the NFIP's legacy mainframe solution.

In 1968, Congress created NFIP, which offers flood insurance to homeowners, renters, and business owners in participating communities. Participating communities agree to adopt and enforce ordinances that meet or exceed FEMA requirements to reduce the risk of flooding. Private sector write-your-own (WYO) insurance company partners sell NFIP policies under their own names, with claims and related expenses paid for by the Federal Government. FEMA also sells policies directly through a servicing agent.

Congress reauthorized NFIP for five more years in the *Biggert-Waters Flood Insurance Reform Act of 2012* (BW-12) which mandated certain premium rate increases to begin transitioning the program from subsidized rates to full actuarial rates reflective of risk to better ensure the fiscal soundness of the program. The *Homeowner Flood Insurance Affordability Act of 2014* (HFIAA) repealed certain parts of BW-12, including a provision phasing out grandfathered rates; set limits on premium rate increases for certain policyholders; and applied an annual surcharge to all policyholders. As NFIP had already begun implementing the required premium rate increases, this required issuing refunds to many policyholders.

Lead Office and Official: FEMA Federal Insurance and Mitigation Administration (FIMA), Roy E. Wright, deputy associate administrator for Federal Insurance and Mitigation

Progress: FEMA (1) implemented premium rate increases; (2) applied new surcharges; (3) released new rates and mapping standards; and (4) is transforming the NFIP to improve the experience of NFIP policyholders.

- To advance the agency's initiative to replace the NFIP's legacy mainframe solution, the FEMA Insurance Systems Program Management Office (PMO) coordinated with FEMA's Office of the Chief Procurement Officer and Office of the Chief Information Officer to develop the System Engineering Life Cycle and Acquisition artifacts necessary to garner approval for a DHS Acquisition Decision Memorandum (ADM) for the "Need" Phase (ADE-1), completed in the first quarter of FY 2016. This ADM gave the PMO permission to proceed to the "Analyze/Select" phase and garner approval for existing requirements documentation as well as finalizing an Analysis of Alternatives (AoA) to help identify the appropriate solution for NFIP's needs.
- FEMA published the NFIP Rate Guidance Issue in bulletins to WYO insurers in April and October 2016, allowing the mandated six months required for consultation and notice of changes impacting their IT systems.
- FEMA integrated the following requirements into its ongoing program and reporting processes:
 - ✓ Set 25 percent annual premium rate increases for businesses, mandated under BW-12, which took effect in April 2016.
 - ✓ Set the annual premium rate increases, as required by HFIAA, at an average rate between 5-15 percent per risk class, without exceeding the 18 percent cap on annual premium rate increases for any individual policy.
 - ✓ Applied a preferred risk premium rate for the first year to policies on properties that are newly mapped into a special flood hazard area, with increases of 18 percent per year until the rate reaches full risk rate.

NFIP insurers, working with WYO companies, will collect current flood zone determinations to populate FEMA's HFIAA-mandated clear communication of risk to property owners. FEMA will continue to track and monitor progress on implementation of the concept of operations and how they relate to GAO recommendations for effectiveness.

Planned Actions and Key Milestones: FEMA will expedite flood insurance reform and implement program changes through policy and by leveraging existing processes to release program updates every six months. Specifically, FEMA will:

- Release mapping standards by publishing them on www.FEMA.gov in May and November 2017, allowing the mandated time required for public comment.

As NFIP integrates critical rate requirements into the program, it will refocus to longer-term initiatives, including program updates and rulemaking initiatives. During the Fall of 2016, new reports and studies provided information critical to shaping NFIP's next steps in meeting the following requirements:

- During FY 2017, FEMA will issue a brochure on alternative flood mitigation methods for buildings to help communities and policyholders mitigate flood risk and rates.

Major acquisition lifecycle framework milestones for FEMA’s insurance system modernization activities include:

- ADE-2A and 2B: The Acquisition Review Board (ARB) met on December 15, 2016 and the Under Secretary for Management (USM) verbally approved the program passing ADEs 2A and 2b, putting it approximately four months ahead of schedule. FEMA is currently awaiting written confirmation from the USM in the form of an ADM, which will move the NFIP Phoenix Program to the “obtain” phase. These milestones involved the approval of requirements, concept of operations, life cycle costs, and AoA artifacts before proceeding to the acquisition phase.
- ADE-1: The NFIP Phoenix Program also appeared at an ARB in September 2015. This milestone involved validating the mission need and capability development plan for the program, and authorizing FEMA to begin analyze/select activities.

GAO High-Risk Area: Ensuring the Security of Federal Information Systems and Cyber Critical Infrastructure and Protecting the Privacy of Personally Identifiable Information (Government-wide)

Overview: Federal agencies and our Nation’s critical infrastructure—such as power distribution, water supply, telecommunications, and emergency services—rely extensively on computerized information systems and electronic data to carry out their operations. Safeguarding these systems and data is essential to protecting national and economic security, as well as public health and safety. This safeguarding of federal computer systems and the systems that support critical infrastructure—referred to as cyber Critical Infrastructure Protection (CIP)—is a continuing concern. Federal information security has been on GAO’s list of high risk areas since 1997. In 2003, GAO expanded this high risk area to include cyber CIP. Risks to information systems include continuing insider threats from employees and business partners, escalating and emerging threats from around the globe, the ease of obtaining and using hacking tools, the steady advance in the sophistication of attack technology, and the emergence of new and more destructive attacks. In 2015, GAO added protecting the privacy of personally identifiable information (PII) to this area.

Lead Office and Official: National Protection and Programs Directorate (NPPD) Office of Cybersecurity and Communications (CS&C)/ Danny Toler, Deputy Assistant Secretary

Progress: DHS continues to advance its ability to develop and share situational awareness of cyberthreats and vulnerabilities while taking actions to protect federal agencies from malicious activity.

DHS improved its cyber-analytical and technical capabilities. For example:

- DHS’s National Cybersecurity Assessment and Technical Services (NCATS) team increased its cyber-hygiene scanning activities, which ensure that federal agencies’ are aware of vulnerabilities in their Internet-facing systems (see table below).

<u>FY</u>	<u>Vulnerabilities Detected</u>
2013	11,350
2014	59,937
2015	147,913
2016	136,335
2017 (as of 10/31)	19,127

- Under the *Federal Information Security Modernization Act of 2014*, the Secretary can now issue binding operational directives, which are directions to agencies to mitigate risks to their information systems. DHS released its first binding operational directive in May 2015, which requires agencies to quickly patch their most critical cyber vulnerabilities, based on the results of NCATS cyber hygiene scans.
 - ✓ When DHS issued BOD-15-01, a total of 363 critical vulnerabilities were known to be present on federal agency networks. 33 departments and agencies had known critical vulnerabilities that were older than 30 days; 16 were Chief Financial Officer (CFO) Act agencies and 17 were small agencies not covered by the CFO Act. All of these vulnerabilities have been resolved.
- Critical vulnerabilities have continued to be identified since the release of BOD-15-01. As of June 15, 2016, the overall current active critical vulnerabilities was reduced to 48, an 87 percent overall decrease in identified critical vulnerabilities.
- In addition, in FY 2015, the NCATS team completed 27 Risk and Vulnerability Assessments (RVAs) for federal agencies. In FY 2016, it completed 71 RVAs for federal agencies, the majority of which focused on agency-identified high-value assets. RVA services include, among other things, penetration testing, wireless discovery and identification, database scanning, web application scanning and testing, and social engineering.

DHS also strengthened the effectiveness of its partnerships with the private sector and other federal agencies in securing cybercritical infrastructure. For example:

- DHS has made efforts to provide the Continuous Diagnostics and Mitigation (CDM) program to other federal agencies, which will improve DHS's influence on protecting federal agencies from malicious activity. This program provides federal civilian agencies with tools to monitor agencies' internal networks divided into three phases. Phase 1 identifies vulnerabilities on computers and software on agency networks. Phase 2 monitors users on agencies' networks and detects if they are engaging in unauthorized activity. Phase 3 will assess activity happening within agencies' networks to identify anomalies and alert security personnel.
 - ✓ As of September 30, 2016, DHS had provided CDM Phase 1 tools to 100 percent of participating agencies and CDM Phase 2 tools to 65 percent of participating agencies. Although each agency must still take action to implement these systems, DHS expects increased CDM coverage across the civilian Federal Government.
- DHS continues to provide EINSTEIN intrusion detection and prevention services to federal agencies. EINSTEIN 3 Accelerated (EINSTEIN 3A), which actively blocks known malicious traffic, is currently being deployed through the primary internet service

providers serving the Federal Government. As of September 30, 2016, EINSTEIN 3A protected approximately 80 percent of the civilian Federal Government with at least one of its two security “countermeasures.”

- DHS’s National Cybersecurity and Communications Integration Center (NCCIC) has enhanced support to state, local, tribal, and territorial governments and to the private sector by providing incident management and response support, including network and malware analysis. As of June 30, 2015, NCCIC provided onsite incident response to 32 incidents – nearly double the total for FY 2014. NCCIC also coordinates responses to significant incidents to (1) give senior leaders a clear understanding of the situation; (2) give operators the information they need to respond effectively; and, (3) enable NCCIC to identify indicators of compromise that can then be shared with other agencies and applied to EINSTEIN.
- NCCIC has improved public-private sector partnerships by improving information sharing so they can block threats before penetrating network or otherwise detect intrusions sooner. NCCIC continued its dissemination of alerts, warnings, and bulletins in FY 2016. In addition, it implemented the Automated Indicator Sharing (AIS) capability in accordance with the *Cybersecurity Information Sharing Act of 2015*. As of November 16, 2016, NCCIC had shared approximately 62,900 unique indicators through the AIS capability. At the same point, 69 non-federal entities – including several information sharing and analysis organizations, managed security service providers, and commercial threat feeds – were connected to the AIS capability and 23 federal agencies were connected.

DHS improved privacy compliance and protected PII and other sensitive information. For example:

- DHS’s Privacy Office (PRIV) serves a unique role as both an advisor and oversight body for the Department. DHS employs a layered approach to privacy oversight for the Department’s cybersecurity activities which includes extensive collaboration with the NPPD Office of Privacy.
- NPPD’s Office of Privacy has conducted publicly available privacy impact assessments (PIAs) on its cybersecurity programs which assess and mitigate any impact a system or program may have on the privacy of individuals. For example, as discussed in PIAs, DHS has processes in place to implement data minimization to ensure data collection is limited to information that is determined to be necessary to understanding cyber threats.
- NPPD’s Office of Privacy, continues to provide role-based training addressing PII handling as articulated in the US-CERT Cybersecurity Information Handling Guidelines (CIHG) and the implementation of the Class Deviation 15-01 from the Homeland Security Acquisition Regulation (HSAR): Safeguarding of Sensitive Information. CIHG trainings are required of new CS&C employees upon the first 90 days of onboarding and on a recurring annual basis; HSAR training is provided to Contracting Officer Representatives on an as-needed basis.

In addition to this ongoing work, NPPD continues to work on implementing GAO recommendations directly related to this high risk area. During FY 2016, GAO agreed to close three recommendations and CS&C is awaiting closure of five more as of December 30, 2016.

Planned Actions and Key Milestones: To further protect the Federal Government’s information systems and to collaboratively protect non-federal entities, DHS will increase its EINSTEIN 3A coverage, in accordance with the Cybersecurity Act of 2015, continue supporting agencies through the procurement and deployment of CDM capabilities, and increase the volume of cyber threat indicators and defensive measures shared through AIS capability while analyzing the relative value of those indicators.

During FY 2017, DHS expects to make important progress in reinforcing DHS’s role in protecting the Federal Government’s information systems and the Nation’s cybercritical infrastructures (Government-wide). Specifically, DHS plans to:

- Purchase and deliver CDM Phase 1 and 2 tools for 100 percent of the participating Federal agencies.
- Provide agencies with actionable risk mitigation information based on cyber hygiene scans and RVAs focused on high-value assets.
- Deliver a revised National Cyber Incident Response Plan to the White House, as required by the *National Cybersecurity Protection Act of 2014* and Presidential Policy Directive 41.

GAO High-Risk Area: Strategic Human Capital Management (Government-wide)

GAO Overview: Addressing national challenges requires a high-quality federal workforce able to work seamlessly with other agencies, levels of government, and across sectors. However, current budget and long-term fiscal pressures, declining levels of federal employee satisfaction, the changing nature of federal work, and a potential wave of employee retirements could produce gaps in leadership and institutional knowledge. Mission-critical skills gaps impede federal agencies from cost-effectively serving the public and achieving results. Additional efforts are needed to coordinate and sustain efforts to close critical skill gaps and better use workforce analytics to predict emerging skills gaps. DHS has taken significant steps over the last year to develop and demonstrate sustained progress in implementing a results-oriented, human capital plan that identifies departmental human capital goals, objectives, and performance measures, and is also linked to the Department’s overall strategic plan.

In December 2014, Congress passed two pieces of cybersecurity workforce legislation, specifically the *Border Patrol Pay Reform Act of 2014* and the *Cybersecurity Workforce Assessment Act*, and in December 2015, Congress passed the *Federal Cybersecurity Workforce Assessment Act*. The *Border Patrol Pay Reform Act of 2014* granted the Secretary the authority to create a cybersecurity excepted service personnel system. This authority allows for a variety of human capital management changes, including alternative hiring procedures, alternative compensation, and the creation of a senior cyber service. The laws also required DHS to increase its cybersecurity workforce analysis and planning efforts.

Lead Office and Official: Management Directorate, Office of the Chief Human Capital Officer (OCHCO), Gwen Yandall, executive director, Human Capital Policy and Programs

Progress: OCHCO has fully implemented the strategic human capital plan framework and is in the sustainment phase, which consists of applying strategic human capital planning actions to ensure the Department has the talent and skills necessary to meet present and future mission-related challenges. This progress was validated by GAO’s February 2015 *High Risk Series: An Update* (GAO-15-290) which provided a “Fully Addressed” assessment for the related outcome

of the “Strengthening DHS Management Functions” area, “Implement the Human Capital Plan.” Of the seven total outcomes, OCHCO expects GAO to increase the assessments of two additional outcomes to “Fully Addressed” in the February 2017 *High Risk Series: An Update*. OCHCO also anticipates two outcomes reaching “Mostly Addressed,” meaning little work remains.

DHS continues to mature the human capital strategic planning process and is demonstrating sustainability of this program through several activities:

- The Human Capital Leadership Council (made up of the human resource directors of each operational Component and OCHCO executives) met for the fourth annual offsite session in August 2016 to initiate the annual human capital planning cycle. A key outcome was a draft FY 2017 operational plan that establishes the program priorities for the upcoming year and aligns to the Human Capital Strategic Plan (HCSP) for FYs 2015 through 2019.
- The Office of Strategic Workforce Planning and Analysis (SWPA) reports the operational plan status to the CHCO monthly and to DHS-wide human capital leadership quarterly. This level of progress reporting promotes transparency and enables timely corrective actions on operational activities where needed.
- By the second quarter of FY 2016, DHS had completed a second full year’s cycle of CHCO-led, quarterly, data-driven performance reviews known as HRstat.
- During FY 2016, OCHCO continued to mature the HRstat program by strengthening quarterly measures to be more relevant, adding measure targets, and enhancing the human capital dashboard.
- SWPA strengthened and enhanced the value and use of human capital data through the implementation of all FY 2016 deliverables outlined in OCHCO’s Five-Year Human Capital Data Plan. Due to this progress, the new mission critical occupation (MCO) revalidation process, and the completion of the third cycle of workforce planning, OCHCO anticipates a “Fully Addressed” assessment for the related outcome, “Linking Workforce Planning to Other Department Efforts” (HCM #2).
- OCHCO, through its Diversity and Inclusion (D&I) Office, enhanced department-wide recruitment efforts including finalizing and initiating implementation of the DHS Strategic Outreach and Recruitment Plan (SOAR). D&I revised the Component Recruitment and Outreach Plan (CROP) template to enhance recruiting efforts to meet current and long-term needs, also adding an accountability checklist to assess the CROP submissions.
- D&I reformatted the DHS Recruiter Training into a virtual format and trained more than 400 DHS personnel and continued other initiatives, such as coordinating DHS Component engagement in high-value diverse recruiting opportunities, including the five major annual law enforcement training events. Based on these achievements, DHS expects GAO to increase the assessment of the related outcome, “Enhance Recruiting to Meet Current and Long-Term Needs” (HCM #3).
- OCHCO’s Office of Strategic Learning, Development and Engagement (SLDE) issued a workforce development strategy for the DHS learning community and initiated implementation of key actions.
- SLDE also collaborated with DHS Learning Officers to issue and implement a Training Needs Assessment Guide and a Training Evaluation Guide, which will improve the relevance and quality of DHS training.

- The USM issued a new Learning Development Directive, which along with the preceding achievements, is expected to increase the assessment for DHS's learning management outcome (HCM #7) to "Mostly Addressed."

In 2015, DHS established a dedicated team in OCHCO to accelerate the design and implementation effort for the cybersecurity excepted service personnel system. OCHCO completed research on all the major alternative personnel systems since 1980, and by combining leading practices and some new ideas, designed a flexible, 21st-century personnel system tailored to the evolving, project-based field of cybersecurity. Work continues with the DHS Office of the General Counsel and the U.S. Office of Personnel Management to chart the fastest course possible to finalizing regulation to administer the new excepted service personnel system.

In 2016, DHS developed new guidance for identifying and categorizing all open and filled cybersecurity positions, and monitoring critical gaps, which will be reported to Congress.

Planned Actions and Key Milestones: To sustain a GAO assessment of "Fully Addressed" for implementing the Human Capital Plan and continue progressing toward a "Fully Addressed" assessment for the remaining outcomes, the Department-wide human capital community and its key stakeholders will, in FY 2017 and beyond:

- Continue to implement the HCSP through annual operational plans and data-driven performance reviews, to include continual monitoring and evaluation of the human capital dashboard
- Continue to apply the five-step workforce planning framework for the department's priority MCOs, which consist of 17 occupations most impactful to DHS's overall mission areas.
- Improve visibility of program training costs and quality by implementing a DHS-wide Common Training Cost Structure, implementing enterprise training metrics, and sharing information among Components on common training offerings.
- Develop a Joint Duty Assignment Program to provide cross-Component rotational experiences to develop DHS leaders with broad departmental perspectives.
- Conduct annual recruitment planning sessions to prioritize events and ensure alignment with workforce planning and diversity analysis, to meet or exceed hiring goals.
- Continue to work through the DHS Employee Engagement Steering Committee to improve Component engagement action planning processes, share and spread best practices, and keep DHS leadership apprised of issues and challenges related to employee engagement.

In addition, the Department is currently working with Components to develop a comprehensive cybersecurity workforce strategy covering the readiness, capacity, training, recruitment, and retention of its cybersecurity workforce.

GAO High-Risk Area: Managing Federal Real Property (Government-wide)

GAO Overview: The Federal Government's real property holdings are vast and diverse with a combined area of over three billion square feet (SF). Since federal real property management was placed on the high risk list in 2003, the government has given high-level attention to this issue and has made strides in real property management, but continues to face long-standing

challenges. The Federal Government continues to maintain too much excess and underused property and relies too heavily on leasing in situations where ownership would be more cost efficient in the long run. The Federal Government also faces ongoing challenges in protecting its facilities. Despite a high level of leadership commitment to improve real property data, the Federal Government continues to face challenges with the accuracy and consistency of the Federal Real Property Profile causing the Federal Government to report inaccurate inventory and outcome information.

With more than 100 million SF of building space, leases through the U.S. General Services Administration (GSA) and direct leases from the private sector account for more than half of DHS's building space. Payments on these leases account for 81 percent of annual DHS operating outlays for real estate at \$1.8 billion. DHS has employed several strategies to improve real property management, reduce overreliance on leasing, reduce leasing costs, and reduce excess and underused property.

The Federal Protective Service (FPS) is charged with protecting and delivering integrated law enforcement and security services to facilities owned or leased by GSA.

Lead Office and Official: Management Directorate, Office of the Chief Readiness Support Officer (OCRSO), Tom Chaleki, Deputy Chief Readiness Support Officer

Progress: DHS continued its space efficiencies and reduction efforts which aim to achieve the right facility, at the right location, at the right cost. DHS also continued efforts to reduce the real property footprint by focusing on SF reduction and cost savings to reduce dependency on leased locations and improve space utilization in both leased and owned locations. FPS provides integrated security and law enforcement services to federally owned and leased buildings, facilities, property, and other assets.

Federal Real Property Management:

DHS continued its co-location and consolidation efforts to increase efficiencies and reduce costs. The focus of DHS's real property management is to (1) reduce the real property footprint; (2) reduce the dependency on leased locations; (3) improve the utilization of space; and (4) improve the completeness and accuracy of the real property related data. For example:

- As leases expired, and subject to the availability of funding, DHS continued to reconfigure and build-out new spaces in accordance with the 2014 Workspace Standard and the DHS Real Property Efficiency Plan (RPEP). The DHS Workspace Standard provides criteria for office and related spaces (conference rooms, break rooms, file rooms, etc.) not to exceed 150 SF/per person.
- DHS implemented a nationwide strategy for warehouse consolidation resulting in a reduction of over 220,000 SF of warehouse space by the end of FY 2016.
- In furtherance of the goals of the Headquarters Consolidation Enhanced Plan and the development of the St. Elizabeths West Campus, DHS worked with GSA and their consultants to design the interior of the Center Building currently under renovation to meet the Department's utilization standard of 150 USF per person. When completed, the Center Building will house the Secretary's office and most of the headquarters staff currently located at the Nebraska Avenue Complex. In addition, the FY 2016 appropriation provides funds for GSA and DHS to renovate multiple buildings to house a

consolidation of the Management Directorate on Campus. DHS has developed a Program of Requirements for Management Directorate that provides an all-in utilization rate of 126 USF/person, improving the 150 USF per person standard by a 16 percent reduction. DHS is working with GSA and DHS Components to optimize the Douglas A. Munro Coast Guard Headquarters building that was originally designed under traditional office space concepts to house additional occupancies.

- The DHS Top-10 cities review, an assessment of opportunities for office space consolidation and to identify efficiencies, was expanded to 14 cities and completed in FY 2016. The reviews identified potential opportunities for consolidation and/or footprint reduction in administrative office occupancies outside the National Capital Region (NCR). DHS met with GSA at both the national and regional level to implement the planning phase for co-location and consolidation projects and regional mission support strategic planning outside the NCR.

Protection of Facilities:

FPS leads efforts within a complex operating environment to protect and secure federal facilities from both physical and cyber threats. The recognition that threats to infrastructure and its occupants are always evolving drives FPS's proactive engagement with its partners and stakeholders and guides its analysis of security requirements. FPS continues to develop national-level policies, operational initiatives, and capabilities and programs that are instrumental for threat detection and deterrence while enhancing security and promoting facility and infrastructure resilience.

FPS is a champion of federal facility security, working collaboratively with departments and agencies at the National level to address both current and future security requirements that impact individual facilities across the country. For example:

- FPS is a strategic partner with the Interagency Security Committee (ISC). In 2016, FPS toured the country with the ISC on their National Compliance Advisory Initiative (NCAI) to increase awareness of ISC standards and to promote a united Federal facility security partnership. FPS serves as a member of the ISC Steering Committee, helping to prioritize initiatives for developing national standards and policies for the protection of federal facilities. FPS leads the efforts of several subcommittees and working groups to develop and maintain federal facility protection standards including the design basis threat and countermeasures components of the risk management process. FPS is also an active member on all other ISC subcommittees and working groups.
- FPS conceptualized and has begun development of a Protection Center of Excellence (PCoE) to establish standardized training for security professionals across the government. FPS formed a PCoE Development Cell at the Federal Law Enforcement Training Center (FLETC) which includes representatives from FLETC, DHS, the U.S. Department of Justice, the Federal Aviation Administration, the U.S. Department of Defense, and other ISC member agencies. FLETC and FPS have conducted a crosswalk of FLETC's current curriculum to identify related ISC competencies. Further, FLETC and FPS are soliciting all FLETC partner organizations to determine if their respective agencies have a need or desire to train within the PCoE. FPS continues to assess PCoE support staff requirements.

- FPS is the co-lead for the Government Facilities Sector as part of the National Infrastructure Protection Plan. FPS and GSA jointly established protection requirements for government facilities as critical infrastructure and chair the sector's Government Coordinating Council. As a result of this joint effort the Sector Specific Plan has been approved and signed by the sectors leadership to include: the Assistant Secretary of Infrastructure Protection, the Director of FPS, and the Associate Administrator for the Office of Mission Assurance for GSA.
- FPS is at the forefront of the efforts to protect federal facilities from cyber threats. In addition to leading the inclusion of this threat in the ISC Design Basis Threat standard, FPS worked with GSA and the Federal Facility Controls working group to develop a joint Cybersecurity Strategy for Federal Facility Control Systems that will enhance the effort of relevant agencies with protection, determent, and response to cyber-physical security incidents at federal facilities.

FPS applies the national standards and strategies to develop or improve and implement operational policies and procedures across the mission areas. GAO has issued recommendations to FPS pertaining to risk assessment and the protective security officer (PSO) program. FPS's efforts have resulted in the closure of the majority of recommendations in these two areas. For the few that remain, FPS is actively working to address their closure through efforts including the following:

- FPS revised and reissued the directive and manual for conducting Facility Security Assessments (FSA) in March 2015. These documents, originally issued in February 2014, outline FPS's process for conducting FSAs, including the full application of the ISC's risk management process, to identify and communicate risks to facility tenants and to recommend and monitor effective security solutions that mitigate the impact of any undesirable event from terrorist attacks to natural disasters. FPS has conducted nearly 4,000 FSAs using this process in FY 2015 and FY 2016 and recommended more than 13,000 countermeasures to mitigate potential threats and vulnerabilities identified as a result of those FSAs. FPS is planning enhancements to the tool used to conduct the FSAs and has defined requirements in a Mission Needs Statement that will include the ability to incorporate and evaluate threats, vulnerabilities, and consequences in one automated tool. This progressive effort led to the closure of two GAO recommendations related to the issue.
- FPS has mature initiatives that cut across various aspects of the PSO program to ensure that requirements for PSOs are clearly defined, communicated, and monitored. In November 2015, the PSO Oversight and Monitoring directive was revised and reissued to provide clarity on internal oversight responsibilities and processes. The statement of work for PSO services was updated to include changes in requirements for training duration and frequency (e.g., screener) and documentation of PSO training and certification. The SMART Book that is required by contract to be used to train and test PSOs was updated to include active shooter scenario language as well as was the post order template. FPS Contracting Officer Representatives receive in depth training on the specifics of FPS PSO directives and contract statement of work so that they are prepared to identify and address any compliance issues quickly. However, FPS recognizes that there are opportunities to modernize aspects of the program to include tracking time on post as well as management of the training and certification data. One example is the Post

Tracking System which is currently being piloted. Together, these initiatives demonstrate an understanding of the broad technical requirements that evolve with the threat environment and a commitment to establishing long-term solutions for the PSO program.

- Separate from the programmatic efforts noted above, FPS has also recognized the importance of better tracking of recommendations from issuance to closure and beyond to ensure that actions being taken to address GAO recommendations align with agency goals.

Planned Actions and Key Milestones: DHS has strategic plans for several initiatives related to the managing real property as a high risk program area. During FY 2017, DHS expects to make important progress in strengthening real property portfolio planning and management functions by:

Federal Real Property Management:

- Continuing the space reductions outlined in the RPEP, especially as opportunities arise with regard to reducing reliance on leasing. By FY 2021, the RPEP estimates achieving a 6.2 percent reduction in square footage from an OMB-established DHS FY 2015 baseline of 31.1 million SF which would result in DHS reducing office space by 1.6 million SF and warehouse space by 326,000 SF for a total reduction of more than 1.9 million SF.
- Continuing implementation of the Headquarters Consolidation Enhanced Plan and development of the St. Elizabeths West Campus. This effort will improve utilization and save over \$300 million in construction and outfitting costs for a new separate facility. This design effort is looking to add the Science & Technology Directorate, the Office of Health Affairs, and the Domestic Nuclear Detection Office to the building while still providing mission effective space for the U.S. Coast Guard. The FY 2017 President's Budget Request proposes funding for the construction of a new FEMA headquarters facility at St. Elizabeths with an all-in utilization rate of 105 USF per person. The enhanced plan reduces overall construction at St. Elizabeths and reduces space requirements at other anchor locations within the NCR. It will save up to \$800 million in construction costs and projects 30 year net present value cost avoidance to DHS of \$1.2 billion over the best case alternative of replacing expiring leases with new commercial leases.
- DHS will develop a regional planning structure headed by a Field Efficiency Program Management Office (CRSO has hired a 3-year term-limited Senior Executive Service member to direct operations for field efficiency regional planning). The goal for FY 2017 is to complete regional strategic plans for Boston, New York, and Seattle.
- Implementing the Field Efficiencies PMO and the regional model for office and warehouse requirements development, coordination and space consolidations. Progress will continue to be monitored on the 14 city reviews and annual updates completed in conjunction with field efficiency initiatives and subsequent evaluation of project feasibility. This effort will be expanded as additional markets with significant DHS administrative office occupancies and opportunities for co-location and/or consolidation are identified.
- Continuing data improvements to the DHS real property data warehouse, including to the validation and verification quality improvement processes. In FY 2017, DHS will hire data analysts to focus upon improving the quality of real property data.

Protection of Facilities:

As FPS continues to press forward with ongoing outreach and coordination, security training enhancements, and operational process improvements, FPS plans to:

- Develop the Protection Center of Excellence (PCoE) strategic plan, implementation plan, requirements plan, and charters for the various groups and functions within the PCoE by FY 2018.
- Meet with the ISC quarterly to better align priorities for the protection of federal facilities beginning in February 2017.
- Formally initiate the acquisition process for the development of the new FSA automated tool by the end of FY 2017.

GAO High-Risk Area: Establishing Effective Mechanisms for Sharing and Managing Terrorism-Related Information to Protect the Homeland (Government-wide)

Overview: In January 2005, GAO designated “Establishing Effective Mechanisms for Sharing and Managing Terrorism-Related Information to Protect the Homeland” as high risk. GAO has since monitored federal efforts to implement the Federal Information Sharing Environment (ISE), because the government faces serious challenges in analyzing key information and sharing information among federal, state, local, tribal, territorial, and other security partners in a timely, accurate, and useful manner to protect against terrorist threats. The ISE serves as an overarching solution to strengthening the sharing of intelligence, terrorism, law enforcement, and other information. DHS is a key federal participant in the ISE. Continued progress toward improved information sharing is critical in order to reduce the risks of threats to the homeland and to respond to the changing nature of domestic threats.

In its 2013 high -risk list, GAO identified nine action items that are critical for moving the ISE forward, and noted that two had been completed. In the 2015 update, GAO reported that the program manager for the ISE and key Departments, including DHS, had achieved four of the seven remaining action items and had partially met the remaining three action items.

Lead Office and Official: Office of Intelligence and Analysis, Glenn Krizay, Executive Director for Information Sharing and Safeguarding Executive Staff

Progress: To establish an enterprise architecture management capability and use it to guide selection of projects for substantially achieving the environment:

- DHS created, published, and implemented the DHS Information Sharing Segment Architecture (ISSA) which serves as a roadmap to guide strategy implementation and project investment selection efforts to achieve the future state of the DHS ISE. It aligns the DHS mission and enterprise functions with the business policies, strategies, leadership, architecture, and governance needed to identify a consistent set of information sharing and safeguarding services and capabilities internal to DHS and the broader ISE.
- DHS continues to participate in ISE Ready which promotes awareness of the ISSA, verifies that DHS is deploying its key information sharing and safeguarding capabilities using the ISSA, and serves as a platform for DHS leadership to make informed decisions relating to resource management and project investment alignment.

- DHS developed the International Information Sharing Architecture under the ISSA which ensures consistency in policies implemented with foreign partners, and is a tool for providing architectural oversight and governance of DHS's interfaces with foreign partners.
- The Information Sharing and Safeguarding Governance Board (ISSGB) adopted the ISSA to identify other enterprise information sharing and safeguarding initiatives. It drives the use of common processes, services, and standards that will ensure DHS is interoperable with and participates in the ISE.

To improve sharing under the environment and more fully develop a set of metrics and processes to measure results achieved:

- The ISSA and the Department's overall enterprise architecture management capability improved DHS's ability to interface with state, local, tribal, and territorial partners. For example, the Simplified Sign-on project, focused on increasing efficiency for fusion center personnel by improving uniform, timely, and appropriate access to more DHS data.
- DHS implemented the National Information Exchange Model (NIEM) to provide standards, data models, tools, and technical support services to improve information sharing, particularly for sharing terrorism related information, across multiple federal, state, and local platforms. DHS also developed NIEM's Emergency Management Domain (EMD), which supports emergency-related services and information sharing to increase readiness. DHS launched NIEM 3.1 which includes human services as a key component for demographic information exchange.
- DHS is developing and evaluating several critical projects to enhance the overall international information sharing and safeguarding program. For example, DHS is centralizing Components' programs that share information with foreign partners through technology and operational infrastructures suitable to managing agreements.
- DHS deployed the Trusted Automated eXchange of Indicator Information system which allows organizations to share actionable cyberthreat information across organization and product/service boundaries and thereby mitigate cyberthreats.
- DHS continues to improve sharing and collaboration through the Homeland Security Information Network (HSIN) to disseminate critical secured information sharing within the ISE. DHS increased HSIN membership, exceeding 70,000 users nationwide.
- DHS continues to use common operating pictures, geospatial optimization to provide real-time notifications with cross-domain capabilities. This enables the integration of maritime security common operating data for sharing across Components and with state, local, and international partners for the detection, classification, and interdiction of small maritime targets. DHS is implementing its Geospatial Center of Excellence/Joint Geospatial Operations in accordance with Geospatial Management Directive 034-01, anticipating its completion by the end of FY 2017.
- DHS is developing a performance management framework to capture objective, standardized data to evaluate the value and impact of individual fusion centers and the National Network of Fusion Centers in supporting national information sharing and homeland security outcomes. This assessment, to be conducted annually, enables DHS to coordinate access to capabilities, resources, and expertise necessary for state and local partners to share information and intelligence.

To establish milestones and time frames as baselines to track and monitor progress on individual projects and in substantially achieving the overall environment:

- The DHS ISSGB continues to guide the Department in gaining enterprise consensus on key initiatives and the implementation of strategies that address critical barriers to achieving the information sharing mission of the ISE. The ISSGB produced the FY 2017-2021 Information Sharing and Safeguarding Enterprise Services Resource Allocation Plan Submission to influence programming decisions to influence funding for enterprise information sharing initiatives. The ISSGB also adopted a more operationally focused approach to monitoring and coordinating progress in achieving closure of mission-critical information sharing and safeguarding gaps across the enterprise. As a result, ISE, DHS, and Component priorities are aligned against cyber, data strategy, international information sharing, situational awareness and safeguarding and activities in these areas are monitored quarterly by the ISSGB to address key risk, deconfliction, or changes in enterprise strategy and/or policy.
- The ISSGB is currently executing a five year review of achievements relative to the FY 2013-2017 Strategic Plan. This assessment is the first step in developing a new strategy for FY 2018-2022. This assessment will also provide evidence of success in moving toward a mature information sharing environment for the Department as well as identify what, if any, gaps remain to be addressed in the next five years.

The ISSGB supports an environment where Components can develop joint initiatives focused on the maturation of the information sharing enterprise through the sponsorship of Executive Steering Committees (ESCs). These Component-driven groups address key technology, policy, or coordination efforts essential to advancing the ISE, such as law enforcement information sharing and deconfliction, common operating pictures, and international information sharing. Each ESC is chartered to accomplish specific goals and report to the ISSGB routinely to ensure those goals are being met.

In addition, of 12 recommendations previously directed at DHS in past GAO reports related to this high risk area, GAO has closed 8 recommendations, related to increasing field-based entity coordination, collaboration, and co-location efforts; and, strengthening information sharing with transportation stakeholders; and is taking actions to address the other remaining 4 recommendations by March 31, 2017.

Planned Actions and Key Milestones: DHS has the following planned actions to address the remaining three partially met action items:

- The DHS Data Framework is targeting to have 20 total data sets by the end of FY 2017. DHS has developed 16 approved Data Tagging Workbooks to capture all data elements in a data set and will assign access permissions to each one. For each dataset, DHS conducts privacy analyses to determine what, if any, changes are necessary to public-facing privacy documentation and to coordinate the technical details on the transfer of the data.
- DHS initiated a FY 2017 refresh of the Implementation Plan to focus as an enabler to the agenda for the ISSGB and sub-working groups and stakeholders across the DHS enterprise. The refresh will address enterprise-wide plans, frameworks, responsibilities, priority objectives, and mission impact related initiatives that develop mission capabilities

and that focus on mission impact. This will allow for drafting performance measures and milestones for monitoring progress moving forward.

- To continue to spur enterprise-wide programs like the DHS Data Framework, the ISSGB took a fundamentally different approach to refreshing the DHS ISSS I-Plan in 2015. The ISSGB adopted a more operational approach to the implementation of the DHS ISS by focusing on developing activities and milestones that are consistent with the Department's most pressing mission priorities and needs. This was formalized in Operationalizing the ISSGB: Strategic Mission Focus Areas for FY 2016-2022, which described six mission priority areas for the ISSGB, each aligned to initiatives within the DHS ISSS I-Plan. Continuing into FY 2017, the ISSGB's approach is to maintain the focus on mission outcomes by driving initiatives that further enhance the DHS Information Sharing and Safeguarding Enterprise.
- During FY 2016, DHS delivered NIEM Version 3.2 and continues to support increased adoption of the NIEM across federal, state, local and international partners by enhancing NIEM content, maturing the NIEM Surface Transportation Domain, produce a method for using NIEM in the JavaScript Object Notation or JSON language.
- Most notably, DHS is working to deliver NIEM Version 4.0 which will include content that has been internationalized for the first time.
- Since FY 2015 and through FY 2017, FEMA continues to implement an additional in-depth desk review of all projects that states have categorized as fusion center projects. Each fusion center project review will include an examination of project progress, impediments to timely completion, and verification of funding data provided by the state. Information verified will be compared to state submissions during the application and reporting processes. The FY 2016 review was completed in conjunction with I&A and issues, where appropriate, were identified for the grantee. The grantee was instructed to make updates/corrections in the FY 2016 Summer Biannual Strategy Implementation Report (BSIR) report recently submitted.
- The Grant Reporting Tool (GRT) was updated in FY 2014 to accept more specific project based information and as of FY 2017 the application allows recipients to indicate whether project spending is directly attributable to fusion center projects.

GAO High-Risk Area: Ensuring the Effective Protection of Technologies Critical to U.S. National Security Interests (Government-wide)

Overview: In 2007, GAO designated ensuring the effective protection of technologies critical to U.S. national security interests as a high risk area because these weapons and technologies are often targets for espionage, theft, reverse engineering, and illegal export. Although the government has taken significant steps to address this issue area, it remains high risk because some programs in this area are ill-equipped to address the ongoing challenges of balancing national security concerns and economic interests.

The Federal Government must improve coordination of existing programs to identify strategic reforms that will help ensure the advancement of U.S. interests. GAO's high risk list notes the role of the U.S. Immigration and Customs Enforcement's (ICE) Export Enforcement Coordination Center (E2C2) as a potential platform for improving coordination efforts for export-control programs. E2C2 serves as a conduit between the U.S. intelligence community, the Information Triage Unit, and federal export enforcement agencies for the exchange of

information related to potential U.S. export controls violations. E2C2 aims to deconflict potential enforcement actions among the participating export control enforcement agencies.

GAO also noted the importance of improving security cooperation and disclosure for this issue area, particularly with regard to Foreign Military Sales (FMS). U.S. Customs and Border Protection (CBP) is responsible for controlling the export of articles related to these sales.

Lead Office and Official: DHS Office of Policy, Christa Brzozowski, Deputy Assistant Secretary for Trade Policy, Foreign Investment, and Transportation Security

Progress: To improve coordination of export-control related programs, DHS has made efforts to improve E2C2 operations. E2C2 established the Export Enforcement Intelligence Working Group (EEIWG) to draft and approve the roles and responsibilities of an export enforcement intelligence cell. In 2013, the EEIWG drafted a white paper outlining the E2C2 Intelligence Cell's mission, its general roles and functions, and recommended tasks and a structure to facilitate enhanced coordination and intelligence sharing among E2C2 partner agencies. The E2C2 Intelligence Cell, once fully established, will develop the required standard operating procedures and determine implementation of these procedures for facilitating intelligence-law enforcement information sharing at E2C2. The E2C2 Intelligence Cell should then have sufficient data to establish baseline and trend data analysis. Although staffing at the E2C2 remains an issue, and at this time is primarily performing deconfliction rather than intelligence analysis activities, DHS is committed to working with E2C2 partner agencies to fully staff the intelligence cell.

To improve security cooperation and disclosure, DHS has made improvements to FMS oversight. In 2014, CBP and DOD established an informal working group to share information and work toward implementing an automated system to provide data regularly on FMS cases. This system would strengthen CBP accounting for FMS articles exported under an FMS contract. CBP holds biweekly teleconferences with DOD's Defense Security Cooperation Agency (DSCA), which have resulted in progress in several areas, including:

- The list of data elements that CBP needs from FMS cases to monitor compliance of FMS exports electronically finalized and CBP and DSCA have shared the data elements on a test exchange basis.
- CBP and DSCA hold regular teleconferences to discuss the path forward on the development of an FMS case database within the Automated Export System (AES).
- The Memorandum of Agreement that will allow DSCA to send FMS data to CBP electronically for review and completion is currently undergoing CBP and DSCA legal review and a final version is possible by the end of the calendar year.
- CBP and DSCA are working with DDTC to update the FMS regulations within the International Traffic in Arms Regulations (22 CFR Parts 120-130).
- CBP officers will be able to access the Security Cooperation Information Portal through AES and it will not require the use of tokens provided by DSCA. This access enables CBP to view FMS case data within the system.

Planned Actions and Key Milestones: To continue protecting technologies critical to national security:

- The Department of Commerce recently assigned a new Assistant Director and one part-time intelligence analyst at E2C2. It is anticipated that these additional resources can assist in the near term, although appropriate resources and interagency personnel will still be required to fully implement the EO mandates.
- E2C2 is exploring options to leverage relationships with Intelligence Community (IC) elements and several DOD components to launch an intelligence analytical unit, which could further assist with collaboration.
- CBP is on track to create and implement a centralized process for tracking FMS shipments and enhancing the FMS export data validation process by July 31, 2017.

GAO High-Risk Area: Improving Federal Oversight of Food Safety (Government-wide)

Overview: In 2007, GAO added federal food safety oversight to the high risk list because of risks to the economy, public health, and safety. Several major trends create food safety challenges. First, a substantial and increasing portion of the U.S. food supply is imported. Second, consumers are eating more raw and minimally processed foods. Third, segments of the population that are particularly susceptible to foodborne illnesses, such as older adults and immune-compromised individuals, are growing. Given CBP's oversight role in food importation, DHS has a nexus to this high risk issue area. CBP is responsible for inspecting imports, including food products, plants, and live animals, for compliance with U.S. law and for assisting all federal agencies in enforcing their regulations at the border. GAO has identified areas in which CBP can improve food import oversight capabilities.

GAO has also emphasized the need to develop a government-wide performance plan for food safety. Although DHS is not among the agencies with primary food safety oversight responsibility, DHS was a member of the Food Safety Working Group which, if reconvened, could serve as a broad-based, centralized, collaborative mechanism for this and other purposes.

Lead Office and Official: CBP, Office of Field Operations, Mikel Tookes, deputy executive director, Agriculture Programs and Trade Liaison

Progress: CBP has undertaken several initiatives with the U.S. Department of Agriculture (USDA) to improve federal food safety oversight. For example:

- USDA and CBP developed a strategic plan for the Agricultural Quarantine Inspection (AQI) program that delineates joint mission and program goals with corresponding performance measures for monitoring progress toward those goals. USDA and CBP signed the plan on September 17, 2013.
- CBP also consulted with USDA to develop a strategy and action plan for implementing the forthcoming AQI staffing model. This model assesses the risk of potential fiscal constraints and determines what risk mitigating actions should be taken to ensure that agriculture staffing levels at each port are sufficient. The strategy and action plan establishes clear goals to ensure the model will mature with continuous enhancements and updates as new business transformation initiatives and technology advances are implemented. This will ensure a successful deployment once funding becomes available. As of May 2015, CBP has finalized and approved this strategy and action plan.

CBP and USDA are collaborating to improve the reliability of AQI data on arrivals, inspections, and interceptions across ports, including reviewing the supervisory review policy and procedures to ensure the data are entered accurately. Specifically, USDA completed development of the Agriculture Risk Management system (ARM) and completed deployment to their Plant Inspection Station at the end of August 2016.

- CBP is working to improve the skill sets of personnel with food oversight responsibilities. CBP, in consultation with USDA, identified agriculture canine supervisors who do not have canine training or experience and created a process to provide them with formal training. Specifically, in September 2013, CBP obtained course content recommendations from USDA for supplemental training for agriculture canine supervisors. Using USDA's recommendations, CBP developed the course and tested the first iteration of the course in December 2014. The first Agriculture Detector Dog Team Supervisor Training course was held in July 2015. The July 2015 course is being used to train new/incoming detector dog team supervisors.

CBP has also made internal changes to its programs to improve food safety oversight. CBP has taken steps to ensure the agriculture canine program has reliable and meaningful data, and has instituted a timely and consistent review process at CBP field offices, and evaluated the relevance of data collected for the agriculture canine program. In particular, as of July 2014, CBP's Web-based Canine Tracking System (K9TS) was made live. K9TS replaces the Detector Dog System in the Treasury Enforcement Communications System (TECS). Since K9TS came online, all of the agriculture canine handlers began using the system to enter their activities and canine alert (seizure) information daily. At the conclusion of each month, the handler submits their data to their supervisor for approval. Canine supervisors, field office canine advisors, and headquarters canine program managers have the ability to view handlers' data and create reports when needed. The data collected is relevant to the agriculture canine program and was defined with input from all levels of agriculture canine personnel from headquarters to field subject matter experts, including advisors, supervisors, and handlers. The TECS Detector Dog System was retired and removed from TECS on August 30, 2014.

As a result of the aforementioned efforts and CBP's dedication to food safety, CBP has successfully implemented and closed five of the six GAO recommendations associated with this issue area and is taking actions to close the remaining recommendation by March 31, 2017.

Planned Actions and Key Milestones: CBP is working toward additional future agricultural system interface deployments for USDA-PPQ 309 (Pest Identification Database), and the PPQ 523 (Emergency Action Notification report), to take action against invasive pests and agricultural concerns. CBP expects to complete these deployments by January 31, 2017. At that time, all agricultural modules should be in compliance with the ITDS Presidential Mandate. CBP and USDA agricultural systems will interface data for agriculture program assessment, risk analyses, and risk management. CBP will continue to report on deployment and improvement of AQI data as both agencies work toward modernization, interoperability, and automation of data systems.

GAO High-Risk Area: Limiting the Federal Government’s Fiscal Exposure by Better Managing Climate Change Risks (Government-wide)

Overview: In February 2013, GAO designated “Limiting the Federal Government’s Fiscal Exposure by Better Managing Climate Change Risks” as a government-wide high risk area. In addition to creating significant financial risks for the Federal Government, the effects of climate change could (1) threaten coastal areas with rising sea levels, (2) alter agricultural productivity, (3) affect water supplies, (4) increase the intensity and frequency of severe weather events, and (5) increase the frequency and volume of population movement and consequent goods movement. GAO found that the Federal Government is not well organized to address the fiscal exposure presented by the effects of climate change, and needs a government-wide strategic approach with strong leadership to manage related risks. GAO also found that climate change may increase the Federal Government’s fiscal exposure related to federal facilities, federal insurance programs—such as FEMA’s National Flood Insurance Program, and federal disaster aid—such as FEMA’s Disaster Relief Fund.

The projected impacts of climate change intersect with DHS in several areas. Notably, DHS facilities may be exposed to greater risks and an increase in the cost of aid provided following a disaster.

Lead Office and Official: Office of the Deputy USM (DUSM), Chip Fulghum, DUSM, CFO, and Chief Sustainability Officer

Progress: In FY 2016, DHS conducted a top down review of the governance structure established in the FY 2011 Secretary’s Climate Change Adaptation Implementing Guidance in order to enhance overall governance and oversight. The Review drove the formal chartering of the DHS Climate Resilience Executive Steering Committee. Moreover, the Department’s first Directive addressing climate change within the Homeland Security mission was signed in July 2016. Directive 023-03 “Climate Resilience”, acknowledges the direct link between actions related to climate resilience and national security and articulates the Department’s policy to integrate climate resilience into strategic planning, risk management frameworks, and continuity programs and marks a key step in the advancement and institutionalizing of the department’s climate resilience program.

In FY 2016, the United States Coast Guard (USCG) and United States Customs and Immigration Service (USCIS) initiated a joint study to enhance understanding of potential natural or man-made triggers that cause mass migration events. Study results will inform adjustments to the Department Operational Plans and strategic approaches.

In accordance with Executive Order (E.O.) 13690, *Establishing a Federal Flood Risk Management Standard and a Process for Further Soliciting and Considering Stakeholder Input*, DHS issued the “DHS Plan for Implementing EO 13690”. This Implementation Plan identifies actionable items for DHS to improve the nation’s resilience to flooding and prepare for the impacts of climate change.

DHS Office of Health Affairs (OHA) advanced climate change, health and national security nexus domestically and abroad. In FY 2016, OHA was a keynote speaker and presenter at the following venues: 2016 International Disaster Psychosocial Conference, 2nd Annual Biodefense World Summit, National Institute of Environmental Health Sciences Partnerships for

Environmental Public Health Climate Change and Health Webinar, Conference on Building Human Resilience for Climate Change, and National Pediatric Disaster Coalition Conference.

FEMA initiated coastal flood risk studies for 100 percent of the populated coastline as part of its Risk Mapping, Assessment and Planning (Risk MAP) effort.

Planned Actions and Key Milestones: During FY 2017, DHS intends to advance the following initiatives:

- Revise the 2013 DHS Climate Action Plan (CA-Plan). The CA-Plan is the Department's overarching document which reinforces the U.S. Government's efforts to develop a national climate resilience strategy and articulates DHS' role in implementing critical aspects of the President's Climate Action Plan of June 2013.
- Develop the DHS Climate and National Security Implementation Plan. This Plan will outline the policy guidance and direction to ensure that climate risks are fully characterized and considered in national security planning.
- Release the FEMA Climate Adaptation and Resilience Exercise Resource Guide. This Guide will provide communities with climate information, exercise strategies, templates, online resources, and technical guidance needed to develop and deliver their own local climate adaptation, preparedness, and resilience exercises and workshops. Additionally, the FEMA's Comprehensive Preparedness Guide on Climate-Informed Planning will be published. The Guide is designed to help communities integrate observed and projected climate change impacts into risk assessments, emergency management planning, and resource considerations.
- Expand regional and local partnerships and work collaboratively with stakeholders to incorporate security and resilience strategies, policies, and best practices into critical infrastructure design and maintenance. NPPD-Infrastructure Protection, through the National Institute of Hometown Security, will launch an 18-month project to establish a consensus of competencies and knowledge areas aimed at integrating climate change into critical infrastructure decision making.
- Kick-off the DHS Climate Change and Health Disaster Resilience Group. This group will be a working group for the DHS Climate Resilience Executive Steering Committee, and will focus on climate change health issues such as psychological/psychosocial, malnutrition, water, weather related disasters. Emphasis is placed on educating and exploring methods to improve community and health resilience from the effects of climate change and form collaborations across the U.S. and Canada.

GAO High-Risk Area: Improving the Management of IT Acquisitions and Operations (Government-wide)

Overview: More than \$80 billion is invested annually in information technology (IT) across the Federal Government. GAO has determined that agencies continue to struggle with IT projects due to overly broad scopes and goals of delivering functionality several years after initiation. Also, executive-level governance and oversight across the Federal Government is often ineffective because chief information officers (CIOs) do not have the authority to review and approve their entire agency IT portfolios and overall authority is limited. Congress has reacted

through the *Federal Information Technology Acquisition Reform Act*, which is intended to strengthen CIO authority and provide proper oversight for IT projects.

DHS has launched improvement efforts on multiple fronts to improve the management of IT acquisitions as well as existing IT systems, positioned itself as a leader in various efficiency initiatives, and stood up the JRC to evaluate high priority, and cross-departmental opportunities.

Lead Office and Official: Office of the CIO, Carlene Iletto, executive director for the Enterprise Business Management Office

Progress: DHS continues to enhance its IT practices, acquisitions, delivery, and is focused on the implementation of the administration's government-wide IT management priorities. The DHS IT Strategic Plan was updated in January 2015 to reflect ever-evolving mission challenges and department's coordinated effort to integrate people, processes, technology, information, and governance in a way that efficiently and effectively supports stakeholder needs. The Information Resources Management Strategic Plan and the accompanying DHS Enterprise Roadmap describe the approaches DHS uses to manage its information resources in alignment with the DHS IT Strategic Plan, and ensure that its management is embedded with IT best practices and has made IT progress in several key areas; for example:

- The House Oversight and Government Reform Committee released the Federal Information Technology Acquisition Reform Act Scorecard 3.0 and DHS received an overall grade of "B-," up from a "C" over the last two report cards. DHS received "A" ratings in Data Center Consolidation and the use of PortfolioStat Reviews and a "B" rating in Transparency and Risk Reporting.
- Of the four GAO High-Risk Outcomes related to IT acquisition management, Management (MGMT)/CIO has "Fully Addressed" three and is anticipating a "Mostly Addressed" assessment on the fourth outcome in the February 2017 *High-Risk Series: An Update*. An assessment of "Mostly Addressed" denotes that progress is significant and a small amount of work remains.
- MGMT/CIO Office of the Chief Technology Officer (OCTO) established a pilot working group "Agile Acquisition" (AAWG) Integrated Project Team with the strategic focus providing direct support for programs in assistance of improving quality regarding the Acquisition Lifecycle Framework (ALF). Five Component programs (FEMA National Flood Insurance Program, FEMA Grant Management Modernization, TSA Technology Infrastructure Modernization, ICE Student and Exchange Visitor Information System, USCIS Verification Modernization) were identified and are actively participating. Not all programs upon entering the pilot working group were at the same stages of ALF. This enabled the working group to evaluate different programs and the varied approaches regarding ALF artifact development pre and post engagement of the pilot working group. As program artifacts have progressed through the process, the pilot working group has provided assistance in facilitation and/or direct Subject Matter Expert (SME) mitigation support for areas of concern identified.
- DHS exceeded the five-year target savings goal of \$504 million by more than 100 percent by achieving portfolio review savings of \$1.5 billion.
- Of the Federal Data Center Consolidation Initiative (FDCCI) data centers, 44 of 102 data centers have closed achieving 43 percent closures and surpassing the FDCCI 40 percent closure target. However, the Data Center Optimization Initiative (DCOI) replaced FDCCI

in August 2016. While DCOI will continue to track consolidation efforts, it will also track data center performance and efficiency. Additionally, DCOI has broadened the definition of a data center to include any server in a room, at any stage of program or system life cycle.

- DHS Management Lines of Business participated in the Joint Requirements Council and ARB to evaluate high priority, cross-departmental opportunities and develop recommendations for investments.
- DHS has implemented enterprise license agreements, and has shared best practices from its successful program to further Federal Government-wide implementation. Additionally, DHS is enhancing the Technology Reference Model hosted in the Enterprise Architecture Information Repository to provide enterprise license agreement line-of-sight and support the MEGABYTE Act, which will enable an improved acquisition strategy and help eliminate duplication and achieve cost savings. MGMT/CIO has facilitated DHS Components' adoption of agile IT development, designing a consistent process that each Component could adopt without negatively impacting the progress of other Components' adoption efforts. MGMT/CIO, MGMT/PARM, and the Science & Technology Directorate coordinated to draft the DHS Agile Instruction and Agile Guidebook, and modified them to address GAO recommendations. These policies support the acquisition process, remove redundancies and will streamline and shorten the acquisition path in coordination with the AAWG. Further, MGMT established five agile pilots of program at various stages of the lifecycle to identify and implement best practices and lessons learned.
- MGMT/CIO is an active member in the planning of the FEMA-led Grant Management Modernization effort and is ensuring that a cross-Component view and supporting best practices are included.
- To address the accuracy and reliability of cost and schedule data on the federal IT Dashboard, DHS deployed the Investment Evaluation, Submission, and Tracking (INVEST) system, an upgrade and merge of two legacy systems (Investment Management System and Next Generation Periodic Reporting System), which allows continuous support of DHS's operational business requirements and gives DHS Headquarters and Components the functionality needed to manage their investment portfolios. The USM directed the Component Acquisition Executives to review and certify key INVEST system data.
- MGMT/CIO and the Office of the CFO collaborated to incorporate results of IT portfolio reviews into the FY 2016 resource allocation decisions and budget submission resulting in increased visibility and oversight for the Chief Information Officer in accordance with the Federal Information Technology Acquisition Reform Act.
- MGMT/CIO and MGMT/PARM worked together to streamline and coordinate the oversight and management of the acquisition life cycle process by drafting the Major Acquisitions Integrated Governance and Oversight Concept of Operations.
- MGMT/CIO launched Enterprise Cloud Services Initiative which is designed to leverage the success of the data center consolidation with the federal "Cloud First" mandate and the capabilities and savings being offered by emerging cloud computing technologies. Post implementation of the Federal Information Technology Acquisition Reform Act (FITARA) the CIO has performed TechStat accountability sessions, deep dives, or leveraged information from the Acquisition pilots on the following investments: DHS Human Resources Information Technology (HRIT) – Automatic TechStat; ICE TECS

Modernization – Automatic TechStat; TSA Technology Infrastructure Modernization Program – CTO Pilot; TSA Security Technology Integrated Program; CBP Automated Commercial Environment ; USCG Nationwide Automatic Identification System; FEMA Infrastructure – Ongoing TechStat pre-FITARA; USCIS Transformation – Automatic TechStat (3 months consecutive red as of the December 2016 rating).

DHS has made significant progress on two key programs outlined in GAO’s High-Risk list:

- In April 2015, the USCIS Transformation program was granted ADE-2B/re-baseline approval from its FY 2012 Acquisition Program Baseline breach. USCIS continues to modernize the process for receiving and adjudicating immigration applications, benefits, and requests using the USCIS Electronic Immigration System (ELIS). During FY 2016, USCIS introduced several product lines in USCIS ELIS that are used to support Deferred Action for Childhood Arrivals and Temporary Protected Status. There are currently more than 5,000 internal users with access to USCIS ELIS. During FY 2016, USCIS ELIS took in a little over 1.8 million cases, which represented about 24 percent of USCIS workload. To contrast, in FY 2015, USCIS ELIS handled 11 percent of USCIS workload.
- The DHS Human Resources IT (HRIT) portfolio is working to consolidate, integrate, and modernize the Department’s HRIT, and is working to address its governance and technical challenges. The program reinstituted its executive steering committee, making significant progress on seven prioritized strategic improvement opportunities. The program implemented the Performance and Learning Management System (PALMS) in FY 2016 at HQ, FLETC, ICE, and USCIS.

Planned Actions and Key Milestones: DHS will continue to implement OMB initiatives to improve IT management, reduce duplication and costs, and improve services to the public with ongoing in-person TechStat reviews of IT programs, monthly reporting to the federal IT Dashboard, and leveraging strategic sourcing opportunities. Planned actions and key milestones include:

- Under DCOI, DHS is developing a strategy and transition plan for a larger number of data centers. The plan will be completed by second quarter FY 2017. MGMT/CIO has received Component input and will be updating the draft plan and transition schedule to achieve consolidation, performance and cost goals by FY 2018 for each data center under the new DCOI definition.
- Strategic sourcing continues to be critical to the DHS objective to achieve best prices with vendors for particular goods and services in software licensing, mobile wireless services, and desktop and laptop equipment. DHS is also applying strategic sourcing to increase use of multi-provider and commercially provisioned computing services in the Department’s enterprise computing environment. DHS is going beyond the traditional buyer role of negotiating with one vendor to achieving service solutions as part of an “Open Market” strategy that is the cornerstone of DHS Enterprise Computing Services (ECS). Increasing our access to multi-provider and commercially provisioned services will greatly expand and leverage the way in which the private and public sector partners will leverage cloud computing to provide goods and services. DHS approved the DHS Agile Instruction and Guidebook in FY 2016 and is in the process of implementing it across the enterprise. Further, DHS MGMT is conducting five agile pilots of programs at

various stages of the lifecycle to identify and implement best practices and lessons learned.

- DHS will continue the Component roll-out of PALMS to USSS by March 31, 2017.
- USCIS Transformation will continue to integrate capability into the electronic immigration system in FY 2017. This includes incorporating electronic processing for the remaining product lines in the Citizenship Line of Business. USCIS will continue to make improvements to several products currently available and will begin to develop capability to support processing applications with the Family Based Adjustment of Status product line. USCIS ELIS is able to accept the new fees that went into effect with USCIS's Fee Rule changes on December 23, 2016, and the team will implement remote identity proofing for new immigrants in USCIS ELIS. The remote identity proofing provides additional security to the customer's USCIS online account by ensuring that only the new immigrant can access and update his or her information.
- MGMT/CIO identified 584 DHS IT systems in the FISMA inventory as of October 31, 2016. The systems identified were as a result of the annual inventory refresh process that included performing in-depth analysis for duplicative systems as part of MGMT/CIO's segment architecture initiatives.
- MGMT/CIO and PARM continues to develop and deliver coordinated guidance, templates, training, and technical support to Component Programs through HQ level IPTs targeting program ALF Support and key focus areas of Vulnerability/Cybersecurity Threat Assessments, Business Process Improvement, Metrics and Performance Management, Software Delivery, and Technical Evaluations and Training. Furthermore, PARM and MGMT/CIO are conducting a comprehensive review of DHS Acquisition Policy, Doctrine, and Guidance and developing recommendations for improvements to support Agile Delivery.

DHS can achieve further IT efficiencies by (1) rationalizing applications, (2) moving to enterprise commodity IT services where appropriate, (3) emphasizing agile development methodologies, (4) effectively utilizing the updated Acquisition Management and Systems Engineering Life Cycle policy and guidance, and (5) integrating mission requirements through the JRC. During FY 2017, MGMT/CIO will focus on the adoption of the public cloud infrastructure, cybersecurity effectiveness, and asset management.

Low-Priority Program Activities

The President's Budget identifies the lower-priority program activities, as required under the *GPRA Modernization Act*, 31 U.S.C. 1115(b)(10). The public can access the volume at:

<http://www.whitehouse.gov/omb/budget>.

Acronym List

AoA – Analysis of Alternatives
 APG – Agency Priority Goal
 ARB – Acquisition Review Board
 ATD – Alternatives to Detention
 BWS – Balanced Workforce Strategy
 CAP – Cross-Agency Priority
 CAPSIS – Consolidated Asset Portfolio and Sustainability Information System
 CBP – U.S. Customs and Border Protection
 CBRN – Chemical, Biological, Radiological, and Nuclear
 CDM – Continuous Diagnostics & Mitigation
 CFATS – Chemical Facility Anti-Terrorism Standards
 CFO – Chief Financial Officer
 CHCO – Chief Human Capital Officer
 CIO – Chief Information Officer
 CIP – Critical Infrastructure Protection
 CRCL – Civil Rights and Civil Liberties
 CROP – Component Recruitment and Outreach Plan
 CS&C – Cybersecurity and Communications
 CSP – Commercial Service Providers
 DHS – U.S. Department of Homeland Security
 DNDO – Domestic Nuclear Detection Office
 DPIO – Deputy PIO
 ECS – Enhanced Cybersecurity Services
 EEIWG – Export Enforcement Intelligence Working Group
 EO – Executive Order
 ERO – Enforcement and Removal Operations
 ESC – Executive Steering Committee
 FedVTE – Federal Virtual Training Environment
 FEVS – Federal Employee Viewpoint Survey
 FISMA – Federal Information Security Management Act
 FLETC – Federal Law Enforcement Training Centers
 FOUO – For Official Use Only
 FPS – Federal Protective Service
 FY – Fiscal Year
 FYHSP – Future Years Homeland Security Program
 GAO – Government Accountability Office
 GPRA – Government Performance and Results Act
 GPRAMA – GPRA Modernization Act of 2010

HCSP – Human Capital Strategic Plan
 HRIT – Human Resources IT
 HSIN – Homeland Security Information Network
 ICE – U.S. Immigration and Customs Enforcement
 INVEST – Investment Evaluation, Submission, and Tracking
 ISC – Interagency Security Committee
 ISE – Information Sharing Environment
 ISSA – Information Sharing Segment Architecture
 ISSGB – Information Sharing and Safeguarding Governance Board
 IT – Information Technology
 JRC – Joint Requirements Council
 JTF – Joint Task Force
 JTF-E – Joint Task Force-East
 JTF-I – Joint Task Force-Investigations
 JTF-W – Joint Task Force-West
 K9TS – Canine Tracking System
 NCCIC – National Cybersecurity and Communications Integration Center
 NCMEC – National Center for Missing and Exploited Children
 NFIP – National Flood Insurance Program
 NGO – Non-governmental Organization
 NICC – National Infrastructure Coordinating Center
 NPPD – National Protection and Programs Directorate
 NWS – National Weather Service
 OCHCO – Office of the Chief Human Capital Officer
 OHA – Office of Health Affairs
 OMB – Office of Management and Budget
 PA&E – Program Analysis and Evaluation
 PALMS – Performance and Learning Management System
 PARM – Program Accountability and Risk Management
 PIA – Privacy Impact Assessment
 PIL – Procurement Innovation Laboratory
 PIO – Performance Improvement Officer
 PMDF – Performance Measure Definition Form
 PMO – Program Management Office
 PPBE – Planning, Programming, Budgeting, and Execution
 RPEP – Real Property Efficiency Plan

RPG – Resource Planning Guidance
 RPM – Radiation Portal Monitor
 SAR – Search and Rescue
 SCR – Significant Case Report
 SF – Secure Flight
 SLA – Service Level Agreements
 SLTT – State, Local, Tribal, and Territorial
 SSP – Site Security Plan
 S&T – Science and Technology Directorate
 STC – Securing the Cities
 TCC – TSA Contact Center
 TCO – Transnational Criminals or Criminal
 Organization
 TECS – Treasury Enforcement
 Communications System
 THIRA – Threat and Hazard Identification
 and Risk Assessment
 TRIP – Traveler Redress Inquiry Program
 TSA – Transportation Security
 Administration
 TSO – Transportation Security Officers
 UK – United Kingdom
 US-CERT – United States Computer
 Emergency Readiness Team
 USCG – U.S Coast Guard
 USM – Under Secretary for Management
 USSS – U.S. Secret Service
 WYO – Write-Your-Own
 USCIS – U.S. Citizenship and Immigration
 Services



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U.S. Immigration and Customs Enforcement

REMOVE
645
CRIMINALS

OBTAIN **5**
CONVICTIONS
FOR HUMAN
SMUGGLING



SEIZE **\$1.4M** IN ILLICIT
CURRENCY AND ASSETS

Cyber

BLOCK **1,900**
POSSIBLE
INTRUSIONS



ISSUE **50**
CYBERSECURITY
WARNINGS

Law Enforcement Support

SUPPORT
STATE AND
LOCAL
LAW
ENFORCEMENT
EFFORTS AT
28
SPECIAL
EVENTS

U.S. Citizenship and Immigration Services



NATURALIZE **2,000**
NEW U.S. CITIZENS
GRANT **1,723** PEOPLE
PERMANENT RESIDENCE,
ASYLUM, AND REFUGEE STATUS

Federal Law Enforcement Training Centers

TRAIN **2,800** FEDERAL,
STATE, LOCAL, TRIBAL,
AND INTERNATIONAL
LAW ENFORCEMENT
PERSONNEL



Federal Protective Service



PROTECT **1.4 MILLION**
FEDERAL EMPLOYEES AND VISITORS
IN **9,000 FACILITIES**
ACROSS THE COUNTRY

Transportation Security Administration

SCREEN
2 MILLION
PASSENGERS AND
1 MILLION
PIECES OF LUGGAGE



ENROLL
4,500 IN TSA Pre✓

SEIZE **7**
FIREARMS



U.S. Secret Service

PROVIDE
SECRET SERVICE
PROTECTION FOR
AN AVERAGE OF
30 PROTECTEES AND
FOREIGN DIGNITARIES



PREVENT CIRCULATION
OF **\$160,000** IN
COUNTERFEIT CURRENCY

PREVENT
\$5.4 MILLION
IN POTENTIAL LOSSES THROUGH
FINANCIAL CRIMES AND CYBER
INVESTIGATIONS



U.S. Coast Guard

SAVE
10 LIVES

IN MORE THAN
45 SEARCH
AND RESCUE
OPERATIONS



SEIZE AND REMOVE
874 LBS OF COCAINE
214 LBS OF MARIJUANA
WITH A WHOLESALE VALUE OF
\$11.8 MILLION

Federal Emergency Management Agency

PROVIDE
\$17.6 MILLION
IN FEDERAL ASSISTANCE
TO STATE, LOCAL, AND
TRIBAL GOVERNMENTS



SUPPORT LOCAL
COMMUNITIES WITH
\$4.4 MILLION
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SEIZE

\$356,000
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