



# U.S. Department of Homeland Security Annual Performance Report

Fiscal Years 2013 – 2015



Homeland  
Security

## Our Vision

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*We will lead efforts to achieve a safe, secure, and resilient homeland.*

## Our Missions

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*We will prevent terrorism and enhance security; secure and manage our borders; enforce and administer our immigration laws; safeguard and secure cyberspace; and strengthen national preparedness and resilience. We will accomplish these missions while maturing and strengthening the Department of Homeland Security and the Homeland Security Enterprise.*

## About this Report

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The *U.S. Department of Homeland Security Annual Performance Report for Fiscal Years (FY) 2013 – 2015* presents the Department's performance measures and applicable results aligned to our missions, provides the planned performance targets for FY 2014 and FY 2015, and includes information on the Department's Agency Priority Goals. The report is consolidated to incorporate our annual performance plan and annual performance report.

The *FY 2013 – 2015 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 – December 11, 2013, revised December 19, 2013
- ***DHS Annual Performance Report:*** Delivery date – June 30, 2014
- ***DHS Summary of Performance and Financial Information:*** Delivery date – March 31, 2014

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

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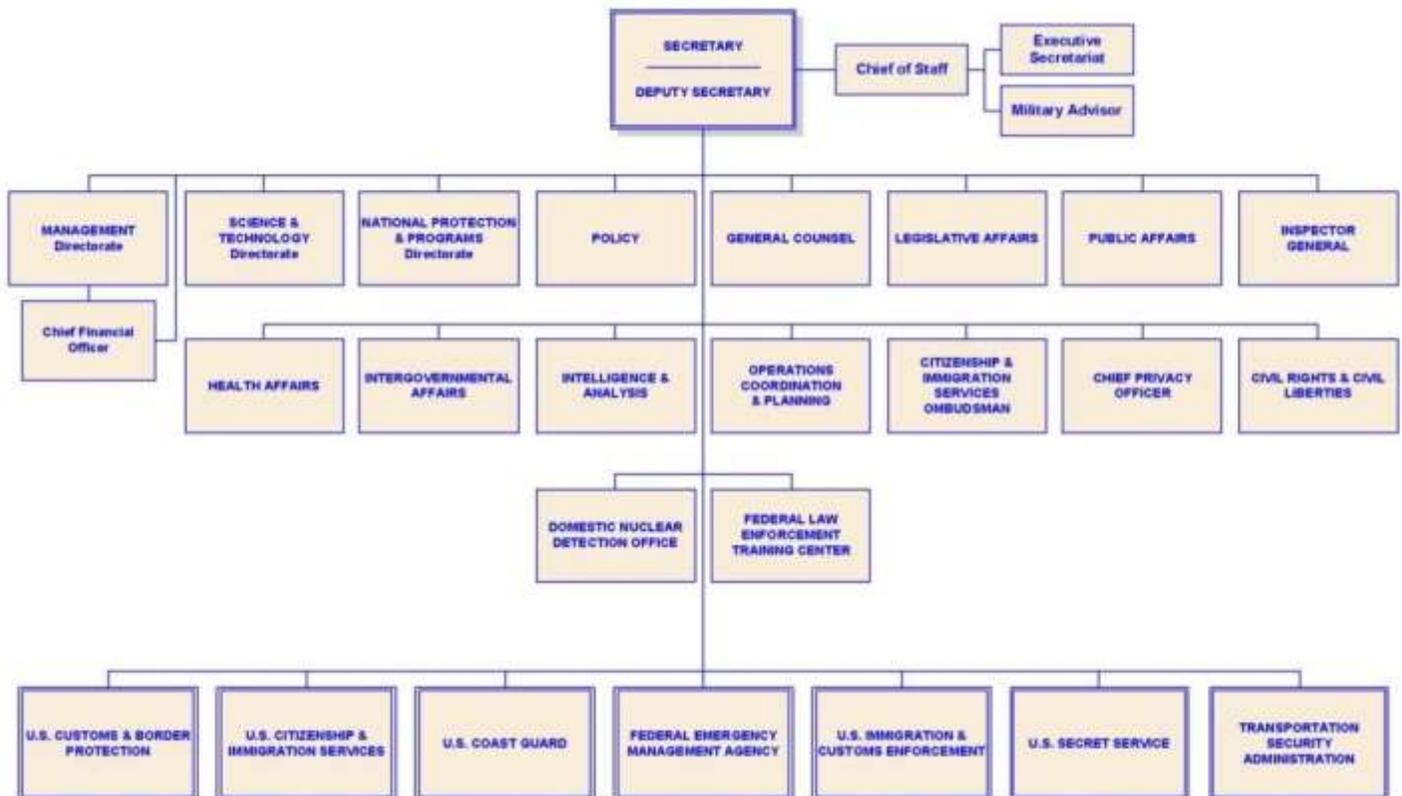
## Introduction

The *U.S. Department of Homeland Security (DHS) Annual Performance Report (APR) for Fiscal Years 2013 – 2015* presents the Department’s performance measures and applicable results for FY 2013, associated performance targets for FY 2014 and FY 2015, and information on our Agency Priority Goals (APG). The FY 2013 – 2015 APR satisfies the *Government Performance and Results Act (GPRA)* and the *GPRA Modernization Act 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 more information about the Department’s structure, visit our web site at <http://www.dhs.gov/organization>.

**DHS Organizational Chart**



## Missions and Goals for Homeland Security

Performance information in this report is organized around the missions and goals identified in the Department's 2014 *Quadrennial Homeland Security Review* (QHSR). The 2014 QHSR 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
- Goal 4.2: Secure the Federal Civilian Government Information Technology Enterprise
- Goal 4.3: Advance Law Enforcement, Incident Response, and Reporting Capabilities
- Goal 4.4: Strengthen the 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

- M&S 1: Integrate Intelligence, Information Sharing, and Operations
- M&S 2: Enhance Partnerships and Outreach
- M&S 3: Conduct Homeland Security Research and Development
- M&S 4: Train and Exercise Frontline Operators and First Responders
- M&S 5: Strengthen Service Delivery and Manage DHS Resources

## Organizational Performance Management Framework in DHS

DHS has 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 that are aligned with the missions and goals set forth in the QHSR. The DHS Organizational Performance Management Framework consists of:

- The DHS performance community;
- An annual process to review and improve performance measures;
- A rigorous measure verification and validation process;
- The reporting and review of quarterly measure data by Component program managers and their leadership and performance reviews by the Chief Operating Officer (COO) and Performance Improvement Officer (PIO); and
- The development of an integrated performance budget in conjunction with the Department's Planning, Programming, Budgeting, and Execution (PPBE) process.

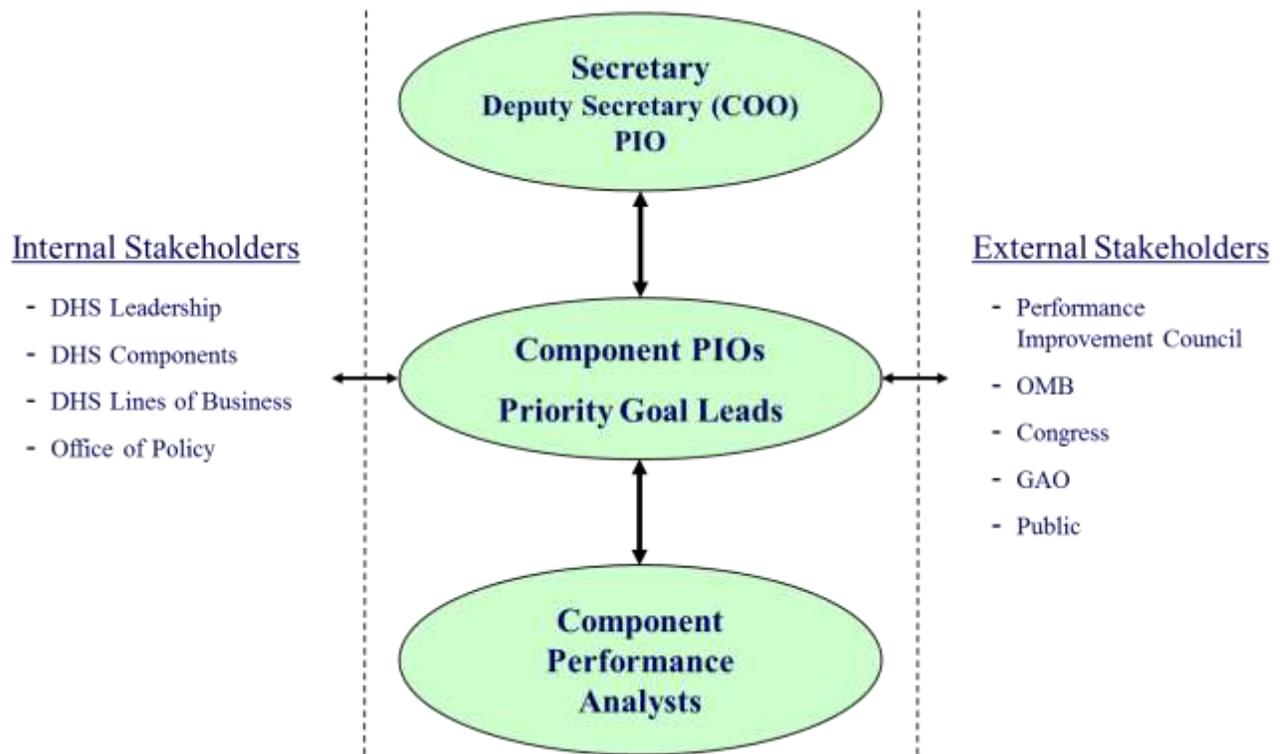
Collectively, this framework ensures that DHS leadership, Component leadership, program managers, and the performance staff managing these efforts have consistent, timely, and reliable performance information with which to make informed decisions to support performance improvement and to achieve our mission outcomes.

### Performance Community

The DHS performance community is led by the COO and PIO who are supported by the Office of Program Analysis and Evaluation (PA&E) located under the Chief Financial Officer (CFO). In DHS, the COO and PIO are actively involved in managing performance through a variety of venues, some of which are discussed later in this section. The performance community also includes Component PIOs and APG Leads who are the senior leaders driving performance management efforts in their respective Components, and 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 on matters related to GPRA Modernization initiatives.

At the headquarters level, under the direction of the COO and the PIO, along with guidance provided by the Chief Financial Officer, PA&E performance analysts facilitate and manage GPRA Modernization Act performance initiatives for the Department. 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 GPRA Modernization Act responsibilities. PA&E brings together this community, shown in the diagram below, to drive performance initiatives.

*DHS Organizational Performance Community*



**Annual Process to Review and Improve Performance Measurement**

With the support of senior leadership and the PIO, PA&E initiates the annual measure improvement process to improve our set of publicly reported measures as well as other measures the Department oversees to more effectively convey the results delivered to meet our missions. Improvement ideas are derived from several sources: feedback provided by senior leadership either in performance review meetings or in the vetting of proposed measure changes; suggestions from the Office of Management and Budget (OMB) to achieve greater visibility into program performance and connection to program resources; suggestions from PA&E performance analysts working to fill gaps and improve quality; and Component leadership and program managers wishing to better characterize the results of their efforts. This process typically begins in the second quarter of the fiscal year and culminates with proposed changes by the Components submitted by the end of the third quarter. DHS senior leadership reviews and approves these proposed changes and submits the set of measures and associated targets to OMB for final review and concurrence. The measures and targets are included in the Annual Performance Report, the Strategic Context of the Congressional Justification, the Future Years Homeland Security Program (FYHSP) Report to Congress, and support other strategic management processes such as Senior Executive Service certification and personnel performance plans.

## Verification and Validation Process

The Department recognizes the importance of collecting complete, accurate, and reliable performance data since this helps determine progress toward achieving program and Department goals and objectives. 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. DHS implemented a two-pronged approach to effectively mitigate risks and reinforce processes that enhance the Department's ability to report complete and reliable data for performance measure reporting. This approach consists of 1) the GPRA Performance Measure Checklist for Completeness and Reliability; and 2) independent assessments of the completeness and reliability of GPRA performance measures.

### *GPRA Performance Measure Checklist for Completeness and Reliability*

The GPRA Performance Measure Checklist for Completeness and Reliability is used by Components to self-evaluate key controls over GPRA performance measure planning and reporting actions. For each key control, Components are required to describe their control activities and provide their assessment regarding their level of achievement at the end of each fiscal year. Components also factor the results of any internal or independent measure assessments into their rating. The GPRA Performance Measures Checklist for Completeness and Reliability supports the Component Head assurance statements attesting to the completeness and reliability of the 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 GPRA Performance Measures*

PA&E conducts an assessment of performance measure data for completeness and reliability on a sample of its performance measures annually using an independent review team. An independent review team assesses selected measures using the methodology prescribed in the DHS Performance Measure Verification and Validation Handbook, documents their findings, makes recommendations for improvement, and performs a subsequent follow-up review within a year after the initial assessment to observe the Component's implementation of their recommendations. Corrective actions are required for performance measures determined to be unreliable. The Handbook is distributed and 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 the Component's assertions over the reliability of its performance information reported in the GPRA Checklist and Component Head Assurance Statement. DHS has shared our process with other Agencies in support of their verification and validation improvement efforts.

### ***Management Assurance Process for GPRA 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 reports the measure on the GPRA Performance Measure Checklist for Completeness and Reliability along with the 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 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 measure(s) below:

- Performance Measure: Percent of law enforcement officials trained in methods to counter terrorism and other violent acts that rate the training as effective (Office for Civil Rights and Civil Liberties)
  - The Office for Civil Rights and Civil Liberties, in prioritizing its training activities to have the greatest impact without degrading required services, has suspended its field training program because it can continue to influence countering violent extremism efforts through guidance and policy recommendations, while relying on enterprise efforts to implement equally effective training that reaches a larger audience. This measure is being retired.
- Performance Measure: Percent of owner/operators of critical infrastructure and key resources who report that the products provided by Infrastructure Protection enhance their understanding of the greatest risks to their infrastructure (National Protection and Program Directorate)
  - Results for this measure were unavailable in FY 2013 since authorization per the *Paperwork Reduction Act* was not obtained to conduct the survey designed to capture the data. This measure is being retired.

## **Reporting and Reviews**

The Department has implemented both reporting and review processes, to include:

- Performance reviews led by our COO and PIO using a mission-based approach that integrates existing information from multiple perspectives to gauge overall performance.
- Quarterly reporting of results for measures are provided by program managers, reviewed by DHS Headquarters staff, and compiled into internal facing quarterly reports.
- Year-end reporting of results, along with analyses of results and corrective action plans for those performance measures not meeting their targets, are provided by program managers, reviewed by DHS Headquarters staff, and then incorporated into the Department's Annual

Performance Report and made available on the DHS public website as well as linked from Performance.gov.

- 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 performance.gov web site.

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

Performance management is relevant to each stage of the Department's PPBE<sup>1</sup> process. PPBE is an annual process that incorporates long-term strategic planning and serves as the basis for developing the Department's annual budget submission and out year spending profile as enumerated in the FYHSP Report, in accordance with the provisions of the [Homeland Security Act of 2002](#).

In Planning, goal setting, risk assessment, and mission scoping are conducted to determine and prioritize the capabilities necessary to meet the needs of the Department in light of current performance. In Programming, resources are allocated to best meet the prioritized needs within projected resources, considering potential performance gains in the process. In Budgeting, budget estimates are developed ensuring the efficient and effective use of funding to meet priorities and the planned levels of performance are integrated with the levels of funding requested. Finally, in Execution, program execution and performance results are compared to plans to assess accomplishments, shortfalls, and inform future planning and performance targets.

To further Department-wide PPBE integration, Secretary Johnson directed the "Strengthening Departmental Unity of Effort" initiative in April 2014. In this initiative, the Secretary directs specific activities across four main lines of effort: inclusive senior leader discussion and decision-making forums that provide an environment of trust and transparency; strengthened management processes for investment, including requirements, budget, and acquisition processes, that look at cross-cutting issues across the Department; focused, collaborative Departmental strategy, planning, and analytic capability that supports more effective DHS-wide decision-making and operations; and enhanced coordinated operations to harness the significant resources of the department more effectively. When fully implemented, these changes will lead to better tracability through each step of the PPBE process while supporting our broader goal of better understanding of the broad and complex DHS mission space and empowering DHS components to effectively execute their operations.

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<sup>1</sup> DHS Management Directive 1330 (Planning, Programming, Budgeting, and Execution) issue on February 4, 2005

## DHS Performance by Strategic Goal

This section of the Annual Performance Report provides an analysis of the Department’s performance aligned with the goals identified in the FY 2014 Quarennial Homeland Security Review.

### Summary of Results and Plan

When reviewing the results at the close of FY 2013, 67 percent of the Department’s 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 green diamond. When looking at trends in the results, 77 percent of measures sustained or improved performance from FY 2012; the results by mission for those that sustained or improved is shown in the table below by the white diamond. The FY 2014-2015 performance plan includes a total of 84 measures, which includes 8 measures that were retired from our performance plan and 8 new measures being introduced.

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 2013 target.

◇ - Percent of measures that maintained or improved actual performance results compared to FY 2012.

The remainder of the performance section of this report provides specific measure information and their respective results used to gauge our progress by goal within each mission. Also included are highlights of DHS’s accomplishments across the mission areas in FY 2013. Within the measure tables, new and retired measures are specifically identified, and in most instances the new measures are replacing one or more retired measures. In some cases, new measures have been developed to fill an identified information need.

## Mission 1: Prevent Terrorism and Enhance Security

### Goal 1.1: Prevent Terrorist Attacks

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

In FY 2013, there were eleven performance measures used to assess the Department’s efforts in Goal 1.1: *Prevent Terrorist Attacks*. For the FY 2014 – 2015 plan, one new measure is being introduced and one measure is being retired. In FY 2013, 50 percent of the measures met their target and 70 percent maintained or improved actual results compared to FY 2012.

Goal	Performance Summary					
	Scale:	0%	25%	50%	75%	100%
Goal 1.1: Prevent Terrorist Attacks				◆	◆	

◆ - Percent of measures that met their FY 2013 target.

◇ - Percent of measures that maintained or improved actual performance results compared to FY 2012.

Below is a highlighted accomplishment demonstrating our efforts to prevent terrorist attacks.

### TSA Pre<sup>✓</sup>™



At participating airports with dedicated TSA Pre<sup>✓</sup>™ screening lanes, passengers assessed as low risk are afforded expedited physical screening and allowed to keep on their shoes, light outer wear/jackets, and belts, and are permitted to keep compliant 3-1-1 liquids and laptop computers inside their carry-on baggage. These procedures allow the Transportation Security Administration (TSA) to focus more attention to passengers assessed as unknown or higher risk. TSA Pre<sup>✓</sup>™ is now offered at more than 100 airports and more than 30 million travelers have undergone TSA Pre<sup>✓</sup>™ expedited screening. In November, TSA exceeded

the 2013 year-end goal to achieve 25 percent of the 1.8 million travelers being eligible for expedited physical screening.

Other efforts to leverage the TSA Pre<sup>✓</sup>™ capability include: 1) allowing active duty military personnel who have Department of Defense issued Common Access Cards access to TSA Pre<sup>✓</sup>™; 2) conducting real-time threat assessments to identify low-risk passengers not formally designated for TSA Pre<sup>✓</sup>™ screening permission to receive TSA Pre<sup>✓</sup>™ expedited screening for that trip; and, 3) an enrollment program where travelers can apply directly for acceptance into the TSA Pre<sup>✓</sup>™ program eligibility.

Below are two highlighted measures gauging our efforts to prevent terrorist attacks.

Percent of intelligence reports rated satisfactory or higher in customer feedback that enable customers to understand the threat (AO)								
FY08 Result	FY09 Result	FY10 Result	FY11 Result	FY12 Result	FY13 Target	FY13 Result	FY14 Target	FY15 Target
---	---	---	--	90%	90%	93%	93%	94%

Note: The FY 2014 target previously published as 90% in the FY 2012 – 2014 Annual Performance Report was changed to 93% based on FY 2013 results.

This measure gauges the extent to which the DHS Intelligence Enterprise is satisfying their customers' needs related to understanding threats so they can manage risks and respond effectively to incidents. In FY 2013, results improved over FY 2012 and exceeded expectations.

Percent of overall compliance of domestic airports with established aviation security indicators (TSA)								
FY08 Result	FY09 Result	FY10 Result	FY11 Result	FY12 Result	FY13 Target	FY13 Result	FY14 Target	FY15 Target
95%	95%	96%	95.9%	95%	100%	94.4%	100%	100%

This measure reflects key security indicators that provide an assessment of the overall security posture of an airport. Identifying compliance with the key indicators assesses airport vulnerabilities and is part of TSA’s overall risk reduction process. TSA continues to improve the security posture at the Nation’s airports, with 94.4% of airports compliant with established aviation security indicators. This level has held fairly constant since 2008. TSA’s regulatory inspection program evaluates the security integrity of the 447 federalized U.S. airports. TSA communicates inspection findings to airports for corrective action, and where compliance is below acceptable levels; TSA conducts additional inspection and assessment activities to bring the airport into full compliance. TSA will continue to communicate inspection findings to airports for corrective action, and where compliance is below acceptable levels; TSA will conduct additional inspection and assessment activities to bring the airport into full compliance.

The remaining measures used to gauge our efforts to prevent terrorist attacks are displayed below. For those measures that did not meet their FY 2013 target, an explanation and corrective action are provided.

Performance Measures	Prior Year Results					FY 2013		Planned Targets	
	FY08	FY09	FY10	FY11	FY12	Target	Results	FY14	FY15
<b>Departmental Management and Operations</b>									
Percent of law enforcement officials trained in methods to counter terrorism and other violent acts that rate the training as effective	---	---	---	84%	86%	84%	N/A <sup>1</sup>	Retired	

Performance Measures	Prior Year Results					FY 2013		Planned Targets	
	FY08	FY09	FY10	FY11	FY12	Target	Results	FY14	FY15
<b>Transportation Security Administration</b>									
Average number of days for DHS Traveler Redress Inquiry Program (TRIP) redress requests to be closed	---	---	---	99	93	< 93	52	< 78 <sup>2</sup>	< 70
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	---	---	---	---	---	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	23%	23%	23%	28%	39%	75%	69%	77%	82%
Explanation: FY 2013 results have significantly improved over prior fiscal years. Improvements identified during FY 2013 assessments will not all be resolved by the transit agencies until FY 2014 due to the current economic environment which has impacted funds available to agencies to apply to security enhancements. TSA will continue to monitor transit agency progress in implementing recommended security enhancements.									
Percent of air carriers operating from domestic airports in compliance with leading security indicators	96%	98%	98%	99.2%	98.1%	100%	98.0%	100%	100%
Explanation: Continued rigorous risk-based operational security requirements built on key performance indicators has resulted in a continued compliance rate of 98 percent for FY 2013. TSA will continue to work with air carriers to build awareness of and compliance with risk-based operational security requirements.									
Percent of air cargo screened on commercial passenger flights originating from the United States and territories	---	---	100%	100%	100%	100%	100%	100%	100%
Percent of inbound air cargo screened on international passenger flights originating from outside the United States and territories	---	---	---	---	93%	100%	99.5%	100%	100%
Explanation: TSA reached the Congressionally-mandated target of 100 percent of inbound cargo screened beginning in January 2013. TSA narrowly missed their target as they had not reached full compliance during the first quarter of FY 2013. TSA receives regular reports from the air cargo industry indicating that it continues to satisfy the screening requirements for international inbound air cargo transported on passenger aircraft. With TSA reaching the mandated goal, all indications are this measure will meet its 100 percent target going forward.									

Performance Measures	Prior Year Results					FY 2013		Planned Targets	
	FY08	FY09	FY10	FY11	FY12	Target	Results	FY14	FY15
Percent of domestic air enplanements vetted against the terrorist watch list through Secure Flight	---	---	---	100%	100%	100%	100%	100%	100%
Percent of international air enplanements vetted against the terrorist watch list through Secure Flight	---	---	---	100%	100%	100%	100%	100%	100%
Number of daily travelers eligible to receive expedited physical screening based on assessed low risk	---	---	---	---	---	New Measure		450,000	900,000

Note 1: The Office for Civil Rights and Civil Liberties, in prioritizing its training activities to have the greatest impact without degrading required services, has suspended its field training program because it can continue to influence countering violent extremism efforts through guidance and policy recommendations, while relying on enterprise efforts to implement equally effective training that reaches a larger audience. This measure is being retired.

Note 2: The FY 2014 target previously published as < 91 in the FY 2012 – 2014 Annual Performance Report was changed to < 78 based on FY 2013 results.

## Mission 1: Prevent Terrorism and Enhance Security

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

- 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

In FY 2013, there were three performance measures used to assess the Department’s efforts in Goal 1.2: Prevent and Protect against the Unauthorized Acquisition or Use of Chemical, Biological, Radiological, and Nuclear Materials and Capabilities. For the FY 2014 – 2015 plan, one new measure is being introduced. In FY 2013, 33 percent of the measures met their target and 67 percent maintained or improved actual results compared to FY 2012.

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 2013 target.

◇ - Percent of measures that maintained or improved actual performance results compared to FY 2012.

Below is a highlighted accomplishment demonstrating our efforts in restoring fixed radiation portal monitors following Hurricane Sandy.



### Ensuring Port Security and Flow of Goods after Hurricane Sandy

Less than a week after Hurricane Sandy, a team from the U.S. Customs and Border Protection (CBP) and the Domestic Nuclear Detection Office (DNDO) were dispatched to assess storm damage to radiation portal monitors (RPM). RPMs are used by CBP to scan cargo at maritime terminals for radiological or nuclear threats prior to entering the United States. Together, DNDO and CBP worked to identify necessary resources, alternate operations, and replacement plans for the damaged RPM units to get cargo operations running as efficiently as possible. Of the 34 RPM affected systems, 9 were found to be operational, and the remaining 25 were quickly repaired and tested prior to reinserting to operational status.

The CBP/DNDO team worked very closely with the U.S. Coast Guard and the New York and New Jersey Port Authorities to lift waterway restrictions and open marine terminals to cargo vessels in the affected region. CBP officers resumed cargo container inspections on November 6th, 2012 at the Port of New York/Newark—less than one week after the massive storm left the area. In addition to repairing the RPM systems, the team supported CBP’s relocation efforts, use of mobile scanning equipment, and outfitted vans to serve as temporary booths at several heavily damaged sites.

CBP processes approximately \$2 trillion in legitimate trade every year while enforcing U.S. trade laws that protect the economy, the health, and the safety of the American people. This includes scanning more than 99 percent of incoming containerized cargo for radiological or nuclear threats at domestic seaports.

The measures below were used to gauge our 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 FY 2013 target, an explanation and corrective action are provided.

Performance Measures	Prior Year Results					FY 2013		Planned Targets	
	FY08	FY09	FY10	FY11	FY12	Target	Results	FY14	FY15
<b>Domestic Nuclear Detection Office</b>									
Percent of cargo conveyances that pass through radiation portal monitors upon entering the nation via land border and international rail ports of entry <sup>1</sup>	---	---	FOUO <sup>2</sup>	FOUO	FOUO	FOUO	FOUO	FOUO	FOUO
Percent of containerized cargo conveyances that pass through radiation portal monitors at sea ports of entry <sup>3</sup>	---	---	FOUO	FOUO	FOUO	FOUO	FOUO	FOUO	FOUO
Explanation: The deviation from the target was slight and there was no effect on overall program performance.									
Number of people covered by Securing the Cities program preventive radiological and nuclear (rad/nuc) detection capabilities (in millions)	---	---	---	---	---	New Measure		23	23
<b>National Protection and Programs Directorate</b>									
Percent of performance standards implemented by the highest risk chemical facilities and verified by DHS	---	---	---	---	---	57%	46%	97%	100%
Explanation: In order for Tier 1 and Tier 2 facilities to be found in compliance, facilities must meet each of the 18 risk based performance standards established by the Chemical Facility Anti-Terrorism Standards regulation. However, when facilities adjust the chemicals they store at their facility, DHS is required to restart the approval process. Because facilities made these adjustments, not all Tier 1 and Tier 2 facilities were ready to be reviewed for approval based upon the risk-based performance standards. NPPD will continue to prioritize Tier 1 and 2 facilities for review based upon the regulatory submission schedule. NPPD is also working to streamline its processes through training for inspection reports and using a tool to automate its review process.									

Note 1: Previous measure name: *Percent of cargo conveyances that pass through radiation detection systems upon entering the nation via land border and international rail ports of entry*

Note 2: For Official Use Only

Note 3: Previous measure name: *Percent of containerized cargo conveyances that pass through fixed radiation portal monitors at sea ports of entry*

## Mission 1: Prevent Terrorism and Enhance Security

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

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

In FY 2013, there were seven performance measures used to assess the Department’s efforts in Goal 1.3: *Reduce Risk to the Nation's Critical Infrastructure, Key Leadership, and Events*. For the FY 2014 – 2015 plan, one measure is being retired. In FY 2013, 50 percent of the measures met their target and 77 percent maintained or improved actual results compared to FY 2012.

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

◆ - Percent of measures that met their FY 2013 target.

◇ - Percent of measures that maintained or improved actual performance results compared to FY 2012.

Below is a highlighted accomplishment demonstrating success in managing risks to key leaders and events.



### National Special Security Event – 2013 Presidential Inauguration

The 57th Presidential Inauguration was held in Washington, D.C. on January 20, 2013 and was designated the 43rd National Security Special Event (NSSE) in which the Secret Service designed and implemented the security plan. The Department of Homeland Security designates an event as an NSSE when there is an inherent risk of terrorism, or other security issues requiring additional federal assets and resources. When an event is declared an NSSE, the U.S. Secret Service (USSS) becomes the lead agency for developing and executing a comprehensive

operational security plan in coordination with federal and local law enforcement partners, state and local governments, and the military. Over the three-day period covering the Inauguration, the USSS covered more than 1,000 post standing assignments.

USSS’s security planning process recognizes that no one federal, state or local government agency alone can carry out the measures necessary to secure the event. There were 17 local, state, federal, and military agencies who served as members of the Executive Steering Committee and 25 subcommittees. Only through intense planning, communication, and training can an NSSE be secured successfully.

Below are two highlighted measures gauging our efforts to reduce risk to the Nation's most critical infrastructure, key leadership, and events.

Percent of total U.S. Secret Service protection activities that are incident free for protection of national leaders, foreign dignitaries, designated protectees and others during travel or at protected facilities (USSS)								
FY08 Result	FY09 Result	FY10 Result	FY11 Result	FY12 Result	FY13 Target	FY13 Result	FY14 Target	FY15 Target
100%	100%	100%	100%	100%	100%	100%	100%	100%

The USSS continues to meet its goal of 100 percent incident-free protection for our Nation’s leaders, foreign dignitaries, designated protectees, and others during travel or while at protected facilities. The Secret Service’s protection planning process requires close coordination with federal, state, or local law enforcement and other officials. Only through intense planning, communication, and training can the USSS successfully provide incident-free protection.

Security compliance rate for high risk maritime facilities (USCG)								
FY08 Result	FY09 Result	FY10 Result	FY11 Result	FY12 Result	FY13 Target	FY13 Result	FY14 Target	FY15 Target
---	---	---	99.9%	98.7%	100%	99.3%	100%	100%

This measure is an indicator of maritime facility security and resiliency in our Nation’s ports. Compliance of high-risk facilities is determined based on whether a major problem is found during an inspection, requiring a notice of violation or civil penalty. High-risk maritime facilities are a subset of the entire national waterfront facility population which may be at greater risk for significant loss of life, environmental damage, or economic disruption if attacked based on the nature of their activities and/or the products they handle. The aspirational target of 100 percent was not fully achieved; however, the overall "Security Compliance Rate for High Risk Maritime Facilities" remains extremely high. The Coast Guard conducted concerted enforcement efforts which yielded slightly more instances of Maritime Transportation Security Act related Notices of Violation and/or Civil Penalties than the previous year. In total, only 23 of the approximately 3,200 High Risk Facilities were not in compliance.

The remaining measures used to gauge our efforts to reduce risk to the Nation's most critical infrastructure, key leadership, and events are displayed below. For those measures that did not meet their FY 2013 target, an explanation and corrective action are provided.

Performance Measures	Prior Year Results					FY 2013		Planned Targets	
	FY08	FY09	FY10	FY11	FY12	Target	Results	FY14	FY15
<b>National Protection and Programs Directorate</b>									
Percent of tenants satisfied with the level of security provided at federal facilities	---	---	81.3%	77.8%	78%	84%	82%	85%	86%
Explanation: FPS made significant progress this year nearly achieving its FY 2013 performance target by meeting with each Federal Employee Board to discuss more openly the role of FPS and to obtain feedback that could influence FPS operations and improve customer satisfaction. FPS will continue its outreach program.									

Performance Measures	Prior Year Results					FY 2013		Planned Targets	
	FY08	FY09	FY10	FY11	FY12	Target	Results	FY14	FY15
Percent of owner/operators of critical infrastructure and key resources who report that the products provided by Infrastructure Protection enhance their understanding of the greatest risks to their infrastructure	---	---	---	---	58%	80%	N/A <sup>1</sup>	Retired	
<b>U.S. Secret Service</b>									
Financial crimes loss prevented through a criminal investigation (in billions)	\$1.96	\$1.28	\$6.56	\$4.85	\$2.75	\$1.80	\$4.20	\$1.90	\$2.70
Percent of currency identified as counterfeit	0.0086%	0.0081%	0.0087%	0.0078%	0.0085%	< 0.0090%	0.0072%	< 0.0088%	< 0.0088%
Percent of National Special Security Events that were successfully completed	---	---	100%	100%	100%	100%	100%	100%	100%

Note 1: Results for this measure were unavailable in FY 2013 since authorization per the *Paperwork Reduction Act* was not obtained to conduct the survey designed to capture the data.

## Mission 2: Secure and Manage Our Borders

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

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

In FY 2013, there were five performance measures used to assess the Department’s efforts in *Goal 2.1: Secure U.S. Air, Land, and Sea Borders and Approaches*. For the FY 2014 – 2015 plan, one new measure is being introduced and one measure is being retired. In FY 2013, 60 percent of the measures met their target and 80 percent maintained or improved actual results compared to FY 2012.

Goal	Performance Summary					
	Scale:	0%	25%	50%	75%	100%
Goal 2.1: Secure U.S. Air, Land, and Sea Borders and Approaches				◆	◆	

◆ - Percent of measures that met their FY 2013 target.

◇ - Percent of measures that maintained or improved actual performance results compared to FY 2012.

Below is a highlighted accomplishment demonstrating improvements in border control methodologies.



### Consequence Delivery System—Improving Border Control

In January 2011, the U.S. Border Patrol began implementing the Consequence Delivery System (CDS) on the Southwest border as a means to employ an analytical process that standardizes decision making in the application of consequences, and gives the Border Patrol the ability to examine the efficiency and effectiveness of individual consequences on various types of deportable aliens. In FY 2013, CDS began expanding and is currently at various stages of implementation in Northern and coastal border sectors, and in Southwest border field offices at land ports of entry.

Recidivism and the average number of apprehensions per recidivist are the strongest indicators of CDS’s effectiveness. Since CDS implementation in FY 2011, the annually reported recidivism rate has decreased each year from an average of 27 percent to 16 percent in FY 2013. Likewise, the number of apprehensions associated with each recidivist has also decreased significantly from an average of 2.71 to 2.41 in FY 2013.

The results and details of the CDS methodologies are continuously shared with CBP’s strategic partners, informing a risk-based decision-making process and determining the most effective and efficient use of post-apprehension resources. CDS provides sound, evidence-based guidance that informs decision-making at the tactical, operational, and strategic levels. CBP will continue to expand and automate CDS processes to rapidly respond to changing operational conditions.

Below are two highlighted measures gauging our efforts to secure U.S. air, land, sea borders, and approaches.

Percent of people apprehended multiple times along the Southwest border (CBP)								
FY08 Result	FY09 Result	FY10 Result	FY11 Result	FY12 Result	FY13 Target	FY13 Result	FY14 Target	FY15 Target
---	---	---	---	---	≤ 18%	16%	≤ 17%	≤ 17%

This measure examines the percent of deportable individuals who have been apprehended multiple times by the U.S. Border Patrol. Effective and efficient application of consequences for illegal border crossers will, over time, reduce overall recidivism. In FY 2013, CBP exceeded their target and will continue to expand their consequence delivery system approach to all sectors.

Number of apprehensions on the Southwest Border between the ports of entry (CBP)								
FY08 Result	FY09 Result	FY10 Result	FY11 Result	FY12 Result	FY13 Target	FY13 Result	FY14 Target	FY15 Target
705,022	540,851	447,731	327,577	356,873	≤ 391,000	414,397	Retired	

CBP’s U.S. Border Patrol made 414,397 apprehensions on the Southwest border between ports of entry in FY 2013. This remains low historically, but represents an increase of 16 percent over FY 2012. A combination of factors influenced the rise, including: improvement in the U.S. economy; an increase in attempts by persons from countries other than Mexico due to U.S./foreign economic factors and emigration/immigration dynamics from sending/transit countries; and possible change in attempts due to perceptions surrounding immigration reform legislation. This measure was originally introduced to gauge short-term impacts of enforcement improvements along the Southwest Border where apprehensions have historically been high. This measure is also limited in that it only reports an output and does not convey what the total number of apprehensions means within the context of the total number of attempted illegal entries. To get this larger perspective, this measure will be retired and replaced with the Interdiction Effectiveness Rate measure identified in the table below which better evaluates U.S. Border Patrol’s ability to apprehend or turn back would-be illegal entrants. However, similar to the level of apprehensions, this new measure is not intended to be the sole measure to assess border security. It is one of a suite of measures, including some discussed in this report, that when combined, provide a comprehensive picture of the state of border security.

The remaining measures are used to gauge our efforts to secure U.S. air, land, sea borders, and approaches. For those measures that did not meet their FY 2013 target, an explanation and corrective action are provided.

Performance Measures	Prior Year Results					FY 2013		Planned Targets	
	FY08	FY09	FY10	FY11	FY12	Target	Results	FY14	FY15
<b>U.S. Customs and Border Protection</b>									
Rate of interdiction effectiveness along the Southwest Border between ports of entry <sup>1</sup>	---	---	---	---	---	New Measure		77%	80%
Percent of detected conventional aircraft incursions resolved along all borders of the United States	---	---	---	95.3%	96%	100%	99.3%	100%	100%

Performance Measures	Prior Year Results					FY 2013		Planned Targets	
	FY08	FY09	FY10	FY11	FY12	Target	Results	FY14	FY15
Explanation: FY 2013 totals were 286 of 288 border incursions resolved. The two unresolved aircraft (down from 12 in FY 2012) were visually spotted by Border Patrol/Office of Field Operations agents on the northern border and reported to Air Marine Operations Center who did not have radar data and could not identify the targets. The Air and Marine program will continue to evaluate and improve tactics, techniques, and procedures to track and resolve visually detected incursions in order to bring individuals that commit illegal incursions to a successful law enforcement resolution.									
Amount of smuggled outbound currency seized at the ports of entry (in millions)	---	---	---	\$47	\$31.9	\$30	\$36.9	\$30	\$30
Number of smuggled outbound weapons seized at the ports of entry	---	---	---	---	---	400	731	400	400

Note 1: The interdiction effectiveness rate is one of several performance measures envisioned to communicate progress toward securing our borders. Work will continue to develop and implement a broader suite of measures in the future to inform progress in this area.

## Mission 2: Secure and Manage Our Borders

### Goal 2.2: Safeguard and Expedite Lawful Trade and Travel

- 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

In FY 2013, there were seven performance measures used to assess the Department’s efforts in *Goal 2.2: Safeguard and Expedite Lawful Trade and Travel*. In FY 2013, 43 percent of the measures met their target and 29 percent maintained or improved actual results compared to FY 2012.

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 2013 target.

◇ - Percent of measures that maintained or improved actual performance results compared to FY 2012.

Below is a highlighted accomplishment demonstrating one of our key trade partnership programs.

### Trade Partnership Programs



Initiated shortly after the tragic events of September 11, 2001, the Customs Trade Partnership Against Terrorism (C-TPAT) program is one of the cornerstones in CBP’s fight against terrorism.

C-TPAT serves as the model for all international supply chain security/industry partnership programs and one of its primary goals is to internationalize its core principles into a shared global strategy. To achieve its goal, C-TPAT pioneered the concept of the bilateral Mutual Recognition

Arrangement (MRA), a process where C-TPAT and a foreign customs administration’s industry partnership program have established a standard set of security requirements which allows one industry partnership program to recognize the validation findings of the other program. This leads to a series of benefits to both customs administrations and to the private sector participants. To date, C-TPAT has signed seven MRAs.

C-TPAT expanded the MRA concept beyond a bilateral agreement by signing an MRA with the European Union (EU), a confederation of 28 countries. In February 2013, C-TPAT and EU’s Authorized Economic Operator program reached full mutual recognition implementation with the EU extending MRA benefits to C-TPAT importers who also export to the EU. These benefits include reduced cargo examinations through risk based targeting, expedited examinations of any cargo that is placed on hold, simplified Customs procedures, and release of cargo prior to duty or tax payment declaration. The US-EU MRA covers one third of the world’s trade, and expedites cargo through the import/export process, which has a positive effect on approximately 10,000 business entities within supply chains on both sides of the Atlantic. It is the first MRA that has a fully automated data exchange process; data to and from each of the programs flows automatically and securely 24 hours a day. The protocols establishing the automated data exchange were adopted by the World Customs Organization and are now the template for new MRAs worldwide.

Below is a highlighted measure gauging our efforts to safeguard and expedite lawful trade and travel.

Percent of imports compliant with U.S. trade laws (CBP)								
FY08 Result	FY09 Result	FY10 Result	FY11 Result	FY12 Result	FY13 Target	FY13 Result	FY14 Target	FY15 Target
---	---	98.89%	97.67%	96.46%	97.5%	97.66%	97.5%	97.5%

This measure reports the percent of imports that are compliant with U.S. trade laws including customs revenue laws. Ensuring that all imports are compliant and free of major discrepancies allows for lawful trade into the United States. Based on improved oversight and strong trade partnership programs, the FY 2013 results improved from FY 2012.

The remaining measures are used to gauge our efforts to safeguard and facilitate lawful trade and travel. For those measures that did not meet their FY 2013 target, an explanation and corrective action are provided.

Performance Measures	Prior Year Results					FY 2013		Planned Targets	
	FY08	FY09	FY10	FY11	FY12	Target	Results	FY14	FY15
<b>U.S. Customs and Border Protection</b>									
Percent of cargo by value imported to the U.S. by participants in CBP trade partnership programs	---	---	---	55.1%	54.7%	57%	55.2%	59%	61%
Explanation: The percent of cargo by value imported to the U.S. by participants in CBP trade partnership programs improved from FY 2012; however, the program did not meet its target primarily due to the change in demand for imported goods from companies that are not partnership members outpacing the change in demand for those of partnership members. CBP will continue to engage with trade partners to increase participation in approved shipper programs.									
Percent of import revenue successfully collected	---	---	---	99.12%	98.88%	100%	98.73%	100%	100%
Explanation: The number of major transactional classification discrepancies identified during the random sampling process increased, resulting in an estimated decrease in revenue collected. CBP will target importers to resolve classification errors and apply various enforcement techniques to collect the owed revenue.									
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	---	---	---	---	---	100%	98%	100%	100%
Explanation: This measure gauges the overall percent of inbound cargo in the air and sea environments identified as potentially high-risk by the Automated Targeting System that is reviewed, scanned, or otherwise examined prior to lading or at arrival at a U.S. ports of entry. 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. The Office of Field Operations will continue to work with the Targeting & Analysis System Program Office and shippers and carriers to resolve identified issues and implement permanent process improvements.									
<b>U.S. Coast Guard</b>									
Availability of maritime navigation aids	98.3%	98%	98.5%	98.5%	98.3%	97.5%	98.2%	97.5%	97.5%
Number of detected incursions of foreign fishing vessels violating U.S. waters	81	112	82	122	160	< 140	189	< 148	< 155

Performance Measures	Prior Year Results					FY 2013		Planned Targets	
	FY08	FY09	FY10	FY11	FY12	Target	Results	FY14	FY15
Explanation: Analysis shows detected incursions are rising. Higher detection rates along the U.S./Mexico maritime border are a direct result of U.S. Coast Guard resource allocation and increased coordination with partner agencies. In addition, employment of electronic sensors has resulted in an increase in detections in areas along the U.S./Russia Maritime Boundary Lines. The Coast Guard will continue identification and interdiction to stem the increase and drive down incursion activity.									
Fishing regulation compliance rate	95.3%	96.7%	97.2%	97.4%	98.3%	96%	98.1%	96.5%	96.5%

## Mission 2: Secure and Manage Our Borders

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

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

In FY 2013, there were three performance measures used to assess the Department’s efforts in *Goal 2.3: Disrupt and Dismantle Transnational Criminal Organizations and Other Illicit Actors*. In FY 2013, 100 percent of the measures met their target and 100 percent improved over FY 2012 as shown in the table below.

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

◆ - Percent of measures that met their FY 2013 target.

◇ - Percent of measures that maintained or improved actual performance results compared to FY 2012.

Below is a highlighted accomplishment demonstrating success in *Goal 2.3: Disrupt and Dismantle Transnational Criminal Organizations and Other Illicit Actors*.



#### Hidden in Plain Sight – Blue Campaign Against Human Trafficking

Every year millions of men, women, and children are trafficked for sexual or labor exploitation worldwide—including the United States. The Blue Campaign is the unified voice for DHS’s efforts to combat human trafficking. Working in collaboration with law enforcement, government, non-governmental and private organizations, the Blue Campaign strives to protect the basic right of freedom and to bring those who exploit human lives to justice.

The U.S. Immigration and Customs Enforcement (ICE) investigates cases of human trafficking and provides support to victims. ICE accomplishes this mission by making full use of its authorities and expertise, stripping away the traffickers’ assets and profit incentives, and collaborating with U.S. and foreign partners to attack networks worldwide to rescue and provide assistance to trafficking victims. Other support provided by DHS includes: USCIS’s help to protect victims of human trafficking and other crimes by providing immigration relief; the Federal Law Enforcement Training Centers (FLETC) provide career-long training to law enforcement professionals on how to identify indicators of human trafficking; and CBP’s focus is to prevent human trafficking and identify victims of human trafficking along our Nation’s borders and at our ports of entry.

As part of a sting operation culminating in FY 2013, ICE’s Homeland Security Investigations unit, working jointly with the Federal Bureau of Investigation (FBI) and the Sioux Falls, South Dakota, Police Department’s Street Crime Unit, several individuals were identified with ties to the Gangster Disciples in Minneapolis, Minnesota who were controlling numerous women, including minors, as prostitutes. These individuals were also involved in other criminal activities to include money laundering, narcotics smuggling, and weapons smuggling. As a result, Carl Campbell was sentenced to three life sentences plus 20 years, Tajahn Clinton was sentenced to 33½ years, Emmanuel Nyuon was sentenced to 30 years, and Mohammed Alaboudi is still awaiting sentencing.

Below is one highlighted measure gauging our efforts to disrupt and dismantle transnational criminal organizations and other illicit actors.

Percent of transnational gang investigations resulting in the disruption or dismantlement of high threat transnational criminal gangs (ICE)								
FY08 Result	FY09 Result	FY10 Result	FY11 Result	FY12 Result	FY13 Target	FY13 Result	FY14 Target	FY15 Target
---	---	---	---	---	15%	60.8%	62%	62%

Note: The FY 2014 target previously published as 16% in the FY 2012 – 2014 Annual Performance Report was changed to 62% based on FY 2013 results.

A transnational gang is defined as members within a transnational criminal organization linked to gang activity as defined by the Racketeering Influenced Corrupt Organization and/or the Violent Crime in Aid of Racketeering statutes. To impact the result of this measure ICE has developed and implemented anti-gang initiatives focused on violent criminal activities and on crimes with a nexus to the border. FY 2013 is the first year this measure is being reported.

The remaining measures are used to gauge our efforts to disrupt and dismantle transnational criminal organizations and other illicit actors.

Performance Measures	Prior Year Results					FY 2013		Planned Targets	
	FY08	FY09	FY10	FY11	FY12	Target	Results	FY14	FY15
<b>U.S. Immigration and Customs Enforcement</b>									
Percent of transnational drug investigations resulting in the disruption or dismantlement of high-threat transnational drug trafficking organizations or individuals	---	---	---	---	---	11%	42.6%	44% <sup>1</sup>	44%
Percent of transnational child exploitation or sex trafficking investigations resulting in the disruption or dismantlement of high-threat child exploitation or sex trafficking organizations or individuals	---	---	---	---	---	20%	23.5%	25% <sup>2</sup>	25%

Note 1: The FY 2014 target previously published as 12% in the FY 2012 – 2014 Annual Performance Report was changed to 44% based on FY 2013 results.

Note 2: The FY 2014 target previously published as 21% in the FY 2012 – 2014 Annual Performance Report was changed to 25% based on FY 2013 results.

## Mission 3: Enforce and Administer Our Immigration Laws

### Goal 3.1: Strengthen and Effectively Administer the Immigration System

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

In FY 2013, there were four performance measures used to assess the Department’s efforts in *Goal 3.1: Strengthen and Effectively Administer the Immigration System*. For the FY 2014 – 2015 plan, one measure is being retired. In FY 2013, 50 percent of the measures met their target and 25 percent maintained or improved actual results compared to FY 2012.

Goal	Performance Summary					
	Scale:	0%	25%	50%	75%	100%
Goal 3.1: Strengthen and Effectively Administer the Immigration System			◆	◆		

◆ - Percent of measures that met their FY 2013 target.

◇ - Percent of measures that maintained or improved actual performance results compared to FY 2012.

Below is a highlighted accomplishment demonstrating success in *Goal 3.1: Strengthen and Effectively Administer the Immigration System*.

#### Deferred Action for Childhood Arrivals (DACA)



On June 15, 2012, Secretary of Homeland Security, Janet Napolitano announced that certain people who came to the United States as children and meet several key guidelines may request consideration of deferred action for a period of two years, subject to renewal, and would then be eligible for work authorization. Deferred action does not provide an individual with lawful status. Deferred action is a discretionary determination to defer removal action of an individual as an act of prosecutorial discretion to ensure that enforcement resources are not expended on low priority cases. DHS can instead focus enforcement resources on the removal of individuals who pose a danger to national security or a risk to public safety, including individuals convicted of crimes with particular emphasis on violent criminals, felons, and repeat offenders.

Since August 15, 2012, the U.S. Citizenship and Immigration Services (USCIS) has received more than 599,000 requests for consideration of deferred action under the DACA process. During fiscal year 2013, USCIS adjudicators reviewed and approved more than 436,000 requests, and issued Employment Authorization Documents to those found eligible under the program. DACA illustrates USCIS’s ability to develop a new filing process quickly and successfully, through hard work and a committed workforce.

Below are two highlighted measures gauging our efforts to strengthen and effectively administer the immigration system.

Overall customer service rating of the immigration process (USCIS)								
FY08 Result	FY09 Result	FY10 Result	FY11 Result	FY12 Result	FY13 Target	FY13 Result	FY14 Target	FY15 Target
---	---	---	80%	93%	85%	87%	85%	85%

This measure gauges the overall rating of the immigration process and is based on the results from the following areas: 1) accuracy of information; 2) responsiveness to customer inquiries; 3) accessibility to information; and 4) customer satisfaction. Although there was a decrease in the overall customer satisfaction rating from FY 2012, USCIS met its target and exceeded industry customer satisfaction averages.

Average of processing cycle time (in months) for naturalization applications (N 400) (USCIS)								
FY08 Result	FY09 Result	FY10 Result	FY11 Result	FY12 Result	FY13 Target	FY13 Result	FY14 Target	FY15 Target
8.7	4.2	4.5	4.6	4.6	≤ 5	4.7	≤ 5	≤ 5

An N-400, Application for Naturalization, is filed by an individual applying to become a United States citizen. This measure assesses the program's ability to meet its published processing time goals by Center or Field Office. Although the N-400 cycle times achieved the annual target, the slight upward trend over the past few years can be attributed to an increase in receipts and shifting immigration services officer adjudication hours across application types with the greatest pending volumes.

The remaining measures are used to gauge our efforts to strengthen and effectively administer the immigration system. For those measures that did not meet their FY 2013 target, an explanation and corrective action are provided.

Performance Measures	Prior Year Results					FY 2013		Planned Targets	
	FY08	FY09	FY10	FY11	FY12	Target	Results	FY14	FY15
<b>U.S. Citizenship and Immigration Services</b>									
Average of processing cycle time (in months) for adjustment of status to permanent resident applications (I-485)	13.6	4.4	3.8	4.4	5.1	≤ 4	4.7	≤ 4	≤ 4
Explanation: USCIS experienced an increase in workload that required the field offices to make adjustments resulting in increased average cycle times. These adjustments included redirecting incoming cases between service centers and field offices to better utilize available capacity; increasing clerical support to receive and prepare cases; and shifting Immigration Services Officer adjudication hours across application types with the greatest pending volumes. USCIS remains committed to meeting I-485 cycle time targets and will continue to implement strategies to improve the efficiency of case processing including increasing and strengthening employee training and increasing supervisory engagement. USCIS is also using overtime to improve cycle times without compromising quality goals.									
Percent of Citizenship and Integration Grant Program grant recipients that meet annual performance plan goals	---	---	---	---	92%	90%	70%	Retired	
Explanation: Thirty percent of grant recipients were unable to meet performance targets for a variety of reasons specific to each grant recipient (e.g. staff turnover, reduced funding under the FY 2012 grant program, and insufficient baseline data to inform the establishment of goals). USCIS closely monitors the performance of all grant recipients addresses low performance by providing grant recipients with technical assistance and, in certain instances, conducting on-site monitoring visits.									

## Mission 3: Enforce and Administer Our Immigration Laws

### Goal 3.2: Prevent Unlawful Immigration

- Prevent unlawful entry, strengthen enforcement and reduce drivers of unlawful immigration
- Arrest, detain, and remove priority individuals, including public safety, national security, and border security threats

In FY 2013, there were eight performance measures used to assess the Department’s efforts in *Goal 3.2: Prevent Unlawful Immigration*. For the FY 2014 – 2015 plan, one new measure is being introduced and one measure is being retired. In FY 2013, 88 percent of the measures met their target and 75 percent maintained or improved actual results compared to FY 2012.

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

◆ - Percent of measures that met their FY 2013 target.

◇ - Percent of measures that maintained or improved actual performance results compared to FY 2012.

Below is a highlighted accomplishment demonstrating success in removing criminal aliens.



### Removing Criminal Aliens

U.S. Immigration and Customs Enforcement (ICE) has implemented common sense policies that ensure our immigration laws are enforced in a way that best enhances public safety, border security, and the integrity of the immigration system.

As part of this approach, ICE has adopted clear priorities that call for the agency's enforcement resources to be focused on removing from the country convicted criminals and other individuals that fall into priority areas for enforcement. ICE priorities include the identification and

removal of those that have broken criminal laws, threats to national security, recent border crossers, and repeat violators of immigration law.

Through programs like Secure Communities, the Criminal Alien Program, and the Transportation and Removal Program—and in conjunction with our local law enforcement partners—we have removed record numbers of criminal aliens from the United States. In FY 2013, ICE’s Enforcement and Removal Operations (ERO) has removed 216,810 criminal aliens, up from 195,772 in FY 2010, a 10.7 percent increase. Simultaneously, ERO has improved efficiencies and reduced the cost to detain criminal aliens. In FY 2013, the average length of stay in detention is 33.5 days, down 9.5 percent from the FY 2010 results of 37 days.

Below are two highlighted measures gauging our efforts to prevent unlawful immigration.

Percent of initial mismatches for authorized workers that are later determined to be Employment Authorized (USCIS)								
FY08 Result	FY09 Result	FY10 Result	FY11 Result	FY12 Result	FY13 Target	FY13 Result	FY14 Target	FY15 Target
---	---	---	0.28%	0.24%	≤ 1.0%	0.22%	≤ 1.0%	≤ 1.0%

This measure assesses the accuracy of the E-Verify process by assessing the percent of employment verification requests that are not positively resolved at time of initial review. E-Verify continues to be very successful in matching employees to their government records during the initial electronic matching phase. In those cases where the electronic check does not find a match, it is very rare that the applicant will contest the case and be found to be employment authorized. USCIS continues to improve its processes through E-Verify enhancements such as mismatch letter notices to employees and Self Check, a free online service that allows an individual to check his or her employment eligibility. (Data reported with a one quarter lag.) FY 2013 results are consistent with the past two years and remains significantly below target and trending downward.

Average length of stay in detention of all convicted criminal aliens prior to removal from the United States (in days) (ICE)								
FY08 Result	FY09 Result	FY10 Result	FY11 Result	FY12 Result	FY13 Target	FY13 Result	FY14 Target	FY15 Target
---	---	37.0	34.7	31.9	≤ 35	33.5	≤ 34.5	≤ 34.5

Note: ICE increased its FY 2015 average length of stay (ALOS) target from ≤ 34.0 due to efficiencies gained in the ATEP program, including the elimination of short-term ATEP transfers into ICE custody (individuals instead remain in CBP custody through removal). The elimination of these short-term ATEP detentions from the ICE ALOS calculation is expected to increase ICE’s overall ALOS.

This measure provides an indicator of efficiencies achieved in working to drive down the average length of stay for convicted criminal aliens in ICE's detention facilities. Decreases in the average length of stay can significantly reduce the overall costs associated with maintaining an alien population prior to removal. In FY 2013, ICE saw a slight increase in the average length of stay over FY 2012 but still met its target.

The remaining measures are used to gauge our efforts to prevent unlawful immigration. For those measures that did not meet their FY 2013 target, an explanation and corrective action are provided.

Performance Measures	Prior Year Results					FY 2013		Planned Targets	
	FY08	FY09	FY10	FY11	FY12	Target	Results	FY14	FY15
<b>U.S. Citizenship and Immigration Services</b>									
Percent of religious worker site visits conducted that result in a potential finding of fraud	---	---	---	1%	7%	≤ 10%	7%	≤ 10%	≤ 10%
Percent of non-immigrant worker (H1-B) site visits conducted that result in a potential finding of fraud	---	---	---	1%	15%	≤ 15%	12%	≤ 15%	≤ 15%

Performance Measures	Prior Year Results					FY 2013		Planned Targets	
	FY08	FY09	FY10	FY11	FY12	Target	Results	FY14	FY15
<b>U.S. Immigration and Customs Enforcement</b>									
Number of employers audited, sanctioned, or arrested for violating immigration-related employment laws or otherwise brought into compliance with those laws	---	---	---	---	---	1,800	4,743	1,854 <sup>1</sup>	1,854
Number of convicted criminal aliens removed per fiscal year	---	---	195,772	216,698	225,390	225,390	216,810	198,000 <sup>2</sup>	198,000
Explanation: Convicted criminal alien removals decreased from FY 2012 due to changes in the Alien Transfer Exit Program (ATEP) <sup>2</sup> in FY 2013. ICE will continue to prioritize resources to focus on the removal convicted criminal aliens.									
Percent of aliens arrested or charged who will be electronically screened through Secure Communities	---	---	63.8%	75.57%	97.96%	100%	100%	Retired	
Percent of removal orders secured by ICE attorneys that Support ICE's Civil Enforcement Priorities (CEP)	---	---	---	---	---	New Measure		60%	60%
Percent of detention facilities found in compliance with the national detention standards by receiving an acceptable inspection rating <sup>3</sup>	---	---	---	95%	97%	100%	100%	100%	100%

Note 1: In FY 2013, ICE exceeded the target number of worksite actions, conducting a high number of Notices of Inspection (NOI) as part of its worksite enforcement strategy. However, due to budget constraints resulting from sequestration, ICE Homeland Security Investigations (HSI) was not able to fill auditor positions and had to rely on special agents to conduct these administrative functions, diverting their efforts away from criminal investigations. To address this inconsistency and better enhance national security and public safety, ICE will align its strategy to the FY 2014 planned target allowing HSI field offices to continue their efforts on conducting worksite actions while focusing on other critical priorities, including criminal investigations such as human smuggling and trafficking, child exploitation, and counter proliferation.

Note 2: The FY 2014 target previously published as 227,360 in the FY 2012 – 2014 Annual Performance Report was changed to 198,000 due to changes in ATEP. Prior-year reporting captured ATEP removals under both ICE and CBP; however, due to efficiencies in the process, ICE does not need to take these individuals into their custody, thus these removals are attributable to CBP. In FY 2012, ATEP contributed 85,550 removals to ICE versus 52,965 removals attributable to ICE in FY 2013. It is expected that total DHS ATEP removals will remain constant.

Note 3: Previous measure name: Percent of detention facilities found in compliance with the national detention standards by receiving an inspection rating of acceptable or greater on the last inspection.

## Mission 4: Safeguard and Secure Cyberspace

### Goal 4.1: Strengthen the Security and Resilience of Critical Infrastructure

- 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 infrastructure 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

In FY 2013, there were five performance measures used to assess the Department’s efforts in *Goal 4.1: Strengthen the Security and Resilience of Critical Infrastructure*. For the FY 2014 – 2015 plan, one new measure is being introduced and one measure is being retired. In FY 2013, 60 percent of the measures met their target and 100 percent maintained or improved actual results compared to FY 2012.

Goal	Performance Summary					
	Scale:	0%	25%	50%	75%	100%
Goal 4.1: Strengthen the Security and Resilience of Critical Infrastructure						

◆ - Percent of measures that met their FY 2013 target.

◇ - Percent of measures that maintained or improved actual performance results compared to FY 2012.

Below is a highlighted measure gauging our efforts to collaborate with the private sector to identify and develop effective cybersecurity policies and best practices.

Percent of organizations that have implemented at least one cybersecurity enhancement after receiving a cybersecurity vulnerability assessment or survey (NPPD)								
FY08 Result	FY09 Result	FY10 Result	FY11 Result	FY12 Result	FY13 Target	FY13 Result	FY14 Target	FY15 Target
---	---	---	---	---	50%	100%	55%	60%

Note: Although the FY 2014 target for this measure is below the FY 2013 Result, the measure is currently capturing responses from organizations that are implementing cybersecurity enhancements. As trust builds with critical infrastructure organizations through increased partnerships, DHS believes more will feel comfortable reporting that enhancements have not yet been implemented, which would contribute to a decrease in the measure’s results.

This measure addresses the extent to which critical infrastructure owners and operators use the results of cybersecurity vulnerability and resiliency assessments to improve their cybersecurity posture. The Cyber Security Evaluation Program and the Control Systems Security Program conduct assessments of critical infrastructure and conduct a follow-up with asset owner 180 days after each assessment to determine what cybersecurity enhancements were implemented since the date of the assessment. In FY 2013, 100 percent of respondents implemented at least one cybersecurity enhancement to improve their cybersecurity posture.

The remaining measures are used to gauge our efforts to partner to reduce cyber and physical risk to critical infrastructure. For those measures that did not meet their FY 2013 target, an explanation and corrective action are provided.

Performance Measures	Prior Year Results					FY 2013		Planned Targets	
	FY08	FY09	FY10	FY11	FY12	Target	Results	FY14	FY15
<b>Analysis and Operations</b>									
Percent of intelligence reports rated “satisfactory” or higher in customer feedback that enable customers to manage risks to cyberspace	---	---	---	---	88%	90%	94%	94% <sup>1</sup>	95%
<b>National Protection and Programs Directorate</b>									
Number of cybersecurity vulnerability and resiliency assessments and self-assessments facilitated by DHS	---	---	---	---	---	7,075	3,565	4,000 <sup>2</sup>	4,500
Explanation: While the Industrial Control Systems-Computer Emergency Response Teams and Cyber Security Evaluation Program site assessments met their FY 2013 plan, the Cyber Security Evaluation Tool (for self-assessments) distribution were significantly below plan. Speaking engagements, training sessions, and conferences have been instrumental in prior years to increase awareness, interest, and use of the tool; however, due to budget constraints resulting from sequestration, speaking engagements, training sessions, and conferences were significantly reduced in FY 2013 impacting awareness opportunities. NPPD is exploring other opportunities to raise awareness.									
Percent of facilities that have implemented, planned to implement, or are in the process of implementing at least one security enhancement in response to assessments provided by Infrastructure Protection <sup>3</sup>	---	---	---	61%	70%	65%	70%	Retired	
Percent of facilities that are likely to integrate vulnerability assessment or survey information into security and resilience enhancements	---	---	---	---	---	New Measure		65%	68%
Percent of high risk facilities that receive a facility security assessment in compliance with the Interagency Security Committee (ISC) schedule	---	---	---	---	---	63%	34%	100%	100%
Explanation: In FY 2013, the Federal Protective Service (FPS) formally presented 568 assessments to Facility Security Committees (FSC) out of a population of 1,661 Level 3 and 4 facilities scheduled for assessment. Although 1,228 assessments were conducted by FPS in FY 2013, formal presentations of 660 assessments were unable to be made due to the inability to convene on-site FSCs. FPS has established an adjusted schedule to bring these assessments back into a standard assessment review schedule.									

- Note 1: The FY 2014 target previously published as 90% in the FY 2012 – 2014 Annual Performance Report was changed to 94% based on FY 2013 results.
- Note 2: The FY 2014 target previously published as 7,580 in the FY 2012 – 2014 Annual Performance Report was changed to 4,000 based on FY 2013 results.
- Note 3: Previous measure name: Percent of facilities that have implemented at least one security enhancement that raises the facility’s protective measure index score after receiving an Infrastructure Protection vulnerability assessment or survey

## Mission 4: Safeguard and Secure Cyberspace

### Goal 4.2: Secure the Federal Civilian Government Information Technology Enterprise

- 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

In FY 2013, there was one performance measure used to assess the Department’s efforts in *Goal 4.2: Secure the Federal Civilian Government Information Technology Enterprise*. For the FY 2014 – 2015 plan, one new measure is being introduced. In FY 2013, 100 percent of the measures met their target and 100 percent maintained or improved actual results compared to FY 2012.

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

◆ - Percent of measures that met their FY 2013 target.

◇ - Percent of measures that maintained or improved actual performance results compared to FY 2012.

Below is a highlighted accomplishment demonstrating success in equipping civilian government networks with innovative cybersecurity tools.

### Expansion of EINSTEIN



In July 2013, the National Cybersecurity Protection System, operationally known as EINSTEIN, deployed EINSTEIN 3 Accelerated (E<sup>3</sup>A) for intrusion prevention security services to its first federal civilian agency. DHS is transitioning the program from one in which the government builds and deploys intrusion prevention systems to one in which DHS contracts with internet service providers (ISPs) to supply intrusion prevention security services. These services are then augmented through the sharing of sensitive

government information with those service providers.

E<sup>3</sup>A employs cyber threat indicators to inform threat-based decision-making on network traffic entering or leaving participating civilian Federal Executive Branch networks. E<sup>3</sup>A leverages cutting edge ISP cyber capabilities to deploy rapidly scalable solutions, operating and evolving with agility to match dynamic threats. This public-private collaborative effort initially focuses on two critical intrusion prevention security services capabilities: domain name service sinkholing and e-mail filtering, which are threat pathways comprising 85 percent of known threats to the .gov domain. E<sup>3</sup>A is currently scheduled to be fully deployed to all federal agencies by the end of FY 2015, three years earlier than an initial design concept based on a government-owned and operated solution.

Below is a highlighted measure gauging our efforts to enable government, businesses, and individuals to be secure online.

Percent of traffic monitored for cyber intrusions at civilian Federal Executive Branch agencies (NPPD)								
FY08 Result	FY09 Result	FY10 Result	FY11 Result	FY12 Result	FY13 Target	FY13 Result	FY14 Target	FY15 Target
---	---	---	---	73%	70%	82.4%	85%	87%

Note: The FY 2014 target previously published as 75% in the FY 2012 – 2014 Annual Performance Report was changed to 85% based on FY 2013 results.

This measure assesses DHS's scope of coverage for malicious cyber activity across participating civilian Federal Government Agencies.<sup>2</sup> Federal Executive branch network monitoring uses EINSTEIN intrusion detection system sensors, which are deployed to trusted internet connections locations at agencies or internet service providers. These sensors capture network flow information and provide alerts when signatures, indicative of malicious activity, are triggered by inbound or outbound traffic. In FY 2013, the target was significantly exceeded, achieving 82 percent of traffic monitored.

The remaining measure was introduced to gauge our efforts to secure the federal civilian government information technology enterprise.

Performance Measures	Prior Year Results					FY 2013		Planned Targets	
	FY08	FY09	FY10	FY11	FY12	Target	Results	FY14	FY15
<b>National Protection and Programs Directorate</b>									
Percent of known malicious cyber traffic prevented from causing harm at federal agencies	---	---	---	---	---	New Measure		80%	85%

<sup>2</sup> Defined as Chief Financial Officers (CFO) Act agencies (other than the Department of Defense) as well as non-CFO Act agencies that are Trusted Internet Connection Access Provider (TICAP) agencies.

## Mission 4: Safeguard and Secure Cyberspace

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

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

In FY 2013, there five performance measures used to assess the Department’s efforts in *Goal 4.3: Advance Cyber Law Enforcement, Incident Response, and Reporting Capabilities*. In FY 2013, 100 percent of the measures met their target and 100 percent maintained or improved actual results compared to FY 2012.

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

◆ - Percent of measures that met their FY 2013 target.

◇ - Percent of measures that maintained or improved actual performance results compared to FY 2012.

The measures below were used in FY 2013 to gauge our efforts to advance cyber law enforcement, incident response, and reporting capabilities.

Performance Measures	Prior Year Results					FY 2013		Planned Targets	
	FY08	FY09	FY10	FY11	FY12	Target	Results	FY14	FY15
<b>National Protection and Programs Directorate</b>									
Percent of cybersecurity mitigation strategies provided by DHS for unique vulnerabilities that are timely and actionable	---	---	---	---	58%	60%	74%	75% <sup>1</sup>	82%
Percent of incidents detected by the U.S. Computer Emergency Readiness Team for which targeted agencies are notified within 30 minutes	---	---	---	---	---	86%	89%	90% <sup>2</sup>	92%
<b>U.S. Secret Service</b>									
Amount of dollar loss prevented by Secret Service cyber investigations (in millions)	---	---	---	---	---	\$800	\$1,119	\$900	\$915
Number of financial accounts recovered (in millions)	---	---	---	---	---	2.0	3.9	2.1	2.1
Terabytes of data forensically analyzed for criminal investigations <sup>3</sup>	---	---	---	---	---	1,600	4,002	2,900 <sup>4</sup>	3,500

Note 1: The FY 2014 target previously published as 70% in the FY 2012 – 2014 Annual Performance Report was changed to 75% based on FY 2013 results.

Note 2: The FY 2014 target previously published as 87% in the FY 2012 – 2014 Annual Performance Report was changed to 90% based on FY 2013 results.

Note 3: Previous measure name: *Terabytes of data forensically analyzed and protected from future malicious use.*

Note 4: The FY 2014 target previously published as 1,800 in the FY 2012 – 2014 Annual Performance Report was changed to 2,900 based on FY 2013 results.

## Mission 4: Safeguard and Secure Cyberspace

### Goal 4.4: Strengthen the Ecosystem

- 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

In FY 2013, there were three performance measures used to assess the Department’s efforts in *Goal 4.4: Strengthen the Ecosystem*. In FY 2013, 100 percent of the measures met their target and 100 percent maintained or improved actual results compared to FY 2012.

Goal	Performance Summary				
	Scale:	0%	25%	50%	75%
Goal 4.4: Strengthen the Ecosystem					

- ◆ - Percent of measures that met their FY 2013 target.
- ◇ - Percent of measures that maintained or improved actual performance results compared to FY 2012.

Below is a highlighted accomplishment demonstrating success in enhancing public awareness and promoting cybersecurity best practices.



### Stop.Think.Connect.™ Campaign Partnership Grows

During FY 2013, the Stop.Think.Connect.™ Campaign significantly grew its membership in FY 2013 with a kick-off during the National Cyber Security Awareness Month in October 2012 with more than 20 events focused on Law Enforcement,

Cybersecurity, Online Safety for Business/Industry, and Digital Literacy. As an indicator of the Campaign’s successful outreach through multiple venues during FY 2013, 16 government partners joined the Campaign’s Cyber Awareness Coalition, bringing total government membership to 42—a 62 percent increase. During the same timeframe, 20 non-profit partners joined the Campaign’s National Network and more than 8,800 individuals signed up to become Friends of the Campaign—a 125 percent and 35 percent increase respectively.

As part of the Department’s awareness efforts in FY 2013, a focused social media effort through the use of Twitter—Tweets and Twitter Chats—with partners and stakeholders was used to raise national awareness. For example, during FY 2013 DHS used the @cyber Twitter handle to communicate to more than 11,800 followers to market new content development, blogs, updates, and to solicit participation in monthly Twitter Chats. During National Cyber Security Awareness Month, DHS and Campaign partners, along with others, used the hashtag #NCSAM in over 10,250 tweets. In addition, our partners also regularly promoted the Campaign such as the YMCA tweeting from the @YWCAUSA and @YWCEO Twitter handles to more than 3,200 followers. During FY 2013, the collective viewership of the social media strategy created more than 100 million potential contacts.

For more information on the Stop.Think.Connect.™ Campaign and how to get involved and informed can be found at <http://www.dhs.gov/stopthinkconnect>.

Below is a highlighted measure gauging our efforts to conduct and transition research.

Percent of planned cyber security products and services transitioned to commercial and open sources (S&T)								
FY08 Result	FY09 Result	FY10 Result	FY11 Result	FY12 Result	FY13 Target	FY13 Result	FY14 Target	FY15 Target
---	---	---	---	---	60%	89%	65%	65%

This measure reflects the percent of Science & Technology (S&T) Directorate projects that identify and complete planned transitions of a cybersecurity product and/or service to a commercial or open source. In FY 2013, S&T exceeded expectations, completing 89 percent of planned cybersecurity product and service transitions.

The remaining measures were used to gauge our efforts to strengthen the cyber ecosystem.

Performance Measures	Prior Year Results					FY 2013		Planned Targets	
	FY08	FY09	FY10	FY11	FY12	Target	Results	FY14	FY15
<b>Science and Technology Directorate</b>									
Percent of projects that involve outside collaboration with DHS components, other government agencies, the private sector, universities and international offices to advance cybersecurity research efforts	---	---	---	---	---	60%	100%	65%	70%
<b>U.S. Secret Service</b>									
Number of law enforcement individuals trained in cyber crime and cyber forensics both domestically and overseas	---	---	---	---	---	1,000	1,517	1,000	1,000

## Mission 5: Strengthen National Preparedness and Resilience

### Goal 5.1: Enhance National Preparedness

- 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

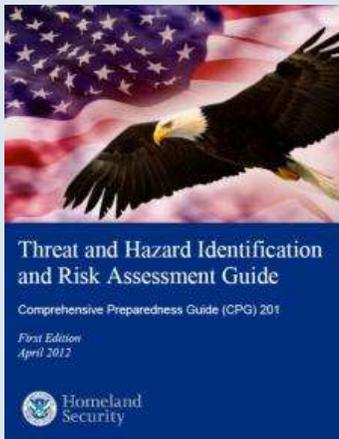
In FY 2013, there were four performance measures used to assess the Department’s efforts in *Goal 5.1 Enhance National Preparedness*. For the FY 2014 – 2015 plan, two new measures are being introduced and two measures are being retired. In FY 2013, 50 percent of the measures met their target and 75 percent maintained or improved actual results compared to FY 2012.

Goal	Performance Summary					
	Scale:	0%	25%	50%	75%	100%
Goal 5.1 Enhance National Preparedness				◆	◆	

◆ - Percent of measures that met their FY 2013 target.

◆ - Percent of measures that maintained or improved actual performance results compared to FY 2012.

Below is a highlighted accomplishment demonstrating success in enhancing national preparedness.



### Threat Hazard Identification – Understanding Our Risk

DHS works hard to ensure that the Nation continually strengthens its resiliency and becomes as prepared as it can be against all hazards. Building upon progress made in the National Preparedness Goal and the description of the National Preparedness System, DHS continues to use Threat and Hazard Identification and Risk Assessments (THIRAs) to understand the risks communities face. All states and territories submitted a THIRA this past year, providing invaluable information to inform the overall level of national preparedness identified in the National Preparedness Report. In addition, 34 urban areas and tribal governments submitted THIRAs.

Providing a common way to more fully understand the risks communities face, the THIRA does not just look at natural hazards or terrorist threats, but takes into account the threats and hazards that pose the greatest risk to a community, regardless of cause. The THIRAs demonstrated collaboration among partners inside and outside of government and highlighted interesting similarities and differences in perspective. Moving forward, the THIRAs received in FY 2013 will serve as a foundation from which FEMA and its partners can understand collective risks and make informed decisions about how to best to allocate resources and manage risk.

Below are two highlighted measures gauging our efforts to enhance national preparedness.

Percent of states with a Threat and Hazard Identification and Risk Assessment (THIRA) that meets current DHS guidance (FEMA)								
FY08 Result	FY09 Result	FY10 Result	FY11 Result	FY12 Result	FY13 Target	FY13 Result	FY14 Target	FY15 Target
---	---	---	---	---	100%	86%	100%	100%

Developing and maintaining an understanding of risks faced by communities and the Nation is an essential component of the National Preparedness System. THIRA guidance provides a common and consistent approach for identifying and assessing risks and their associated impacts. Completing a THIRA enables a community to maintain a baseline understanding of the risks that they face, facilitates efforts to identify capability and resource gaps, focuses capability improvements, and informs the community of actions they can take to manage their risks. Although all states and territories submitted their THIRAs on time, not all THIRAs met the current DHS guidance. FEMA has provided updated guidance and will provide technical assistance that will allow us to meet our 100 percent target in FY 2014.

Number of corrective actions completed to improve performance following National Level Exercises (since FY 2007) (FEMA)								
FY08 Result	FY09 Result	FY10 Result	FY11 Result	FY12 Result	FY13 Target	FY13 Result	FY14 Target	FY15 Target
---	---	---	30	114	120	171	Retired	

This measure gauges DHS’s contribution to assistance the Federal Government to prepare and coordinate a multiple-jurisdictional integrated response to a national catastrophic event by addressing actions resulting from National Level Exercises (NLE). An NLE is a capstone exercise conducted as the final element of each National Exercise Program cycle. This measure is being retired and is replaced with a similar measure to track annual contributions versus a cumulative approach. In FY 2013, FEMA greatly exceeded their target.

The remaining measures are used to gauge our efforts to enhance national preparedness. For those measures that did not meet their FY 2013 target, an explanation and corrective action are provided.

Performance Measures	Prior Year Results					FY 2013		Planned Targets	
	FY08	FY09	FY10	FY11	FY12	Target	Results	FY14	FY15
<b>Federal Emergency Management Agency</b>									
Percent of households that, aside from a fire drill, participated in a preparedness exercise or drill at their workplace, school, or home in the past two years	---	---	---	---	---	30%	33%	Retired	
Percent of households that participated in a preparedness exercise or drill at their workplace, school, home or other community location in the past year	---	---	---	---	---	New Measure		42%	44%

Performance Measures	Prior Year Results					FY 2013		Planned Targets	
	FY08	FY09	FY10	FY11	FY12	Target	Results	FY14	FY15
Percent of high-priority core planning capabilities <sup>1</sup> rated as proficient by states and territories	---	---	---	---	39.6%	40%	38.3%	42% <sup>2</sup>	44%
Explanation: Due to increased core planning capability requirements, states and territories narrowly missed the FY 2013 expectations. FEMA will continue to work with states and territories to improve their core capabilities to prevent, protect against, mitigate the effects of, respond to, and recover from those threats and hazards that pose the greatest risk to the security of the Nation as defined in the National Preparedness Goal.									
Percent of corrective actions that have been completed on time to improve performance following Capstone national level exercises	---	---	---	---	---	New Measure		65%	75%

Note 1: Please see the [FY 2012 National Preparedness Report](#) for a description of the core capabilities.

Note 2: The FY 2014 target previously published as 43.5% in the FY 2012 – 2014 Annual Performance Report was changed to 42% based on FY 2013 results.

## Mission 5: Strengthen National Preparedness and Resilience

### Goal 5.2: Mitigate Hazards and Vulnerabilities

- 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 incidents by establishing, and ensuring compliance with, standards and regulations

In FY 2013, there were five performance measures used to assess the Department’s efforts in *Goal 5.2: Mitigate Hazards and Vulnerabilities*. In FY 2013, 80 percent of the measures met their target and 100 percent maintained or improved actual results compared to FY 2012.

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

◆ - Percent of measures that met their FY 2013 target.

◇ - Percent of measures that maintained or improved actual performance results compared to FY 2012.

Below is a highlighted accomplishment demonstrating success in *Goal 5.2: Mitigate Hazards and Vulnerabilities*.



### Elevation Grants Make Homes Safer – Households Taking Steps to Protect Themselves

The Village of Freeport’s [New York (Nassau County)] floodplain manager and his team pursued grants through the Federal Emergency Management Agency’s (FEMA) Flood Mitigation Assistance (FMA) Program to conduct a series of elevations to raise some threatened homes above potential future flood levels. From 1997 to 2003, Freeport was awarded FMA grants to elevate more than 20 houses. Since completion of the elevations, Freeport

has seen two massive storms (Hurricane Irene in 2011 and Hurricane Sandy in 2012) which tested the completed projects. Both Hurricanes caused widespread destruction and Freeport was one of the hardest hit communities in New York, suffering substantial flooding. All houses which received FMA grants for elevation were completely unharmed and unaffected.

For Carl Laibach—who purchased one of these homes in 1997—all he has to do is look around his neighborhood to see the value in the elevations. His neighbor across the street, whose house flooded during Irene, has been forced to move out again due to Sandy. His next door neighbors are gone, and several houses down the street are empty.

Freeport is an active participant in the National Flood Insurance Program (NFIP). Participation in the NFIP is the only means for people living in such communities to purchase federally-backed flood insurance policies. The only other option for residents of non-participating communities is through a limited number of insurance companies, which may sell individual flood insurance policies but at considerably higher rates. An added benefit to participation in the NFIP is access to the Community Rating System (CRS). The CRS is a voluntary incentive program that communities can apply for that offers an incremental discount to flood insurance costs for the completion of certain mitigation activities that exceed minimum NFIP requirements.

Below are two highlighted measures gauging our efforts to mitigate hazards and vulnerabilities.

Percent of communities in high earthquake, flood, and wind prone areas adopting disaster resistant building codes (FEMA)								
FY08 Result	FY09 Result	FY10 Result	FY11 Result	FY12 Result	FY13 Target	FY13 Result	FY14 Target	FY15 Target
---	---	---	48%	56%	53%	57%	57%	61%

This measure assesses the number of communities adopting building codes containing provisions that adequately address earthquake, flood, and wind hazards. FEMA works with code adoption and enforcement organizations to support community implementation of disaster resistant building codes. In FY 2013, results demonstrated slight increase from FY 2012 and met expectations.

Five year average number of commercial and recreational boating deaths and injuries (USCG)								
FY08 Result	FY09 Result	FY10 Result	FY11 Result	FY12 Result	FY13 Target	FY13 Result	FY14 Target	FY15 Target
---	---	---	4,567	4,469	≤ 4,546	4,241	≤ 4,503	≤ 4,457

This measure reports the five-year average of reportable commercial mariner, commercial passenger, and recreational boating deaths and injuries. It is an indicator of the long-term trend of the U.S. Coast Guard Maritime Prevention Program's impact on marine safety. To achieve this outcome goal, and maintain a downward trend, the U.S. Coast Guard conducted compulsory, as well as voluntary vessel exams and inspections; certified and licensed U.S. mariners; and promoted best practices by investigating marine casualties and sharing its findings. It also provided grants to States to improve recreational boating safety, and supported a variety of government and nongovernment boating safety efforts in partnership with other federal agencies, state and local governments, marine industries and associations.

The remaining measures are used to gauge our efforts to mitigate hazards and vulnerabilities. For those measures that did not meet their FY 2013 target, an explanation and corrective action are provided.

Performance Measures	Prior Year Results					FY 2013		Planned Targets	
	FY08	FY09	FY10	FY11	FY12	Target	Results	FY14	FY15
<b>Federal Emergency Management Agency</b>									
Percent of households surveyed reporting they have taken steps to mitigate damage to property and protect themselves in the event of a disaster	---	---	---	27%	36%	31%	44%	45% <sup>1</sup>	47%
Percent of U.S. population (excluding territories) covered by planned mitigation strategies	---	---	---	68.7%	71.0%	85%	76.7%	77% <sup>2</sup>	78%
Explanation: Given economic/political conditions, states and localities may not have the staff, expertise, or funding to update their mitigation plan or may not prioritize updates due to competing interests. FEMA will continue to provide technical assistance and outreach to help communities develop sound mitigation strategies.									
Reduction in the potential cost of natural disasters to communities and their citizens (in billions)	\$2.53	\$3.12	\$2.98	\$3.40	\$2.97	\$2.40	\$3.21	\$2.60 <sup>3</sup>	\$2.60

Note 1: The FY 2014 target previously published as 33% in the FY 2012 – 2014 Annual Performance Report was changed to 45% based on FY 2013 results.

Note 2: The FY 2014 target previously published as 85% in the FY 2012 – 2014 Annual Performance Report was changed to 77% based on FY 2013 results.

Note 3: The FY 2014 target previously published as \$2.40 in the FY 2012 – 2014 Annual Performance Report was changed to \$2.60 based on FY 2013 results.

## Mission 5: Strengthen National Preparedness and Resilience

### Goal 5.3: Ensure Effective Emergency Response

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

In FY 2013, there were seven performance measures used to assess the Department’s efforts in *Goal 5.3: Ensure Effective Emergency Response*. In FY 2013, 71 percent of the measures met their target and 86 percent maintained or improved actual results compared to FY 2012.

Goal	Performance Summary					
	Scale:	0%	25%	50%	75%	100%
Goal 5.3: Ensure Effective Emergency Response				◆	◆	

◆ - Percent of measures that met their FY 2013 target.

◇ - Percent of measures that maintained or improved actual performance results compared to FY 2012.

Below is a highlighted accomplishment demonstrating success in ensuring effective emergency response.



#### Ensuring Effective Emergency Response: The U.S. Coast Guard is “Always Ready”

In the wake of Hurricane Sandy, USCG’s talented responders coordinated with state and local governments, and private industry stakeholders, to save lives, protect the environment and help restore normal operations. The core principles of contingency preparedness and emergency management helped the USCG effectively manage hundreds of incidents following the storm, some of which are highlighted below:

**1) Search and Rescue** – Offshore, southeast of Cape Hatteras, North Carolina, the crew of the *Bounty* hailed USCG for assistance and was forced to abandon their sinking ship. USCG arrived to the scene of the sinking ship with aircraft and cutters, saving 14 of the 16 crew members with two MH-60 helicopters. **2) Marine Environmental Response and Contingency Preparedness** – Closer inland, USCG partnered with the Environmental Protection Agency, and the New York Department of Environmental Conservation to improve situational awareness, command and control, and optimize environmental recovery efforts. USCG deployed specialized strike teams and helped direct a systematic canvassing of affected coastal and port areas for pollution, damage assessments, and tailored environmental response activities while supporting the pumping and power-restoration efforts in New York’s tunnels and subways restoring daily transportation services for millions of commuters. **3) Aids to Navigation** – Both at sea and ashore, USCG conducted port assessments, responded to channel marker discrepancies and verified waterway safety to restore the flow of commerce and emergency services.

Below are two highlighted measures gauging our efforts to ensure effective emergency response.

Percent of incident management and support actions necessary to stabilize a jurisdiction within 72 hours or by the agreed upon time (FEMA)								
FY08 Result	FY09 Result	FY10 Result	FY11 Result	FY12 Result	FY13 Target	FY13 Result	FY14 Target	FY15 Target
---	---	---	---	---	100%	100%	100%	100%

This measure reflects FEMA's role in effectively responding to any threat or hazard, with an emphasis on saving and sustaining lives within 72 hours, in support of state, local, tribal, and territorial governments. Actions necessary to stabilize an incident in order to ensure the best outcomes for survivors are defined as those functions that must be initiated immediately following an incident such as: interoperable communications between FEMA-supported incident sites; deploying urban search and rescue resources; rapidly activating response coordination centers; and issuing timely alerts, warnings, operations orders, and situation reports. In FY 2013, FEMA achieved its 100 percent target.

Percent of orders 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)								
FY08 Result	FY09 Result	FY10 Result	FY11 Result	FY12 Result	FY13 Target	FY13 Result	FY14 Target	FY15 Target
---	---	97.5%	93.3%	92.8%	95%	95.4%	95%	95%

Getting emergency supplies to the right location at the right time is critical to ensuring those affected during the event are safe, secure, and have the resources during the initial stages of a disaster. In FY 2013, FEMA processed 434 orders resulting in nearly 3,000 different shipments in response to numerous federally-declared disaster events.

The remaining measures are used to gauge our efforts to ensure effective emergency response. For those measures that did not meet their FY 2013 target, an explanation and corrective action are provided.

Performance Measures	Prior Year Results					FY 2013		Planned Targets	
	FY08	FY09	FY10	FY11	FY12	Target	Results	FY14	FY15
<b>Federal Emergency Management Agency</b>									
Percent of the U.S. population directly covered by FEMA connected radio transmission stations	---	---	72%	84%	85%	90%	90%	90%	90%
Percent of Incident Management Assistance Teams establishing joint federal and state response objectives within 18 hours	---	---	---	---	---	100%	100%	100%	100%
<b>National Protection and Programs Directorate</b>									
Percent of urban area interoperable communications capabilities that are rated at the most advanced levels	---	---	---	---	---	50%	67%	75% <sup>1</sup>	78%

Performance Measures	Prior Year Results					FY 2013		Planned Targets	
	FY08	FY09	FY10	FY11	FY12	Target	Results	FY14	FY15
Percent of calls made by National Security/Emergency Preparedness users during emergency situations that DHS ensured were connected	97.0%	94.2%	99.4%	97.8%	99.4%	100%	96.8%	100%	100%
Explanation: The Government Emergency Telecommunications Service (GETS) that connects calls during emergency situations did not meet its aspirational goal of 100 percent; however, the FY 2013 results are in line with historical results. GETS relies on public telephone network systems and call volume in times of emergency will impact results. NPPD will continue to work with the public telephone network systems providers to address any opportunities for improvement.									
<b>U.S. Coast Guard</b>									
Percent of people in imminent danger saved in the maritime environment	76.8%	77.3%	74.4%	77.3%	77.3%	100%	79%	100%	100%
Explanation: Though this year's performance is below the 100% aspirational target, it is consistent with previous year's results, and an improvement from FY 2012. In FY 2013, the Coast Guard saved 3,263 lives in 17,721 Search and Rescue (SAR) cases. Uncontrollable variables influence the number and outcome of SAR incidents (e.g., weather, location, incident severity, life saving devices on board) and further analysis is in progress to identify if there are any systemic issues that can be improved.									

Note 1: The FY 2014 target previously published as 55% in the FY 2012 – 2014 Annual Performance Report was changed to 75% based on FY 2013 results.

## Mission 5: Strengthen National Preparedness and Resilience

### Goal 5.4: Enable Rapid Recovery

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

In FY 2013, there were two performance measures used to assess the Department’s efforts in *Goal 5.4: Enable Rapid Recovery*. In FY 2013, 50 percent of the measures met their target and 100 percent maintained or improved actual results compared to FY 2012.

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

◆ - Percent of measures that met their FY 2013 target.

◇ - Percent of measures that maintained or improved actual performance results compared to FY 2012.

Below is a highlighted accomplishment demonstrating success in enabling rapid recovery.



### Hurricane Sandy Recovery: Use of Social Media

On October 29, 2012, Hurricane Sandy made landfall along the East Coast with battering waves and wind gusts. Using forward deployed personnel and resources, FEMA effectively supported disaster preparedness and response operations, including search and rescue, situational awareness, communications and logistical support. FEMA continues to lead the Federal Government’s efforts to support affected communities as they recover.

Despite the good work done by the whole community to come together to meet the needs of disaster survivors, some rumors circulated online about fraudulent services. FEMA was active in social media engagement by identifying and responding to misinformation through a rumor control page on [fema.gov](http://fema.gov) and [m.fema.gov](http://m.fema.gov). To ensure correct

information was provided to survivors, social media and websites were updated regularly with the online links or physical locations to apply for assistance. To further build on the social media engagement, FEMA held Twitter chats, using the @FEMASandy Twitter account, which served as great opportunities to engage directly with citizens and answer their questions about the recovery progress.

Below are two highlighted measures gauging our efforts to enable rapid recovery. For those measures that did not meet their FY 2013 target, an explanation and corrective action are provided.

<b>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)</b>								
FY08 Result	FY09 Result	FY10 Result	FY11 Result	FY12 Result	FY13 Target	FY13 Result	FY14 Target	FY15 Target
---	---	---	---	---	91%	94.5%	92%	93%

Recovery assistance helps individuals affected by disasters and emergencies return to normal quickly and efficiently. This measure reflects FEMA's role in delivering quality services to disaster survivors using a random survey of registered disaster assistance applicants who received assistance within the previous fiscal quarter. In FY 2013, FEMA exceeded its target achieving a 94.5 percent satisfaction rating.

<b>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)</b>								
FY08 Result	FY09 Result	FY10 Result	FY11 Result	FY12 Result	FY13 Target	FY13 Result	FY14 Target	FY15 Target
---	---	---	---	---	92%	86.2%	93%	93%

FEMA delivers services to communities following a disaster and evaluates its quality based upon three categories: program services; supporting infrastructure; and customer satisfaction. Early in FY 2013—based on initial results—FEMA implemented a rigorous training program to improve response time to requests for public assistance. By the fourth quarter, results improved drastically, however the program did not meet its FY 2013 performance target. FEMA will continue its training program in FY 2014 and expects to meet its target based on initial trends experienced after remediation actions were implemented.

## Mature and Strengthen Homeland Security

### M&S.1: Integrate Intelligence, Information Sharing, and Operations

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

Below is a highlighted accomplishment demonstrating success in information sharing.



#### DHS Information Sharing – Fusion Centers

Immediately following the April 2013 explosion of two bombs near the Boston Marathon finish line, the Office of Intelligence and Analysis (I&A) provided federal, state and local partners with vital intelligence and law enforcement information about the incident. The timeliness and accuracy of this reporting ensured state and local leaders possessed the situational awareness and information necessary to aid them in making appropriate decisions for their jurisdictions.

I&A field efforts were led by deployed Intelligence Officers at the Massachusetts Commonwealth Fusion Center (CFC) and the Boston Regional Intelligence Center. Nationwide, Intelligence Officers deployed to other Fusion Centers immediately began to triage numerous requests for information from DHS Headquarters, field colleagues, and state and local representatives. Intelligence Officers ensured uninterrupted information sharing between DHS, FBI, the CFC, and the Massachusetts State Police (MSP); answered numerous short-notice information requests; vetted information on over 30 suspicious packages; and referred suspicious incidents to the FBI and MSP. Intelligence Officers served as information managers in the Homeland Security Information Network National Situation Room and assessed local information, ensuring only accurate and verified reporting was provided to the National Network of Fusion Centers, other State and Local Homeland Security partners, DHS senior leadership, and the greater DHS Intelligence Enterprise.

I&A, in coordination with the FBI and the Office of Intergovernmental Affairs where appropriate, worked to provide Fusion Center Directors, Homeland Security Advisors, Major City/County Intelligence Commanders, and Mayoral Homeland Security Staffs the critical information necessary to adjust operational tempo and maintain situational awareness following the Boston tragedy.

Below is a highlighted measure gauging our efforts to integrate intelligence, information sharing, and operations.

Percent of initial breaking homeland security blast calls initiated between the National Operations Center and designated homeland security partners within targeted timeframes (AO)								
FY08 Result	FY09 Result	FY10 Result	FY11 Result	FY12 Result	FY13 Target	FY13 Result	FY14 Target	FY15 Target
---	88%	100%	100%	100%	95%	100%	98%	98%

Note: The FY 2014 target previously published as 95% in the FY 2012 – 2014 Annual Performance Report was changed to 98% based on FY 2013 results.

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 duties following an incident are designed to prepare the Secretary to brief the American public within 60 minutes of a significant event. The program has maintained a 100 percent rating for the past four years.

## Mature and Strengthen Homeland Security

### M&S.2: Enhance Partnerships and Outreach

- Promote regional response capacity and civil support
- Strengthen 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

Below is a highlighted accomplishment demonstrating success in enhancing partnerships and outreach.



### U.S. Secret Service Partnership with the National Center for Missing and Exploited Children

The public's awareness of missing and exploited children in the 1980's had a profound effect on how America responds to this widespread problem. In an attempt to provide assistance to parents, children and the law enforcement community, the National Center for Missing and Exploited Children (NCMEC) was created in 1984. This was the beginning of a long term relationship between NCMEC and the law enforcement community throughout the world. As part of the 1994 Crime Bill and later the PROTECT Act of 2003 (known as the Amber Alert Bill) the USSS<sup>1</sup> has supported the NCMEC and federal, state, and local law enforcement agencies with its expertise in forensic photography,

graphic arts, video production, audio/image enhancement, polygraph, voice identification, computerized 3D models, and video and audio tape duplication services.

In FY 2013, the USSS, St. Louis Field Office initiated an investigation involving the possession of child pornography. Secret Service Agents initiated their investigation as part of their ongoing participation in an Internet Crimes Against Children Task Force. A suspect was identified as having downloaded numerous videos and images depicting child pornography. The suspect denied intentionally viewing child pornography and further denied having any sexual contact with a minor.

During a polygraph examination administered by a Secret Service Polygraph Examiner, the suspect confessed to downloading approximately 200,000 images of child pornography during a five year period. The suspect also revealed he had sexually assaulted two eight (8) year old females and provided the name of another individual with whom he shared child pornography. Investigators were able to verify the name of the second individual and eventually located another large cache of child pornography. Both suspects are facing charges related to the possession and distribution of child pornography.

<sup>1</sup> Federal law enforcement partner agencies include: FBI; U.S. Postal Inspection Service; ICE; USSS; U.S. Marshals Service; and Military Criminal Investigative Organization.

Below is a highlighted measure gauging our efforts to enhance partnerships and outreach.

Percent of National Center for Missing and Exploited Children (NCMEC) examinations requested that are conducted (USSS)								
FY08 Result	FY09 Result	FY10 Result	FY11 Result	FY12 Result	FY13 Target	FY13 Result	FY14 Target	FY15 Target
---	---	---	100%	100%	100%	100%	100%	100%

This measure represents the percentage of Secret Service computer and polygraph forensic exams conducted in support of any investigation involving missing or exploited children in relation to the number of computer and polygraph forensic exams requested. Since the year this measure was introduced, the U.S. Secret Service has been able to provide examinations for all requests.

## Mature and Strengthen Homeland Security

### M&S.3: Conduct Homeland Security Research and Development

- Scientifically study threats and vulnerabilities
- Develop innovative approaches and effective solutions
- Leverage the depth of capacity in national labs, universities, and research centers

Below is a highlighted accomplishment demonstrating success in conducting homeland security research and development.



#### Cyber Forensics Project – Blackthorn 3

In response to the increasing use of global positioning system (GPS) devices in criminal acts, law enforcement agencies require a solution to examine such devices in a manner consistent with the best practices of handling digital evidence. S&T’s Cyber Security Division Cyber Forensics project funded the hardware and software development of a single platform, manufacturer-agnostic GPS forensics tool, Blackthorn3, to automate this collection of information. The developed software acquires all or selected data from GPS devices including: routes, waypoints, tracklogs, trackpoints, address books, and favorite locations. The ruggedized

tool kit gives operators the capability to quickly acquire data and make tactical decisions on actionable intelligence while still in the field. The Science and Technology Directorate-funded enhancements for this tool: 1) double the number of GPS brands that can be analyzed from three to six, incorporating all major devices; 2) reduce the time required to manually pull information from a device from several hours to under five minutes; and 3) provide the only field solution currently available.

Blackthorn3 one-year software licenses and 3-day training classes were transitioned to 36 federal, state, and local law enforcement including Immigrations and Customs Enforcement, the U.S. Coast Guard, and the Fairfax County, Virginia, Police Department. In addition, field deployable hardware kits were transitioned to ten federal, state, and local agencies including CBP and the Miami-Dade, Florida, Police Department.

Below are two highlighted measures gauging our efforts to conduct homeland security research and development.

Number of applications for SAFETY Act coverage submitted (S&T)								
FY08 Result	FY09 Result	FY10 Result	FY11 Result	FY12 Result	FY13 Target	FY13 Result	FY14 Target	FY15 Target
---	218	219	189	132	150	130	150	150

The Office of SAFETY (Support Anti-Terrorism by Fostering Effective Technologies) Act Implementation is responsible for review and approval of applications for designation and certification of qualified anti-terrorism technologies under the SAFETY Act program. The number of applications received is an indicator of long-term success and is a reflection of the homeland

security market’s desire to develop and deploy anti-terrorism technologies and the necessity of a program that will enable this process. By continuing to increase the number of applications the SAFETY Act program will continue to be effective in enabling the widespread commercial availability of effective anti-terrorism technologies. The lower number of applications is due to some companies holding back on submitting applications due to the economic uncertainty in the homeland security market; however, there was an increase in the number of applications impacting critical infrastructure. Due to the aggressive outreach program during FY2013, S&T expects to see a greater number of applications during FY2014.

Percent of Research and Development Partnerships (RDP) program milestones that are met, as established in the fiscal year’s budget execution plan (S&T)								
FY08 Result	FY09 Result	FY10 Result	FY11 Result	FY12 Result	FY13 Target	FY13 Result	FY14 Target	FY15 Target
---	---	---	---	91%	75%	95%	75%	75%

The Research and Development (R&D) Partnerships Group conducts extensive outreach efforts with members of the Homeland Security Enterprise (HSE) based on the strategic and programmatic needs of DHS. The R&D Partnerships Group assists in both “transmitting and receiving information” to stakeholders across the HSE enabling opportunities for evaluating, expediting and monitoring the execution of programs with an increased speed-of-execution compared to “in-house only” activities. The R&D Partnerships Group made significant progress in FY 2013 meeting 95 percent of their milestones and plan to complete the remaining milestones in the first quarter of FY 2014.

## Mature and Strengthen Homeland Security

### M&S.4: Train and Exercise Frontline Operators and First Responders

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

Below is a highlighted accomplishment demonstrating success in *M&S.4: Train and Exercise Frontline Operators and First Responders*.



#### FLETC Law Enforcement Training – Active Shooter

Acts of violence resulting in multiple casualties—such as the recent random shootings in schools, theaters, and shopping malls—have increasingly alarmed the collective American society. While these acts continue to constitute a small proportion of overall crime, the fear they inflict on the national conscious has compelled researchers and policymakers to take action to better respond to and deter this type of violence.

To address the ability of our law enforcement community to effectively respond to an “Active Shooter” situation, FLETC, in collaboration with its law enforcement Partner Organizations, has developed and deployed highly effective and dynamic active shooter training programs for law enforcement officers and instructors nationwide to enhance the ability of law enforcement to effectively respond to calls of “shots fired/active shooter.” During the September 2013 Navy Yard shooting in Washington, DC, multiple federal law enforcement officers from several agencies who had graduated from a FLETC active shooter training program acted to quickly neutralize the violent threat. One of the officers noted that “Your final scenario that we went through at your course was spot on.” In FY 2013, FLETC trained 331 federal law enforcement officers in active shooter and first responder programs bringing the total population of those trained to 1,530.

FLETC is also actively engaged in strategic approaches to prevent multiple casualty violence. In December 2012, FLETC hosted the National Summit on Multiple Casualty Shootings, in collaboration with U.S. Department of Justice, Office of Community Oriented Policing Services; and the Johns Hopkins University, School of Education, Division of Public Safety Leadership. The culmination of the national summit and other multi-disciplinary meetings was a joint report, [Strategic Approaches to Preventing Multiple Casualty Violence](#), containing recommendations and findings focused on prevention strategies tailored to the local community. These efforts combined with FLETC’s active shooter training programs serve as a force multiplier to help reduce mass casualty violence.

Below is a highlighted measure gauging our efforts to train and exercise frontline operators and first responders.

Number of federal law enforcement training programs and/or academies accredited or re accredited through the Federal Law Enforcement Training Accreditation process (FLETC)								
FY08 Result	FY09 Result	FY10 Result	FY11 Result	FY12 Result	FY13 Target	FY13 Result	FY14 Target	FY15 Target
---	50	52	66	83	99	97	107	113

The Federal Law Enforcement Training Accreditation (FLETA) Board is the accrediting body for all federal law enforcement training and support programs. The Accreditation ensures that training and services provided meet professional training standards for law enforcement. Through FY 2013, 97 federal law enforcement training programs and/or academies have been accredited or re-accredited narrowly missing the FY 2013 target. As a testament to the FLETA process and standards, two planned programs were not awarded accreditation because these programs did not meet all of the FLETA standards. Because FLETA accreditation is a voluntary government-wide process, the agency owning these programs will have to decide if the agency wishes to re-submit applications and begin the accreditation process again.

The remaining measures are used to gauge our efforts to ensure readiness of frontline operators and first responders.

Performance Measures	Prior Year Results					FY 2013		Planned Targets	
	FY08	FY09	FY10	FY11	FY12	Target	Results	FY14	FY15
<b>Federal Law Enforcement Training Centers</b>									
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	79.75%	82%	96%	98.5%	96%	97%	100%	97%	97%
Percent of Partner Organizations satisfied with the overall Federal Law Enforcement Training Centers training experience	---	91%	96%	98.5%	98%	97%	100%	97%	97%

## Mature and Strengthen Homeland Security

### M&S.5: Strengthen Service Delivery and Manage DHS Resources

- Recruit, hire, retain, and develop a highly qualified, diverse, effective, mission-focused, and resilient workforce
- Manage the integrated investment lifecycle to ensure that strategic and analytically-based decisions optimize mission performance

Below is a highlighted accomplishment demonstrating success in *M&S.5: Strengthen Service Delivery and Manage DHS Resources*.



### Cornerstone Leader Development Program

Former Secretary Janet Napolitano established the Leader Development Program in May 2010 under the leadership of the Office of the Chief Human Capital Officer (OCHCO) in order to elevate leader effectiveness across DHS, as an investment in mission achievement. OCHCO led a cross-Component development effort resulting in the Leader Development Framework, which identifies a set of DHS-specific Leader Development competencies, and a roadmap of ideal development elements at five tiers of leadership (from Team Member to Executive). The Cornerstone Program, the first and most pivotal Framework tier to be built-out and deployed, sets specific, consistent baseline development requirements for new and seasoned supervisors, managers, and executives at all levels across the Department.

To promote efficient, effective, and collaborative investment across the Department while still supporting Component-specific mission-focused flexibilities, Components are encouraged to optimize current investments by using existing high-quality products to meet the requirements where possible, and supplementing with new, shared, or collaboratively-developed products to offer full-scale development that meets and exceeds the continuum of Cornerstone requirements. Cornerstone includes multiple learning modalities and best-practices such as a suite of onboarding activities for all new DHS supervisors, a Fundamentals of DHS Leadership program offering skill-building in 18 topic areas essential to DHS leadership, and an innovative 2-pronged annual Continuous Supervisory Leader Development requirement for all seasoned supervisors targeting critical competency development for self and investing in others.

During an initial FY 2012 pilot implementation targeting one vital sector of the leadership population, Components reported that 90 percent of first-line supervisors completed a quality training experience under the Cornerstone Program. In FY 2013, the first year of broader implementation, 75 percent of responders agreed that the Cornerstone activity they completed provided knowledge or skills that they had not learned on the job, demonstrating the value of formalized development. In FY 2014, collaborative cross-Component efforts will continue to develop additional Leader Development Framework tiers including Team Member, Team Lead, and an Executive Capstone program, in order to institutionalize a system of leadership talent development at all levels of the workforce, now and into the future.

Below are two highlighted measures gauging our efforts to strengthen service delivery and manage DHS resources.

Percent of veteran hires among total DHS hires in each fiscal year (DMO)								
FY08 Result	FY09 Result	FY10 Result	FY11 Result	FY12 Result	FY13 Target	FY13 Result	FY14 Target	FY15 Target
---	---	23.4%	21.2%	24.9%	25%	24.5%	25%	25%

This measure reflects the percentage of new Veteran hires for each fiscal year based on the total number of DHS new hires. Due to a combination of an overall reduction in new hires in total and many of the new positions were part-time within TSA and FEMA due to the nature of the work, DHS narrowly missed its target for FY 2013. The Office of the Chief Human Capital Officer and the DHS Veterans Employment Program Office have worked closely with TSA and FEMA over the past fiscal year to find solutions to address these challenges and continue to do so over the coming year.

Percent reduction in scope 1 & 2 greenhouse gas emissions (DMO)								
FY08 Result	FY09 Result	FY10 Result	FY11 Result	FY12 Result	FY13 Target	FY13 Result	FY14 Target	FY15 Target
---	---	---	13.59%	5.3%	4%	6.0%	5%	7%

The measure captures the percent reduction of greenhouse gas (GHG) emissions across the Department of Homeland Security. This percentage only includes scope 1 & 2 GHG emissions. Scope 1 is direct GHG emissions from the operation of sources that are owned or controlled by DHS. Scope 2 is indirect GHG emissions that occur as a result of DHS operations but are produced by sources owned or controlled by another entity. FY 2013 DHS reductions were achieved through energy conservation measures and reductions in fleet fuel use.

The remaining measures are used to gauge our efforts to strengthen service delivery and manage DHS resources.

Performance Measures	Prior Year Results					FY 2013		Planned Targets	
	FY08	FY09	FY10	FY11	FY12	Target	Results	FY14	FY15
<b>Departmental Management and Operations</b>									
Interest penalties paid on all invoices (per \$1 million in total payments)	---	\$169.3	\$72.95	\$88.23	\$27.24	≤ \$160	\$68.64	≤ \$160	≤ \$160
Percent of environmentally preferable and sustainable purchasing actions	---	---	---	---	98%	95%	99%	95%	95%
Percent of Equal Employment Opportunity complaints timely adjudicated	---	---	---	---	49%	40%	41%	40%	45%

## Agency Priority Goals

In the FY 2013 Budget, the Obama Administration defined Agency Priority Goals (APG) which represents areas in which the Administration has identified opportunities to significantly improve near-term performance. These goals are a set of focused initiatives that support the Agency's longer-term strategic framework. Additional detail is available at [www.performance.gov](http://www.performance.gov).

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

### FY 2012 – 2013 Agency Priority Goals

The tables below provide the final progress update for the FY 2012 – 2013 APG's. Additional detail is available is available on [www.performance.gov](http://www.performance.gov).

<b><i>Agency Priority Goal 1: Strengthen Aviation Security Counterterrorism Capabilities by Using Intelligence Driven Information and Risk Based Decisions</i></b>	
<b>Goal Statement</b>	Strengthen aviation security counterterrorism capabilities by using intelligence driven information and risk-based decisions. By September 30, 2013, TSA will expand the use of risk-based security initiatives to double the number of passengers going through expedited screening at airports, thereby enhancing the passenger experience.
<b>Overview</b>	<p>TSA performs and oversees security operations at the nation's airports, screening over 600 million passengers annually, to ensure the freedom of movement of people and commerce. 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. By learning more about travelers through information they voluntarily provide, and combining that information with our multi-layered system of aviation security, TSA can better focus limited resources on higher-risk and unknown passengers. Since efforts began in 2011, the agency has implemented several risk-based initiatives, such as: the deployment of modified screening protocols for passengers 12 and younger; passengers 75 and over; active duty service members; exempting Veterans on chartered Honor Flights from physical screening; and the deployment of the TSA Pre✓™ program.</p> <p>While driving the growth of trusted traveler populations that comprise TSA Pre✓™ is key to the program's long term success, TSA faces challenges in aligning, planning, and executing activities for incorporating these various populations into the program. In addition, the success of achieving TSA's risk-based security milestones is in many ways reliant upon external and internal partners. For example, expansion and growth of TSA Pre✓™ is contingent upon airline technical integration, as well as the U.S. Customs and Border Protection's (CBP) Global Entry program. Accordingly, participation rates and application</p>

	<p>processing times can impact TSA Pre✓™ volume at some airports. Further challenging TSA, the agency is fundamentally changing the way it trains its officers under a risk-based security model since Transportation Security Officers were originally trained to screen all passengers in the same manner since its inception. This Priority Goal contributed to achieving DHS’s Mission 1: Prevent Terrorism and Enhance Security.</p>
<p><b>Progress Update</b></p>	<p>Over the past two years, TSA has expanded the use of risk-based security initiatives resulting in an increase in the number of travelers being eligible for expedited screening by 316%. Specific activities include:</p> <ul style="list-style-type: none"> <li>• Expanding to a total of 40 TSA Pre✓™ airports and 7 participating airlines.</li> <li>• Implementing expedited screening nation-wide for adults 75 and older, and children 12 and younger.</li> <li>• Adding TSA Pre✓™ procedures at 10 locations for active duty military members with a Department of Defense Common Access Card (CAC).</li> <li>• Introducing the Known Crewmember (KCM) program for flight crews and extending KCM eligibility to flight attendants.</li> <li>• Extending TSA Pre✓™ eligibility to outbound international travelers and arriving in-bound international passengers connecting to a domestic flight aboard a participating airline.</li> <li>• Recognizing additional trusted populations including Members of Congress, Federal Judges, certain law enforcement officers through the International Association of Chiefs of Police, Canadian Citizens who are members of CBPs NEXUS Trusted Traveler Program, and TS/SCI clearance holders through the Director of National Intelligence.</li> </ul> <p>The DHS Traveler Redress program closed 29,782 cases in an average of 63 calendar days. This exceeds the metric by approximately 32 percent for FY12-13 and was accomplished while a new internal software system for DHS TRIP was deployed in FY2013. The increase in actual results is attributable to increased focus on training, work to address deficiencies of the new system, and database enhancements that are anticipated to yield greater performance. The enhancements allow TSA to create queries that help with optimizing case management on a daily basis and create customized reports for components.</p>

<p><b><i>Agency Priority Goal 2: Enforcing and Administering our Immigration Laws through Detention and Removal Efficiency</i></b></p>	
<p><b>Goal Statement</b></p>	<p>Improve the efficiency of the process to detain and remove criminal aliens from the United States. By September 30, 2013, reduce the average length of stay in immigration detention of all convicted criminal aliens prior to their removal from the country by 5 percent.</p>
<p><b>Overview</b></p>	<p>U.S. Immigration and Customs Enforcement (ICE) is committed to identifying, arresting, detaining, prosecuting, and removing aliens who present a danger to national security or are a risk to public safety, as well as those who otherwise undermine the integrity of our immigration laws and the Department’s border security efforts. These include, but are not limited to, felons and repeat</p>

	<p>offenders, organized criminal gang members and aliens engaged in or suspected of terrorism or espionage. Also critical to ICE enforcement priorities are recent illegal border crossers. The five percent reduction in the average length of stay is based on the result of 37 days obtained when this goal was first initiated in FY 2010.</p> <p>ICE is working to increase efficiencies in every step of the removal process to reduce the duration of an alien’s stay in ICE custody, while ensuring transparency, accountability, and detainees’ quality of life through improved detention standards. Increased efficiency in detention and removal operations will further enable ICE to focus finite resources on these priorities. Additionally, ICE is coordinating with countries outside of the United States to expand the use of an electronic travel document system to support removals. The primary elements in this strategy include identifying and removing all high-risk fugitives; ensuring that aliens who have already been identified as convicted criminals are expeditiously removed; and developing and maintaining efficient removal programs. This Priority Goal contributed to achieving DHS’s Mission 3: Enforce and Administer Our Immigration Laws.</p>
<p><b>Progress Update</b></p>	<p>In FY2013, ICE once again met the Agency Priority Goal of improving the efficiency of the process to detain and remove criminal aliens based on end of year cleared results. ICE continued to successfully remove dangerous criminal aliens. In FY13, ICE removed 216,810 convicted criminal aliens and 74,159 Level 1 offenders.</p> <p>In addition, ICE completed the fiscal year well below the 35 day ALOS target for the second year in a row, with an ALOS for criminal detainees of 33.5 days, demonstrating greater efficiency and resulting in cost savings for the organization. ICE also proactively managed bed costs ensuring the agency fell below its target cost of \$122 per day for an average bed cost per day of \$118.88.</p> <p>In Quarter 2, FY13, ICE’s biometric information sharing capability used to identify aliens arrested for a crime (Secure Communities) was activated in all 3,181 jurisdictions, achieving 100 percent coverage.</p>

<p><b><i>Agency Priority Goal 3: Ensure Resilience to Disasters by Strengthening Disaster Preparedness and Response Capabilities</i></b></p>	
<p><b>Goal Statement</b></p>	<p>Ensure resilience to disasters by strengthening disaster preparedness and response capabilities. By September 30, 2013, every state will have a current, DHS-certified threat, hazard, identification, and risk assessment (THIRA).</p>
<p><b>Overview</b></p>	<p>As recognized in the National Preparedness Goal, a secure and resilient Nation is one that can, in the shortest time possible and under all conditions, successfully prevent, protect, respond, recover, or mitigate threats that pose the greatest risk to the country. The National Preparedness Goal was developed as required by the National Preparedness System, as established by Presidential Policy Directive 8: National Preparedness. FEMA is improving its capabilities and strengthening state, local, tribal, territorial, individual and private sector preparedness by ensuring every state has a current, THIRA. Analysis of the</p>

	<p>THIRA results will guide future efforts by educating individuals, families, businesses, organizations, and executive leaders on the risks facing a community and on their roles in preparedness. To complement these efforts, FEMA is also providing training to individuals at all levels of government to better prepare for disasters, while ensuring orders for life-sustaining commodities and resources are delivered on time during emergencies. This Priority Goal contributed to achieving DHS’s Mission 5: Foster National Resilience.</p>
<p><b>Progress Update</b></p>	<p>In April 2012, FEMA published Comprehensive Preparedness Guide (CPG) 201: THIRA to provide a common approach for identifying and assessing risks, documenting associated impacts, and setting capability targets for the 31 core capabilities in the National Preparedness Goal (NPG). States and territories submitted their first THIRA on December 31, 2012. For the measure, “Percent of states and territories with a Threat and Hazard Identification and Risk Assessment (THIRA) that meets DHS guidance,” FEMA regional evaluators analyzed the extent to which THIRA submissions followed the step-by-step process in the guide. All 56 states and territories submitted THIRAs and FEMA determined that 48 of the 56 states and territories (86 percent) had THIRAs that met current DHS guidance. The target of 100 percent was not met due to several factors: DHS released CPG 201 in April 2012 and required the first submission in December 2012 and FEMA had not yet released four of the five National Planning Frameworks, which resulted in a limited understanding of the critical tasks associated with the core capabilities upon which states and territories were evaluating themselves.</p> <p>FEMA has now revised the THIRA guidance, provided a template and additional examples on how to complete the THIRA, and conducted technical assistance for states and territories with the aim of improving the next THIRA submissions from the states and territories due by December 31, 2013, which will be captured in FY2014 data. FEMA issued National Planning Frameworks for four out of the five preparedness mission areas addressed in Presidential Policy Directive-8 in May 2013, which provides states and territories with additional understanding of the core capabilities.</p> <p>The measure “Percent of high priority core planning capabilities rated as proficient by states and territories” is calculated from the results of the State Preparedness Reports (SPRs), an annual capability self-assessment submitted by states and territories to FEMA as a requirement of the Post-Katrina Emergency Management Reform Act (PKEMRA). The FY2012 result was 39.6 percent based on the SPRs submitted by December 31, 2011. The FY2013 result was 38.3 percent based on the SPRs submitted by December 31, 2012, which was lower than the target of 40 percent. The state and territory assessments of their planning capabilities decreased slightly because states and territories assessed themselves against a higher capability target in 2012 than they did in 2011. CPG 201, Second Edition: THIRA provided guidance on setting targets that are significant yet realistic. FEMA is helping states and territories improve planning through technical assistance and non-disaster preparedness grants, and states and territories will address the capability gaps documented in their SPRs through</p>

	<p>grant application investment justifications.</p> <p>FEMA provides training for federal, state, local, and tribal partners; the public and private sector; and non-governmental organizations. For the measure “Percent of attendees who are better prepared for disasters and emergencies as a result of training,” attendees reported in post-training surveys whether they are better prepared to deal with disasters and emergencies as a result of FEMA training. FEMA met the FY2012 and FY2013 targets of 96 percent, reporting end-of-year actuals of 96.42 percent and 96.6 percent, respectively. Data are obtained from evaluations sent to students at EMI approximately three months following the training course.</p> <p>FEMA also provided very responsive logistics support to disaster survivors over the last two years. This past year alone was especially challenging with the support requirements for Hurricane Sandy, and FEMA responded with almost 3,000 shipments in FY2013. These shipments rolled up into 434 orders of which 414 (95.4%) met the guidelines for delivery by the agreed upon date. In FY2012, FEMA met 247 of 266 orders by the agreed upon date (92.8%).</p>
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### FY 2014 – 2015 Agency Priority Goals

For the FY 2014 – 2015 APG’s, the Department has extended and revised the previous APG’s as they are still major priorities of the Administration. The tables below reflect the revised APG’s and results will be provided in next year’s Annual Performance Report and quarterly progress will be made available on [www.performance.gov](http://www.performance.gov).

<b><i>Agency Priority Goal 1: Strengthen Aviation Security Counterterrorism Capabilities and Improve the Passenger Experience by Using Intelligence Driven Information and Risk Based Decisions</i></b>	
<b>Goal Statement</b>	Strengthen aviation security counterterrorism capabilities and improve the passenger experience by using intelligence driven information and risk-based decisions. By September 30, 2015, TSA will expand the use of risk-based security initiatives to increase the percentage of travelers eligible for expedited screening at airports to 50 percent and enhance the passenger experience.
<b>Overview</b>	TSA performs and oversees security operations at the nation’s airports, screening over 650 million passengers annually, to ensure the freedom of movement of people and commerce. 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. Since 2011, the agency has implemented several risk-based initiatives including the TSA Pre✓™ expedited screening program; the nationwide implementation of modified screening protocols for passengers 12 and younger, passengers 75 and over, and active duty service members; expediting physical screening of Veterans on chartered Honor Flights; and providing modified screening to Wounded Warriors. A number of initiatives will further enable TSA to reach its goal of expanding expedited screening for known populations in order to focus

	<p>on those that are unknown including the development and deployment of the TSA Pre✓™ Application and TSA Risk Assessment programs; expansion of TSA Pre✓™ participation to international air carriers; continued expansion of the Known Crewmember program; and developing operational policies, procedures, and other activities such as the evolution of checkpoint screening technologies to support deployment of Risk Assessments that will grow the volume of passengers eligible for expedited screening.</p> <p>As of December 2013, on a weekly basis, more than 32 percent of passengers receive some form of expedited screening, and TSA expects to continue to grow that number. While driving the growth of eligible populations is key to the initiative’s long term success, TSA faces challenges in aligning, planning, and executing activities for incorporating these various populations. The success of achieving TSA’s risk-based security milestones is in many ways reliant upon external and internal partners that TSA continues to work with to mitigate these challenges.</p>
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***Agency Priority Goal 2: Enforcing and Administering our Immigration Laws through Prioritized Detention and Removal of Criminal Aliens***

<p><b>Goal Statement</b></p>	<p>Enforcing and administering our immigration laws through prioritized detention and removal of criminal aliens. By September 30, 2015, ICE will increase criminal alien removals, as a percentage of total removals, by 5 percent.</p>
<p><b>Overview</b></p>	<p>U.S. Immigration and Customs Enforcement (ICE) is committed to identifying, arresting, detaining, prosecuting, and removing aliens who present a danger to national security or are a risk to public safety, as well as those who otherwise undermine the integrity of our immigration laws and our border control efforts. These include, but are not limited to aliens engaged in or suspected of terrorism or espionage, violent criminals, felons and repeat offenders, and organized criminal gang members. Also critical to ICE enforcement priorities are recent illegal border crossers.</p> <p>This goal is a continuation of effort began in FY12 to increase efficiencies in the process of detaining and removing illegal aliens. The focus for the next two years will be to showcase ICE’s abilities to remove criminal aliens from the United States. These efforts include identifying and apprehending at-large criminal aliens, and expanding coverage in jails and prisons in order to identify and process removable incarcerated foreign-born detainees. Through the use of Secure Communities, ICE continues to work with the Federal Bureau of Investigation (FBI) to identify criminal aliens who have been booked into custody, without imposing new or additional requirements on state and local law enforcement. This is accomplished by checking fingerprints submitted to the FBI by the arresting law enforcement agency against the DHS immigration database to determine if the suspect has a criminal or immigration history, and/or is otherwise removable from the United States due to a criminal conviction.</p> <p>ICE has expanded the exercise of prosecutorial discretion through initiatives such as the case-by-case review, which improves efficiencies by identifying and</p>

	<p>eliminating low priority cases clogging the immigration system. The use of prosecutorial discretion also allows ICE to prioritize the use of its enforcement personnel, detention space, and removal assets to ensure that the aliens it removes represent, as much as reasonably possible, the agency's enforcement priorities, namely the promotion of national security, border security, public safety, and the integrity of the immigration system.</p>
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***Agency Priority Goal 3: Ensure Resilience to Disasters by Strengthening Disaster Preparedness and Response Capabilities***

<p><b>Goal Statement</b></p>	<p>Ensure resilience to disasters by strengthening disaster preparedness and response capabilities. By September 30, 2015, 39 states and territories will demonstrate improvement towards achieving their core capability targets established through their Threat and Hazards Identification and Risk Assessment (THIRA).</p>
<p><b>Overview</b></p>	<p>To enhance national preparedness and resilience, FEMA established the THIRA to provide a common approach for identifying and assessing risks and documenting their associated impacts. Developing an understanding of its risks from natural, technological, and human-caused threats and hazards allows a community to make informed decisions about how to manage risk and develop needed capabilities.</p> <p>In addition, states and territories assess their current capability and set targets for improvement for preventing, protecting against, mitigating, responding to, and recovering from these threats and hazards. FEMA expects states and territories to mature and demonstrate improvement towards achieving their capability targets over the next two years through their THIRAs.</p>

## Management Initiatives

This section discusses several of the FY 2013 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 following categories:

- Customer Service
- Human Capital Management
- Information Technology
- Acquisition Management
- Transformational Initiatives
- Sustainability
- Financial Stewardship

## Customer Service

### *Internal Customer Service Initiatives*

The Under Secretary for Management (USM) oversees the Management Directorate lines of business which provide essential services to the Department, including budget, appropriations, expenditure of funds, accounting and finance; procurement; security; human resources and personnel; information technology systems; and facilities, property, equipment, and other material resources. The Management Directorate is committed to continuously working to improve customer service to ensure that the business functions of the Department are effective and support the needs of the employees.

Efforts to improve customer service occur in a variety of forums, some of which include:

- **Management Service Delivery Council:** In January 2011, the USM established the Management Service Delivery Council to foster integration and communication among management service providers for the purpose of improving customer service. The Council is comprised of service provider directors from all business functions and convenes frequently to collaborate on ways to increase efficiency and effectiveness of services, coordinate efforts to resolve common problems, and develop strategic goals for enhanced service delivery.
- **HQ Mission Support Services:** The USM is working to establish a Headquarters Mission Support Services Center that unifies the delivery of services and back office functions necessary for DHS to operate efficiently. Examples of mission support services include mail management, enterprise IT services, facility maintenance, payroll services, and help desk/call centers. By centralizing mission support services under a single management structure, mission support will be delivered more effectively by having a single accountable official for quality, timely, and cost-effective service delivery.
- **Customer-centric Website:** The internal DHS Management website is being redesigned to be more intuitive and customer-focused. Customer service data was used to determine the services most frequently requested by employees, so that those services could be featured most prominently on the site. The new site design will also be more conducive to navigating from a mobile device.

In FY 2013, the management service providers enhanced their efforts by developing metrics to measure customer service. These measures help the service providers see how well they are

delivering service in comparison with their goals and identify areas in need of improvement. In FY 2014, these performance measures will be reviewed and posted quarterly to ensure that the Management Directorate is meeting targets, resolving any issues, and making improvements.

### *Air Passenger Screening Customer Service Initiatives*

TSA performs and oversees security operations at the nation's airports, screening more than 640 million passengers annually, to ensure the freedom of movement of people and commerce. In an effort to strengthen aviation security while enhancing the passenger experience, TSA is focusing on risk-based, intelligence-driven security procedures, as well as initiatives to enhance its use of technology thereby lessening the burden on the flying public. By analyzing available data and information currently provided by the traveler and combining that information with our multi-layered system of aviation security, TSA can better focus limited resources on higher-risk and unknown passengers.

TSA has taken several steps to improve customer satisfaction while maintaining a strong security posture. These steps include, but are not limited to:

- **TSA Traveler's Guide:** TSA prepared the TSA Traveler's Guide to help ensure passengers have the answers they need to common security screening questions. The TSA website also assists travelers by providing information and helpful travel links to topics such as: Secure Flight Program; Special Assistance; Traveling with Children; Baggage Locks; and Prohibited Items.
- **Mobile Device Applications:** In FY 2013, TSA upgraded the "My TSA" mobile application which provides 24/7 access to information that passengers frequently request from TSA. Using this application can save passengers time and money by sharing helpful tips to prepare for the security process before getting to the airport.
- **Expedited Screening:** In FY 2013, TSA expanded the number of airports with expedited screening benefits through the TSA Pre✓™ program to more than 40 and expanded to more than 100 airports by the end of calendar year 2013 on nine major U.S. airlines. This program allows eligible frequent flyers of participating airlines and members of U.S. Customs and Border Protection's Trusted Traveler programs to receive expedited screening benefits. In FY 2013, 17.2 million passengers underwent TSA Pre✓™ expedited screening and TSA has already achieved its goal of 25 percent of the 1.8 million daily travelers being eligible for expedited physical screening by the end of calendar year 2013.
- **Traveler Redress Inquiry Program (TRIP):** In FY 2013, the DHS TRIP program implemented a new online application form that makes it easier for customers to apply for redress. The paper-based application is also undergoing revision and will be released in the coming months. Facilitating customer interface with DHS TRIP enables TSA to gather better data which can then translate into faster case closure rates.
- **TSA Contact Center (TCC):** In the past year, TCC has expanded the hours of live agent assistance to better serve the needs of the traveling public. In addition, in January, TCC added a Multilingual Interactive Voice Response which provides basic travel information in 10 different languages.

Considering the success of TSA Pre✓™ from both a security viewpoint and the positive effect on passenger wait times, one of TSA's primary objectives in the near term is to continue growing the population of eligible travelers in locations where TSA Pre✓™ is already operational.

### ***Ports of Entry Customer Service Initiatives***

U.S. Customs and Border Protection (CBP) is one of DHS's largest Components, with a priority mission of keeping terrorists and their weapons out of the United States. It also has responsibility for securing the border and facilitating lawful international trade and travel while enforcing hundreds of U.S. laws and regulations, including immigration and drug laws. CBP works diligently with federal, state, local, tribal, territorial, and international partners to strengthen border security and effectively manage growing volumes of trade and travel that are vital to our nation's economy.

On an average day CBP processes nearly one million passengers and pedestrians, more than 250,000 privately-owned vehicles, and more than 65,000 truck, rail, and sea containers. This effort is accomplished with more than 60,000 employees at 328 ports of entry and 139 Border Patrol stations.

CBP faces substantial challenges in managing the security and facilitation aspects of its travel and trade mission and must be ever mindful of the direct impact on the traveling public and the trade community, such as wait times to enter the country and record increases in the volume of passengers and cargo entering the U.S. CBP has developed several initiatives to address these concerns and to make its processes efficient and effective, including:

- **Trusted Traveler Programs:** CBP's Trusted Traveler Programs provide expedited entry into the U.S. for pre-approved, low risk travelers through dedicated lanes and kiosks. To become a member of one of these programs, travelers must submit an application, undergo a background check, and participate in a face-to-face interview with a CBP Officer.
  - NEXUS, which has more than 900,000 members, facilitates the entry of travelers at designated ports of entry on the U.S.-Canadian border, at kiosks at Canadian preclearance airports, and at marine reporting locations.
  - SENTRI, or Secure Electronic Network for Travelers Rapid Inspection, has more than 357,000 members who use dedicated commuter lanes to expedite crossings into the U.S. from Mexico.
  - Global Entry, which has enrolled nearly 935,000 people, allows participants to bypass the passport control lines at airports by using automated kiosks. Global Entry currently has 38 enrollment centers with plans to add 4 additional centers in FY 2014.
- **Electronic System for Travel Authorization (ESTA):** ESTA is an automated system that determines the eligibility of visitors to travel to the U.S. under the Visa Waiver Program (VWP). By determining their eligibility for VWP travel *prior* to arrival in the U.S., CBP has greatly reduced the number of people denied entry and subsequently deported to their country of citizenship, saving time and money for both travelers and the government. CBP has received over 61 million applications through ESTA.
- **Know Before You Go:** A website devoted to information travelers should be aware of regarding customs and immigration regulations, and the rules for bringing items into the U.S. from abroad. The "Know Before You Go" website covers everything from currency

reporting requirements to the kinds of food and souvenir materials travelers are permitted to transport through U.S. land, air, and sea ports of entry.

- **Automated Passport Control (APC):** APC is a key component of CBP's Resource Optimization Strategy designed to decrease passenger wait times for U.S. citizens at international airports. CBP opened the country's first APC at the Chicago O'Hare International Airport in June 2013. In just two months, CBP saw a 40 percent decrease in wait times for U.S. citizens using the APC kiosks, with more than 60 percent of eligible travelers using the 32 available kiosks. The average wait time for all international travelers during peak hours was cut by 33 percent.
- **CBP INFO Center:** A website portal to a searchable knowledge base of Frequently Asked Questions (or Questions and Answers) relating to CBP requirements and procedures. The self-service option, which allows travelers and importers 24x7 access to commonly – and not so commonly – asked questions was viewed over 8 million times since 2012. More than 98 percent of visitors to the web site were satisfied with the automated service, with only two percent going on to submit requests for personal assistance with their inquiries. By making compliance information readily available to the public, travelers were better prepared for their inspections, thus enabling a more efficient entry process.

The primary concern of importers/exporters is to avoid costly delays in the release of goods from CBP. Safely facilitating the entry of thousands of tons of cargo each day, while ensuring security, continues to be a challenge. To accomplish this, CBP has developed several initiatives:

- **Customs-Trade Partnership Against Terrorism (C-TPAT):** CBP's C-TPAT program enables CBP to facilitate legitimate trade while focusing law enforcement resources on shipments from unknown or high-risk entities. This improves security, while focusing inspection resources more effectively, and expedites cargo processing for importers who meet certain security standards.
- **Automated Commercial Environment (ACE):** ACE is CBP's system through which the international trade community submits import and export information and various government agencies, among other things, determine admissibility. Recent improvements have streamlined operations to allow for faster review and release of cargo, elimination of most paper processing, and has reduced cost through electronic processing.
- **Container Security Initiative (CSI):** Through CSI, CBP works with host countries' customs administrations to establish security criteria for identifying high-risk cargo containers. Those administrations use non-intrusive inspection technologies to scan high-risk containers before they are shipped to U.S. ports of entry.
- **Centers of Excellence and Expertise (CEEs):** CBP has established virtual industry-specific organizations that leverage technology and bring existing expertise together to facilitate trade through effective risk segmentation. CEEs provide a single point of account-based processing for participating importers in various commercial industrial sectors ranging from automotive and aerospace to electronics to pharmaceuticals.

Through a series of Business Transformation Initiatives, CBP is embracing new technologies including forms automation, state-of-the-art scheduling software and self-service kiosks to enhance security, reduce waiting times, and improve the traveler experience. These innovations allow CBP Officers to focus less on administrative tasks and more on critical law enforcement operations.

Finally, CBP is also exploring additional public-private partnership opportunities to meet the increasing demands of travel and trade stakeholders by supporting requests for new or expanded services under reimbursable fee agreements.

### ***Disaster Assistance Customer Service Initiatives***

The Federal Emergency Management Agency (FEMA) coordinates the Federal Government's role in preparing for, preventing, mitigating the effects of, responding to, and recovering from all domestic disasters, including natural disasters and acts of terror. FEMA strengthens the resilience of the nation in the wake of a disaster, and serves survivors by providing disaster assistance such as grants to repair homes, temporary rental assistance, and reimbursement for damaged property.

To ensure that disaster survivors have timely information and access to disaster assistance, FEMA is working to disseminate information and connect with communities in a variety of ways to improve customer satisfaction:

- **Social Media Updates:** In FY 2013, FEMA expanded its use of social media to communicate with disaster survivors by utilizing Twitter, Facebook, and [Blog.FEMA.gov](http://Blog.FEMA.gov) to regularly provide updates on emerging weather events and preparedness tips that encourage citizens to make a plan and gather emergency supplies.
- **Mobile Device Applications:** The "FEMA App" contains disaster safety tips, an interactive emergency kit list, emergency meeting location information, a map with open shelters, and open FEMA Disaster Recovery Centers. In July, FEMA launched the *Disaster Reporter* feature to allow survivors to take and submit photo reports of disasters so they can be displayed on a public map for others to view.
- **On-Scene Survivor Assistance:** Newly implemented Disaster Survivor Assistance Teams have been deployed in recent disasters, reaching out to people in their homes and communities, and helping survivors register for FEMA assistance. These teams are using computer tablets to register people as quickly as possible after the event, as well as to record any unmet needs that affected individuals or communities are experiencing. The teams then provide referrals to other agencies and organizations that may be able to help address a survivor's unmet needs. These teams were deployed in FY 2013 including the tornadoes in Central Oklahoma, the explosion in West, Texas, and for severe flooding in Illinois and Alaska. Initial feedback from our state and local partners has indicated the value of meeting survivors in their homes and communities.
- **One Stop Shop:** Disaster Recovery Centers (DRCs) are a one stop shop where survivors can obtain information about FEMA or other disaster assistance programs or for questions related to their case. DRCs now have standardized signage to improve the flow of services readily available to survivors and feather flags are now being used to improve public awareness about DRCs. Internal reports have been simplified to allow DRC staff to focus on providing survivor services and DRCs have partnered with FEMA's Office of Disability Integration to better serve survivors who have accessibility and functional needs. All these improvements were implemented in FY 2013.
- **Phone and Online Disaster Assistance Applications:** Following a new disaster declaration, FEMA's three National Processing Service Centers adjust their hours to ensure there is coverage to assist disaster survivors who call to register for assistance. The centers provide professional services for disaster survivors and ensure correct processing of

customers' applications. [DisasterAssistance.gov](http://DisasterAssistance.gov) is a one-stop, online resource for information on how individuals can get assistance from 17 government agencies before, during, and after a disaster, thereby reducing the number of forms needed to apply for assistance. Survivors now have the ability to receive electronic correspondence through their FEMA Disaster Assistance Center account and can electronically upload supporting documentation to speed processing. In addition, FEMA has released a mobile version of DisasterAssistance.gov so disaster survivors can register for assistance using a smartphone or tablet.

### *U.S. Citizenship and Immigration Services (USCIS) Customer Service Initiatives*

U.S. Citizenship and Immigration Services (USCIS) secures America's promise as a Nation of immigrants by providing accurate and useful information to our customers, granting immigration and citizenship benefits, promoting an awareness and understanding of citizenship, and ensuring the integrity of our immigration system.

On an average day, USCIS completes 23,000 applications for various immigration benefits, welcomes 3,200 new citizens, answers 44,000 phone calls, serves 9,500 customers at 84 local offices, fingerprints and photographs 15,000 applicants at 136 application support centers, conducts 148,000 national security background checks, and processes 2,040 petitions filed by employers to bring workers to the United States.

USCIS has a rich customer-centric business model to provide the services and benefits to the range of customers served by the Agency, including immigrants seeking to enter the country and those already here legally; employers who use the E-Verify program to determine employment eligibility for new employees; and federal, state, and local government agencies that confirm immigration status using the Systematic Alien Verification for Entitlements (SAVE) program before issuing public benefits. Below are a few of USCIS's efforts to improve the customer experience through various Agency interactions:

- **Redesigned Web Site:** Debuting in early FY 2014, the new and improved USCIS Web site offers a simplified and streamlined approach to Web design and incorporates current Web best practices while introducing a new content management system that will improve functionality. The USCIS website also hosts E-Verify Listens, a feature that allows E-Verify users to post suggestions and vote on ideas for improving the program. In FY 2013, we enhanced the USCIS website by providing [SAVE](#) and [E-Verify](#) search tools that give the public the ability to view employers and agencies currently enrolled in SAVE and E-Verify. Additionally, USCIS will improve the user experience of its online Change of Address and Case Status systems to make it easier for customers to update their address and find the latest information about their case.
- **Online Case Status Services for SAVE Applicants and E-Verify Employees:** The SAVE program offers Case Check—a feature that allows benefit applicants to obtain information on the status of their case after applying for a public benefit or license at government agencies. E-Verify Self Check allows U.S. employees to check their employment eligibility in the United States before beginning a new job.
- **Employee Rights Toolkit:** In FY 2013, USCIS released the E-Verify Employee Rights Toolkit for workers and worker advocates. This toolkit compiles a variety of educational

materials such as employee rights videos, informative fliers, brochures, and posters. It also contains information about USCIS Multilingual Engagements and guidance on avoiding immigration scams, or the unauthorized practice of immigration law.

- **National Customer Service Center (NCSC):** Through the NCSC, USCIS provides nationwide telephone assistance to customers calling from within the United States about immigration services and benefits. Service is available in English and Spanish. Over the course of the next fiscal year, the NCSC will implement significant improvements to how customers interact with the Agency, including Web chat and email, and the following near-term enhancements:
  - **Customer Contact Center (CCC)** – USCIS launched a new office that will offer customers the ability to converse with USCIS officers electronically. The CCC will be staffed with Agency-trained adjudicators able to access all USCIS systems and respond to customer questions.
  - **Voice Call Back (VCB)** – The USCIS call centers receive more than 1 million calls per month, which can result in significant wait times to get to live assistance. To help lessen the burden on the caller, USCIS has implemented VCB. Now when a customer calls and there is a lengthy wait for live assistance, the caller is offered the VCB option. VCB allows the caller to hang up and go about their business, and VCB will call the customer back without losing their place in line when there is an officer available to assist.
- **Outreach:** USCIS holds a variety of external stakeholder events to share information and obtain feedback on USCIS programs and policies. In FY 2013, USCIS has hosted 104 national engagements and 3,286 local engagements, reaching over 1,014,000 individuals. The E-Verify program also holds interactive webinars with the employer and employee communities and held 627 live webinars in FY 2013.
- **USCIS Electronic Immigration System (ELIS):** USCIS continues to modernize the process for filing and adjudicating immigration benefits. Using USCIS ELIS, the Agency will change from a paper-based environment for adjudicating benefit applications to an electronic one. Iterative releases will add form types and functions to the system, gradually expanding to cover filing and adjudication for all USCIS immigration benefits.

## Human Capital Management

The Office of the Chief Human Capital Officer (OCHCO) continued to strengthen the human capital line of business throughout FY 2013 with regular meetings and communications with the Human Capital Leadership Council (made up of the Human resource (HR) leadership of each operational Component). In addition to providing direction on immediate priorities such as contingency planning related to lapses in appropriations, and the standup of a new Cyber Skills Management Support Initiative, OCHCO used the DHS Workforce Strategy 2011-2016 as a framework for a collaborative approach to managing the discussion and implementation of cross-cutting human capital strategic priorities.

Sample accomplishments for FY 2013, as well as plans for FY 2014, follow below, organized by the four goals of the DHS Workforce Strategy.

**Goal 1: Build an effective, mission-focused, diverse and inspiring cadre of leaders.**

- DHS continued to strengthen and streamline the DHS-wide SES Candidate Development Program; 2,221 employees applied for the second cohort, and DHS oriented a cohort of 35 selectees in July of 2013.
- DHS continued to build out the five-tiered DHS Leader Development Framework in FY 2013, beyond the Capstone (executive level) and Cornerstone (supervisory level) tiers that were launched in FY 2012. Cross-Component design is ongoing for the Team Member and Team Lead tiers, with pilots expected across the Department in Q4 of FY 2014.
- ICE and USCIS have developed succession planning frameworks focused on building the pipeline to fill leadership positions that address competency gaps as well as generational and aspiration differences for all leaders and that incorporate both past performance and future potential.
- CBP conducted 15 SES resume workshops for GS-14 and 15 employees. The Workshops covered topics such as strategic leadership, the SES resume-based recruitment process, Executive Core Qualifications, and how to prepare resumes and apply for executive positions. The workshops reached a diverse pool of employees at headquarters and in field locations including Buffalo, Chicago, Detroit, Indianapolis, Laredo/Pharr, Los Angeles, Miami, New York, San Diego, and Seattle.
- In FY 2014, DHS plans to begin training the SES workforce on the new Federal Government-wide SES Performance Management System, in preparation for the transition to the new system at the beginning of FY 2015.

**Goal 2: Recruit and build a highly qualified and diverse workforce.**

- DHS's Veterans Employment Council, Diversity and Inclusion Council, and Corporate Recruiting Council led efforts to improve workforce diversity, with special emphasis on veterans, women, minorities and persons with disabilities, particularly in senior leadership roles. DHS's FY 2013 Q3 results for veterans and disabled veterans hiring were the best ever for DHS.
- DHS launched a Cyber Skills Management Support Initiative, focused on five areas: hiring, testing, and training to standards; growing and expanding the pipeline for talent; strategically managing the workforce; aligning procurement and contracting for cyber-security services; and creating a Cyber Surge Capacity Force.
- USCIS instituted a significantly ramped up recruitment, hiring, and training effort to meet the requirements of the Deferred Actions for Childhood Arrivals initiative. USCIS hired 1,800 new employees in a short period of time, and piloted the required training at their service center in Missouri. Evaluations of this hiring and training push seem positive, and the pass rates have been higher than for the typical-sized classes.
- TSA holds a monthly roundtable with human capital and equal employment opportunity counterparts to strengthen partnerships and to discuss topics such as barrier analysis as an aspect of strategic workforce planning. The intent is to bring diversity to the front end of planning. TSA was recently recognized by the Black EOE Journal as being a best practice in the area of diversity.
- CBP completed a comprehensive job analysis study of its GS-0401 Agriculture Specialist occupation from entry-level to GS-13, which will be used to create additional assessments

and tests for selection as well for enhancing training during pre-Academy, Academy, and post-Academy contexts.

- In FY 2014, DHS will develop workforce plans for select DHS priority mission critical occupations (MCOs) by implementing the recently updated DHS Workforce Planning Guide.
- In FY 2014, DHS will focus on recruitment for MCOs as well as efforts to recruit women in law enforcement occupations, an area identified by GAO as a high risk element.

### **Goal 3: Retain an engaged workforce.**

- In FY 2013, DHS awarded a Blanket Purchase Agreement for a Department-wide Workers Medical Case Management System, which will provide nurses services for Workers Compensation. DHS will also continue deployment of an Enterprise Talent Management System (ETMS). DHS projects cost avoidances of \$125 million through FY 2018 if ETMS and Workers Medical Case Management are fully implemented.
- DHS is executing an Employee Engagement Action Plan that incorporates a variety of initiatives, including employee engagement and leader development performance objectives for SES, and monthly action plan updates.
- USSS developed a mentoring program that it is sharing with other groups, which includes eight hours of training for the mentors and a mid-point check-in and survey.
- FEMA contracted with OPM to administer the Federal Employee Viewpoint Survey (FEVS) to their Stafford Act employees (their reservists) because they are such a significant portion of the workforce that is not required by statute to complete the FEVS.
- The USCG Work-Life Office recently released the Health, Safety, and Work-Life Mobile App for iOS and Android operating systems. This app contains information about the quality of life resources available for USCG military and civilian personnel, family members, and retirees, including CG SUPRT. CG SUPRT received an award from the U.S. Employee Assistance Society of North America last year for being the best Employee Assistance Program in the U.S.
- ICE used a statistical analysis of the 2012 FEVS data to: determine drivers of overall employee morale by sub-component; conduct focus groups to discover root causes and potential solutions; and prioritize the top three actions that a newly formed executive steering committee is currently pursuing.
- CBP developed an automated Action Planning Tool, which will enable CBP program offices to submit, update, and track their human capital and employee engagement action planning.

### **Goal 4: Solidify a unified DHS culture of mission performance, adaptability, accountability, equity and results through linking overall priorities, strategy, risk and investments.**

- DHS launched the Competency Assessment Pilot to assess capability gaps in select segments of the DHS workforce.
- DHS began a systematic effort to improve human capital data management, to ensure consistency in internal and external human capital reporting, and to ensure human capital data supports workforce planning decisions and senior leadership decision making.
- DHS completed development and implementation of an enhanced Balanced Workforce Assessment Tool for Department-wide use to ensure compliance with law, regulations, and relevant policy.

- CBP further reengineered frontline hiring processes to lower CBP costs without compromising process integrity.
- ICE instituted a quality assurance program that takes an ongoing and consistent approach to making sure employees self-verify key information, such as veteran's status, and also provides ongoing feedback to the service centers.
- In FY 2014, DHS will refine a human capital dashboard to improve data availability and reliability and analyze information requests to improve responsiveness and decision-making.
- In FY 2014, DHS will award the contract for the Department-wide Workers Medical Case Management System, which will provide nurses services for Workers Compensation, and will also continue deployment of the ETMS.

The tight budget, sequestration scenarios, and pay freezes suggest that hiring, training, and employee morale (as measured by the Federal Employee Viewpoint Survey) will remain near-term challenges for the human capital line of business at DHS. Nonetheless, the Human Capital Leadership Council has identified a targeted number of additional areas to focus on in the coming year to bolster the human capital line of business in the face of reduced resources, including: strengthening the HR workforce; developing a three-to-five year strategic plan for HR and HR information technology capabilities; developing common strategies for handling administratively uncontrollable overtime; and enhancing data management across the human capital enterprise.

## Information Technology

### *Information Management*

The Department continues to enhance its Information Technology (IT) and management practices through implementation of administration priorities.

The Office of the Chief Information Officer (OCIO) is driving consolidation of commodity IT, in particular IT infrastructure, consistent with OMB's PortfolioStat and *25 Point Implementation Plan to Reform Federal Information Technology Management*. The recent revolution in technology and the business of technology delivery provides opportunities for the Federal Government to rapidly respond to increased IT demands, have flexibility for scaling capacity, and provide an economical "pay-as-you-go" business approach to IT service delivery. OCIO is putting the foundation in place for commodity IT services, as outlined by OMB Memo, Chief Information Officers Authorities, August 2011. OCIO's strategy aligns with the four National Institute of Standards and Technology (NIST) deployment models for clouds: Private, Public, Community, and Hybrid including the three service models (Software as a Service, Platform as a Service, and Infrastructure as a Service). DHS is working closely with industry and federal agencies to construct a cloud model that will enable DHS Components and customers to move quickly to the appropriate service(s) for their business and mission needs. In support of this new strategy and approach, OCIO will:

- Leverage enterprise-wide and managed services to improve service quality and reduce unit cost(s);
- Use existing General Services Administration (GSA) acquisition vehicles for commodity purchases while reducing inventory storage and transportation costs;
- Optimize use of existing infrastructure and emerging capabilities;

- Build in financial incentives to manage consumption; and
- Modify acquisition processes to accommodate this new model.

DHS IT infrastructure investments are critical to providing a foundation by which information can be disseminated across all DHS Components (including external customers and intelligence partners). Through execution of these investments, collaboration barriers within and across DHS Components are reduced and operations are more efficient. DHS has made significant progress executing its enterprise-wide transition toward developing, implementing, and managing cross-organizational efforts.

DHS has implemented a tiered governance structure and is developing and utilizing a set of processes to evaluate programs and portfolios. DHS has identified functional portfolios (as defined by its Enterprise Architecture) to support strategic, mission, and tactical delivery of IT programs. DHS is integrating governance with the budget planning process, mitigating risks, monitoring progress, identifying opportunities for increased efficiency, and implementing standardized governance processes across the Department. Increased efficiencies will be achieved by eliminating duplicate functions and systems, rationalizing applications, moving to enterprise commodity IT services where appropriate, and optimizing the acquisition process through tailoring and agile development, and increasing program accountability for on-time and on budget delivery of the capabilities needed to support Department missions.

DHS has a mandatory compliance directive and instruction regarding strategic sourcing which identifies the policy for developing and using DHS strategic sourcing contract vehicles. If a Component has a need that can be met through a strategically sourced contract vehicle, the Component will be required to use that vehicle rather than award a Component specific contract. Limited exceptions and a formal waiver process are available.

Within the OCIO, the Office of the Chief Information Security Officer has made great strides in securing our IT infrastructure. Our Defense-in-Depth strategy ensures advanced security operations of the two Enterprise Data Centers, including Policy Enforcement Points and Trusted Internet Connections. Comprehensive monitoring by the DHS Security Operations Center strengthens and matures our cyber defense by proactively stopping and capturing malicious code while conforming to NIST guidance and complying with the *Federal Information Security Management Act of 2002* (FISMA). The OCIO has incorporated the Cybersecurity Cross Agency Priority goals into the DHS FY 2013 Executive FISMA Scorecard in order to measure internal progress on meeting DHS's goals. DHS currently employs a federated continuous monitoring solution within the Department and is working with NPPD to adopt an enterprise-wide solution via the Continuous Diagnostics and Mitigation (CDM) program. DHS is also preparing for the adoption of EINSTEIN 3 Accelerated with a target implementation date of July 2014 dependent on telecommunications vendor negotiations.

The Department of Homeland Security's information resources management is an integral part of the Department's plans for mission accomplishment. An Information Resources Management (IRM) Strategic Plan has been developed. The IRM and the accompanying Information Technology Roadmap describes the multiple approaches used by DHS to manage its information resources and to ensure that its management is embedded with financial, human resources, budget, and organizational planning.

## ***Cross-Management Business Intelligence Initiative***

DHS is working to strengthen and integrate its financial, acquisition, human capital, contracting, asset, and security data and analysis systems to support decision making, planning and reporting. Specifically, the Management Directorate is developing business intelligence capabilities to:

- Enhance access to key financial and programmatic data across organizations;
- Consolidate real property, asset, and sustainability data to empower portfolio-level analysis;
- Provide indicators of acquisition health that are data-driven and risk-informed;
- Improve human capital management information availability;
- Standardize data to meet internal and external reporting requirements; and
- Reduce the burden on program and project managers to respond to duplicative, overlapping data calls, while increasing the accuracy of program data.

In 2012, the USM chartered a Management Directorate Dashboard ESC to oversee this effort. The ESC and its subgroups have:

- Established a single access point for financial, acquisition, workforce and real property reporting and business intelligence tools;
- Developed standard definitions for 61 common management terms for the DHS Lexicon;
- Completed a proof of concept for building cross Management Directorate views of business information; and
- Defined six integration dimensions (who, what, where, when, why, how) for aligning business data.

In Fiscal Year 2014, the Management (MGMT) Dashboard ESC is focused on building an information technology tool that will allow users to access integrated data, build models, and run reports to answer Department-wide business questions. This tool is called the MGMT Cube. The first release of the MGMT Cube is planned for January 2014.

## **Acquisition Management**

### ***Program Accountability and Risk Management***

The Department continues to enhance its acquisition oversight by managing and minimizing risk, encouraging fiscal responsibility, and improving execution across the entire acquisition lifecycle. The Office of Program Accountability and Risk Management (PARM) plays a major role as it is responsible for developing and executing a number of initiatives to improve acquisition oversight within the department.

During FY 2013, PARM improved oversight and certification of acquisition and program management (PM) experts by updating monthly reporting procedures. These updated procedures ensure Major Acquisition Oversight List<sup>1</sup> Program Managers are certified at the appropriate level

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<sup>1</sup> The Major Acquisition Oversight List includes: Acquisition programs with a Life Cycle Cost Estimate (LCCE) exceeding \$1 billion or services programs with an annual expenditure level exceeding \$1 billion are designated as Level 1 programs; Acquisition programs with a

and comply with PM certification policy. The PM certification compliance rate achieved 80 percent in FY 2013 for DHS overall, with CBP, S&T, TSA, and USSS achieving 100 percent compliance. In the coming fiscal year, PARM will strive to increase the overall program manager certification compliance rate to 85 percent. In addition, the Department initiated an effort to design a program manager office staff estimation model using baseline DHS staffing data and PM best practices to further enhance acquisition and program management expertise. Program manager performance expectations will be standardized to support performance monitoring and evaluation, and address certification revocations and removal.

PARM's enhanced business intelligence tools increased access to reliable investment data and analysis and improved reporting during FY 2013. PARM developed and deployed two additional business intelligence Decision Support Tool dashboards, which track acquisition document compliance for Acquisition Review Boards and provide key data and status on DHS's programs and portfolios. This data ensured the second annual Comprehensive Acquisition Status Report was delivered with the FY 2014 budget submission and provided inputs for all three quarterly updates required by Congress. In addition, PARM published analytical results for three Quarterly Program Accountability Reports, which provide strategic analysis of all Major Programs. These results will be used to identify positive and negative program performance trends. Also, PARM will improve business intelligence efforts including automation of the acquisition review process to improve timeliness and increase efficiency of governance processes.

The Centers of Excellence (COE) will continue to mature and develop their support capabilities in the year. COEs will develop guidance, tools, and templates for scheduling, program, and risk management plans. In conjunction with the CFO, the Cost Estimating and Analysis (CE&A) COE plans to develop and begin implementing a joint process to support affordability analysis at acquisition and resource decision events using Life Cycle Cost Estimates (LCCE) as major inputs. Through the Program Management COE, DHS will develop a scheduling guidebook and best practices, in support of Management Directive (MD) 102-01 updates. Additionally, PARM plans to identify and develop a standardized program scheduling tool for program managers. As the practice of cost estimating continues to mature within DHS, the FY 2014 goal is to have 75 percent of Level 1 Major Acquisition Programs in the obtain phase with approved LCCEs. Through the support and efforts of the CE&A COE, and in collaboration with the Component acquisition community, an additional eight LCCEs for major acquisition programs received DHS headquarters-level approval.

To improve acquisition governance processes, PARM standardized the Acquisition Decision Event (ADE) process by publishing MD 102-01, Revision 02. Since MD102-01's publication in October 2012, 100 percent of programs receiving ADE approval have had MD 102-01 required acquisition documentation approved prior to ADE approval. PARM will update all applicable management directives, instructions, and other implementing documents to incorporate changes identified through lessons learned and changes in acquisition strategy, and engage the appropriate Component and Departmental entities throughout the acquisition life cycle. Finally, PARM will continue to streamline and standardize the Component Acquisition Executive structure and establish performance metrics to improve Component governance capabilities.

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LCCE exceeding \$300 million or services programs with an annual expenditure level exceeding \$100 million are designated as Level 2 programs; Special interest programs, without regard to the established dollar thresholds, may be designated as Level 1 or Level 2 programs; and Level 3 IT programs required to submit an Office of Management and Budget Exhibit 300.

## Transformational Initiative

### *Integrated Investment Life Cycle Management (IILCM) and Strengthening Departmental Unity of Effort*

IILCM is a transformational concept to integrate all phases of the Department's \$60 billion budget and investment management process. The framework provides critical linkages between Strategy, Capabilities and Requirements, Programming and Budgeting, and Investment Oversight phases to ensure the effective execution of federal funds to support strategic priorities. Through this model, senior-level decision-makers will be brought together in common portfolio teams commissioned by the Secretary. Portfolios are composed of stakeholders from all directorates, Components, and offices within DHS to prioritize, align and measure progress of investments throughout the planning, programming and execution phases to assess progress against mission needs.

In February 2013, Secretary Napolitano signed Policy Directive 259-00 establishing IILCM as the framework to guide management of critical investments. The Secretary also identified three portfolios—Screening and Vetting, Homeland Biosecurity, and Cybersecurity—to pilot elements of IILCM to inform a portion of the FY 2015 budget cycle. These pilots are part of a five-part action plan being executed by the IILCM ESC, chaired by the Under Secretary for Management, to adapt and codify the IILCM framework. The five actions were:

1. Pilot elements of the IILCM framework using the Screening and Vetting, Homeland Biosecurity and Cybersecurity Portfolios;
2. Establish Headquarters infrastructure to manage IILCM in the future;
3. Enhance and integrate business intelligence capability to inform decisions;
4. Implement a Department wide communications strategy; and
5. Expand and deepen IILCM official policy and procedural guidance (e.g., directive and instruction).

The pilots began integrating the existing efforts, such as the Quadrennial Homeland Security Review, the *Blueprint for a Secure Cyber Future*, and the Common Vetting Task Force, to test aspects of the IILCM framework.

Shortly after assuming the leadership role of DHS, Secretary Johnson reinforced and expanded the IILCM pilot when he directed, in April 2014, the Department's "Strengthening Unity of Effort" initiative. The pilot study underscored the need to further strengthen all elements of the PPBE process, particularly the upfront development of strategy, planning, and joint requirements. In response, the initiative capitalizes on existing structures and creates new capability, including a DHS Joint Requirements Council and enhanced program and budget review process, to further strengthen linkages between the interrelated PPBE elements and to institutionalize improvements to support DHS's primary objective: the effective execution of its missions.

## Sustainability

DHS continues to ensure that its operations are carried out in a manner that is both environmentally and fiscally sound. 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. Sustainable practices conserve energy and natural resources, reduce pollution and contamination releases, enhance the workplace through reduced exposure to hazardous materials and chemicals, and strengthen national security by encouraging energy independence.

DHS incorporates sustainable building characteristics into new real estate investments, while the DHS "Revised Real Property Cost Savings and Innovation Plan" includes detailed cost savings and avoidances in operating expenses, energy reduction, sales proceeds from disposals, and space cost reductions from flexible workplace strategies. The most significant cost savings will be realized by making the workforce more mobile, which should diminish greenhouse gas emission by reduced commuting, less inter-office travel, and smaller real estate footprints.

DHS continues to look for opportunities to leverage performance-based contracts that will provide energy security and cost savings. The Department implemented strategic-sourcing contracts to ensure the purchase of energy efficient electronics and recycled materials.

In FY 2012, DHS established a fleet management plan, recognized by GSA as a best practice, to strategically move toward achieving a properly scaled, fuel efficient, low emission, alternate fuel vehicle fleet based on an individual vehicle inventory and performance metrics. Federal scorecard results also show that DHS reduced its energy consumption and potable water use.

In FY 2013<sup>2</sup>, DHS achieved the following:

- Reduced scope 1&2 greenhouse gas emissions by 7.3% and scope 3 emissions by 26.9%;
- Reduced 371 vehicles from the fleet inventory;
- Realized a 7.5% electricity usage from renewable energy sources;
- Used conservation initiatives at facilities across DHS to reduce the potable water intensity by 14.1%;
- Collaborated with the Office of the Chief Information Officer to enable energy savings features on 100% of eligible computers; and
- Executed \$48M in performance-based contracting to further reduce energy usage and cost.

In FY 2013, the DHS Sustainable Practices Awards program had eight winners. One winner auctioned off 6,400 pounds of spent brass bullet cartridges creating revenue of \$25,600 through GSAXcess; sent non-repairable firearms and scrap metal to a local steel foundry where the dismantled



<sup>2</sup> FY 2013 measure reports reflect FY 2012 actual results.

firearm pieces were recycled into railcar wheels; and, recycled 7,000 pounds of steel from firearms and other scrap metal.

**A Link to Affordable Readiness:** In the face of sustained, downward budget pressure, DHS is improving and delivering mission support more affordably by integrating and rationalizing support systems, processes, and services across Components. The DHS Sustainability Program is an important contributor to DHS's overarching Affordable Readiness program. Affordable Readiness is defined as "the optimal balance between effectiveness and dollar efficiency at a level that meets mission requirements." The pillars of Affordable Readiness are:

- Shared Services: Centralize back-office operations that are used by multiple Components of DHS and eliminate redundancy;
- Common Business Practices: Establish standard, disciplined and repeatable support processes across DHS;
- Total Asset Visibility: Provide timely and accurate information about departmental asset location, movement, status, facilities, equipment, materiel, and supplies; and
- Data Driven Resource Allocation: Use accurate data to inform decision-making with approved strategy.

Affordable Readiness initiatives such as increasing energy efficiency, reducing fleet petroleum consumption, conserving water, reducing waste, supporting sustainable communities, and leveraging federal purchasing power to promote environmentally preferred products and technologies demonstrate our commitment to compliance with environmental and energy statutes, regulations, and executive orders, and to protecting the nation's natural resources.

## Financial Stewardship

In FY 2013, DHS reached a major milestone by earning a clean audit opinion of the Department's financial statements, a first in DHS's ten-year history. In addition, for the second consecutive year, the Department was able to provide reasonable assurance that internal controls over financial reporting were operating effectively as of September 30, 2013, with the exception of the four remaining material weaknesses: Financial Reporting; Property, Plant, and Equipment; and Budgetary Accounting; and Information Technology Controls and Systems Functionality. These achievements demonstrate the Department's dedication to proper stewardship of taxpayer dollars and are a result of strong commitment from DHS leadership and the expertise and hard work of our financial management community.

Since its inception in 2003, the Department has been diligently working to strengthen financial management to produce timely, reliable financial information. Through the development and implementation of policies, procedures, and internal controls, the Department has been able to achieve substantial progress in ensuring the efficient and effective use of the Department resources and stewardship of taxpayer dollars.

The Department continues working toward our audit goals for FY 2014 and beyond, to include obtaining a clean audit opinion of internal controls over financial reporting, and modernizing our financial systems.

DHS will continue to implement a risk-based approach to audit remediation, working closely with Components to mitigate any risk of new material weaknesses or audit qualifications and to sustain prior-year successes. The Department will monitor critical corrective action milestones to ensure they are completed on schedule and assist Components with implementation efforts to remediate and downgrade the severity of internal control deficiencies.

As part of the Financial Systems Modernization initiative, the Department is focusing on:

- Improving financial systems for Components with the greatest need;
- Expanding business intelligence capabilities to deliver DHS-wide financial data to leadership to support decision-making;
- Standardizing processes to support internal controls, improve and sustain audit success, and provide governance and oversight of current and future financial management system enhancements; and
- Implementing a Department-wide standard accounting classification structure that aligns with the Department of Treasury's Financial Management Service Accounting Data Standards data model.

Consistent with the Office of Management and Budget's "Shared First" initiative, DHS will use shared service providers where possible, rather than continuing to make costly capital investments in duplicative accounting systems. This approach is designed to eliminate duplication and allows DHS to leverage well-defined financial business enterprise architecture standards to close performance gaps and facilitate decision making.

## 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 Fiscal Year (FY) 2013 Major Management and Performance Challenges report included challenges in nine broad areas.

- DHS Operations Integration
- Financial Management
- Transportation Security
- Grants Management
- Infrastructure Protection
- Acquisition Management
- IT Management and Cybersecurity
- Border Security
- Employee Accountability and Integrity

More specific information about these challenges, the Department's progress addressing them and next steps can be found in the Other Accompanying Information section of the [DHS Agency Financial Report for FY 2013](#).

Biannually, GAO identifies federal programs and operations that are high risk due to their greater vulnerabilities to fraud, waste, abuse, and mismanagement. In recent years, GAO has also included areas needing broad-based transformations to address major economic, efficiency, or effectiveness challenges. GAO maintains these high-risk items until it is satisfied that acceptable progress has occurred to address them. The most recent report, *High Risk Series: An Update* ([GAO-13-283](#)), was published in February 2013. The two areas in which DHS is the lead federal agency, as well as five Government-wide areas with significant DHS equities, are listed below.

- Strengthening Department of Homeland Security Management Functions
- National Flood Insurance Program
- Protecting the Federal Government's Information Systems and the Nation's Cyber Critical Infrastructures (Government-wide)
- Strategic Human Capital Management (Government-wide)
- Managing Federal Real Property (Government-wide)
- Establishing Effective Mechanisms for Sharing and Managing Terrorism-Related Information to Protect the Homeland (Government-wide)
- Limiting the Federal Government's Fiscal Exposure by Better Managing Climate Change Risks (Government-wide)

DHS carries out multiple complex and highly diverse missions. Although the Department continually strives to improve the efficiency and effectiveness of 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. As such, DHS's Under Secretary for Management has implemented a quarterly review of the Department's progress in addressing each of these areas.

The remainder of this section provides a brief summary of the Department's efforts in addressing each of the GAO High-Risk areas.

## GAO High-Risk – Status Update

### GAO High Risk Area: Strengthening Department of Homeland Security Management Functions

**Overview:** In 2003, GAO designated “Implementing and Transforming DHS” as high risk because the Department had to transform 22 agencies—several with major management challenges—into 1 department. GAO’s prior work on mergers and acquisitions, undertaken before the creation of DHS, found that successful transformations of large organizations, even those faced with less strenuous reorganizations than DHS, can take years to achieve. GAO acknowledged the significant improvement DHS has made to date, by narrowing the High-Risk area in its 2013 list from “Implementing and Transforming DHS” to “Strengthening DHS Management Functions.” The refocusing by GAO of this High-Risk category is a reflection of the Management Directorate’s efforts to systematically address major management concerns. DHS, with more than 240,000 employees, is the third-largest federal department, and its transformation is critical to achieving its homeland security missions. This high-risk area includes challenges in strengthening DHS’s management functions, including acquisition, information technology, financial, and human capital management; the impact of those challenges on DHS’s mission implementation; and challenges in integrating management functions within and across the Department and its Components.

**DHS Lead Office and Official:** Office of the Under Secretary for Management, Dr. Kenneth Buck, Executive Director for Management Integration

**DHS Progress:** Initially, DHS focused on strengthening the Department’s foundation so that it could support higher-level 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 function to improve the quality and oversight of acquisition programs, improving the quality and integrity of the Department’s financial statements, and implementing the framework for Integrated Investment Life Cycle Management (IILCM) to ensure the total budget is spent effectively and efficiently. Future phases include several specific initiatives to reinforce good management principles, which will ultimately reduce the “degree” of risk.

The Department’s *Integrated Strategy for High Risk Management* was first published in January 2011 to address 31 Outcomes identified by GAO as necessary to manage risk throughout DHS. The *Integrated Strategy* has been updated every 6 months to reflect the progress made by the Department. The current strategy, released in June 2013, is composed of 12 specific initiatives, each with detailed corrective action plans that contain goals and metrics that correlate directly to GAO’s 31 Outcomes. In addition, the *Integrated Strategy* includes a methodology to track progress toward addressing GAO’s Outcomes. When the first Integrated Strategy was published, only 6.5 percent of the Outcomes were Fully Addressed, while another 6.5 percent had yet to be initiated. Since then, 19 percent are Fully Addressed, 58 percent are Mostly and Partially Addressed and the remaining 23 percent are Initiated.

To further Department-wide management integration, Secretary Johnson directed the “Strengthening Departmental Unity of Effort” initiative in April 2014. In this initiative, the Secretary directs specific activities across four main lines of effort: inclusive senior leader discussion and decision-making forums that provide an environment of trust and transparency; strengthened management processes for investment, including requirements, budget, and

acquisition processes, that look at cross-cutting issues across the Department; focused, collaborative Departmental strategy, planning, and analytic capability that supports more effective DHS-wide decision-making and operations; and enhanced coordinated operations to harness the significant resources of the department more effectively. The goal is better understanding of the broad and complex DHS mission space and empowering DHS components to effectively execute their operations.

**Planned Actions and Key Milestones:** DHS will continue to implement the *Integrated Strategy for High Risk Management* and the *Strengthening Departmental Unity of Effort* initiative and track the progress of the initiatives through the Under Secretary for Management's quarterly Internal Progress Reviews. Over the next year, the Department expects to make important progress in strengthening DHS's management functions. Specifically, DHS plans to:

- Administer an integrated acquisition oversight framework, focusing on all acquisitions, including IT programs. This approach will create common standards, integrated processes, and greater visibility of performance across all acquisition programs. Further, it will reduce the burden on program managers, while improving accountability and transparency.
- Continue implementing integrated business analytics to support cross-functional analysis. Over the next year, all line of business source system data will be captured in the data warehouse and all lines of business will create analytic reports on the common platform.
- Continue collaboration with Components to identify cross-cutting functional needs and determine the most effective approach to satisfy resource requirements. In addition, the Department will continue to monitor the effectiveness of resource mitigation strategies to ensure that the objectives of the *Integrated Strategy for High Risk Management* can be achieved and sustained.
- Continue progress toward reducing the number of outstanding GAO Outcomes. Overall, 29 percent of all Outcomes are now Mostly or Fully Addressed, which is an improvement over the 26-percent rate from December 2012. The Department expects this positive trend to continue, thanks in large part to the collaboration between GAO and DHS, and the sustainability plans DHS has in place.
- Establish a Joint Requirements council to identify priority gaps and overlaps in Departmental capability needs, provide feasible technical alternatives to meet capability needs, and recommend to the Secretary the creation of joint programs and joint acquisitions to meet Departmental mission needs.
- Strengthen and enhance the Department's programming and budgeting process by incorporating the results of strategic analysis and joint requirements planning into portfolios for review by issue teams. Beginning with the FY16 budget request, substantive, large-scale alternative choices will be presented to the Deputies Management Action Group as part of the annual budget development. This review process will include the ability for DHS to project the impact of current decisions on resource issues such as staffing, capital acquisitions, operations and maintenance, and similar issues that impact the Department's future ability to fulfill its mission responsibilities.

**GAO High Risk Area: National Flood Insurance Program**

**Overview:** The 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 the billions of dollars borrowed from the U.S. Department of the Treasury to cover claims from the 2005 hurricanes or future catastrophic losses. The lack of sufficient revenues highlights structural weaknesses in how the program is funded. Also, weaknesses in NFIP management and operations, including financial reporting processes and internal controls, and oversight of contractors place the program at risk. The Federal Emergency Management Agency (FEMA), within DHS, is responsible for managing the NFIP. FEMA has taken some steps to address these issues, including increasing the number of policyholders and implementing new contractor oversight processes.

**DHS Lead Office and Official:** FEMA Federal Insurance and Mitigation Administration (FIMA), David L. Miller, Associate Administrator

**DHS Progress:** Within FEMA, FIMA continues to address the structural and operating challenges that confront the NFIP. With the passage of the Biggert-Waters Flood Insurance Act of 2012 in July, the NFIP now has authority to implement actuarial rates for most policies, which will improve the financial and operational position of the program. Specifically, the Act raises the statutory limit on annual rate increases, mandates premium increases for many Pre-Flood Insurance Rate Map structures that do not pay full risk premiums, and requires grandfathered structures to pay premiums more closely related to their individual flood risk after a map change. The provision for a reserve fund will allow the NFIP to build surplus capital to pay losses in a greater-than-average loss year. A new grants program will allow the NFIP to address frequently flooded properties, which represent 1 percent of policies and account for 25 percent to 30 percent of claims.

FIMA has been responsive in working with GAO to address the operating challenges identified in GAO's recommendations to improve management and operations. FIMA changed the process for Write Your Own (WYO) company performance under the WYO Financial Control plan, implemented procedures to select statistically representative samples of all claims for conducting claims re-inspections, and requested an independent audit of the NFIP's financial statements. FIMA's focus on implementing GAO recommendations in areas, including Strategic Planning, Management and Oversight of the NFIP, and modernizing the NFIP IT system, have resulted in the closure of 11 recommendations. In addition, FIMA has requested closure of two recommendations related to property acquisition. Of the remaining open recommendations, FIMA continues to closely coordinate and communicate with GAO on status and progress of implementing these open recommendations.

**Planned Actions and Key Milestones:** In FY 2013, FIMA began implementation of the provisions of the Biggert Waters Flood Insurance Reform Act of 2012. The Act provided the authority to address many structural challenges that face the NFIP. FIMA identified seven priorities: including phase-in of actuarial rates for non-primary residences, phase-in of actuarial rates for subsidized and newly mapped policies, grants, installment payments, reserve fund collections that began in October 2013, addressing flood mapping provisions, and residential condominium provisions. Since the passage of the Act, FIMA has implemented several provisions of the Act, including sections of the bill that instruct FEMA to remove certain pre-Flood Insurance Rate Map subsidies. In January 2013, owners of non-primary/secondary residences in Special Flood Hazard Areas began seeing 25-percent rate increases in their annual rates. In October 2013,

owners of subsidized business/non-residential properties and properties that have experienced severe or repeated flooding saw 25-percent rate increases. Further, on October 1, 2013, FEMA began collecting a portion of the premium calculation for establishing a Reserve Fund as specified by Section 212 of the Act.

### **GAO High Risk Area:** Protecting the Federal Government's Information Systems and the Nation's Cyber Critical Infrastructures (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.

**DHS Lead Office and Official:** National Protection & Programs Directorate (NPPD) Office of Cybersecurity & Communications/Enterprise Performance Management Office, Matthew Shabat, Director, Performance Management

**DHS Progress:** DHS has made significant progress in improving its ability to protect against cyber threats by advancing its cyber analysis and warning capabilities, acquiring enhanced analytical and technical capabilities, developing strategies for hiring and retaining highly qualified cyber analysts, and strengthening the effectiveness of its public-private-sector partnerships in securing cyber critical infrastructure. For example, DHS developed the National Cyber Incident Response Plan to coordinate incident management. Similarly, the Department continues to expand its Critical Infrastructure Cyber Information Sharing and Collaboration Program (CISCP), which includes owners and operators of critical infrastructure as well as information-sharing and analysis organizations. CISCP enhances data flow and supports the Department's analytical collaboration between and among private-sector partners as well as federal, state, and local government entities. Additionally, the National Cybersecurity and Communications Integration Center has brought together partners from the public and private sector as well as law enforcement to improve information sharing and develop a common operational picture of the cybersecurity landscape across networks.

DHS is working with the Office of Management and Budget (OMB) to strengthen cybersecurity across Federal Executive Branch civilian agencies, including in the areas of continuous diagnostics and mitigations as well as automated asset, configuration, and vulnerability management, two-factor authentication, and Trusted Internet Connections (TIC) Initiative compliance. DHS continues to build relationships and mechanisms to improve information sharing by sponsoring Secret and Top Secret/Sensitive Compartmented Information clearances for critical infrastructure representatives and developing collaborative frameworks through which classified and unclassified threat, vulnerability, and mitigation information is shared. DHS's United States Computer Emergency Readiness Team develops Department and Agency Cybersecurity Reports, which

provide individual agencies a better understanding of their intrusion detection data. Finally, DHS has significantly grown its federal cyber workforce over the last 5 years in order to ensure it maintains technical expertise commensurate with its critical mission.

Executive Order (EO) 13636 on Cybersecurity and Presidential Policy Directive 21 on Critical Infrastructure Security and Resilience take a whole-of-government approach and reinforce the need for holistic thinking about security and risk management across critical infrastructure sectors. Furthermore, as DHS continues to develop and deploy new capabilities, such as Continuous Diagnostics and Mitigation and intrusion prevention technology for federal agencies and the expansion of the Enhanced Cybersecurity Service program for critical infrastructure owners and operators, DHS will be better positioned to assist stakeholders as they improve their cybersecurity.

With respect to Federal Information Security Management Act reporting and future Continuous Diagnostics & Mitigation priorities, DHS has actively collaborated with other federal agencies in launching and administering the Federal Risk and Authorization Management Program for cloud computing services. To address outstanding GAO recommendations, DHS is working with the Federal Desktop Core Configuration and U.S. Government Configuration Baseline (USGCB) requirements to strengthen agency information security by (1) requiring stricter security settings on workstations than those previously in place and (2) standardizing agencies' management of workstations, making it easier to manage changes across the organization.

Senior NPPD and GAO officials meet quarterly to keep abreast of ongoing cyber activities, discuss DHS's strategic direction in cybersecurity, and review the status of open recommendations. DHS has provided GAO with significant documentation to close 16 recommendations during the past year regarding cyber analysis and warning, the TIC initiative, and EINSTEIN. DHS has provided GAO with significant documentation to close its two recommendations focused on public-private-sector information sharing.

Where recommendations remain open, DHS has demonstrated to GAO progress in strengthening the effectiveness of partnerships and is continuing to support GAO's request for additional information on DHS's National Cybersecurity and Communications Integration Center.

**Planned Actions and Key Milestones:** To further protect the Federal Government's information systems, DHS uses continuous diagnostics and mitigation data feeds from Component tools to monitor the implementation of USGCB settings. Since December 2012, Components' progress in implementing and maintaining compliance with the DHS baseline configuration settings is being communicated to Executive Management in the monthly DHS Information Security Scorecard for monitoring and action when appropriate.

**GAO High Risk Area: Strategic Human Capital Management (Government wide)**

**Overview:** GAO initially designated strategic human capital management as a high-risk area because of the long-standing lack of leadership in this area. While significant steps have been taken, the area remains high risk because of a need to address current and emerging critical skills gaps that are undermining agencies' abilities to meet their vital missions. The Federal Government's current budget and long-term fiscal pressures underscore the importance of a strategic and efficient approach to recruitment, hiring, development, and retention of individuals with critical skills.

**DHS Lead Office and Official:** Management Directorate, Office of the Chief Human Capital Officer, Catherine V. Emerson, Chief Human Capital Officer

**DHS Progress:** DHS fully implemented the guidance of the Strategic Human Capital Management (SCHM) High Risk Initiative (HRI) to identify and reduce skills gaps by conducting supply and demand analysis, gap/discrepancy identification, gap closure strategy development and action planning in select priority Mission Critical Occupations (MCOs). In support of this initiative, DHS also participated in the OPM-led SHCM HRI Executive Steering Committee (ESC) and Integrated Project Teams, which developed a Federal Government-wide comprehensive plan to reduce skill/staffing gaps. The DHS Workforce Planning Guide was also updated to document this process and provided supporting tools for use across DHS. In FY 2013, DHS launched the process to apply the steps of the Workforce Planning Guide to selected priority MCOs, including role segmentation/MCO identification and environmental scanning.

In addition, DHS developed a framework for competency assessment and launched a pilot to identify competency gaps through the deployment of competency assessment surveys in select critical occupations. The competency assessment pilot is currently underway and is anticipated to conclude in FY 2014.

DHS has strengthened oversight of Component workforce planning efforts by implementing a Workforce Planning Checklist used in DHS Accountability audits. Members of the Workforce Planning team participate as team members in conducting these audits.

It should be noted that while DHS fully implemented the SHCM HRI guidance, despite comprehensive analysis and planning for gap closure, the fiscal environment has limited DHS's ability to implement action plans and increase staffing levels to identified targets. During the preparation for and execution of sequestration, the Department has had to implement budget reduction measures, such as hiring freezes, and therefore current staffing levels are below October 2012 levels in many occupations.

**Planned Actions and Key Milestones:** Building on the progress in FY 2013, DHS continues to apply the steps of the Workforce Planning Guide to selected priority MCOs. In FY 2014, DHS plans to continue following the guidance set forth by the SHCM HRI. In addition, the pilot competency assessments for selected DHS occupations will continue throughout FY 2014, and will serve as the basis for competency gap identification and closure strategies to include action plans. Members of the Workforce Planning team will also continue to participate in the DHS accountability audits.

#### **GAO High Risk Area:** Managing Federal Real Property (Government wide)

**Overview:** The federal real property portfolio is vast and diverse. It totals more than 900,000 buildings and structures with a combined area of over 3 billion square feet. Progress has been made on many fronts, especially with real property data reliability and management of the condition of facilities. However, federal agencies continue to face long-standing problems, such as overreliance on leasing, excess and underused property, and protecting federal facilities. As a result, this area remains on GAO's High Risk List. The exceptions are Government-wide real property data reliability and management of condition of facilities, which GAO found to be sufficiently improved to be no longer considered high risk.

**DHS Lead Office and Official:** Management Directorate, Office of the Chief Readiness Support Officer, Asset and Logistics Management, Richard Espinoza, Assistant Deputy Director for Real Estate.

**DHS Progress:** The Department is addressing the real estate High-Risk Series issues in both its leased and owned facilities and is assertively working to demonstrate square-foot reduction and cost savings. DHS is working with the General Services Administration (GSA) and OMB in response to OMB M-12-12, “Promoting Efficient Spending to Support Agency Operations,” and Management Procedures Memorandum No. 2013-02, “Implementation of OMB Memorandum M-12-12 Section 3: Freeze the Footprint,” in efforts to constrain and subsequently reduce the Department’s office and warehouse footprint. The outcome will be improved property management and reduced overreliance on leasing, excess and underused property. The Department is fully committed to reducing real property spending across the portfolio, and in particular for the National Capital Region, integrating our real property strategy to be in alignment with our St. Elizabeths plan.

The St. Elizabeths Master Plan was approved in 2009 and the Phase 1 relocation of the U.S. Coast Guard (USCG) Headquarters was completed on schedule with occupancy beginning in August 2013. Congress, however, has not funded the program beyond Phase 1, and the original plan for completion of the St. Elizabeths development beyond Phase 1 must be extended at increased overall cost. DHS and GSA re-baselined the schedule in consideration of the constrained budget environment. The revised plan was approved by OMB in June 2013 and will continue development of the campus in smaller (300,000 SF) but complete, severable segments of the project within more manageable fiscal levels. If the revised schedule is fully funded by Congress, the St. Elizabeths development will be completed in FY 2026. The Department is also developing a plan to leverage the advancements in flexible workspace technologies to increase the use of the St. Elizabeths development beyond the original planning criteria of a 1:1 seat-to-staff ratio. At full development, this will allow us to accommodate up to 20,000 employees within the 14,000-seat allowance at St. Elizabeths. Further, as functions move to St. Elizabeths, the mission support consolidation effort will also benefit through lease compression and realignment of existing space to increase use.

DHS is also addressing the management and budget challenges raised in GAO’s High-Risk Series report. NPPD’s Federal Protective Service (FPS) continues to make progress in implementing a risk management process to determine necessary levels of protection and development of Facility Security Plans. FPS is also enhancing the effectiveness of its oversight of the Protective Security Officer (PSO) contract guard force. FPS personnel conduct PSO post inspections and integrated covert test activities to monitor vendor compliance and countermeasure effectiveness. Additionally, vendor files are audited periodically to validate PSO certifications, and training records reflect compliance with contractual requirements. FPS is also in the process of hiring dedicated contracting officer representatives to oversee these contracts. In FY 2013, FPS conducted 51,222 PSO post inspections and 17,500 personnel file audits. GAO has noted that FPS’s current funding structure makes capital investments that would enhance FPS’s ability to leverage technology to improve management and oversight a challenge. FPS is now using an Activity-Based Cost model to facilitate the allocation of resources to the highest priority needs.

**Planned Actions and Key Milestones:** The Department meets regularly with GSA to discuss leasing and general portfolio management strategies. Our development of flexible workplace strategies is taking hold, as demonstrated by a continuing increased level of flexible workplace pilots occurring at headquarters locations within the Department.

FPS continues to implement its new Facility Security Assessment (FSA) process, which provides tenants with a comprehensive vulnerability and threat assessment and risk-based recommendations. FPS conducted over 1,600 FSAs at high-risk facilities in FY 2013, exceeding its target rate of completion. For FY 2014 and beyond, FPS is working to map out a multiyear schedule to ensure that the Interagency Security Committee schedule of assessments every 3 or 5 years (depending on Facility Security Level) is met. Pending that schedule, FPS regions continue to conduct FY 2014 FSAs.

FPS is committed to ensuring high performance of its contracted PSO workforce. In FY 2014, FPS will continue post inspections in accordance with policy. Further, FPS is conducting a 100 percent personnel file audit review as part of a Special Emphasis Audit. This audit will take place in four geographically dispersed regions to examine compliance trends. Currently, FPS has a requirement for each region to conduct a 10-percent monthly audit of personnel files in the field, and anticipates examining over 12,000 PSO records (total PSO Force was at 12,435 as of October 4, 2013, but fluctuations occur daily) in FY 2014.

Additionally, FPS is working in coordination with various security companies through the National Association of Security Companies to develop a Train-The-Trainer PSO Training Pilot program where FPS will train and certify contract guard instructors to teach PSOs the NPPD/FPS Screener Training course (i.e., National Weapons Detection Training Program). FPS projects having pricing back from the contract guard vendors before the end of March 2014 and the first class for the Train-the-Trainer Pilot program, with contract guard instructors, beginning within 60 days of contract award. Oversight of the certified contract guard instructors performing their training instruction will be monitored by the requirements set forth in the program and an evaluation conducted over the following year. This effort feeds into the requirements review that will determine future national lesson plan efforts for all PSO training and informs FPS on the effectiveness of being the certifying authority for all instructors to train the FPS PSO National Lesson Plan. Further, on November 1, 2013, FPS completed a Train-the-Trainer Screener Training course Pilot Program. FPS plans to fully implement the National Lesson Plan for PSOs no later than September 30, 2015.

Lastly, FPS continues to expand initiatives to further enhance data sharing with GSA and coordination with state and local law enforcement. In FY 2013, FPS engaged in approximately 849 state and local meetings throughout 11 regions. In November 2011, FPS issued a revised policy setting forth the law enforcement authority and powers of FPS law enforcement personnel at a facility for each type of jurisdiction. FPS and GSA are also revising a Memorandum of Understanding to capture key elements of their partnership, including, among other things, information and data sharing. To facilitate FPS and GSA collaboration to improve data sharing and resolve coordination issues on facility security, a full-time GSA position was established (and staffed) at FPS Headquarters. Additionally, three new senior executive field positions were also added to oversee regional operations and improve communication and coordination between FPS, federal, state, and local law enforcement officials. FPS continues to conduct operations at federal facilities to serve as visual deterrents to potential terrorist operations and criminal activity in and around federal buildings. To ensure information sharing and operational cooperation, FPS engages state and local law enforcement agencies in advance planning and after-action reporting. Operations include law enforcement and security personnel to test and validate the effectiveness of FPS countermeasures, conduct perimeter patrols and explosive detection sweeps, interview

suspicious persons, and evaluate access control and screening operations.

**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 terrorism-related information sharing as high risk. GAO has since monitored federal efforts to implement the Federal Information Sharing Environment (Federal ISE) because the government faced serious challenges in analyzing key information and sharing among federal, state, local, tribal, territorial, and other security partners in a timely, accurate, and useful way to protect against terrorist threats.<sup>1</sup> The Federal ISE serves as an overarching solution to strengthening the sharing of intelligence, terrorism, law enforcement, and other information among these partners. DHS, along with the U.S. Department of Defense (DOD), and the U.S. Department of Justice Federal Bureau of Investigation (FBI), are the key federal participants in the Federal ISE.

In February 2011, GAO found that the government had begun to implement initiatives that improved information sharing, but did not yet have a comprehensive approach that was guided by an overall plan to help gauge progress and achieve desired results. In addition, the evolving nature of domestic threats makes continued progress in improving information sharing critical.

**DHS Lead Office and Official:** Office of Intelligence and Analysis, Glenn Krizay, Deputy Under Secretary for Plans, Policy, and Performance Management

**DHS Progress:** DHS has made progress in both its contributions to the Federal ISE as well as executing its own information-sharing and safeguarding mission. In September 2012, GAO found that DHS demonstrated leadership in sharing terrorism-related information to protect the Homeland through its establishment and operation of the Information Sharing and Safeguarding Governance Board (ISSGB), which serves as the decision-making body for DHS information-sharing and safeguarding issues. The ISSGB enhanced collaboration among DHS Components by identifying key information-sharing initiatives and is playing a larger role in the Department’s investment decision process.

DHS has incorporated GAO’s recommendations in the *FY 2013–2017 DHS Information Sharing and Safeguarding Strategy (DHS Strategy)* released in January 2013 and in its *Fiscal Years 2013–2017 Information Sharing and Safeguarding Implementation Plan (Implementation Plan)*, which was finalized by the ISSGB in August 2013. These documents chart the course for enhancing DHS information-sharing capabilities and support investment decisions and improvements in information sharing and safeguarding. In August 2013, the ISSGB also approved a performance measurement approach that ultimately will allow the Department to track and assess its progress.

**Planned Actions and Key Milestones:** The *DHS Strategy* lays out the vision that “*DHS shall serve as a leader across the Homeland Security Enterprise in sharing and safeguarding information and managing the associated risk through establishment of the DHS Information Sharing Environment (DHS ISE)*”. Its 16 priority objectives address the 4 goals of the *Strategy*: (1) Share,

<sup>1</sup> The Federal ISE is an approach that facilitates the sharing of terrorism and homeland security information, which may include any method determined necessary and appropriate.

(2) Safeguard, (3) Manage and Govern Risk, and (4) Resource and Measure. The *Strategy* describes performance indicators and measures that (1) assess accomplishments, (2) facilitate decision making, (3) ensure accountability, (4) allow the Homeland Security Enterprise to continuously improve, and (5) provide more confidence to our stakeholders that the implementation of the *Strategy* is delivering results.

DHS aligned its information-sharing and safeguarding initiatives to the *Strategy*'s priority objectives and will track progress through the ISSGB. The *Implementation Plan* has superseded the *Information Sharing Roadmap* and its *Guide*.

One of the primary focus areas of the *Implementation Plan* is the ability to track and articulate performance of DHS's information-sharing and safeguarding activities. The *Strategy* requires DHS to establish and institutionalize a system of accountability that will enable DHS to demonstrate the results of information-sharing and safeguarding efforts and how those efforts support our missions. The ISSGB approved performance measures for the *Implementation Plan* in January 2014, and DHS is using those measures to track accomplishment of the *Implementation Plan* objectives.

DHS formalized its policy on sharing information with the National Counterterrorism Center (NCTC) to reflect the new guidelines on data retention issued by the Attorney General in 2012. On the basis of those new guidelines and DHS policy, DHS and NCTC have renegotiated their information-sharing Memoranda of Agreement (MOAs) for multiple data sets and are in the final stages of completing the remaining MOAs. This should not only improve the screening of DHS data for terrorism information, but also provide a richer data set for front-line personnel in DHS Components and across the Intelligence Community, while also ensuring that the proper safeguards (such as retention limits and defined uses) for privacy, civil rights, and civil liberties are in place, as well as the oversight required to monitor compliance, such as periodic reviews of process metrics and performance.

DHS, working closely with the FBI and other federal partners, has re-focused its information-sharing and production efforts to better address the needs of state and local governments and private-sector partners. DHS consults with law enforcement officials from major metropolitan areas, the directors of fusion centers, and State Homeland Security Advisors to tailor the Department's products and briefings to better support state and local law enforcement and homeland security officials. DHS and the FBI have also increased collaboration with field-based information-sharing partners to ensure information is being shared and coordinated between fusion centers, High Intensity Drug Trafficking Areas, Regional Information Sharing System Centers, FBI Field Intelligence Groups, and Joint Terrorism Task Forces.

Consistent with the direction the President has set for a robust information-sharing environment, DHS provides, in coordination with the FBI and other federal partners, regular training programs for local law enforcement and homeland security officials to help them identify indicators of terrorist activity.

**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 to Climate Change Risks” as government-wide high risk. Climate change is a complex, crosscutting issue that poses risks to many environmental and economic systems—including agriculture, infrastructure, ecosystems, and human health. In addition to creating significant financial risks for the Federal Government, climate change could threaten coastal areas with rising sea levels, alter agricultural productivity, and increase the intensity and frequency of severe weather events. GAO found that the Federal Government is not well organized to address the fiscal exposure presented by climate change and needs a Government-wide strategic approach with strong leadership to manage related risks.

**DHS Lead Office and Official:** Office of Policy (PLCY), Mike Kangior, Director of Resilience Policy

**DHS Progress:** Pursuant to EO 13514 and at the direction of the Secretary, DHS initiated work in this area by forming the Climate Change Adaptation (CCA) ESC in March 2011. Under the direction and guidance of the CCA ESC, a CCA Roadmap was developed and publicly released in June 2012. The Roadmap established a Department-wide approach for integrating CCA into its activities, policies, and plans. Further details, including activities and milestones, will be accounted for in Component implementation plans.

Priority accomplishments across DHS under the CCA Roadmap included:

- PLCY – Incorporated CCA into current resilience programs.
- NPPD – Collaborated with interagency partners to establish a common analytic baseline for climate change to support regional and sector-specific decisions related to infrastructure resilience.
- FEMA – Incorporated climate change considerations into guidance across FEMA programs including risk assessment, hazard mitigation, and recovery.
- USCG – Strengthened institutions for cooperation among the eight Arctic Nations (U.S., Canada, Denmark, Finland, Iceland, Norway, the Russian Federation, and Sweden).

Upon release of the President’s Climate Action Plan (CAP) in June 2013 and subsequent EO 13653, DHS initiated an update to the CCA Roadmap to better align future Department activities with the Administration’s climate change priorities. This update is nearing completion and will be known as the DHS CAP. In addition, a Department-wide playbook for implementing the DHS CAP is also currently under development for review and approval by the ESC.

**Planned Actions and Key Milestones:** The CCA ESC met on February 21, 2014 to approve Department-wide priority actions under the DHS CAP and to review continued progress on numerous CCA activities underway across the Department. The ESC agreed to the following priorities for FY 2014:

- Launch a DHS public-facing CCA section on DHS’s official website.
- Support the Council on Environmental Quality in conducting a Federal Level Exercise on CCA.

- Promote appropriate building standards and practices.
- Work with the U.S. Department of Health and Human Services, U.S. Department of Agriculture, DOD, and other federal partners to ensure that adverse effects of climate change on health are incorporated into the Community Health Resilience Initiative.
- Create a Decision Support Planning template to inform risk decisions at the operational level for all stakeholders using U.S. Global Change Research Program data.
- Assess exposure of DHS facilities to flood risk in FY 2014 and FY 2015.

## 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>.

## Acronyms

ACE – Automated Commercial Environment	FISMA – Federal Information Security Management Act of 2002
ADE – Acquisition Decision Event	FLETA – Federal Law Enforcement Training Accreditation
AO – Analysis and Operations	FLETC – Federal Law Enforcement Training Centers
APC – Automated Passport Control	FMA – Flood Mitigation Assistance
APG – Agency Priority Goal	FPS – Federal Protective Service
APR – Annual Performance Report	FSC – Facility Security Committees
CAP – Climate Action Plan	FY – Fiscal Year
CBP – U.S. Customs and Border Protection	FYHSP – Future Years Homeland Security Program
CBRN – Chemical, Biological, Radiological, and Nuclear	GAO – U.S. Government Accountability Office
CCA – Climate Change Adaptation	GHG – Greenhouse Gas
CCC – Customer Contact Center	GPRA – Government Performance and Results Act
CDS – Consequence Delivery System	GPS – Global Positioning System
CE&A – Cost Estimating and Analysis	GSA – General Services Administration
CEE – Centers of Excellence and Expertise	HR – Human Resource
CFC – Commonwealth Fusion Center	HRI – High Risk Initiative
CFO – Chief Financial Officer	HSE – Homeland Security Enterprise
COE – Center of Excellence	I&A – Intelligence and Analysis
COO – Chief Operating Officer	ICE – U.S. Immigration and Customs Enforcement
CPG – Comprehensive Preparedness Guide	IRM – Information Resources Management
CRS – Community Rating System	ISP – Internet Service Provider
CSI – Container Security Initiative	IT – Information Technology
C-TPAT – Customs Trade Partnership Against Terrorism	KCM – Known Crewmember
DACA – Deferred Action for Childhood Arrivals	LCCE – Life Cycle Cost Estimate
DHS – Department of Homeland Security	MCO – Mission Critical Occupation
DMO – Departmental Management and Operations	MGMT – Management
DNDO – Domestic Nuclear Detection Office	MRA – Mutual Recognition Arrangement
DRC – Disaster Recovery Center	MSP – Massachusetts State Police
E <sup>3</sup> A – EINSTEIN 3 Accelerated	NCMEC – National Center for Missing and Exploited Children
ELIS – Electronic Immigration System	NCSC – National Customer Service Center
ERO – Enforcement and Removal Operations (ERO)	NFIP – National Flood Insurance Program
ESC – Executive Steering Committee	NIST – National Institute of Standards and Technology
ESTA – Electronic System for Travel Authorization	NLE – National Level Exercise
ETMS – Enterprise Talent Management System	NPPD – National Protection and Programs Directorate
EU – European Union	NSSE – National Security Special Event
FBI – Federal Bureau of Investigation	
FEMA – Federal Emergency Management Agency	
FEVS – Federal Employee Viewpoint Survey	

OCHCO – Office of the Chief Human Capital Officer  
OCIO – Office of the Chief Information Officer  
OHA – Office of Health Affairs  
OIG – Office of Inspector General  
OMB – Office of Management and Budget  
PA&E – Program Analysis and Evaluation  
PARM – Program Accountability and Risk Management  
PIO – Performance Improvement Officer  
PLCY – Office of Policy  
PM – Program Management  
PPBE – Planning, Programming, Budgeting, and Execution  
R&D – Research and Development  
RPM – Radiation Portal Monitor  
S&T – Science and Technology Directorate  
SCHM – Strategic Human Capital Management

SPR – State Preparedness Report  
SSP – Strategic Sustainability Performance Plan  
TCC – TSA Contact Center  
THIRA – Threat and Hazard Identification and Risk Assessments  
TIC – Trusted Internet Connection  
TRIP – Traveler Redress Inquiry Program  
TSA – Transportation Security Administration  
USCG – U.S. Coast Guard  
USCIS – U.S. Citizenship and Immigration Services  
USGCB – Government Configuration Baseline  
USM – Under Secretary for Management  
USSS – U.S. Secret Service  
VCB – Voice Call Back  
VWP – Visa Waiver Program



Homeland  
Security



Homeland  
Security