About this Report

The *U.S. Department of Homeland Security Annual Performance Report for Fiscal Years (FY) 2014 – 2016* presents the Department’s performance measures and applicable results aligned to our missions, provides the planned performance targets for FY 2015 and FY 2016, and includes information on the Department’s Agency Priority Goals. In addition, this report presents several FY 2014 Department-wide management initiatives followed by a summary of major management and performance challenges and high-risk areas identified by the DHS Office of Inspector General and the Government Accountability Office. The report is consolidated to incorporate our annual performance plan and annual performance report.

The *FY 2014 – 2016 Annual Performance Report* is one in a series of three reports which comprise the Department’s performance and accountability reports:

- **DHS Summary of Performance and Financial Information**: Delivery date – February 16, 2015.

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

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Visit Our Website
[www.dhs.gov](http://www.dhs.gov)
# Table of Contents

Introduction .................................................................................................................................................. 2  
Organization .............................................................................................................................................. 2  
Missions and Goals for Homeland Security .............................................................................................. 3  

Organizational Performance Management Framework in DHS .............................................................. 4  
  Performance Community .............................................................................................................................. 5  
  Annual Process to Review and Improve Performance Measurement ...................................................... 6  
  Performance Data Verification and Validation Process ........................................................................ 6  
  Planning, Programming, Budgeting, and Execution (PPBE) and the Performance Budget .......................................................... 8  

DHS Performance by Strategic Goal ........................................................................................................ 9  
  Mission 1: Prevent Terrorism and Enhance Security ........................................................................... 10  
  Mission 2: Secure and Manage Our Borders ....................................................................................... 22  
  Mission 3: Enforce and Administer Our Immigration Laws ................................................................. 33  
  Mission 4: Safeguard and Secure Cyberspace ..................................................................................... 41  
  Mission 5: Strengthen National Preparedness and Resilience ............................................................. 55  
  Mature and Strengthen Homeland Security ....................................................................................... 70  

Priority Goals ............................................................................................................................................. 85  
  Agency Priority Goals ................................................................................................................................. 85  
  Cross-Agency Priority Goals .................................................................................................................... 91  

Management Initiatives ............................................................................................................................. 93  
  Unity of Effort ........................................................................................................................................... 93  
  Customer Service ................................................................................................................................... 95  
  Human Capital Management .................................................................................................................. 105  
  Information Technology ............................................................................................................................. 108  
  Acquisition Management/Strategic Sourcing ........................................................................................ 110  
  Sustainability ............................................................................................................................................ 111  
  Financial Stewardship ............................................................................................................................... 113  

Major Management and Performance Challenges and High-Risk Areas – Summary of Progress ......................................................................................................................................................... 115  

Low-Priority Program Activities ............................................................................................................. 131  

Acronyms ..................................................................................................................................................... 132  

Appendix A: Measure Descriptions, Data Collection Methodologies, and Verification and Validation Information  
Appendix B: Program Evaluations
Introduction

The U.S. Department of Homeland Security (DHS) Annual Performance Report (APR) for Fiscal Years (FYs) 2014 – 2016 presents the Department’s performance measures and applicable results for FY 2014, associated performance targets for FY 2015 and FY 2016, and information on our Agency Priority Goals (APGs). In addition, this report presents several FY 2014 Department-wide management initiatives followed by a summary of major management and performance challenges and high-risk areas identified by the DHS Office of Inspector General and the Government Accountability Office.

The FY 2014 – 2016 APR satisfies the Government Performance and Results Act (GPRA) and the GPRA Modernization Act (GPRAMA) of 2010 requirement to publish the Department’s Annual Performance Report and Annual Performance Plan.

Organization

DHS’s operational Components lead the Department’s frontline activities to protect our Nation. The remaining DHS Components provide resources, analysis, equipment, research, policy development, and support to ensure the frontline organizations have the tools and resources to accomplish the DHS mission. The Department has recently undergone an efficiency and effectiveness assessment of DHS headquarters offices and has proposed appropriate realignments that will be in effect in FY 2015. For the most up to date information on the Department’s structure, visit our Web site at http://www.dhs.gov/organization.
Missions and Goals for Homeland Security

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

<table>
<thead>
<tr>
<th>Mission 1: Prevent Terrorism and Enhance Security</th>
</tr>
</thead>
<tbody>
<tr>
<td>• Goal 1.1: Prevent Terrorist Attacks</td>
</tr>
<tr>
<td>• Goal 1.2: Prevent and Protect Against the Unauthorized Acquisition or Use of Chemical, Biological, Radiological, and Nuclear Materials and Capabilities</td>
</tr>
<tr>
<td>• Goal 1.3: Reduce Risk to the Nation’s Critical Infrastructure, Key Leadership, and Events</td>
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<table>
<thead>
<tr>
<th>Mission 2: Secure and Manage Our Borders</th>
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</thead>
<tbody>
<tr>
<td>• Goal 2.1: Secure U.S. Air, Land, and Sea Borders and Approaches</td>
</tr>
<tr>
<td>• Goal 2.2: Safeguard and Expedite Lawful Trade and Travel</td>
</tr>
<tr>
<td>• Goal 2.3: Disrupt and Dismantle Transnational Criminal Organizations and Other Illicit Actors</td>
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</tbody>
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<table>
<thead>
<tr>
<th>Mission 3: Enforce and Administer Our Immigration Laws</th>
</tr>
</thead>
<tbody>
<tr>
<td>• Goal 3.1: Strengthen and Effectively Administer the Immigration System</td>
</tr>
<tr>
<td>• Goal 3.2: Prevent Unlawful Immigration</td>
</tr>
</tbody>
</table>

<table>
<thead>
<tr>
<th>Mission 4: Safeguard and Secure Cyberspace</th>
</tr>
</thead>
<tbody>
<tr>
<td>• Goal 4.1: Strengthen the Security and Resilience of Critical Infrastructure Against Cyber Attacks and other Hazards</td>
</tr>
<tr>
<td>• Goal 4.2: Secure the Federal Civilian Government Information Technology Enterprise</td>
</tr>
<tr>
<td>• Goal 4.3: Advance Cyber Law Enforcement, Incident Response, and Reporting Capabilities</td>
</tr>
<tr>
<td>• Goal 4.4: Strengthen the Cyber Ecosystem</td>
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</tbody>
</table>

<table>
<thead>
<tr>
<th>Mission 5: Strengthen National Preparedness and Resilience</th>
</tr>
</thead>
<tbody>
<tr>
<td>• Goal 5.1: Enhance National Preparedness</td>
</tr>
<tr>
<td>• Goal 5.2: Mitigate Hazards and Vulnerabilities</td>
</tr>
<tr>
<td>• Goal 5.3: Ensure Effective Emergency Response</td>
</tr>
<tr>
<td>• Goal 5.4: Enable Rapid Recovery</td>
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</tbody>
</table>

<table>
<thead>
<tr>
<th>Mature and Strengthen Homeland Security</th>
</tr>
</thead>
<tbody>
<tr>
<td>• Goal 1: Integrate Intelligence, Information Sharing, and Operations</td>
</tr>
<tr>
<td>• Goal 2: Enhance Partnerships and Outreach</td>
</tr>
<tr>
<td>• Goal 3: Strengthen the DHS International Affairs Enterprise in Support of Homeland Security Missions</td>
</tr>
<tr>
<td>• Goal 4: Conduct Homeland Security Research and Development</td>
</tr>
<tr>
<td>• Goal 5: Ensure Readiness of Frontline Operators and First Responders</td>
</tr>
<tr>
<td>• Goal 6: Strengthen Service Delivery and Manage DHS Resources</td>
</tr>
</tbody>
</table>

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 of the Department. 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 quarterly reporting and review of performance measure results; and
- The development of a performance budget in conjunction with the Department’s Planning, Programming, Budgeting, and Execution (PPBE) process.

Collectively, this framework ensures that our stakeholders, 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. The figure below shows our performance management progression which supports our performance management and strategic frameworks. As the figure depicts, each segment is influenced by items before and after in our performance progression. As such, how and what we measure is directly influenced by our missions and goals. Likewise, our performance results influence our strategies, goals, and missions.

<table>
<thead>
<tr>
<th>Missions:</th>
<th>Describes at the highest level what the Department aims to achieve.</th>
</tr>
</thead>
<tbody>
<tr>
<td>Goals:</td>
<td>A goal is a statement of aim or purpose included in the Department's Strategic Plan to achieve the mission. Goals are the overarching structure used to group multiple strategies and associated program performance goals to influence achievement of the Department’s missions.</td>
</tr>
<tr>
<td>Strategies:</td>
<td>A strategy is a statement in the Department's Strategic Plan that describes a targeted area of action to support achievement of the related Department goal.</td>
</tr>
<tr>
<td>Mission Programs:</td>
<td>A group of activities acting together to accomplish a specific high-level outcome external to DHS. Programs contain the operational processes, skills, technology, human capital, and other resources needed to achieve program performance goals and the Department’s missions and goals.</td>
</tr>
<tr>
<td>Program Performance Goals:</td>
<td>This is an outcome-oriented statement for each major DHS program that describes the value the program intends to deliver to its beneficiaries and the American public. Program performance goals are understood in terms of their associated performance measures and performance targets, which express the tangible objective against which actual achievement can be compared.</td>
</tr>
<tr>
<td>Performance Measures:</td>
<td>This is an indicator, statistic, or metric used to gauge program performance and assess progress in meeting the program performance goal, and in turn the missions, goals, and strategies of the Department.</td>
</tr>
<tr>
<td>Performance Targets:</td>
<td>A target is the projected level of performance for each performance measure during a fiscal year. A target is a measurable characteristic that communicates at what level a program aspires to perform.</td>
</tr>
<tr>
<td>Performance Results:</td>
<td>A result is the actual level of performance for each performance measure achieved during a fiscal year. Results are compared to targets to determine if planned performance was achieved.</td>
</tr>
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</table>
Performance Community

The DHS performance community is led by the Chief Operating Officer (COO) and Performance Improvement Officer (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. 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 GPRAMA initiatives.

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

**DHS Organizational Performance Community**

*Internal Stakeholders*
- DHS Leadership
- Office of Policy
- DHS Components
- DHS Lines of Business

*External Stakeholders*
- Performance Improvement Council
  - OMB
  - Congress
  - GAO
  - Public

*Secretary*  
*Deputy Secretary (COO)*  
*PIO*

*Component PIOs*  
*Agency Priority Goal Leads*

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

With the support of leadership, CFO/PA&E initiates the annual measure improvement process to enhance our set of publicly reported measures to more effectively convey the results delivered to meet our missions. Improvement ideas are derived from several sources: feedback provided by senior leadership to mature our ability to describe the value delivered by DHS; suggestions from the Office of Management and Budget (OMB) to achieve greater visibility into program performance and connection to program resources; suggestions from CFO/PA&E performance analysts working to fill gaps and improve quality; and Component leadership and program managers wishing to continually implement measures that are meaningful to their business operations. This process typically begins in the fall and winter timeframe, with proposed changes from programs in DHS Components being submitted 30 June each year. These proposals are reviewed by various parties, including performance analysts and leadership in headquarters. Approved changes are then submitted to OMB for their review. Our publicly reported measures associated with our performance budget deliverables are then published in the Department’s APR, the Component Strategic Context Chapters of the Congressional Justification, 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.

Performance Data 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 and put procedures in place to ensure valid data as part of the Management Assurance process. 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 GPRAMA performance measure reporting. This approach consists of the: 1) Performance Measure Checklist for Completeness and Reliability; and 2) annual assessments of the completeness and reliability of a sample our performance measures by an independent review team.

Performance Measure Checklist for Completeness and Reliability

The Performance Measure Checklist for Completeness and Reliability is used by Components to self-evaluate key controls over GPRAMA performance measure planning and reporting actions for our publically reported data. At the end of each fiscal year, Components describe their control activities and provide a rating regarding their level of compliance and actions taken for each key control. Components also factor the results of any internal or independent measure assessments into their rating. The Checklist supports the Component Head assurance statements attesting to the completeness and reliability of performance data. Individual Component Head assurance statements serve as the primary basis for the Secretary’s assertion whether or not the Department
has effective controls over financial and performance reporting as well as efficiencies of our operations.

**Independent Assessment of the Completeness and Reliability of Performance Measure Data**

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 Component GPRAMA measures using the methodology prescribed in the *DHS Performance Measure Verification and Validation Handbook*, documents their findings, makes recommendations for improvement, and may perform a subsequent follow-up review to observe the implementation of recommendations. Corrective actions are required for performance measures 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 Component Head assertions over the reliability of its performance information reported in the Performance Measure Checklist and Component Head Assurance Statement. DHS has shared our process with other Agencies in support of their measure data verification and validation improvement efforts.

**Management Assurance Process for GPRAMA Performance Measure Information**

The Management Assurance Process requires all Component Heads in DHS to assert that performance measure data reported in the Department’s Performance and Accountability Reports are complete and reliable. If a measure is considered unreliable, the Component is directed to report the measure on the Performance Measure Checklist for Completeness and Reliability along with the 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 households surveyed reporting they have taken steps to mitigate damage to property and protect themselves in the event of a disaster (FEMA)
  - This measure is unreliable because the survey mechanism for collection was unavailable for use during this period. The survey questions associated with this measure were not approved by OMB as part of the *Paperwork Reduction Act* process. FEMA is retiring this measure and is working to develop a new measure that assesses measures taken by households to mitigate against potential disasters. FEMA expects this measure to be available for collection in FY 2016.
• Performance Measure: Percent of urban area interoperable communications capabilities that are rated at the most advanced levels (NPPD)
  o Results for this measure were unavailable in FY 2014 since authorization per the Paperwork Reduction Act was not obtained to conduct the survey designed to capture the data. This measure is being retired.

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

Performance management is relevant to each stage of the Department’s PPBE process. PPBE is 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 to Congress, 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 traceability 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.
DHS Performance by Strategic Goal

This section of the Annual Performance Report provides an analysis of the Department’s performance aligned with the goals in our strategic framework.

Summary of Results and Plan

When reviewing the results at the close of FY 2014, 63 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, 71 percent of measures sustained or improved performance from FY 2013; the results by mission for those that sustained or improved is shown in the table below by the white diamond. The FY 2015-2016 performance plan includes a total of 85 measures, representing seven measures that were retired from our previous performance plan and the introduction of eight new measures.

<table>
<thead>
<tr>
<th>Mission</th>
<th>Performance Summary</th>
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<tr>
<td>Mission 1: Prevent Terrorism and Enhance Security</td>
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<tr>
<td>Mission 2: Secure and Manage Our Borders</td>
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<tr>
<td>Mission 3: Enforce and Administer Our Immigration Laws</td>
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<td>Mission 4: Safeguard and Secure Cyberspace</td>
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<tr>
<td>Mission 5: Strengthen National Preparedness and Resilience</td>
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</table>

♦ - Percent of measures that met their FY 2014 target.
◊ - Percent of measures that maintained or improved actual performance results compared to FY 2013.

The remainder of the report presents information for each of our strategic goals. Each goal begins with a statement of the goal and its Strategies, which are described in more detail in the FY 2014-2018 DHS Strategic Plan. Next, a Summary of Progress narrative is presented. This summary resulted from the Department’s Strategic Review assessment, which used available performance information and evidence to evaluate overall progress on each strategic goal. This is followed by Performance Results and Plan information, presenting measure results and future planned performance. For the performance measures, trend data and prior fiscal year results are presented. For those measures that did not meet their targets, an explanation with corrective action are provided. In addition, changes to measure names and targets from the previous year’s report are identified. Finally, with efforts to continually improve our set of performance measures, new measures are introduced and measures are retired each year, and are identified in the measure tables.
Mission 1: Prevent Terrorism and Enhance Security

Goal 1.1: Prevent Terrorist Attacks

Strategies

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

Summary of Progress

Strategic Review Assessment Lead: Thomas McDaniels, Chief of Staff, TSA

The Department of Homeland Security (DHS), in consultation with the Office of Management and Budget, has determined that performance toward this goal is making noteworthy progress. DHS applies a multifaceted approach to preventing terrorist attacks in the United States, focusing on risk-based passenger and cargo screening, intelligence and information-sharing, and working beyond our borders to deter and disrupt threats at the earliest point possible. DHS performs and oversees security operations at the Nation’s airports, screening over 660 million passengers annually to ensure the freedom of movement of people and commerce. Significant improvements have been made in our ability to strengthen aviation security. DHS developed and implemented risk-based security initiatives through an array of DHS trusted traveler programs to include the successful deployment of TSA Pre✓® that increased the number of aviation passengers undergoing low-risk screening. This enabled DHS to focus its screening efforts on the highest risk passengers while improving operational efficiency and enhancing the passenger experience. DHS also vets 100 percent of international and domestic passengers against terrorist watchlists while enhancing privacy protections and transparency in our activities, and scans 100 percent of air cargo transported on passenger aircraft.

To foster a secure environment, DHS synthesizes information from the Intelligence Community, other government agencies, and private sector stakeholders to disseminate terrorism-related information through products such as Roll Call Releases, Joint Intelligence Bulletins, Intelligence Assessments, and TRIPwire to frontline security partners. DHS enables capacity building for state, local, and major urban area fusion centers and supports Joint Terrorism Task Forces. DHS also expanded its efforts to interdict threats well beyond the border. DHS expanded its cargo programs such as the Container Security Initiative to increase security while speeding movement of legitimate cargo. DHS enhanced maritime security through the National Security Cutter and Coast Guard Deployable Specialized Forces.

DHS is committed to implementing strategies to identify potential terrorist activity from the earliest point in the travel cycle and will accomplish this by reinforcing the principle of extending the zone of security well beyond our physical border. We will continue to expand our risk-based passenger and cargo screening programs and implement risk-based maritime security operations which allows DHS to focus its limited resources on higher-risk threats.
**Overall Assessment:** Performance for this goal is noteworthy. No specific actions regarding changes to policy, regulations, legislation, or budget were identified in the review. The strategic review highlighted activities associated with implementation strategies, information sharing, and risk analysis that will continue to advance progress on this goal.

### Performance Results and Plan

In FY 2014, there were eleven performance measures used to assess the Department’s efforts for this goal. In FY 2014, 82 percent of the measures met their target and 91 percent maintained or improved actual results compared to FY 2013.

<table>
<thead>
<tr>
<th>Goal</th>
<th>Performance Summary</th>
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<tbody>
<tr>
<td>Scale: 0% 25% 50% 75% 100%</td>
<td></td>
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</tbody>
</table>

<table>
<thead>
<tr>
<th>Goal 1.1: Prevent Terrorist Attacks</th>
</tr>
</thead>
</table>

- ♦️ - Percent of measures that met their FY 2014 target.
- ◊ - Percent of measures that maintained or improved actual performance results compared to FY 2013.

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

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

<table>
<thead>
<tr>
<th>Fiscal Year</th>
<th>Result</th>
</tr>
</thead>
<tbody>
<tr>
<td>FY09</td>
<td>---</td>
</tr>
<tr>
<td>FY10</td>
<td>---</td>
</tr>
<tr>
<td>FY11</td>
<td>100%</td>
</tr>
<tr>
<td>FY12</td>
<td>100%</td>
</tr>
<tr>
<td>FY13</td>
<td>100%</td>
</tr>
<tr>
<td>FY14</td>
<td>100%</td>
</tr>
<tr>
<td>FY15</td>
<td>100%</td>
</tr>
<tr>
<td>FY16</td>
<td>100%</td>
</tr>
</tbody>
</table>

TSA continues to vet 100 percent of the international air enplanements against the terrorist watch list through the Secure Flight Program. The Secure Flight program was developed in response to a key 9/11 Commission recommendation for uniform watch list matching by the Transportation Security Administration (TSA) to strengthen the security of commercial air travel into, out of, within, and over the United States. TSA has maintained a 100 percent vetting of international travelers for the past four years. Airlines submit passenger information to the Secure Flight Program which performs watch list matching in order to prevent individuals on the No Fly List from boarding an aircraft and to identify individuals for enhanced screening. After matching passenger information against government watch lists, Secure Flight transmits the matching results back to airlines so they can issue boarding passes to cleared passengers.

#### Percent of inbound air cargo screened on international passenger flights originating from outside the United States and Territories (TSA)

<table>
<thead>
<tr>
<th>Fiscal Year</th>
<th>Result</th>
</tr>
</thead>
<tbody>
<tr>
<td>FY09</td>
<td>---</td>
</tr>
<tr>
<td>FY10</td>
<td>---</td>
</tr>
<tr>
<td>FY11</td>
<td>93.0%</td>
</tr>
<tr>
<td>FY12</td>
<td>99.5%</td>
</tr>
<tr>
<td>FY13</td>
<td>100%</td>
</tr>
<tr>
<td>FY14</td>
<td>100%</td>
</tr>
<tr>
<td>FY15</td>
<td>100%</td>
</tr>
<tr>
<td>FY16</td>
<td>100%</td>
</tr>
</tbody>
</table>

TSA reached the legislatively mandated target of 100 percent of inbound cargo screened beginning in January 2013 and FY 2014 represents the first full year TSA has screened 100 percent of inbound air cargo on international passenger flights originating from outside the United States and territories. TSA will continue to focus air cargo resources on ensuring 100 percent screening of international on passenger aircraft by: continuing the screening of high risk international inbound air cargo; requiring 100-percent screening of international inbound air cargo transported on passenger aircraft; and continuing the development of the Air Cargo Advance Screening pilot in assessing the risk for inbound air cargo.
Below is a highlighted accomplishment demonstrating our efforts to prevent terrorist attacks.

### Risk-based Screening at Airports

The Transportation Security Administration (TSA) performs security operations at the Nation’s airports, screening more than 660 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 a multi-layered system of aviation security, TSA can better focus limited resources on higher-risk and unknown passengers.

At participating airports with dedicated TSA Pre✓® 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. As of September 30, 2014, TSA had implemented TSA Pre✓® at 119 of the Nation’s airports with 11 participating airlines and achieved 44 percent of daily travelers receiving expedited physical screening. The number of participating airports and those passengers receiving expedited screening continues to grow.

Other successful efforts to leverage the TSA Pre✓® capability include: 1) expanding population eligibility to active duty military personnel and U.S. service academy students, Department of Defense civilian employees, and Department of State employees holding Top Secret clearances; 2) conducting real-time threat assessments to identify low-risk passengers for TSA Pre✓® on a flight-by-flight basis; 3) the addition of Air Canada as the first foreign air carrier to participate in TSA Pre✓®; and 4) the growth of the TSA Pre✓® application program and expansion of enrollment centers to more than 300 locations—including 29 centers at 27 airport locations—across the country.

The remaining strategic measures used to gauge our efforts to prevent terrorist attacks are displayed below. For those measures that did not meet their targets, an explanation with corrective action is provided. In addition, changes to measure names and targets from the previous year’s report are identified.
### COMSETT activities

COMSETT activities focus on increasing airport security through testing and mitigation with airports operators to close the gap in any identified security weaknesses.

<table>
<thead>
<tr>
<th>Performance Measures</th>
<th>FY09</th>
<th>FY10</th>
<th>FY11</th>
<th>FY12</th>
<th>FY13</th>
<th>FY14</th>
<th>Planned Targets</th>
</tr>
</thead>
<tbody>
<tr>
<td>Average number of days for DHS Traveler Redress Inquiry Program (TRIP) redress requests to be closed</td>
<td>---</td>
<td>---</td>
<td>99</td>
<td>93</td>
<td>52</td>
<td>&lt; 78</td>
<td>&lt; 70 &lt; 60</td>
</tr>
<tr>
<td>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</td>
<td>---</td>
<td>---</td>
<td>---</td>
<td>---</td>
<td>100%</td>
<td>100%</td>
<td>100% 100%</td>
</tr>
<tr>
<td>Percent of overall level of implementation of industry agreed upon Security and Emergency Management action items by mass transit and passenger rail agencies</td>
<td>23%</td>
<td>23%</td>
<td>28%</td>
<td>39%</td>
<td>69%</td>
<td>77%</td>
<td>78% 82% 86%</td>
</tr>
<tr>
<td>Percent of air carriers operating from domestic airports in compliance with leading security indicators</td>
<td>98.0%</td>
<td>98.0%</td>
<td>99.2%</td>
<td>98.1%</td>
<td>98.0%</td>
<td>100%</td>
<td>98.0% 100%</td>
</tr>
</tbody>
</table>

The results indicate the percent of all indirect air carriers and aircraft operators found to comply with transportation security regulations through inspections. The target of 100% compliance by all regulated entities was not attained in FY 2014 due to an increased focus on high-risk areas for targeted inspections and testing activities based on intelligence and dynamic security priorities. To increase the rate of compliance, TSA increased industry outreach and COMSETT activities, a risk-based testing program for leading security indicators. TSA’s intelligence-driven, risk-based COMSETT activities focus on increasing airport security through testing and mitigation with airports operators to close the gap in any identified security weaknesses.

<table>
<thead>
<tr>
<th>Performance Measures</th>
<th>FY09</th>
<th>FY10</th>
<th>FY11</th>
<th>FY12</th>
<th>FY13</th>
<th>FY14</th>
<th>Planned Targets</th>
</tr>
</thead>
<tbody>
<tr>
<td>Percent of air cargo screened on commercial passenger flights originating from the United States and territories</td>
<td>---</td>
<td>100%</td>
<td>100%</td>
<td>100%</td>
<td>100%</td>
<td>100%</td>
<td>100% 100%</td>
</tr>
<tr>
<td>Percent of domestic air enplanements vetted against the terrorist watch list through Secure Flight</td>
<td>---</td>
<td>---</td>
<td>100%</td>
<td>100%</td>
<td>100%</td>
<td>100%</td>
<td>100% 100%</td>
</tr>
<tr>
<td>Number of daily travelers eligible to receive expedited physical screening based on assessed low risk</td>
<td>---</td>
<td>---</td>
<td>---</td>
<td>---</td>
<td>450,000</td>
<td>698,025</td>
<td>900,000 900,000</td>
</tr>
</tbody>
</table>
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

Strategies

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

Summary of Progress

Strategic Review Assessment Lead: John Zabko, Assistant Director, Architecture & Plans, DNDO

DHS continued its efforts to protect the homeland against the unauthorized use or acquisition of a wide variety of chemical, biological, radiological, and nuclear (CBRN) threats. The Domestic Nuclear Detection Office (DNDO) led the development of the 2013 nuclear detection capabilities based assessment to provide guidance to improve DHS capabilities to detect nuclear or other radioactive materials out of regulatory control, and also provided centralized stewardship, planning, and integration for federal nuclear forensics and attribution activities. DNDO supported DHS operational Components by developing and procuring radiation detection equipment for use in the field by law enforcement officials. U.S. Customs and Border Protection’s cargo targeting and scanning programs ensure that over 99 percent of all incoming containerized cargo is scanned for radiological and nuclear threats at our land borders and sea ports. U.S. Coast Guard boarding teams are equipped with radiation detectors, Maritime Security and Response Teams provide a defense against CBRN movement and use, with the National Strike Force providing expertise in hazard assessment, incident management, and recovery. Our Science and Technology directorate assesses biological and chemical risk and mitigation strategies. The Chemical Facility Anti-Terrorism Standards guide high-risk chemical facilities to develop and implement security plans that meet eighteen risk-based performance standards. The CBP Teleforensic Center provides 24/7 support to DHS components and other government entities for assistance, technical case management, and suspect CBRN detection event adjudication to confirm the legitimacy or illicit nature of suspect cases. These and other programs across the Federal Government are coordinated to ensure resources are used effectively and efficiently to address threats across the CBRN spectrum.

DHS engages with federal, international, state, local, territorial, tribal, and private sector partners to counter CBRN threats. Efforts include working on sector-specific facility security planning, training, exercises, guidance documents, and developing technology solutions collaboratively to increase capabilities to mitigate CBRN threats. DHS also identified areas for improvement and innovation specific to CBRN counterterrorism and implemented strategies to address capability gaps and streamline operations. DHS leads efforts to assess risk across the CBRN spectrum. Federal, state, and local agencies can leverage these assessments to guide their CBRN defense related investments focused on CBRN prevention, protection, surveillance, detection, forensics,
response and recovery related preparedness efforts. DHS efforts are coordinated at multiple levels to ensure effective solutions are applied to mitigate risk, improve current capabilities, and leverage new technologies and tools to ensure the safety and security of the United States.

The Department will continue to ensure activities are coordinated at multiple levels with our partners, and engage with the federal, international, state, local, territorial, tribal, and private sector to ensure effective solutions are applied to mitigate risk, improve current capabilities to address evolving threats, and leverage new technologies and tools to ensure the safety and security of the United States. Continued efforts will also include working on facility security planning, training, exercises, and guidance documentation to increase capabilities to mitigate CBRN threats.

**Overall Assessment:** Performance for this goal is satisfactory. No specific actions regarding changes to policy, regulations, legislation, or budget were identified in the review. The strategic review highlighted activities associated with international agreements, addressing capability gaps, and implementation strategies that will continue to advance progress on this goal.

**Performance Results and Plan**

In FY 2014, there were four performance measures used to assess the Department’s efforts in this goal. In FY 2014, 75 percent of the measures met their target and 100 percent maintained or improved actual results compared to FY 2013.

<table>
<thead>
<tr>
<th>Goal</th>
<th>Performance Summary</th>
</tr>
</thead>
<tbody>
<tr>
<td>Goal 1.2: Prevent and Protect Against the Unauthorized Acquisition or Use of Chemical, Biological, Radiological, and Nuclear Materials and Capabilities</td>
<td>Scale: 0% 25% 50% 75% 100%</td>
</tr>
</tbody>
</table>

- ♦ - Percent of measures that met their FY 2014 target.
- ◊ - Percent of measures that maintained or improved actual performance results compared to FY 2013.

Below are two highlighted strategic measures gauging our efforts to prevent and protect against the unauthorized acquisition or use of chemical, biological, radiological, and nuclear materials and capabilities.

| Number of people covered by Securing the Cities program preventive radiological and nuclear (rad/nuc) detection capabilities (in millions) (DNDO) |
|-------------------|-----------------|-----------------|-----------------|-----------------|-----------------|-----------------|-----------------|-----------------|
| FY09 Result | FY10 Result | FY11 Result | FY12 Result | FY13 Result | FY14 Target | FY14 Result | FY15 Target | FY16 Target |
| --- | --- | --- | --- | --- | 23.0 | 23.0 | 23.0 | 37.5 |

The Securing the Cities implementation in the greater New York City/Jersey City/Newark area has supported the development and sustainment of radiological and nuclear detection capabilities in the region which covers 23 million people. Work is ongoing in the Los Angeles and Long Beach, California region and the National Capital Region in Washington, DC that will enable the Domestic Nuclear Detection Office to meet future goals.
NPPD requires high-risk chemical facilities to develop and implement security plans to meet certain risk based performance standards in order to be in compliance with the Chemical Facility Anti-Terrorism Standards (CFATS) regulation. CFATS Chemical Security Inspectors conduct an authorization inspection of each covered facility to verify that the site security plan is compliant with the CFATS regulation and the applicable 18 risk-based performance standards. In FY 2014, the highest risk chemical facilities (Tiers 1 and 2) implemented 5,966 of 7,638 of the required security measures which is a significant improvement from FY 2013. Due to the fluctuation in the risk-based classification for facilities and the significant amount of time required for facilities to move through all steps of the CFATS program in order to reach approval of the performance standards, the program did not meet its target. The program is on track to continue its upward trend and will continue to prioritize, authorize, inspect, and approve site security plans for the highest risk chemical facilities.

* The FY 2015 target previously published as 100% in the FY 2013 – 2015 Annual Performance Report was changed to 95% to account for new facilities entering the CFATS program and fluctuations in tiering for chemical facilities due to changes in chemical holdings.

Below is a highlighted accomplishment demonstrating our efforts in detecting nuclear and radiological materials.

### Preventive Radiological and Nuclear Detection Program

On December 3 and 4, 2013, the Domestic Nuclear Detection Office (DNDO) worked with the Tampa Bay, Florida region to conduct a full-scale exercise called Operation Radiological Operations Preparedness Exercise (ROPE). Operation ROPE assessed Tampa Bay’s Preventive Radiological and Nuclear Detection Program’s ability to investigate a known or suspected radiological and nuclear threat. A total of 22 federal, state, and local emergency management and first responder agencies participated in the event, in addition to observers from 10 different Florida state and local agencies.

The exercise scenario involved the investigation of suspicious activities after receiving information from a confidential informant that a group’s leader claimed to have obtained a radiological and nuclear source for use in an attack against the public.

The exercise successfully demonstrated the Tampa Bay area’s capability to conduct joint tactical radiological and nuclear detection operations including wide-area search, primary and secondary screening and inspection, and alarm adjudication. The exercise also assessed the agency’s ability to implement a command and control structure over organizations in response to a radiological and nuclear event per established procedures. DNDO supported over 40 exercises with state and local partners in FY 2014 and plans to increase exercise support in FY 2015. Exercise events like Operation ROPE allow operators to work in a multi-jurisdictional environment to share and analyze information and plan tactical responses with critical federal partners.
The remaining strategic measures are used to gauge our efforts to prevent and protect against the unauthorized acquisition or use of radiological and nuclear materials and capabilities. For those measures that did not meet their targets, an explanation with corrective action are provided.

<table>
<thead>
<tr>
<th>Performance Measures</th>
<th>Prior Year Results</th>
<th>FY 2014 Target</th>
<th>FY 2014 Results</th>
<th>Planned Targets</th>
</tr>
</thead>
<tbody>
<tr>
<td><strong>Domestic Nuclear Detection Office</strong></td>
<td></td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>Percent of cargo conveyances that pass through radiation portal monitors upon entering the nation via land border and international rail ports of entry</td>
<td>---</td>
<td>FOUO</td>
<td>FOUO</td>
<td>FOUO</td>
</tr>
<tr>
<td>Percent of containerized cargo conveyances that pass through radiation portal monitors at sea ports of entry</td>
<td>---</td>
<td>FOUO</td>
<td>FOUO</td>
<td>FOUO</td>
</tr>
</tbody>
</table>

Note 1: For Official Use Only
Mission 1: Prevent Terrorism and Enhance Security

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

Strategies

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

Summary of Progress

Strategic Review Assessment Lead: James Scott, Deputy Assistant Director, Office of Administration, USSS

The American way of life depends upon the effective functioning of the Nation’s critical infrastructure and key resources, and the protection of key leaders and events. DHS has been successful in reducing risk across a wide range of activities. For example, the Office of Operations Coordination and Planning (OPS) performed risk assessments on approximately 8,000 special events, while the U.S. Coast Guard achieved its goal to reduce maritime terrorism risk and exceeded 99% security compliance for high-risk maritime facilities. Since FY 2012, the U.S. Secret Service (USSS) has planned and implemented security for eight National Security Special Events, three of which related to the presidential election. USSS’s efforts ensured 100 percent successful completion of these important events, while consistently meeting or exceeding all other performance targets for protection and investigations. In instances where performance goals were not met, progress toward the goal is readily apparent, such as with the National Protection and Programs Directorate’s (NPPD) review of protective investigations, incident responses, and prohibited items.

Lessons learned were documented in after action reports, tracking successes, and applying the information to improve future performance. Programs also routinely assessed risks and challenges, citing extreme weather, the unpredictable nature of criminal activity, and budget uncertainties (e.g., workforce training, assets operating beyond their life spans). Positive impacts for stakeholders were noted, including the coordination of the Special Events Working Group by OPS, the safeguarding of occupants at federal facilities by the security efforts of NPPD, and positive impacts reported by U.S. Secret Service partners, including financial institutions, US Attorneys, and Law Enforcement entities.

Moving forward, the Department will look for opportunities to leverage technology, lessons learned, and risk assessments to improve performance. For example, USSS is working to use information from multiple databases to improve event planning and resource scheduling. The U.S. Coast Guard is leveraging program performance plans to identify future challenges and threats and to develop mitigation strategies to reduce risk of maritime security threats. NPPD is using the 2013 National Infrastructure Protection Plan to improve critical infrastructure activities across the Federal Government.
Overall Assessment: Performance for this goal is satisfactory. No specific actions regarding changes to policy, regulations, legislation, or budget were identified in the review. The strategic review highlighted activities associated with implementation strategies and information sharing that will continue to advance progress on this goal.

Performance Results and Plan

In FY 2014, there were six performance measures used to assess the Department’s efforts for this goal. For the FY 2015-2016 performance plan, two new measures are being introduced and one measure is being retired. In FY 2014, 50 percent of the measures met their target and 50 percent maintained or improved actual results compared to FY 2013.

Below are two highlighted strategic 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)

<table>
<thead>
<tr>
<th>FY09 Result</th>
<th>FY10 Result</th>
<th>FY11 Result</th>
<th>FY12 Result</th>
<th>FY13 Result</th>
<th>FY14 Target</th>
<th>FY14 Result</th>
<th>FY15 Target</th>
<th>FY16 Target</th>
</tr>
</thead>
<tbody>
<tr>
<td>100%</td>
<td>100%</td>
<td>100%</td>
<td>100%</td>
<td>100%</td>
<td>100%</td>
<td>99.9%</td>
<td>Retired*</td>
<td></td>
</tr>
</tbody>
</table>

One protection incident occurred when an unauthorized individual gained entry into the White House complex. Though the suspect was stopped and never presented an imminent threat to any persons (U.S. Secret Service protectees, White House staff/employees, guests, and the public) this event is unacceptable. The U.S. Secret Service along with DHS is conducting a full and comprehensive review of protective operations procedures at the White House to ensure future results are maintained at 100 percent.

* Note: This is a roll-up measure and is being retired to implement two new measures to better gauge U.S. Secret Service protection activities. The new measures are provided in the table on the next page.

### Security compliance rate for high risk maritime facilities (USCG)

<table>
<thead>
<tr>
<th>FY09 Result</th>
<th>FY10 Result</th>
<th>FY11 Result</th>
<th>FY12 Result</th>
<th>FY13 Result</th>
<th>FY14 Target</th>
<th>FY14 Result</th>
<th>FY15 Target</th>
<th>FY16 Target</th>
</tr>
</thead>
<tbody>
<tr>
<td>---</td>
<td>---</td>
<td>99.9%</td>
<td>98.7%</td>
<td>99.3%</td>
<td>100%</td>
<td>99.3%</td>
<td>100%</td>
<td>100%</td>
</tr>
</tbody>
</table>

This measure is a leading indicator of maritime facility security and resilience 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 pose a greater risk for significant loss of life, environmental damage, or economic disruption if attacked. In total, 23 of the approximately 3,400 high-risk facilities were not in compliance. While performance did not fully achieve the target of 100 percent, the FY 2014 results are consistent with prior year results while remaining above 99 percent for three of the past four years. The U.S. Coast Guard will continue to
ensure compliance with all maritime facility security requirements through vigorous inspection and enforcement.

Below is a highlighted accomplishment demonstrating success in reducing risk to critical infrastructure.

$4.5 Million in Fake U.S. Currency Seized in Peru

In May 2014, the U.S. Secret Service and the Peruvian National Police, Vetted Anti-Counterfeiting Forces, obtained information regarding an ongoing counterfeit U.S. currency printing operation in Lima, Peru. The investigation identified a Peruvian national, Pedro Sosa Inca Casana, as the primary suspect. Through investigative interviews, surveillance operations, and the execution of a search warrant, agents uncovered the scheme to operate a counterfeit currency manufacturing plant inside a storefront location in Lima. The Peruvian police arrested Inca Casana as he was driving through Lima and a search of the suspect’s vehicle uncovered the equivalent of $1.95 million in counterfeit U.S. Federal Reserve Notes.

After further investigation, law enforcement authorities seized a combined total equivalent of $4.5 million in counterfeit U.S. Federal Reserve Notes from Inca Casana’s vehicle and illicit manufacturing plant. They also seized a printing press, 21 printing plates bearing counterfeit images, uncut sheets of counterfeit $100 bills, inks, glues, and other counterfeiting paraphernalia.

Established in 1865, the U.S. Secret Service’s original mandate was to investigate the counterfeiting of U.S. currency and the enforcement of counterfeiting statutes to preserve the integrity of United States currency, coin, and financial obligations.

The remaining strategic measures used to gauge our efforts to reduce risk to the Nation’s most critical infrastructure, key leadership, and events are displayed below. In addition, with efforts to continually improve our set of performance measures, new measures are introduced and measures are retired each year, and are identified in the measure tables. For those measures that did not meet their targets, an explanation with corrective action are provided.

<table>
<thead>
<tr>
<th>Performance Measures</th>
<th>Prior Year Results</th>
<th>FY 2014</th>
<th>Planned Targets</th>
</tr>
</thead>
<tbody>
<tr>
<td></td>
<td>FY09</td>
<td>FY10</td>
<td>FY11</td>
</tr>
<tr>
<td>National Protection and Programs Directorate</td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>Percent of tenants satisfied with the level of security provided at federal facilities</td>
<td>---</td>
<td>81.3%</td>
<td>77.8%</td>
</tr>
</tbody>
</table>

In FY 2014, 81,700 out of 101,617 respondents answered that they were satisfied or highly satisfied with the professionalism of the Federal Protective Service (FPS) officers and security personnel. In addition, 81,751 out of 114,762 respondents answered that they were satisfied or highly satisfied with the security presence and measures in their building. A customer’s satisfaction with facility security may be influenced by many factors such as: performance levels of either onsite security personnel or technical countermeasures; lack of onsite security personnel; and/or technical countermeasures that a customer deems necessary. Included in the results are responses from tenants/customers where agencies have not contracted with FPS to receive security services at a facility. Lack of security service or no security service at a facility is qualitatively different than customers dissatisfied with existing security service at a facility, which negatively affects the survey results. FPS will continue to work with Facility Security Committees to identify facilities with and without security posts and/or technical countermeasures to better analyze the satisfaction rating. These efforts along with a Customer Portfolio Engagement initiative sponsored at the Executive level for standardized implementation across every FPS region should increase customer satisfaction with FPS security services.
## U.S. Secret Service

<table>
<thead>
<tr>
<th>Performance Measures</th>
<th>FY09</th>
<th>FY10</th>
<th>FY11</th>
<th>FY12</th>
<th>FY13</th>
<th>FY15</th>
<th>FY16</th>
</tr>
</thead>
<tbody>
<tr>
<td><strong>Financial crimes loss prevented through a criminal investigation (in billions)</strong></td>
<td>$1.28</td>
<td>$6.56</td>
<td>$4.85</td>
<td>$2.75</td>
<td>$4.20</td>
<td>$1.90</td>
<td>$3.04</td>
</tr>
<tr>
<td><strong>Percent of currency identified as counterfeit</strong></td>
<td>0.0081%</td>
<td>0.0087%</td>
<td>0.0078%</td>
<td>0.0085%</td>
<td>0.0072%</td>
<td>&lt; 0.0088%</td>
<td>0.0068%</td>
</tr>
<tr>
<td><strong>Percent of National Special Security Events that were successfully completed</strong></td>
<td>---</td>
<td>100%</td>
<td>100%</td>
<td>100%</td>
<td>100%</td>
<td>100%</td>
<td>100%</td>
</tr>
<tr>
<td><strong>Percent of protectees that arrive and depart safely</strong></td>
<td>---</td>
<td>---</td>
<td>---</td>
<td>---</td>
<td>---</td>
<td>New Measure</td>
<td></td>
</tr>
<tr>
<td><strong>Percent of total protection activities that are incident-free at the White House Complex, Vice President’s Residence, and other protected facilities</strong></td>
<td>---</td>
<td>---</td>
<td>---</td>
<td>---</td>
<td>---</td>
<td>New Measure</td>
<td></td>
</tr>
</tbody>
</table>

Note 1: FY 2016 target reflects USSS allocation of personnel to support campaign protection.
Mission 2: Secure and Manage Our Borders

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

Strategies

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

Summary of Progress

Assessment Co-Lead: Richard Barlow, Division Chief, Office of Border Patrol, CBP
Assessment Co-Lead: Captain John Prince, Director, Law Enforcement, Maritime Security, and Defense Operations Policy, USCG

The Department has made progress in its ability to identify and apprehend individuals trying to illegally enter the United States, smuggle contraband across our borders, and identify weapons of mass destruction in the supply chain. Over the past several years, DHS has focused personnel, assets, technology, and infrastructure resources on the U.S. air, land, and sea borders and approaches, and made critical security improvements along the Northern and maritime borders. In addition, improvements have been made in: the collection, analysis, and sharing of information; the use of screening and identification verification techniques; the employment of advanced detection technologies; the use of “trusted traveler” and “trusted shipper” approaches; and the cooperation with our international partners and the private sector.

DHS has continued to improve cooperative, integrated operations with international partners through Border Enforcement Security Teams, Integrated Border Enforcement Teams, Shiprider agreements, and capacity building efforts. These partnerships provide U.S., Canadian, and Mexican law enforcement and regulatory agencies the capability and authority to conduct joint law enforcement or regulatory operations.

DHS gained authorities, strengthened partnerships and bolstered capabilities, helping to perform more effectively and efficiently. Examples include streamlining biometrics support with the establishment of the Office of Biometric Identity Management; signing of the Border Enforcement Security Team Act into law; signing of formal international law enforcement agreements such as the U.S. Coast Guard and Royal Canadian Mounted Police Shiprider agreement; creating a data sharing agreement with Canada for exchanging non-immigrant visa information from Ports of Entry; enabling cooperative operations by sharing radar data with Mexico via U.S. Customs and Border Protection’s (CBP) Air and Marine Operations Surveillance System; formalizing and expanding the Air Cargo Advance Screening pilot; implementing new strategies; and realigning capabilities and capacities with mission requirements and operational needs, such as through the Northern Border Realignment Plan.

However, due to the sheer size of the air, land, and sea borders, and the motivation of individuals to illegally enter the United States, challenges still exist to effectively control the border and measure our success. There have been technological advancements that will enable DHS to better perform its mission. For instance, CBP is in the initial stages of utilizing Geospatial intelligence technology to more accurately verify low-risk/low-traffic areas leading to more informed allocation of resources to...
high-risk/high-traffic areas. DHS will continue progress on this and other initiatives, and develop new systems, processes, capabilities and strategies to posture for immigration reform and other border security opportunities and challenges, both nationally and internationally.

**Overall Assessment:** Performance for this goal is satisfactory. No specific actions regarding changes to policy, regulations, legislation, or budget were identified in the review. The strategic review highlighted activities associated with international agreements, implementation strategies, technology investigations, and asset recapitalization that will continue to advance progress on this goal.

---

**Performance Results and Plan**

In FY 2014, there were five performance measures used to assess the Department’s efforts for this goal. For the FY 2015 – 2016 plan, one new measure is being introduced. In FY 2014, 80 percent of the measures met their target and 80 percent maintained or improved actual results compared to FY 2013.

Below are two highlighted strategic 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)**

<table>
<thead>
<tr>
<th>FY09 Result</th>
<th>FY10 Result</th>
<th>FY11 Result</th>
<th>FY12 Result</th>
<th>FY13 Result</th>
<th>FY14 Target</th>
<th>FY14 Result</th>
<th>FY15 Target</th>
<th>FY16 Target</th>
</tr>
</thead>
<tbody>
<tr>
<td>---</td>
<td>---</td>
<td>---</td>
<td>---</td>
<td>16%</td>
<td>≤ 17%</td>
<td>14%</td>
<td>≤ 17%</td>
<td>≤ 17%</td>
</tr>
</tbody>
</table>

This measure observes the percent of deportable individuals who have been apprehended multiple times by the U.S. Border Patrol. In FY 2014, there was a reduction in individuals being apprehended multiple times. The U.S. Border Patrol implemented a more effective and efficient consequence delivery system over the past two years which improved the deterrence factor for multiple entry violations, such as reducing apprehensions resulting in a Voluntary Return. An increase in persons from countries other than Mexico also contributed to a lower overall recidivism rate since this population historically has a lower opportunity and capability to attempt multiple illegal entries.

**Rate of interdiction effectiveness along the southwest border between ports of entry (CBP)**

<table>
<thead>
<tr>
<th>FY09 Result</th>
<th>FY10 Result</th>
<th>FY11 Result</th>
<th>FY12 Result</th>
<th>FY13 Result</th>
<th>FY14 Target</th>
<th>FY14 Result</th>
<th>FY15 Target</th>
<th>FY16 Target</th>
</tr>
</thead>
<tbody>
<tr>
<td>---</td>
<td>---</td>
<td>---</td>
<td>---</td>
<td>---</td>
<td>77.00%</td>
<td>79.28%</td>
<td>80.00%</td>
<td>81.00%</td>
</tr>
</tbody>
</table>

This measure reports the percent of detected illegal entrants who were apprehended or turned back after illegally entering the United States between the ports of entry on the southwest border. The U.S. Border Patrol achieves this outcome by optimizing its use of intelligence, risk-based deployment of surveillance capabilities, border patrol agents, and mobile technology to respond to high threat areas to ensure the apprehension of detected illegal entrants or confirming that illegal
entrants return to the country from which they entered. In FY 2014, DHS exceeded the target achieving a 79 percent interdiction effectiveness rating.

Below is a highlighted accomplishment demonstrating efforts to improve border security.

**Consequence Delivery System—Improving Border Outcomes**

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 U.S. Border Patrol the ability to examine the efficiency and effectiveness of individual consequences on various types of deportable aliens.

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 14 percent in FY 2014 and the number of apprehensions associated with each recidivist has also decreased significantly from an average of 2.71 to 2.40 in FY 2014. Contributing factors to the reduction included reducing the percent of apprehensions resulting in a Voluntary Return rate from 59 percent in FY 2010 to 10 percent in FY 2014 and applying more effective and efficient consequences to illegal aliens with a higher probability of making subsequent illegally entries. The continued reduction in recidivism was accomplished even amid a sharp increase in apprehensions in FY 2014. The Department continues to maintain a target recidivism rate of less than 17 percent, acknowledging that forces outside the control of the U.S. Border Patrol may influence this rate.

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.

The remaining strategic 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 targets, an explanation with corrective action are provided. In addition, changes to measure names and targets from the previous year’s report are identified. Finally, with efforts to continually improve our set of performance measures, new measures are introduced and measures are retired each year, and are identified in the measure tables.

<table>
<thead>
<tr>
<th>Performance Measures</th>
<th>Prior Year Results</th>
<th>FY 2014</th>
<th>Planned Targets</th>
</tr>
</thead>
<tbody>
<tr>
<td></td>
<td>FY09</td>
<td>FY10</td>
<td>FY11</td>
</tr>
<tr>
<td><strong>U.S. Coast Guard</strong></td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>Migrant interdiction effectiveness in the maritime</td>
<td>---</td>
<td>---</td>
<td>---</td>
</tr>
<tr>
<td>environment</td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td><strong>U.S. Customs and Border Protection</strong></td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>Percent of detected conventional aircraft incursions</td>
<td>---</td>
<td>---</td>
<td>95.3%</td>
</tr>
<tr>
<td>resolved along all borders of the United States</td>
<td></td>
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</tr>
</tbody>
</table>
The FY 2014 totals of 244 of 247 border incursions were resolved for an overall 98.79% success rate. Two of the three unresolved aircraft were visually spotted by Border Patrol/Office of Field Operations agents or officers on the northern and Texas borders and reported to Air and Marine Operations Center (AMOC) who did not have radar data and could not identify the targets. AMOC did detect the third track but was unable to apprehend those involved. AMOC will continue to increase surveillance capability through integration of Federal Aviation Administration and Department of Defense radar technology along the border environment to enhance detection and provide timely law enforcement response to mitigate the threat of low flying aircraft incursions.

<table>
<thead>
<tr>
<th>Performance Measures</th>
<th>FY09</th>
<th>FY10</th>
<th>FY11</th>
<th>FY12</th>
<th>FY13</th>
<th>Target</th>
<th>Results</th>
<th>FY15</th>
<th>FY16</th>
</tr>
</thead>
<tbody>
<tr>
<td>Amount of smuggled outbound currency seized at the ports of entry (in millions)</td>
<td>---</td>
<td>---</td>
<td>$47.0</td>
<td>$31.9</td>
<td>$36.9</td>
<td>$30.0</td>
<td>$37.7</td>
<td>$30.0</td>
<td>$30.0</td>
</tr>
<tr>
<td>Number of smuggled outbound weapons seized at the ports of entry</td>
<td>---</td>
<td>---</td>
<td>---</td>
<td>---</td>
<td>731</td>
<td>400</td>
<td>411</td>
<td>400</td>
<td>400</td>
</tr>
</tbody>
</table>
Mission 2: Secure and Manage Our Borders

Goal 2.2: Safeguard and Expedite Lawful Trade and Travel

Strategies

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

Summary of Progress

Strategic Review Assessment Lead: Colleen Manaher, Executive Director, Planning, Program Analysis and Evaluation, Office of Field Operations, CBP

The Department of Homeland Security (DHS), in consultation with the Office of Management and Budget, has determined that performance toward this goal is making noteworthy progress. DHS has demonstrated a significant impact on the U.S. economy through the facilitation of safe and secure trade and travel. In a dynamic, global environment, we scan over 17 million truck, rail and sea containers and collect more than $32 billion in fees, duties and tariffs, and seize hundreds of tons of illegal drugs at or near our ports of entry and via maritime routes. In addition, we issue more than 70,000 credentials annually to qualified merchant mariners, manage the transit of more than 1.2 million commercial maritime vessels, and ensure the sustainability and maintenance of the Nation’s maritime short-range navigational aids to ensure the safe and efficient movement of goods and people.

Significant new initiatives were put into place to serve the public including trade-specific Centers of Excellence and Expertise and Air Cargo Advance Screening (ACAS). Innovation and impact were also demonstrated by the rapid expansion of the Global Entry program which implements risk-based approaches to screening of people, allowing low-risk, pre-approved travelers to process through customs using automated kiosks, allowing our CBP agents more time to focus on higher risk individuals.

Improvements in our international relationships—which are a key factor in securing and expediting trade and travel—are evidenced by: an increase of U.S. Coast Guard international port security assessments; implementation of our Beyond the Border initiative with Canada and 21st Century Border Management with Mexico; the continued growth in our Container Security Initiative (CSI) to screen goods at foreign ports prior to departure for the United States; and the implementation to date of the Transportation Security Administration’s ACAS program.

To manage the year-over-year increasing volume of goods and people, the Department will continue to focus on, among other programs: improvements on our biometric capability at our entry/exit locations; growth of Trusted Traveler programs; expansion of the Border initiatives with Canada and Mexico; additional international partnerships for the CSI program; new locations for our Preclearance operations; improvements in our risk-based assessments at foreign airports; and the recapitalization of our U.S. Coast Guard assets.
**Overall Assessment:** Performance for this goal is noteworthy. No specific actions regarding changes to policy, regulations, legislation, or budget were identified in the review. The strategic review highlighted activities associated with international agreements, implementation strategies, technology investigations, asset recapitalization, and risk analysis that will continue to advance progress on this goal.

**Performance Results and Plan**

In FY 2014, there were seven performance measures used to assess the Department’s efforts for this goal. In FY 2014, 43 percent of the measures met their target and 43 percent maintained or improved actual results compared to FY 2013.

<table>
<thead>
<tr>
<th>Goal</th>
<th>Performance Summary</th>
</tr>
</thead>
<tbody>
<tr>
<td>Goal 2.2: Safeguard and Expedite Lawful Trade and Travel</td>
<td><img src="image" alt="Scale: 0% 25% 50% 75% 100%" /></td>
</tr>
</tbody>
</table>

- ♦ - Percent of measures that met their FY 2014 target.
- ◊ - Percent of measures that maintained or improved actual performance results compared to FY 2013.

Below are two highlighted strategic measures gauging our efforts to safeguard and expedite lawful trade and travel.

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

<table>
<thead>
<tr>
<th>Fiscal Year</th>
<th>FY09 Result</th>
<th>FY10 Result</th>
<th>FY11 Result</th>
<th>FY12 Result</th>
<th>FY13 Result</th>
<th>FY14 Target</th>
<th>FY14 Result</th>
<th>FY15 Target</th>
<th>FY16 Target</th>
</tr>
</thead>
<tbody>
<tr>
<td>FY09 Result</td>
<td>---</td>
<td>98.89%</td>
<td>97.67%</td>
<td>96.46%</td>
<td>97.66%</td>
<td>97.50%</td>
<td>97.99%</td>
<td>97.50%</td>
<td>97.50%</td>
</tr>
</tbody>
</table>

This measure reports the percent of imports that are compliant with U.S. trade laws including customs revenue laws. The FY 2014 results improved from FY 2013 and have improved year-over-year for the past two years. CBP works with our international trade partners through several trade programs to build a solid and efficient trade relationship to accomplish safer, faster, and more compliant trade. Through Importer Self-Assessment/Customs-Trade Partnership programs and Centers of Excellence and Expertise instituted in FY 2013, CBP closely monitored importers to reduce the non-compliance rates.

**Percent of import revenue successfully collected (CBP)**

<table>
<thead>
<tr>
<th>Fiscal Year</th>
<th>FY09 Result</th>
<th>FY10 Result</th>
<th>FY11 Result</th>
<th>FY12 Result</th>
<th>FY13 Result</th>
<th>FY14 Target</th>
<th>FY14 Result</th>
<th>FY15 Target</th>
<th>FY16 Target</th>
</tr>
</thead>
<tbody>
<tr>
<td>FY09 Result</td>
<td>---</td>
<td>---</td>
<td>99.12%</td>
<td>98.88%</td>
<td>98.73%</td>
<td>100%</td>
<td>99.56%</td>
<td>100%</td>
<td>100%</td>
</tr>
</tbody>
</table>

CBP estimates the results for this measure by using statistical sampling method to determine the percent of import revenue successfully collected. About one half of the revenue gap in collections is due to imports from China. CBP will continue to apply various enforcement methods such as audits, targeting, and statistical random sampling to bridge revenue gap and identify non-compliance with U.S. trade laws, regulations, and agreements.
Below is a highlighted accomplishment demonstrating our ability to safeguard and expedite lawful trade and travel.

**CBP Resource Optimization Strategy**

U.S. Customs and Border Protection (CBP) uses their Resource Optimization Strategy (ROS) to help improve operations at the Ports of Entry. The ROS three-pronged approach articulates business process improvements and efficiencies, identifies authorities that enable CBP to partner with government and private sector stakeholders to support staffing and infrastructure projects, and analyzes staffing needs at the ports using a Workload Staffing Model that provides a systematic and objective assessment. This multi-faceted approach gained considerable support among Congressional and industry stakeholders and ultimately resulted in the appropriation of funding to hire, train, and equip 2,000 new officers through the enactment of the *Consolidated Appropriations Act, 2014*.

To ensure they meet Congressional requirements, CBP activated an Integrated Planning Team to coordinate the hiring, training, and equipping of 2,000 additional CBP Officers as prescribed by Congress by the end of FY 2015. This team developed a strategic action plan to enhance communication and collaboration among CBP offices integral to the hiring surge, including Human Resources Management, Internal Affairs, and Training and Development. The CBP Officer vacancy announcements were issued in May and July 2014 and CBP is currently processing the resulting pool of applicants.

To expedite hiring, the entire pre-employment process was analyzed and specific areas were identified for improvement. Efficiencies were implemented to streamline the applicant pool to the best possible applicants. As an example, the polygraph examination process was enhanced to ensure applicants are committed to becoming CBP Officers prior to receiving a polygraph examination. This is a critical addition to the screening process that will save the agency both time and money, since over 20 percent of applicants decline to move forward in the pre-employment process indicating they do not want to undergo a polygraph examination.

All officers will be allocated across 44 Ports of Entry in 18 states and will be fully trained and positioned to provide CBP with the critical assistance necessary to help reduce wait times and speed the flow of lawful goods and travelers into the United States.

The remaining strategic measures are used to gauge our efforts to safeguard and facilitate lawful trade and travel. For those measures that did not meet their targets, an explanation with corrective action are provided. In addition, changes to measure names and targets from the previous year’s report are identified.
envisioned that importers had to participate in a CBP trusted trader program to be processed in the respective CEE; however, current policy supports the participation of any importer who applies for and is approved via the standard Entry Summary application processed by the CEE. As a result, the urgency to become a trusted trader is diminished and is reflected in the reduced participation rate. CBP will continue to increase its outreach efforts independently and in conjunction with various trade and supply chain security associations to ensure the most effective and efficient means to secure and expedite trade.

This measure gauges the overall percent of inbound cargo shipped by land, air and sea 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. port of entry. A small percentage of cargo is not reviewed due to status changes while in route, information processing and data entry errors, or logistical and scheduling anomalies. To improve measure results, the CBP Office of Field Operations is working with the Targeting & Analysis Systems Program Directorate to resolve status tracking problems, information processing errors, and is working with shippers and carriers to rectify logistical and scheduling issues.

**U.S. Coast Guard**

<table>
<thead>
<tr>
<th>Performance Measures</th>
<th>FY09</th>
<th>FY10</th>
<th>FY11</th>
<th>FY12</th>
<th>FY13</th>
<th>Target</th>
<th>Results</th>
</tr>
</thead>
<tbody>
<tr>
<td>Availability of maritime navigation aids</td>
<td>98.0%</td>
<td>98.5%</td>
<td>98.5%</td>
<td>98.3%</td>
<td>98.2%</td>
<td>97.5%</td>
<td>98.2%</td>
</tr>
<tr>
<td>Number of detected incursions of foreign fishing vessels violating U.S. waters</td>
<td>112</td>
<td>82</td>
<td>122</td>
<td>160</td>
<td>189</td>
<td>&lt; 148</td>
<td>198</td>
</tr>
<tr>
<td>Fishing regulation compliance rate</td>
<td>96.7%</td>
<td>97.2%</td>
<td>97.4%</td>
<td>98.3%</td>
<td>98.1%</td>
<td>96.5%</td>
<td>97.5%</td>
</tr>
</tbody>
</table>

Through Q4 FY 2014, total foreign fishing vessel incursions detected by the U.S. Coast Guard in the United States Exclusive Economic Zone were 196 which is an increase from 189 in FY 2013. This increase is a result of detection of foreign fishing gear which represents 27.3% of detections for FY 2014 as compared to 16.5% of detections in FY 2013. This number above the target is a result of sustained U.S. Coast Guard coverage on the U.S./Mexico Maritime Boundary Line and partner agency patrol efforts as well as the ability to monitor international movements along the U.S./Russia Maritime Boundary Line which increase maritime domain awareness. To influence compliant behavior, the U.S. Coast Guard will conduct deterrence operations such as overt surface and air patrolling and will use public affairs coverage of law enforcement activities.

Note 1: The FY 2015 target previously published as 61.0% in the FY 2013 – 2015 Annual Performance Report was changed to 54.0%. Targets are representative of historical results, current outreach efforts, national targeting plans, and policy directives.

Note 2: The FY 2015 target previously published as < 155 in the FY 2013 – 2015 Annual Performance Report was changed to < 215. Trend analysis indicates that detected incursions are rising, driven primarily by an overall increase in small craft (lancha) incursion detections in the Gulf of Mexico. For the foreseeable future, there will continue to be an economic driver for foreign small craft to illegally fish U.S. Waters in the Gulf of Mexico. The Coast Guard will continue to interdict and take steps to deter these incursions into the U.S. Exclusive Economic Zone.
Mission 2: Secure and Manage Our Borders

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

<table>
<thead>
<tr>
<th>Strategies</th>
</tr>
</thead>
<tbody>
<tr>
<td>• Identify, investigate, disrupt, and dismantle transnational criminal organizations</td>
</tr>
<tr>
<td>• Disrupt illicit actors, activities, and pathways</td>
</tr>
</tbody>
</table>

Summary of Progress

Strategic Review Assessment Lead: Tracey Bardorf, Director, Office of Policy, ICE

The Department’s border strategy also focuses on reducing the ability of Transnational Criminal Organizations (TCOs) to engage in a wide array of smuggling and trafficking activities to include: illegal drugs; illegal migrants and terrorists, sex trafficking, money laundering, bulk cash smuggling, intellectual property crime, and weapons. DHS’s effort for disrupting and dismantling TCOs has seen improvements. Success in this area has been bolstered by leveraging domestic and international partnerships to allow for more transparency and access to critical investigative information and to facilitate new initiatives. In addition, DHS has delivered results in an efficient manner as evidenced by the Significant Case Review (SCR) process that emphasizes the most significant investigations in terms of investigative resource prioritization.

DHS is implementing strategies to improve multilateral efforts that focus on attacking vulnerabilities in supply chains, transportation systems, governance of borders (land, maritime, and air), financial infrastructure of major organized crime groups, and smuggling networks through coordinated enforcement operations. U.S. Immigration and Customs Enforcement is improving the SCR criteria to ensure efforts are targeted to the most significant investigations. In addition, the U.S. Coast Guard will deploy Interdiction Specialists and Investigative Service agents to countries along the Central American drug transit zone to improve our drug interdiction and engagement strategy. Improvements are also being seen within interagency cooperation leading to improvements in actionable intelligence, follow-on seizures, and advances in investigations into major trafficking organizations.

Challenges still exist that can hinder current operational strategies, including: continuously changing modes, tactics and routes by TCOs; the availability, quality and timeliness of tactical intelligence; and new or upgraded diplomatic and legal tools. DHS will take steps to either address these challenges or will revise established strategies.

Overall Assessment: Performance for this goal is satisfactory. No specific actions regarding changes to policy, regulations, legislation, or budget were identified in the review. The strategic review highlighted ongoing activities associated with international agreements, implementation strategies, and asset recapitalization that will continue to advance progress on this goal.
Performance Results and Plan

In FY 2014, there were three performance measures used to assess the Department’s efforts for this goal. In FY 2014, 67 percent of the measures met their target and 67 percent maintained or improved actual results compared to FY 2013.

<table>
<thead>
<tr>
<th>Goal 2.3: Disrupt and Dismantle Transnational Criminal Organizations and Other Illicit Actors</th>
<th>Performance Summary</th>
</tr>
</thead>
<tbody>
<tr>
<td></td>
<td>Scale: 0% 25% 50% 75% 100%</td>
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<tr>
<td></td>
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</tbody>
</table>

- Percent of measures that met their FY 2014 target.
- Percent of measures that maintained or improved actual performance results compared to FY 2013.

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

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 (ICE)

<table>
<thead>
<tr>
<th>FY09 Result</th>
<th>FY10 Result</th>
<th>FY11 Result</th>
<th>FY12 Result</th>
<th>FY13 Result</th>
<th>FY14 Target</th>
<th>FY14 Result</th>
<th>FY15 Target</th>
<th>FY16 Target</th>
</tr>
</thead>
<tbody>
<tr>
<td>---</td>
<td>---</td>
<td>---</td>
<td>---</td>
<td>23.5%</td>
<td>25.0%</td>
<td>59.0%</td>
<td>41.0%*</td>
<td>42.0%</td>
</tr>
</tbody>
</table>

Transnational child exploitation and sex trafficking investigations are a priority area for ICE. These crimes are some of the most heinous crimes that ICE investigates and in their worst manifestation, are akin to modern-day slavery. The focus of ICE’s effort is to disrupt or dismantle entire organizations and high-threat individuals. These cases can become complex and many times take years to build a case and prosecute. In FY 2014, ICE significantly improved from their FY 2013 results by prioritizing resources on high-threat cases.

In addition to ICE’s investigative activities, ICE counts on tips from the public to dismantle these organizations and encourages individuals to keep their eyes and ears open to suspicious activity. Trafficking victims are often hidden in plain sight, voiceless, and scared. To report suspicious activity, call ICE’s Tip Line at 1-866-DHS-2-ICE or report tips online.

* The FY 2015 target previously published as 25.0% in the FY 2013 – 2015 Annual Performance Report was changed to 41.0% based on a new forecasting model that uses trend data from previous years, but also accounts for the volume and quality of cases that are the basis for this measure.

Below is a highlighted accomplishment demonstrating success in this combatting transnational crime.
ICE’s Homeland Security Investigations (HSI) office in Chicago, in coordination with its Panama, Ecuador, and Colombia field offices, conducted an investigation into the Fabian transnational criminal and human smuggling organization based in Turbo, Colombia, led by Colombian national Fabian Barrios. The investigation resulted in the disruption and dismantlement of the Fabian organization which was responsible for smuggling approximately 100 special interest aliens into the United States on a monthly basis from countries including Pakistan, Afghanistan, Syria, Cuba, Colombia, India, Bangladesh, Nepal, Somalia, Eritrea, Sudan, and Kenya.

During FY 2013 and continuing through FY 2014, investigators discovered several smuggling routes through Ecuador, Colombia, Panama, and Guatemala and obtained information about a maritime smuggling event involving the transportation of 14 individuals across the Gulf of Uraba (between Colombia and Panama) and the accidental sinking of the vessel, which killed seven people. HSI coordinated an international enforcement and arrest operation which resulted in the arrest of 26 Fabian organization members, including seven in Panama, eight in Colombia, and eleven in Ecuador. The investigation also led to 81 foreign administrative arrests and the seizure of 10 foreign bank accounts.

Fabian Barrios pleaded guilty in September 2014 to human smuggling, conspiracy, and seven counts of negligent homicide under Colombian law. Other co-conspirators were charged with human smuggling, conspiracy, and public corruption. Prosecution for all members of the former human smuggling organization is ongoing in Panama, Colombia, and Ecuador, with assistance from the Department of Justice.

The remaining strategic measures are used to gauge our efforts to disrupt and dismantle transnational criminal organizations and other illicit actors. For those measures that did not meet their targets, an explanation with corrective action are provided.

<table>
<thead>
<tr>
<th>Performance Measures</th>
<th>FY09</th>
<th>FY10</th>
<th>FY11</th>
<th>FY12</th>
<th>FY13</th>
<th>FY14</th>
<th>FY15</th>
<th>FY16</th>
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</thead>
<tbody>
<tr>
<td><strong>U.S. Immigration and Customs Enforcement</strong></td>
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</tr>
<tr>
<td>Percent of transnational drug investigations resulting in the disruption or dismantlement of high-threat transnational drug trafficking organizations or individuals</td>
<td>---</td>
<td>---</td>
<td>---</td>
<td>---</td>
<td>---</td>
<td>42.6%</td>
<td>44%</td>
<td>45.0%</td>
</tr>
<tr>
<td>Percent of transnational gang investigations resulting in the disruption or dismantlement of high-threat transnational criminal gangs</td>
<td>---</td>
<td>---</td>
<td>---</td>
<td>---</td>
<td>---</td>
<td>60.8%</td>
<td>62.0%</td>
<td>44.0%</td>
</tr>
</tbody>
</table>

ICE’s Homeland Security Investigations (HSI) office experienced a downturn in significant gang related disruptions and dismantlement’s as significant resources were deployed to respond to the unaccompanied alien children surge in the early summer of 2014. HSI will continue to focus on significant transnational gang investigations that pose the greatest risk to national security.

Note 1: The FY 2015 target previously published as 44.0% in the FY 2013 – 2015 Annual Performance Report was changed to 29.0% based on a new forecasting model that uses trend data from previous years, but also accounts for the volume and quality of cases that are the basis for this measure.

Note 2: The FY 2015 target previously published as 62.0% in the FY 2013 – 2015 Annual Performance Report was changed to 41.0% based on a new forecasting model that uses trend data from previous years, but also accounts for the volume and quality of cases that are the basis for this measure.
Mission 3: Enforce and Administer Our Immigration Laws

Goal 3.1: Strengthen and Effectively Administer the Immigration System

Strategies

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

Summary of Progress

Strategic Review Assessment Lead: Joseph Moore, Chief Financial Officer, USCIS

DHS processed over 7 million benefit requests—including applications for naturalization, lawful permanent residence, change of status, refugee and asylum protection, and new initiatives such as deferred action for childhood arrivals—through USCIS. USCIS also collaborated with federal, state, and local benefit-issuing agencies, institutions, and licensing agencies—through the Systematic Alien Verification for Entitlements (SAVE) program—to determine the immigration status of public benefit applicants, so only those entitled to benefits receive them.

In FY 2013, USCIS maintained an average cycle time of 3.4 months for adjudicating all form types, which exceeded the target of 4 months from the filing date. USCIS also made the correct decision in 99 percent of all approved naturalization and permanent residence applications. In addition, USCIS achieved an overall National Customer Service Center satisfaction rating of 87 percent.

To promote lawful immigration, USCIS hosted more than 3,000 public engagements. USCIS also expanded municipal and federal partnerships to increase the capacity of communities to prepare immigrants for citizenship.

USCIS uses lessons learned, customer feedback, industry input, close coordination with the Office of the Citizenship and Immigration Services Ombudsman, and anticipated future risks to make improvements such as:

- Participating in data quality forums for the SAVE program and other USCIS data systems to address stakeholder concerns and data quality;
- Adding 30 quality management specialist positions to promote quality service and improve performance results;
- Launching the Customer Engagement Center expands customer communication channels, such as live chat and secure messaging, and offers self-service tools to create a more user-friendly experience; and
- Expanding municipal and federal partnerships, which have resulted in, for example, more than 100 public libraries establishing Citizenship Corners.

The USCIS Electronic Immigration System (ELIS) is USCIS’s long-term initiative to move the agency out of paper-based processing and into an electronic environment. By adopting an agile development process, USCIS will be able to systematically develop and regularly add features to
USCIS ELIS. Recent accomplishments include: interface improvements; national security and fraud detection enhancements; automating payments for the USCIS Immigrant Fee; automating the Form I-526, Immigrant Petition by Alien Entrepreneur; and releasing an electronic document library for the Immigrant Investor Program.

**Overall Assessment:** Performance for this goal is satisfactory. The strategic review highlighted activities associated with implementation strategies, public outreach, and reactions to legislation that will continue to advance progress on this goal.

### Performance Results and Plan

In FY 2014, there were three performance measures used to assess the Department’s efforts for this goal. For the FY 2015 – 2016 plan, one new measure is being introduced. In FY 2014, 33 percent of the measures met their target and zero percent maintained or improved actual results compared to FY 2013.

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

<table>
<thead>
<tr>
<th>Goal 3.1: Strengthen and Effectively Administer the Immigration System</th>
</tr>
</thead>
<tbody>
<tr>
<td>Scale:</td>
</tr>
<tr>
<td>0%</td>
</tr>
</tbody>
</table>

- ♦ - Percent of measures that met their FY 2014 target.
- ◊ - Percent of measures that maintained or improved actual performance results compared to FY 2013.

Accuracy of information, responsiveness to customer inquiries, accessibility to information, and customer satisfaction are the factors that comprise the evaluation criteria for this measure. USCIS is dedicated to proactively providing information and guidance to USCIS applicants, petitioners, and advocates regarding immigration benefits. USCIS achieved an 86 percent customer service rating in FY 2014, similar to FY 2013 results and over the past four years, USCIS has exceeded industry averages for customer service. Throughout the year, USCIS has consistently listened to customer feedback and taken deliberative steps to improve the level of service provided to its customers. For example, USCIS implemented Interactive Voice Response, the automated voice that callers hear first when they call the National Customer Service Center. USCIS uses it to provide information (e.g. about case status) or to guide the caller to live assistance when needed. These types of enhancements to customer service have contributed to the agency’s ability to meet this performance goal.

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

An **N-400**, Application for Naturalization, is filed by an individual applying to become a U.S. citizen. Although not the most common form filled out for USCIS administered benefits, it
constitutes the most important benefit—American citizenship—and thus requires a significant amount of time to adjudicate properly. The average processing time for an N-400 in FY 2014 was 5.5 months—missing the FY 2014 target. USCIS experienced an increase in the N-400 cycle time as a result of ongoing workload challenges (e.g. receipt volumes). Despite the increase in cycle time, the accuracy of N-400 decisions has remained consistent. USCIS remains committed to meeting the N-400 cycle time and will continue making changes to address the workload challenges by redirecting incoming cases to better utilize 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 will also strengthen the quality of employee training and supervisory engagement to increase the efficiency of case processing. In addition, USCIS will encourage the use of overtime to improve cycle times without compromising the accuracy of benefit decisions.

Below is a highlighted accomplishment demonstrating success in customer service.

USCIS International Operations Division Wins 2014 Award for Customer Focus

USCIS’s International Operations Division won the 2014 Government Contact Services Excellence Award in the category of Customer Focus. Each year, the Government Contact Services Community of Practice (Cgov) recognizes organizations that excel in teamwork, technical excellence, customer focus, and overall excellence.

Cgov recognized USCIS’s international offices for their excellent customer service practices such as providing timely and accurate customer responses, treating customers with the highest level of respect, and assisting customers in their native languages, which resulted in a high level of customer satisfaction as shown by the results of a 2013 survey. The survey was a collaborative effort between the USCIS Office of Policy and Strategy and the Refugee, Asylum and International Operations Directorate. The international offices scored 89 out of 100 on the survey, which is 23 points higher than the American Customer Satisfaction Index aggregated Federal Government benchmark. This high score, along with the large volume of positive survey comments, demonstrated how the international office’s customer service practices made a significant positive impact on staff, customers, and service quality.

The remaining strategic measure was used to gauge our efforts to strengthen and effectively administer the immigration system. For those measures that did not meet their targets, an explanation with corrective action are provided. In addition, changes to measure names and targets from the previous year’s report are identified. Finally, with efforts to continually improve our set of performance measures, new measures are introduced and measures are retired each year, and are identified in the measure tables.
**U.S. Citizenship and Immigration Services**

<table>
<thead>
<tr>
<th>Performance Measures</th>
<th>FY09</th>
<th>FY10</th>
<th>FY11</th>
<th>FY12</th>
<th>FY13</th>
<th>FY14 Target</th>
<th>FY16 Results</th>
<th>Planned Targets</th>
</tr>
</thead>
<tbody>
<tr>
<td>Average of processing cycle time (in months) for adjustment of status to permanent resident applications (I-485)</td>
<td>4.4</td>
<td>3.8</td>
<td>4.4</td>
<td>5.1</td>
<td>4.7</td>
<td>≤ 4.0</td>
<td>6.0</td>
<td>≤ 4.0</td>
</tr>
</tbody>
</table>

USCIS experienced an increase in the I-485 cycle time as a result of ongoing workload (e.g. receipt volumes). Despite the increase in cycle time, the accuracy of I-485 decisions has remained consistent. USCIS remains committed to meeting the I-485 cycle time targets and will continue making changes to address the workload challenges by redirecting incoming cases to better utilize 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 will also strengthen the quality of employee training and supervisory engagement to increase the efficiency of case processing. In addition, USCIS will encourage the use of overtime to improve cycle times without compromising the accuracy of benefit decisions.

| Percent of students enrolled in classes under the Citizenship and Integration Grant Program that show educational gains | --- | --- | --- | --- | --- | New Measure | 80%          | 80%          |
Mission 3: Enforce and Administer Our Immigration Laws

Goal 3.2: Prevent Unlawful Immigration

Strategies

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

Summary of Progress

Strategic Review Assessment Lead: Tracey Bardorf, Director, Office of Policy, ICE

To prevent unlawful immigration, enforcement activities must address conditions and factors that create incentives for those illegally entering and staying within the United States. Enforcement efforts must also prioritize the identification and removal of dangerous foreign nationals who threaten our national security or the safety of our communities and must include safe and humane detention conditions and respect for due process and civil rights as accorded by law.

DHS efforts to prevent unlawful immigration continue to show encouraging signs of progress. Led by U.S. Immigration and Customs Enforcement, criminal alien removals as a percent of overall removals continues to improve and is approaching 60 percent—increasing public safety and demonstrating the Department’s focus on prioritizing enforcement efforts. In addition, for those aliens entering the detention system, the average length of stay and the average cost of detention are meeting targets.

A strong driver of unlawful immigration is the opportunity for employment. U.S. Citizenship and Immigration Services has enrolled more than 500,000 employers in the E-Verify program. E-Verify helps deter those not authorized to work in the United States as employers are able to verify employment eligibility. This success is supported by a reduction in the percent of potential fraud findings during site visits.

While there are unique risks, challenges, and opportunities facing each individual component, the potential for Comprehensive Immigration Reform poses the most uncertainty to future operations, quality control, workload management, and system load capabilities. Going forward, DHS will focus on continuous improvement to mitigate these potential challenges and to ensure lasting success. Each contributing program has identified critical action items to address improvements to existing systems, implementation of new programs, or execution of existing strategic plans. In addition, securing access to information and ensuring information availability to decision makers is critical among all DHS Components.

Overall Assessment: Performance for this goal is satisfactory. No specific actions regarding changes to policy, regulations, or budget were identified in the review. The strategic review highlighted activities associated with implementation strategies, process improvement, systems improvements, reaction to legislation, and information sharing that will continue to advance progress on this goal.
Performance Results and Plan

In FY 2014, there were eight performance measures used to assess the Department’s efforts for this goal. In FY 2014, 71 percent of the measures met their target and 71 percent maintained or improved actual results compared to FY 2013.

<table>
<thead>
<tr>
<th>Goal 3.2: Prevent Unlawful Immigration</th>
<th>Performance Summary</th>
</tr>
</thead>
<tbody>
<tr>
<td></td>
<td>Scale: 0% 25% 50% 75% 100%</td>
</tr>
<tr>
<td></td>
<td>♦ - Percent of measures that met their FY 2014 target.</td>
</tr>
<tr>
<td></td>
<td>♦ - Percent of measures that maintained or improved actual performance results compared to FY 2013.</td>
</tr>
</tbody>
</table>

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

### Percent of initial mismatches for authorized workers that are later determined to be "Employment Authorized (USCIS)"

<table>
<thead>
<tr>
<th>FY09 Result</th>
<th>FY10 Result</th>
<th>FY11 Result</th>
<th>FY12 Result</th>
<th>FY13 Result</th>
<th>FY14 Target</th>
<th>FY14 Result</th>
<th>FY15 Target</th>
<th>FY16 Target</th>
</tr>
</thead>
<tbody>
<tr>
<td>---</td>
<td>---</td>
<td>0.28%</td>
<td>0.24%</td>
<td>0.22%</td>
<td>≤ 1.00%</td>
<td>0.19%</td>
<td>≤ 0.90%*</td>
<td>≤ 0.90%</td>
</tr>
</tbody>
</table>

U.S. law requires companies to employ only individuals who may legally work in the United States; either U.S. citizens, or foreign citizens who have the necessary authorization. This diverse workforce contributes greatly to the vibrancy and strength of our economy, but that same strength also attracts unauthorized employment. **E-Verify** is a fast and free internet-based system that allows businesses to determine the eligibility of their employees to work in the United States. This measure gauges the accuracy of the E-Verify process by assessing the percent of employment verification requests that result in a confirmation that are not positively resolved during initial review, but rather following an employee’s contesting the initial mismatch. E-Verify continues to be 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 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.

* The FY 2015 target previously published as ≤ 1.00% in the FY 2013 – 2015 Annual Performance Report was changed to ≤ 0.90% based on prior year’s results.

### Number of employers audited, sanctioned, or arrested for violating immigration related employment laws or otherwise brought into compliance with those laws (ICE)

<table>
<thead>
<tr>
<th>FY09 Result</th>
<th>FY10 Result</th>
<th>FY11 Result</th>
<th>FY12 Result</th>
<th>FY13 Result</th>
<th>FY14 Target</th>
<th>FY14 Result</th>
<th>FY15 Target</th>
<th>FY16 Target</th>
</tr>
</thead>
<tbody>
<tr>
<td>---</td>
<td>---</td>
<td>---</td>
<td>---</td>
<td>4,743</td>
<td>1,854</td>
<td>2,191</td>
<td>1,854</td>
<td>1,854</td>
</tr>
</tbody>
</table>

One area of focus within this mission is to reduce the demand for illegal labor. This measure assesses the number of enforcement-related actions against employers that hire illegal labor including criminal arrests, audits, and final orders of fines. This measure demonstrates the impact of **worksite enforcement** operations to ensure that employers do not violate immigration-related employment laws. Although below FY 2013 results, the FY 2014 results met their target. Results are indicative of effective efforts to focus resources in the worksite enforcement program on the
criminal prosecution of employers who knowingly hire illegal workers in order to target the root cause of illegal immigration.

Below is a highlighted accomplishment demonstrating success in reducing drivers of unlawful immigration.

**Worksite Enforcement**

In August 2011, Homeland Security Investigations (HSI) St. Paul received information that Ali Bayram and Ali Sengul, the owners of six Oskaloosa Family Restaurants in Iowa and Illinois were employing undocumented aliens at their restaurants and harboring them at residences near their places of employment. The undocumented aliens worked approximately sixty hours per week and received neither sick leave nor vacation days. Bayram and Sengul did not pay an appropriate amount of taxes and deductions to the appropriate federal, state, and local authorities.

HSI Des Moines executed search warrants at the six locations owned by the Bayram and Sengul families. The warrants and subsequent judicial proceedings impacted the organization's ability to continue its normal business operations and interrupted their ability to profit from their illegal workforce. The guilty pleas of both Ali Bayram and Ali Sengul for harboring illegal aliens and making false statements on tax returns represent a successful disruption.

The remaining strategic measures are used to gauge our efforts to prevent unlawful immigration. For those measures that did not meet their targets, an explanation with corrective action are provided. In addition, changes to measure names and targets from the previous year’s report are identified. Finally, with efforts to continually improve our set of performance measures, new measures are introduced and measures are retired each year, and are identified in the measure tables.
In FY 2014, criminal alien Average Length of Stay (ALOS) was 4.0 days higher compared to FY 2013 (33.5 days). The primary reason for not reaching the target were changes to the Alien Transfer Exit Program (ATEP) program, a deportation strategy whereby migrants were returned to border regions of Mexico distant from their initial place of apprehension in an attempt to discourage people from attempting additional border crossings. CBP continues to conduct these transfers to other locations; however, due to efficiencies in the CBP process ICE no longer takes aliens being transferred through ATEP into custody, which in-turn means these removals are not counted as ICE removals. In FY 2013, ATEP was responsible for 14,632 criminal removals with an ALOS of 1.6 days. Thus, by removing these cases from ICE involvement, ALOS rose accordingly in FY 2014. Additionally, FY 2014 ended with 645 more convicted criminal ALOS of 75.9 days due to the lengthy adjudication requirements. To meet FY 2015 targets, ICE will continue to utilize Criminal Alien Program Surge Enforcement Teams with a goal of completing four operations by the end of the fiscal year. Additionally, ICE will implement a U.S./China Memorandum of Understanding which will allow Chinese experts to travel to the U.S. and interview Chinese nationals in efforts to obtain travel documents for Chinese nationals that do not currently have identification and therefore are not removable and must be released by law.

<table>
<thead>
<tr>
<th>Performance Measures</th>
<th>FY09</th>
<th>FY10</th>
<th>FY11</th>
<th>FY12</th>
<th>FY13</th>
<th>Target</th>
<th>Results</th>
<th>FY15</th>
<th>FY16</th>
</tr>
</thead>
<tbody>
<tr>
<td>Number of convicted criminal aliens removed per fiscal year</td>
<td>---</td>
<td>195,772</td>
<td>216,698</td>
<td>225,390</td>
<td>216,810</td>
<td>198,000</td>
<td>177,960</td>
<td>198,000</td>
<td>177,314</td>
</tr>
</tbody>
</table>

Operational and policy changes have impacted this measure and decreased removals from prior years. FY 2014 was the first full year in which the Alien Transfer Exit Program (ATEP), a deportation strategy whereby migrants were returned to border regions of Mexico distants from their initial place of apprehension in an attempt to discourage people from attempting additional border crossings, has not been operational. CBP continues to conduct these transfers to other locations; however, due to efficiencies in the CBP process ICE no longer takes aliens being transferred through ATEP into custody, which in-turn means these removals are not counted as ICE removals. Additionally, newly enacted Trust Act legislation in California and Connecticut and policies in 276 (and growing) jurisdictions nationwide have limited local law enforcement’s cooperation with ICE detainers (a hold placed on a criminal defendant) impacting state and local removal operations. Between January 1, 2014 and September 30, 2014, ICE recorded 10,121 instances of detainers not being honored by local jurisdictions. A lost detainer results in dedicating officer resources to locate and arrest criminal aliens in the public domain, resulting in additional time, effort, manpower expenditures, and officer and public safety risks. To meet FY 2015 targets, ICE will continue to employ the Criminal Alien Program Surge Enforcement Team initiative with a goal of completing four operations by the end of the fiscal year. Additionally, ICE will implement a U.S./China Memorandum of Understanding which will allow Chinese experts to travel to the U.S. and interview Chinese nationals in efforts to obtain travel documents for Chinese nationals that do not currently have identification and therefore are not removable and must be released by law.

| Percent of removal orders secured by ICE attorneys that Support ICE’s Civil Enforcement Priorities (CEP) | --- | --- | --- | --- | 60% | 58% | 60% | 60% |

During FY 2014, there was a large surge of apprehensions on the southwest border, and although those cases are treated as priority cases, there is a delay between apprehension date and receiving an order in removal proceedings. To meet FY 2015 targets, ICE will continue to employ the Criminal Alien Program Surge Enforcement Team initiative with a goal of completing four operations by the end of the fiscal year. Additionally, ICE will implement a U.S./China Memorandum of Understanding which will allow Chinese experts to travel to the U.S. and interview Chinese nationals in efforts to obtain travel documents for Chinese nationals that do not currently have identification and therefore are routinely released. Finally, to address attrition issues, ICE continues to address pay parity for its officers through the uniform career path initiative, which would finally provide appropriate pay for commensurate workload.

| Percent of detention facilities found in compliance with the national detention standards by receiving an acceptable inspection rating | --- | --- | 95% | 97% | 100% | 100% | 100% | 100% |

Note 1: Previous measure name: Percent of religious worker site visits conducted that result in a potential finding of fraud.

Note 2: Previous measure name: Percent of non-immigrant worker (H1-B) site visits conducted that result in a potential finding of fraud.
Mission 4: Safeguard and Secure Cyberspace

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

Strategies

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

Summary of Progress

Strategic Review Assessment Lead: Bob Kolasky, Director, Office of Policy, Office of Infrastructure Protection, NPPD

Constantly evolving and sophisticated cyber threats pose unique challenges to the Nation’s critical infrastructure and its government systems. Critical infrastructure provides essential services such as energy, telecommunications, water, transportation, and financial services and is increasingly subject to sophisticated cyber intrusions that pose new risks. As information technology becomes increasingly integrated with physical infrastructure operations, there is increased risk for wide-scale or high-consequence events which could cause harm or disrupt services upon which our economy and the daily lives of millions of Americans depend.

To address these issues, the Department has expanded the Enhanced Cybersecurity Services program for sharing sensitive and classified threat indicators to all 16 critical infrastructure sectors. It has also instituted a new “share line” policy to enhance sharing of cyber threat information at the unclassified level. The Office of Intelligence and Analysis (I&A) and the National Cybersecurity and Communications Integration Center (NCCIC) are making significant improvements in their capability and capacity to share information with federal, state, local, and international stakeholders. In FY 2013, 94 percent of the DHS Intelligence Enterprise reporting was rated “satisfactory” or higher. In addition, the Department supported the development of the Blueprint for a Secure Cyber Future and the 2013 National Infrastructure Protection Plan (NIPP) which outlines strategies to integrate cyber and physical security to ensure the resilience of critical infrastructure assets, systems, and networks. Of particular note has been work with the Communications, Information Technology, Financial Services, and the Energy sectors. Each of these sectors has become more aggressive in addressing cybersecurity challenges based on the risk landscape. In FY 2013, the Department facilitated over 3,500 assessments and among responding organizations, 100% implemented at least one cybersecurity enhancement after receiving a cybersecurity assessment.
Although significant work has been done in support of this goal, significant challenges exist due to the voluntary nature of the effort, a lack of statutory authority, and private ownership of critical infrastructure. In addition, there is still uncertainty of the entire scope and scale of cyber and physical risks to critical infrastructure. Finally, during 2013, the introduction of Executive Order 13636 and Presidential Policy Directive 21 required the Department to reprioritize its initiatives and repurpose some of its resources.

**Overall Assessment:** Performance for this goal is satisfactory. No specific actions regarding changes to policy, regulations, or budget were identified in the review. The strategic review highlighted activities associated with implementation strategies, reactions to legislation, and information sharing that will continue to advance progress on this goal.

**Performance Results and Plan**

In FY 2014, there were six performance measures used to assess the Department’s efforts for this goal. For the FY 2015-2016 performance plan, one measure is being retired. In FY 2014, 83 percent of the measures met their target and 83 percent maintained or improved actual results compared to FY 2013.

<table>
<thead>
<tr>
<th>Goal</th>
<th>Performance Summary</th>
</tr>
</thead>
<tbody>
<tr>
<td>Goal 4.1: Strengthen the Security and Resilience of Critical Infrastructure</td>
<td>Scale: 0% 25% 50% 75% 100%</td>
</tr>
</tbody>
</table>

♦ - Percent of measures that met their FY 2014 target.
◊ - Percent of measures that maintained or improved actual performance results compared to FY 2013.

Below are two highlighted strategic measures gauging our efforts to strengthen the security and resilience of critical infrastructure.

<table>
<thead>
<tr>
<th>Percent of intelligence reports rated “satisfactory” or higher in customer feedback that enable customers to manage risks to cyberspace (I&amp;A)</th>
</tr>
</thead>
<tbody>
<tr>
<td>FY09 Result</td>
</tr>
<tr>
<td>---</td>
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<tr>
<td>***</td>
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</tbody>
</table>

Four DHS Intelligence Enterprise (IE) components contribute data to this measure; the Office of Intelligence and Analysis (I&A), National Protection and Programs Directorate (NPPD), Transportation Safety Administration (TSA), and U.S. Coast Guard. This measure aggregates customer ratings of the usefulness of intelligence reports disseminated by those components in helping their customers manage risks. The annual target was met, in addition to other factors, through component efforts throughout the year to proactively contact product customers to elicit feedback on their products.

<table>
<thead>
<tr>
<th>Percent of organizations that have implemented at least one cybersecurity enhancement after receiving a cybersecurity vulnerability assessment or survey (NPPD)</th>
</tr>
</thead>
<tbody>
<tr>
<td>FY09 Result</td>
</tr>
<tr>
<td>---</td>
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<td>***</td>
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</tbody>
</table>

This measure demonstrates the percent of assessed asset owners and operators that are not only developing a better understanding of their cybersecurity posture, but also implementing.
cybersecurity enhancements to improve that posture following a cybersecurity assessment or survey. During FY 2014, 18 of 31 Industrial Control Systems Cyber Emergency Response Team responses indicated cybersecurity enhancements were made following an onsite assessment. In addition, Strategic Risk Assessment & Mitigation's Cybersecurity Evaluation Program received a total of 7 feedback forms of which 6 indicated cybersecurity enhancements were made following an onsite assessment. In total, 24 out of 38 responses indicated a cybersecurity enhancement was made following an onsite assessment.

Below is a highlighted accomplishment demonstrating success in strengthening the security and resilience of critical infrastructure.

DHS Launches the C³ Voluntary Program

To help address both physical and cyber-infrastructure risks including acts of terror, natural disasters, and cyberattacks, President Obama signed Executive Order 13636 on Improving Cybersecurity Critical Infrastructure, and Presidential Policy Directive-21 on Critical Infrastructure Security and Resilience. The Executive Order directed DHS to establish a voluntary program for critical infrastructure cybersecurity to serve as a federal coordination point for cybersecurity resources and support cyberresilience by promoting use of the Cybersecurity Framework developed by the National Institute for Standards and Technology.

On February 12, 2014, NPPD announced the creation of the Critical Infrastructure Cyber Community C³ Voluntary Program. The C³ Voluntary Program emphasizes three Cs: Converging critical infrastructure community resources to support cybersecurity risk management and resilience through use of the Cybersecurity Framework; Connecting critical infrastructure stakeholders to the national resilience effort through cyberresilience advocacy, engagement and awareness; and Coordinating critical infrastructure cross sector efforts to maximize national cyberresilience.

The C³ Voluntary Program gives state and local governments as well as companies that provide critical services (e.g., cell phones, email, banking, and energy) direct access to cybersecurity experts within DHS who have knowledge about specific threats we face, ways to counter those threats, and how, over the long term, we can design and build systems that are less vulnerable to cyberthreats. Read more about the C³ Voluntary Program at www.dhs.gov/ccubedvp.

The remaining strategic 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 targets, an explanation with corrective action are provided. In addition, changes to measure names and targets from the previous year’s report are identified. Finally, with efforts to continually improve our set of performance measures, new measures are introduced and measures are retired each year, and are identified in the measure tables.

<table>
<thead>
<tr>
<th>Performance Measures</th>
<th>FY09</th>
<th>FY10</th>
<th>FY11</th>
<th>FY12</th>
<th>FY13</th>
<th>Target</th>
<th>Results</th>
<th>FY15</th>
<th>FY16</th>
</tr>
</thead>
<tbody>
<tr>
<td>National Protection and Programs Directorate</td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>Number of cybersecurity vulnerability and resiliency assessments and self-assessments facilitated by DHS</td>
<td>---</td>
<td>---</td>
<td>---</td>
<td>---</td>
<td>3,565</td>
<td>4,000</td>
<td>5,319</td>
<td>Retired</td>
<td></td>
</tr>
</tbody>
</table>
## Performance Measures

<table>
<thead>
<tr>
<th>Performance Measures</th>
<th>Prior Year Results</th>
<th>FY 2014</th>
<th>Planned Targets</th>
</tr>
</thead>
<tbody>
<tr>
<td></td>
<td>FY09</td>
<td>FY10</td>
<td>FY11</td>
</tr>
<tr>
<td>Percent of facilities that are likely to integrate vulnerability assessment or survey information into security and resilience enhancements</td>
<td>---</td>
<td>---</td>
<td>---</td>
</tr>
<tr>
<td>Percent of high risk facilities that receive a facility security assessment in compliance with the Interagency Security Committee (ISC) schedule</td>
<td>---</td>
<td>---</td>
<td>---</td>
</tr>
</tbody>
</table>

This measure encompasses the total number of Facility Security Levels (FSL) 3 and 4 facilities to be assessed within a rolling three-year cycle. Although Federal Protective Service (FPS) made a concerted effort to reduce the Facility Security Assessment (FSA) backlog in FY 2014, the target was not met because the FSA program’s efforts were less robust in the previous fiscal year. Due to the inability to convene on-site FCSs, FPS was unable to formally present 660 assessments of the 1,228 assessments that were conducted in FY 2013. FPS has established an adjusted schedule identified in the target to focus assessments on higher risk Level 3 and 4 facilities in FY 2014 and FY 2015, bringing these back into a standard assessment review schedule. FPS will continue its robust efforts undertaken in FY 2014 into FY 2015 and anticipates presenting the remaining 145 FSAs in FY 2015. FPS anticipates meeting the target in FY 2015.

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

<table>
<thead>
<tr>
<th>FY 2014</th>
<th>Planned Targets</th>
</tr>
</thead>
<tbody>
<tr>
<td>Target</td>
<td>Results</td>
</tr>
<tr>
<td>58%</td>
<td>74%</td>
</tr>
<tr>
<td>75%</td>
<td>79%</td>
</tr>
<tr>
<td>82%</td>
<td>90%</td>
</tr>
</tbody>
</table>

Note 1: The FY 2015 target previously published as 68% in the FY 2013 – 2015 Annual Performance Report was changed to 80% based on FY 2014 results.

Note 2: Previous measure name: Percent of cybersecurity mitigation strategies provided by DHS for unique vulnerabilities that are timely and actionable.
Mission 4: Safeguard and Secure Cyberspace

Goal 4.2: Secure the Federal Civilian Government Information Technology Enterprise

Strategies

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

Summary of Progress

Strategic Review Assessment Lead: Mike Darling, Director, Enterprise Performance Management, Cybersecurity and Communications, NPPD

Americans rely on many essential services and functions provided by the Federal Government, and in the inter-connected, internet-based world, federal network systems must be secure to protect Americans’ personal information and national security information. DHS plays a leading role in securing federal civilian networks, allowing the Federal Government to do its business securely. To strengthen the resiliency of federal civilian networks, the Department works with stakeholders across the entire cyber community to pursue effective projects to address increasingly sophisticated cyber threats. Forty-five Memoranda of Agreement have been signed with all the major federal agencies and 20 of the small/micro agencies to deploy Continuous Diagnostics and Monitoring technology.

Through the National Protection and Programs Directorate (NPPD), DHS is continuing its work to implement intrusion detection and prevention services through the National Cybersecurity Protection System. This integrated system of intrusion detection, analytics, intrusion prevention, and information sharing capabilities is used to defend federal civilian departments’ and agencies’ information technology infrastructure from cyber threats. In order to allow the Federal Government to diagnose and prioritize cybersecurity risks and threats, DHS is working to deploy Continuous Diagnostics and Monitoring to help system personnel to identify and mitigate flaws at near-network speed.

DHS will continue to positively impact stakeholders by providing tools and services that enhance the speed and cost-effectiveness of federal cybersecurity efforts, to increasing visibility into their environments, and leveraging partnerships and services to raise the cybersecurity posture of the Federal Civilian Government Enterprise.

Overall Assessment: Performance for this goal is satisfactory. No specific actions regarding changes to policy, regulations, legislation, or budget were identified in the review. The strategic review highlighted activities associated with implementation strategies and systems improvements that will continue to advance progress on this goal.
Performance Results and Plan

In FY 2014, there were two performance measures used to assess the Department’s efforts for this goal. In FY 2014, 100 percent of the measures met their target and 100 percent maintained or improved actual results compared to FY 2013.

Below are two highlighted strategic measures gauging our efforts to secure the federal civilian government information technology enterprise. Changes to measure names and targets from the previous year’s report are identified. In addition, with efforts to continually improve our set of performance measures, new measures are introduced and measures are retired each year, and are identified in the measure tables.

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

<table>
<thead>
<tr>
<th>FY09 Result</th>
<th>FY10 Result</th>
<th>FY11 Result</th>
<th>FY12 Result</th>
<th>FY13 Result</th>
<th>FY14 Target</th>
<th>FY14 Result</th>
<th>FY15 Target</th>
<th>FY16 Target</th>
</tr>
</thead>
<tbody>
<tr>
<td>---</td>
<td>---</td>
<td>---</td>
<td>73.0%</td>
<td>82.4%</td>
<td>85.0%</td>
<td>88.5%</td>
<td>89.0%*</td>
<td>89.0%</td>
</tr>
</tbody>
</table>

This measure assesses DHS’s scope of coverage for potential malicious cyber-activity across participating civilian Federal Government agencies. Federal Executive Branch network monitoring uses EINSTEIN network flow and intrusion detection system sensors which are deployed to trusted internet connection 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. During FY 2014, CFO Act agencies consolidated 241,166 Mbps of their traffic from the total traffic of 272,480 Mbps. Reporting is based on all 18 Trusted Internet Connection Access Providers, plus the seven CFO Act agencies that use Managed Trusted Internet Protocol Service (Department of Labor, Environmental Protection Agency, General Services Administration, Nuclear Regulatory Commission, National Science Foundation, Small Business Administration, and U.S. Agency for International Development).

* Note: The FY 2015 target previously published as 87.0% in the FY 2013 – 2015 Annual Performance Report was changed to 89% based on FY 2014 results.

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

<table>
<thead>
<tr>
<th>FY09 Result</th>
<th>FY10 Result</th>
<th>FY11 Result</th>
<th>FY12 Result</th>
<th>FY13 Result</th>
<th>FY14 Target</th>
<th>FY14 Result</th>
<th>FY15 Target</th>
<th>FY16 Target</th>
</tr>
</thead>
<tbody>
<tr>
<td>---</td>
<td>---</td>
<td>---</td>
<td>---</td>
<td>80%</td>
<td>100%</td>
<td>85%</td>
<td>90%</td>
<td></td>
</tr>
</tbody>
</table>

Each currently deployed indicator of a malicious threat is paired with a countermeasure to prevent the malicious threat from harming those networks. In FY 2014, 389 indicators were deployed. The

1 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 agencies.
program did not meet the annual target in FY 2014; however, results may fall below 100 percent in future fiscal years as the program expands the number of indicators and countermeasures it uses.

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

**Continuous Diagnostics and Mitigation Program**

On January 15, 2014, the General Services Administration (GSA) announced the award of a contract for tools and sensors to support DHS’s Continuous Diagnostics and Mitigation (CDM) program. The Delivery Order is the first under the Continuous Monitoring as a Service Blanket Purchase Agreement, established by GSA with DHS in August 2013, which will allow federal departments and agencies (D/As) to gain more comprehensive situational awareness into their cybersecurity risk postures and to begin mitigating the most significant risks first. By accessing CDM tools and services, federal agencies (including DHS) have the ability to enhance and further automate their existing continuous network monitoring capabilities, correlate and analyze critical security-related information, and enhance risk-based decision-making at the agency- and federal-enterprise level.

CDM Delivery Order 1 marks a significant milestone for the CDM program. Strategic sourcing in this acquisition resulted in an average 30% reduction off GSA Schedule 70 pricing for the commodities purchased, for a budget avoidance of up to $26 million. Delivery Order 1 was completed over a five month time period and provided $59.7 million of CDM tools to 21 D/As, with 100 percent property and financial accountability.

DHS’s National Protection and Programs Directorate (NPPD) is committed to the continued deployment of CDM tools and services as quickly as and efficiently as possible by working with GSA’s Federal Systems Integration and Management Center (FEDSIM) to develop a number of task orders that will include tools, sensors, and integration services. NPPD coordinated with the Office of Management and Budget, National Security Council, and the federal Chief Information Officer Council on an acquisition strategy to deliver CDM to the largest number of participating D/As, by grouping D/As into affinity groups to achieve economies of scale and efficiency of acquisition processes.
Mission 4: Safeguard and Secure Cyberspace

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

Strategies

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

Summary of Progress

Strategic Review Assessment Lead: Mike Darling, Director, Enterprise Performance Management, Cybersecurity and Communications, NPPD

While the cyber environment offers the potential for rapid technological advancement and economic growth, a range of malicious actors may seek to exploit cyberspace for dangerous or harmful purposes, cause mass disruption of communications or other services, and attack the Nation’s infrastructure through cyber means. The threat is imminent and growing.

DHS has made progress in its ability to respond to, assist in, and prosecute cybercrime. The National Cybersecurity and Communications Integration Center (NCCIC) handles more than 100,000 cyber incident detections and more than 850 requests for assistance from the public and private sector each month. The NCCIC uses that information to disseminate cyber threat and vulnerability analysis information to federal, state, and local stakeholders. NCCIC also receives nearly 1,000 requests for assistance and has reduced the average time for initial response from 138 minutes in FY 2011 to less than 5 minutes. The U.S. Secret Service (USSS) has arrested approximately 1,400 individuals for cybercrime violations who were responsible for more than $280 million in fraud scams while the U.S. Immigration and Customs Enforcement (ICE) has disrupted or dismantled numerous child exploitation schemes.

Strategic partnerships and increased coordination between USSS and ICE have provided force multiplication, coordinated training, and a growth in the number of trained cyber investigators.

The size and scope of cybercrime continues to grow and the Department is working to improve its capabilities. While the NCCIC developed a baseline level of onsite and remote incident response and recovery support, efforts will continue to automate a significant portion of our incident response to increase efficiency and effectiveness. USSS and ICE will continue to leverage federal, state, local, and international partnerships to improve coordination, training, and methods to prosecute those whose use cyberspace to commit crimes.

Overall Assessment: Performance for this goal is satisfactory. No specific actions regarding changes to policy, regulations, legislation, or budget were identified in the review. The strategic review highlighted activities associated with international agreements, implementation strategies, process improvements, systems improvements, and risk analyses that will continue to advance progress on this goal.
Performance Results and Plan

In FY 2014, there five performance measures used to assess the Department’s efforts for this goal. In FY 2014, 40 percent of the measures met their target and 40 percent maintained or improved actual results compared to FY 2013.

| Goal 4.3: Advance Cyber Law Enforcement, Incident Response, and Reporting Capabilities |
| Scale: 0% 25% 50% 75% 100% |
| ♦ - Percent of measures that met their FY 2014 target. |
| ◊ - Percent of measures that maintained or improved actual performance results compared to FY 2013. |

Below are two highlighted strategic measures gauging our efforts to advance law enforcement, incident response, and reporting capabilities.

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

<table>
<thead>
<tr>
<th>FY09 Result</th>
<th>FY10 Result</th>
<th>FY11 Result</th>
<th>FY12 Result</th>
<th>FY13 Result</th>
<th>FY14 Target</th>
<th>FY14 Result</th>
<th>FY15 Target</th>
<th>FY16 Target</th>
</tr>
</thead>
<tbody>
<tr>
<td>---</td>
<td>---</td>
<td>---</td>
<td>---</td>
<td>89.0%</td>
<td>90.0%</td>
<td>87.2%</td>
<td>92.0%</td>
<td>94.0%</td>
</tr>
</tbody>
</table>

In FY 2014, there were 297 cyber incidents identified on federal networks using the EINSTEIN system. The average time to notify impacted agencies was 18 minutes, with 87.2% (259 of 297) of notifications occurring within 30 minutes. The primary reason for the shortfall resulted from transition issues that occurred from a change in contactor support. Additionally, three Standard Operating Procedures (SOP) had to be revised to increase incident notification data quality and address DHS Office of Inspector General concerns on handling of Personally Identifiable Information. SOP updates have been initiated and should be completed during the first quarter of FY 2015. Performance outcomes are expected to follow implementation of the revised SOPs and the program anticipates meeting its target in FY 2015.

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

<table>
<thead>
<tr>
<th>FY09 Result</th>
<th>FY10 Result</th>
<th>FY11 Result</th>
<th>FY12 Result</th>
<th>FY13 Result</th>
<th>FY14 Target</th>
<th>FY14 Result</th>
<th>FY15 Target</th>
<th>FY16 Target</th>
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<tr>
<td>---</td>
<td>---</td>
<td>---</td>
<td>---</td>
<td>$1,119</td>
<td>$900</td>
<td>$384</td>
<td>$727*</td>
<td>$727</td>
</tr>
</tbody>
</table>

The Criminal Investigations program prevented $384 million dollars in financial losses in FY 2014 through the successful and proactive investigations of computer-related and telecommunications crimes. The target is below last year’s results and missed the target for this year primarily due to the size of cases closed and the time it takes to close these complex cases involving transnational criminals. Cyber cases are large in scope with numerous victims and are extremely difficult to investigate which lead to cyber cases staying open longer. The U.S. Secret Service will continue to align its resources in this fiscally constrained environment to the highest priority risks and has adjusted its out year targets accordingly. The U.S. Secret Service is committed to investigating and arresting as many cyber financial criminals as possible to prevent loss to victims.

* The FY 2015 target previously published as $915 in the FY 2013 – 2015 Annual Performance Report was changed to $727 based on prior year’s results and planned resource allocation.
Below is a highlighted accomplishment demonstrating success in cyber law enforcement, response, and reporting.

Agents Coordinate Arrest in the Maldives of Most Prolific Russian Cybercriminal

The USSS’s Cyber-Intelligence Section tracked the activities of Roman Seleznev, an alleged senior member of organized online criminal networks operating within the former Soviet Union. Over several years and through numerous court orders, search warrants, review of email accounts, computer servers, and business records, agents identified Seleznev as the alleged computer hacker behind multiple network intrusions of over 100 businesses as well as the marketing and selling of hundreds of thousands of stolen credit card account numbers on multiple underground internet forums. In January 2012, the USSS indicted 50 suspects involved in the “Carder-su” criminal organization, to include Seleznev, who is alleged to have been a vendor on that website. The indictment charged Seleznev with multiple offenses to include violations of the Racketeer Influence and Corrupt Organization Act. Unlike many cybercriminals, Seleznev allegedly made the theft and sale of financial data his long-term profession—investigations indicate actual losses of over $20 million.

In June 2014, USSS discovered Seleznev was located in the Republic of the Maldives which is a location from which he could be extradition. The USSS coordinated with many federal law enforcement partners to allow the government of the Republic of the Maldives to turn over Seleznev to the United States. The Maldivian authorities turned over Seleznev to USSS agents for multiple alleged violations: aggravated identity theft, access device fraud; computer fraud; bank fraud; and participation in a racketeer influenced corrupt organization. This case continues pending adjudication.

The remaining strategic measures below were used in FY 2014 to gauge our efforts to advance cyber law enforcement, incident response, and reporting capabilities. For those measures that did not meet their targets, an explanation with corrective action are provided. In addition, changes to measure names and targets from the previous year’s report are identified. Finally, with efforts to continually improve our set of performance measures, new measures are introduced and measures are retired each year, and are identified in the measure tables.
Prior Year Results | FY 2014 | Planned Targets
--- | --- | --- | --- | --- | --- | --- |
Performance Measures | FY09 | FY10 | FY11 | FY12 | FY13 | Target | Results | FY15 | FY16
Terabytes of data forensically analyzed for criminal investigations | --- | --- | --- | --- | 4,002 | 2,900 | 4,902 | 3,500 | 3,800

Note 1: The FY 2015 target previously published as 1,000 in the FY 2013 – 2015 Annual Performance Report was changed to 1,300 based on prior year’s results and planned resource allocation.

Note 2: The FY 2015 target previously published as 2.15 in the FY 2013 – 2015 Annual Performance Report was changed to 0.4 based on prior year’s results and planned resource allocation.
Mission 4: Safeguard and Secure Cyberspace

Goal 4.4: Strengthen the Cyber Ecosystem

Strategies

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

Summary of Progress

Strategic Review Assessment Lead: Rosemary Wenchel, Deputy Assistant Secretary, Cybersecurity Coordination, NPPD

The cyber ecosystem comprises a variety of diverse participants—private firms, non-profits, governments, individuals, processes, and devices (e.g., computers and communications technologies)—that interact for multiple purposes. Today, adversaries attempt to exploit the cyber ecosystem’s vulnerabilities to steal identities, resources, and create general havoc. The rising volume and virulence of these attacks have the potential to degrade our economic capacity and threaten basic services that underpin our way of life.

DHS is improving the ability of the entire ecosystem to standardize and automate the sharing of cyber threat intelligence—enabling quick and effective response and mitigation—through the Structured Threat Information eXpression (STIX) language and Trusted Automated eXchange of Indicator Information (TAXII) service. STIX and TAXII deployments are increasing in both the public and private sectors. DHS has also successfully conducted and transitioned research and development that is enabling trustworthy cyber infrastructure for all Internet users; as an example, DHS led the development of the Resource Public Key Infrastructure, which is a suite of standards that helps prevent website hijacking.

In addition to these services and technologies, DHS has worked to develop skilled cyber professionals as well as enhance public awareness and promote cybersecurity best practices. DHS has created a new program to allow students to complete hands-on cybersecurity work at Immigration and Customs Enforcement field offices, and it continues to expand the Stop.Think.Connect.™ public awareness campaign. As the cyber ecosystem spans the entirety of the globe, DHS has also advanced international engagement to promote capacity building, international standards, and cooperation and has finalized operational information sharing agreements and led and developed cyber exercises.
DHS will continue to make strides to improve the ecosystem through developing and growing people, services, and technologies, therefore positively impacting all levels of U.S. government, international partners, private sector partners, and the public at large.

**Overall Assessment:** Performance for this goal is satisfactory. No specific actions regarding changes to policy, regulations, legislation, or budget were identified in the review. The strategic review highlighted activities associated with international agreements, implementation strategies, and public outreach that will continue to advance progress on this goal.

### Performance Results and Plan

In FY 2014, there were two performance measures used to assess the Department’s efforts for this goal. For the FY 2015-2016 performance plan, one measure is being retired. In FY 2014, 100 percent of the measures met their target and 100 percent maintained or improved actual results compared to FY 2013.

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

<table>
<thead>
<tr>
<th>FY09 Result</th>
<th>FY10 Result</th>
<th>FY11 Result</th>
<th>FY12 Result</th>
<th>FY13 Result</th>
<th>FY14 Target</th>
<th>FY14 Result</th>
<th>FY15 Target</th>
<th>FY16 Target</th>
</tr>
</thead>
<tbody>
<tr>
<td>---</td>
<td>---</td>
<td>---</td>
<td>---</td>
<td>89%</td>
<td>65%</td>
<td>93%</td>
<td>80%**</td>
<td>80%</td>
</tr>
</tbody>
</table>

This measure reflects the percent of S&T’s projects that identify and complete planned transitions of a cybersecurity product and/or service to a commercial or open source. S&T’s Cyber Security Division identifies, funds, and coordinates cybersecurity research and development resulting in deployable security solutions. These solutions include user identity and data privacy technologies, end system security, research infrastructure, law enforcement forensic capabilities, secure protocols, software assurance, and cybersecurity education. In FY 2014, S&T exceeded expectations, completing 93 percent of planned cybersecurity product and service transitions. The measure outperformed its target due to continued process maturity in the Cyber Security Division.

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* Previous measure name: Percent of planned cyber security products and services transitioned to commercial and open sources.

** The FY 2015 target previously published as 65% in the FY 2013 – 2015 Annual Performance Report was changed to 80% based on prior year’s results. The target was set to prevent risk aversion in research and development while still enforcing realistic performance expectations.
All of the S&T Cyber Security Division's projects are collaborating with outside entities, including the private sector, universities, international partners, and other DHS components. Collaboration is a critical success factor for research projects for both user coordination and strengthening the performance and quality of research efforts.

Below is a highlighted accomplishment demonstrating success in developing skilled cybersecurity professionals.

### Cyber Student Volunteer Initiative

The Secretary’s Honors Program Cyber Student Volunteer Initiative (CSVI) was established and piloted in 2013 with approximately 20 college student volunteers completing assignments at U.S. Immigration and Customs Enforcement Homeland Security Investigation field offices across the country. The pilot was a success and provided students pursuing degrees related to cybersecurity with the opportunity to work with top Department of Homeland Security (DHS) cybersecurity professionals, while learning about the unique cybersecurity missions of the Department. The program was expanded for the 2014 class to include more students from two- and four-year colleges and universities, additional DHS Components, field office locations, and professional development events for students. In response, DHS received more than 1,600 applications for approximately 100 student volunteer positions throughout the Department.

During the spring and summer of 2014, the Management Directorate’s CyberSkills Management Support Initiative (CMSI) partnered with the following Components and organizations to place over 67 students in volunteer assignments: U.S. Immigration and Customs Enforcement, Office of the Chief Information Officer, Office of Intelligence and Analysis, National Protection and Program Directorate, Transportation Security Administration, U.S. Coast Guard, and U.S. Secret Service. Student volunteers were exposed to various cybersecurity activities, including: researching open source forensic tools; updating forensic system hardware/software; researching virtual currency; producing unclassified analyses of cyber threats; supporting investigations into personal use violations; and assisting with network monitoring and incident response.

CMSI also sponsored a series of mentoring and professional development events, including panel discussions with DHS cyber program managers, law enforcement professionals, and Homeland Security Advisory Council cyber experts; a briefing on federal human capital processes and cyber opportunities; and a briefing/question and answer session with DHS senior leaders featuring the Acting Under Secretary for Management.
Mission 5: Strengthen National Preparedness and Resilience

Goal 5.1: Enhance National Preparedness

Strategies

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

Summary of Progress

Strategic Review Assessment Lead: Katherine Fox, Deputy Associate Administrator, Office of Policy and Program Analysis, FEMA

As the Nation faces a diverse set of threats and hazards that challenge collective security and resilience, DHS has enhanced national preparedness by engaging homeland security partners and stakeholders across all levels of government, non-governmental organizations, private entities, community leaders, and individuals to understand and mitigate risks.

Using this ‘Whole Community’-centric approach, DHS engages in a variety of initiatives that assist the nation in gauging progress made in building, sustaining, and delivering the capabilities needed to prepare for a disaster, including the development of the National Preparedness Report (NPR), State Preparedness Reports (SPRs), and Threat and Hazard Identification and Risk Assessments (THIRAs). In addition, the Department regularly facilitates and participates in emergency preparedness exercises that assist the federal government in preparing for and coordinating multiple-jurisdictional integrated responses to a national catastrophic event. DHS capitalized on technological innovations, such as mobile applications and sensors to solicit and manage volunteers more efficiently for disaster relief, and improve information sharing and situational awareness through DHS’s Homeland Security Information Network and the DHS Common Operating Picture. In addition, DHS has placed greater emphasis on more systematically integrating tribal communities into preparedness to improve emergency and disaster responsiveness.

DHS continues to launch new initiatives, such as America’s PrepareAthon! to further enhance preparedness and resilience through community-based drills, discussions, and exercises focused on relevant local hazards. The Department continues to refine the guidance and tools used to develop the SPR and THIRA and streamline processes for reporting and analyzing data to reduce the burden on stakeholders. DHS is working to improve the homeland security grant program application and reporting process through bolstered technical assistance to state applicants. These efforts will help maintain a Whole Community approach to preparedness.

Overall Assessment: Performance for this goal is satisfactory. No specific actions regarding changes to policy, regulations, legislation, or budget were identified in the review. The strategic review highlighted activities associated with implementation strategies, process improvements, public outreach, and asset recapitalization that will continue to advance progress on this goal.
Performance Results and Plan

In FY 2014, there were four performance measures used to assess the Department’s efforts for this goal. For the FY 2015-2016 performance plan, two new measures are being introduced and one measure is being retired. In FY 2014, 50 percent of the measures met their target and 75 percent maintained or improved actual results compared to FY 2013.

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

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

<table>
<thead>
<tr>
<th></th>
<th>FY09 Result</th>
<th>FY10 Result</th>
<th>FY11 Result</th>
<th>FY12 Result</th>
<th>FY13 Result</th>
<th>FY14 Target</th>
<th>FY14 Result</th>
<th>FY15 Target</th>
<th>FY16 Target</th>
</tr>
</thead>
<tbody>
<tr>
<td>FY09 Result</td>
<td>---</td>
<td>---</td>
<td>---</td>
<td>---</td>
<td>86%</td>
<td>100%</td>
<td>71%</td>
<td>100%</td>
<td>100%</td>
</tr>
</tbody>
</table>

The National Preparedness System outlines an organized process for everyone in the Whole Community to move forward with their preparedness activities to achieve the National Preparedness Goal. Developing and maintaining an understanding of risks faced by communities and the Nation is an essential component of the National Preparedness System. The THIRA is a tool that 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. In FY 2014, 40 of 56 states and territories completed a Threat and Hazard Identification and Risk Assessments (THIRA) in alignment with DHS guidance. Federal Emergency Management Agency (FEMA) Regions reviewed the THIRAs to assess if state and territory December 2013 THIRA submissions aligned with Comprehensive Preparedness Guide 201, Second Edition. States and territories experienced challenges with the updated 2013 THIRA requirement to estimate resources required to achieve the capability targets, as well as with development of measurable targets consistent with core capability definitions in the National Preparedness Goal. In preparation for the next annual THIRA, FEMA focused technical assistance to the states and territories on these steps of the THIRA.

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

<table>
<thead>
<tr>
<th></th>
<th>FY09 Result</th>
<th>FY10 Result</th>
<th>FY11 Result</th>
<th>FY12 Result</th>
<th>FY13 Result</th>
<th>FY14 Target</th>
<th>FY14 Result</th>
<th>FY15 Target</th>
<th>FY16 Target</th>
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</thead>
<tbody>
<tr>
<td>FY09 Result</td>
<td>---</td>
<td>---</td>
<td>---</td>
<td>---</td>
<td>---</td>
<td>42%</td>
<td>43%</td>
<td>44%</td>
<td>46%</td>
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</tbody>
</table>

Forty-three percent of survey respondents reported that they had participated in a preparedness exercise or drill at their workplace, school, home, or other community location in the past year, exceeding the FY 2014 target. Practicing exercises and drills is an effective way to achieve more prepared and resilient individuals and communities. FEMA conducts national household surveys to gain insight into preparedness behavior. The survey results surpassed the target of 42 percent. Below is a highlighted accomplishment demonstrating success in enhancing national preparedness.
National Fire Academy Training

During FY 2014, the National Fire Academy actively worked on the development and delivery of a number of Wildland-Urban Interface (WUI) courses directed at both company officers that primarily respond to structural fires as well as fire service personnel who have organizational responsibility for WUI risk reduction operations in their agency or jurisdiction. WUI areas are defined as areas where homes are built near or among lands prone to wildland fire. Depending on the area of the country, fire departments might refer to wildland fires as brush fires, forest fires, rangeland fires, or something else; however, they are all part of the WUI and all pose the same threat to local assets. The increase in the WUI threat has been steep because of continued development and increased fire hazard conditions of fuel, weather, and topography.

WUI courses are designed to prepare responders to address fires that occur in these areas. Individual courses range in duration from two to six days in length and topics include: WUI Interface Firefighting, Command and Control of WUI Fire Operations, Cooperative Leadership Issues in WUI, and WUI Fire Adapted Communities. In addition to these courses, the National Fire Academy, in cooperation with the National Fire Programs Division, has developed a series of “coffee break” style training vignettes that are available on-line.

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

<table>
<thead>
<tr>
<th>Performance Measures</th>
<th>Prior Year Results</th>
<th>FY 2014</th>
<th>Planned Targets</th>
</tr>
</thead>
<tbody>
<tr>
<td></td>
<td>FY09</td>
<td>FY10</td>
<td>FY11</td>
</tr>
<tr>
<td>Federal Emergency Management Agency</td>
<td></td>
<td></td>
<td></td>
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<tr>
<td>Number of states and territories that have demonstrated improvement toward achieving their core capability targets established through their Threat and Hazard Identification and Risk Assessment (THIRA)</td>
<td>---</td>
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<tr>
<td>Percent of high-priority core planning capabilities² rated as proficient by states and territories</td>
<td>---</td>
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<td>---</td>
</tr>
<tr>
<td>Percent of corrective actions that have been completed on time to improve performance following Capstone national level exercises</td>
<td>---</td>
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</tbody>
</table>
All the corrective actions due in FY 2014 were tasked following the 2012 national level exercise which examined the ability of the United States to execute a coordinated response to a series of significant cyber incidents. All corrective actions were due no later than 18 months following the 2012 exercise. Two-thirds have been completed. The remaining third are taking longer to resolve, particularly those involving revision of the National Cyber Incident Response Plan and have been rebaselined accordingly. FEMA is working with federal agencies to establish a better process for estimating the level of effort and time required to resolve corrective actions in future Capstone exercises, including development of improved outcome statements for, and milestones to achieve, the desired end state to address identified gaps in capabilities. DHS will discontinue reporting this measure as the National Exercise Program has moved to a two year cycle and annual data will no longer be available.

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

<table>
<thead>
<tr>
<th>Performance Measures</th>
<th>FY09</th>
<th>FY10</th>
<th>FY11</th>
<th>FY12</th>
<th>FY13</th>
<th>FY14</th>
<th>FY15</th>
<th>FY16</th>
</tr>
</thead>
<tbody>
<tr>
<td>New Measure</td>
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</tr>
<tr>
<td>Note 1: Although this is a new measure for the DHS performance plan in FY 2014, the program was able to report results. The FY 2014 result for this measure was 28.</td>
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<tr>
<td>Note 2: Please see the <strong>FY 2012 National Preparedness Report</strong> for a description of the core capabilities.</td>
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<tr>
<td>Note 3: National Level Exercises are now conducted once every two years, thus corrective actions and their due dates are not recorded annually, resulting in gaps in measurement.</td>
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</table>
Mission 5: Strengthen National Preparedness and Resilience

Goal 5.2: Mitigate Hazards and Vulnerabilities

**Strategies**

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

**Summary of Progress**

**Assessment Co-Lead:** Katherine Fox, Deputy Associate Administrator, Office of Policy and Program Analysis, FEMA  
**Assessment Co-Lead:** CAPT Jon Burton, Director, Inspections and Compliance, USCG

DHS has improved the Nation’s ability to reduce loss of life and damage to property from disasters by lessening the impact of threats and hazards through an understanding of risks and by developing robust mitigation capabilities. Mitigation activities reduce, eliminate, or otherwise address vulnerabilities, and avoid or lessen the impact of a disaster, thereby creating safer communities.

The Department’s efforts to promote awareness and understanding of individual household and community-specific risks resulted in increases of households that have taken steps to mitigate property damage and protect themselves, and increases of high-risk communities adopting disaster-resistant building codes. Mitigation efforts in the maritime environment have also shown progress through reductions in the average number of chemical discharge incidents and oil spills, and declines in the five-year averages for commercial mariner and recreational boating deaths and injuries.

DHS used a variety of strategies to engage Whole Community partners and stakeholders in risk mitigation activities. For example, DHS worked with local government and private sector partners in one urban area to research risk and vulnerabilities for chemical attacks and incidents, and then led mitigation and response planning efforts with the potential for national application. In addition, DHS capitalized on innovation to make progress in the development and application of chemical detectors for homeland security, the development of a more resilient electric grid, and enhanced modeling and mapping applications for the emergency management community.

Future initiatives designed to further mitigate risks and vulnerabilities include, but are not limited to: increase community resilience; protect physical infrastructure; improve maritime safety; modernize electronic navigation; and promote safe, secure, and environmentally sound maritime commerce.

**Overall Assessment:** Performance for this goal is satisfactory. No specific actions regarding changes to policy, regulations, or budget were identified in the review. The strategic review highlighted activities associated with implementation strategies, systems improvements, public...
outreach, research and development, and reactions to legislation that will continue to advance progress on this goal.

**Performance Results and Plan**

In FY 2014, there were five performance measures used to assess the Department’s efforts for this goal. For the FY 2015-2016 performance plan, one new measure is being introduced and two measures are being retired. In FY 2014, 80 percent of the measures met their target and 80 percent maintained or improved actual results compared to FY 2013.

<table>
<thead>
<tr>
<th>Goal</th>
<th>Performance Summary</th>
</tr>
</thead>
<tbody>
<tr>
<td></td>
<td>Scale:</td>
</tr>
<tr>
<td>Goal 5.2: Mitigate Hazards and Vulnerabilities</td>
<td></td>
</tr>
</tbody>
</table>

- Percent of measures that met their FY 2014 target.
- Percent of measures that maintained or improved actual performance results compared to FY 2013.

Below are two highlighted strategic 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)**

<table>
<thead>
<tr>
<th></th>
<th>FY09 Result</th>
<th>FY10 Result</th>
<th>FY11 Result</th>
<th>FY12 Result</th>
<th>FY13 Result</th>
<th>FY14 Target</th>
<th>FY14 Result</th>
<th>FY15 Target</th>
<th>FY16 Target</th>
</tr>
</thead>
<tbody>
<tr>
<td></td>
<td>---</td>
<td>---</td>
<td>48%</td>
<td>56%</td>
<td>57%</td>
<td>57%</td>
<td>61%</td>
<td>61%</td>
<td>62%</td>
</tr>
</tbody>
</table>

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. Steady progress has been made in the percentage of communities in high earthquake, flood, and wind-prone areas adopting disaster-resistant building codes due to training, education, outreach, and associated adoption of building codes by both communities and businesses.

**Reduction in the potential cost of natural disasters to communities and their citizens (in billions) (FEMA)**

<table>
<thead>
<tr>
<th></th>
<th>FY09 Result</th>
<th>FY10 Result</th>
<th>FY11 Result</th>
<th>FY12 Result</th>
<th>FY13 Result</th>
<th>FY14 Target</th>
<th>FY14 Result</th>
<th>FY15 Target</th>
<th>FY16 Target</th>
</tr>
</thead>
<tbody>
<tr>
<td></td>
<td>$3.12</td>
<td>$2.98</td>
<td>$3.40</td>
<td>$2.97</td>
<td>$3.21</td>
<td>$2.60</td>
<td>$3.92</td>
<td>$2.60</td>
<td>$2.60</td>
</tr>
</tbody>
</table>

This measure reports the estimated dollar value of losses to the American public which are avoided or averted through a strategic approach of natural hazard risk management. This measure reflects losses avoided from the Hazard Mitigation Grant Program, Floodplain Management, Flood Mitigation Assistance, Pre-disaster Mitigation, Severe Repetitive Loss, and Repetitive Flood Claim programs.
Below is a highlighted accomplishment demonstrating success in preventing incidents by establishing, and ensuring compliance with, standards and regulations.

### Mitigating Hazards – Oil Spills and Pollution

In 2014, the Coast Guard worked with maritime industry stakeholders to broaden the set of regulations implementing the Oil Pollution Act of 1990 (OPA 90). These regulatory changes extended the planning requirements that previously affected only bulk oil carriers, tankers, and tank barges to include non-tank vessels. In response to these changes, vessel owners and operators updated their response plans to include a complete spectrum of oil spill removal, salvage, and marine firefighting services.

The impetus for this change stemmed from the COSCO BUSAN (operated by Fleet Management, Ltd of Hong Kong) striking the San Francisco-Oakland Bay Bridge in November 7, 2007. This serious incident resulted in severe damage to the vessel and the release of approximately 53,000 gallons of fuel oil into San Francisco Bay. This and other spills raised awareness of the increased pollution risk that large non-tank vessels represent, and highlighted the importance of finalizing response plan requirements. Spills from modern, non-tank vessels have resulted in as much oil spilled as tank vessels, with both causing damage to the marine environment and disruption to U.S. ports and waterways.

To date, industry partners have submitted over 2,100 response plans supporting more than 15,000 vessels and resulting in a near 100% compliance for Non-Tank Vessels. A significant achievement for the Coast Guard and maritime industry, this initiative represents one of many industry partnership efforts to protect the environment and to safeguard and facilitate commerce.

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

<table>
<thead>
<tr>
<th>Performance Measures</th>
<th>Prior Year Results</th>
<th>FY 2014</th>
<th>Planned Targets</th>
</tr>
</thead>
<tbody>
<tr>
<td><strong>Federal Emergency Management Agency</strong></td>
<td>FY09</td>
<td>FY10</td>
<td>FY11</td>
</tr>
<tr>
<td>Percent of households surveyed reporting they have taken steps to mitigate damage to property and protect themselves in the event of a disaster</td>
<td>---</td>
<td>---</td>
<td>27%</td>
</tr>
<tr>
<td>This measure was unable to report data for FY 2014 because the survey mechanism for collection was unavailable for use during this period. FEMA is working to develop a new measure that assesses actions taken by households to mitigate against potential disasters. FEMA expects this measure to be available for collection in FY 2016, but will report the current measure as unreliable for FY 2014 due to the lack of available data.</td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>Percent of U.S. population (excluding territories) covered by planned mitigation strategies</td>
<td>---</td>
<td>---</td>
<td>68.7%</td>
</tr>
<tr>
<td>Performance Measures</td>
<td>FY09</td>
<td>FY10</td>
<td>FY11</td>
</tr>
<tr>
<td>----------------------</td>
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<td>------</td>
</tr>
<tr>
<td><strong>U.S. Coast Guard</strong></td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>Five-year average number of commercial and recreational boating deaths and injuries</td>
<td>---</td>
<td>---</td>
<td>4,567</td>
</tr>
<tr>
<td>Three-year average number of serious marine incidents</td>
<td>---</td>
<td>---</td>
<td>---</td>
</tr>
</tbody>
</table>

Retired
Mission 5: Strengthen National Preparedness and Resilience

Goal 5.3: Ensure Effective Emergency Response

Strategies

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

Summary of Progress

Assessment Co-Lead: Katherine Fox, Deputy Associate Administrator, Office of Policy and Program Analysis, FEMA
Assessment Co-Lead: CAPT Sheryl Dickinson, Director, Incident Management and Preparedness Policy, USCG

The Department of Homeland Security (DHS), in consultation with the Office of Management and Budget, has determined that performance toward this goal is making noteworthy progress. The Department ensures effective emergency response to natural and man-made disasters by supporting state, local, regional, tribal, and territorial governments while working closely with nongovernmental organizations and the private sector to help leverage additional resources. The Federal Emergency Management Agency (FEMA) prepared for and assisted in Hurricane Sandy’s immediate aftermath, as more than 23,000 people sought refuge in temporary shelters, and more than 8.5 million customers lost power. The U.S. Coast Guard coordinated the response to 559 pollution incidents, including three major oil spills.

During Sandy and other disasters, DHS established joint federal/state incident objectives and interoperable communications between FEMA-supported incident sites; deployed urban search and rescue resources; rapidly activated response coordination centers; and issued timely alerts, warnings, operations orders, and situation reports. In addition to joint responses to major disasters, USCG supported daily maritime search and rescue operations.

A variety of international, national, component, and office-level strategies and plans drive progress toward ensuring effective emergency response. DHS engages homeland security partners and stakeholders from across the emergency management community in a continuous process of strategy development and implementation. This Whole Community approach to building emergency response capability and capacity incorporates lessons learned from exercises and real-world events.

Innovation in communications technology and enhancements to the Homeland Security Information Network and DHS Common Operating Picture have improved information sharing and situational awareness. In addition, the integration of Incident Management Response Teams has improved DHS’s ability to provide effective, unified incident response and disaster assistance.
To manage future relationships and to strengthen our Nation’s response capability, DHS and the entire homeland security enterprise will continue to leverage whole community resources, ensure a qualified and high-performing workforce for steady-state and disaster missions, foster analytical and performance management capabilities that effectively support business and decision-making processes, and improve readiness to respond to all-hazard incidents through doctrine, planning, education, standardization, and technology.

**Overall Assessment:** Performance for this goal is noteworthy. No specific actions regarding changes to policy, regulations, or budget were identified in the review. The strategic review highlighted activities associated with international agreements, implementation strategies, asset recapitalization, information sharing, and reactions to legislation that will continue to advance progress on this goal.

### Performance Results and Plan

In FY 2014, there were seven performance measures used to assess the Department’s efforts for this goal. For the FY 2015-2016 performance plan, one measure is being retired. In FY 2014, 57 percent of the measures met their target and 86 percent maintained or improved actual results compared to FY 2013.

<table>
<thead>
<tr>
<th>Goal 5.3: Ensure Effective Emergency Response</th>
<th>Performance Summary</th>
</tr>
</thead>
<tbody>
<tr>
<td>Scale: 0% 25% 50% 75% 100%</td>
<td></td>
</tr>
<tr>
<td>♦ - Percent of measures that met their FY 2014 target.</td>
<td></td>
</tr>
<tr>
<td>◊ - Percent of measures that maintained or improved actual performance results compared to FY 2013.</td>
<td></td>
</tr>
</tbody>
</table>

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

<table>
<thead>
<tr>
<th>Percent of incident management and support actions taken that are necessary to stabilize an incident that are performed within 72 hours or by the agreed upon time (FEMA)*</th>
</tr>
</thead>
<tbody>
<tr>
<td>FY09 Result</td>
</tr>
<tr>
<td>---</td>
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</tbody>
</table>

As part of the [National Response Framework](#), FEMA is responsible for 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. All Response incident management and support actions initiated in FY 2014 met required timeframes and requirements for Incident Management Assistance Teams, Urban Search and Rescue, Mobile Emergency Response Support, National Response Coordination Center, FEMA Operations Center, and National Watch Center resources.

* Previous measure name: Percent of incident management and support actions necessary to stabilize a jurisdiction within 72 hours or by the agreed upon time.
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)

<table>
<thead>
<tr>
<th>FY09 Result</th>
<th>FY10 Result</th>
<th>FY11 Result</th>
<th>FY12 Result</th>
<th>FY13 Result</th>
<th>FY14 Target</th>
<th>FY14 Result</th>
<th>FY15 Target</th>
<th>FY16 Target</th>
</tr>
</thead>
<tbody>
<tr>
<td>---</td>
<td>97.5%</td>
<td>93.3%</td>
<td>92.8%</td>
<td>95.4%</td>
<td>95.0%</td>
<td>97.9%</td>
<td>95.0%</td>
<td>95.0%</td>
</tr>
</tbody>
</table>

This measurement evaluates the percentage of orders from FEMA Distribution Centers or logistics partners that arrive at the specified location by the validated and agreed upon delivery date. FEMA exceeded annual target goal by delivering 142 of 145 orders by the requested time/date for the year. Over the last three years, FEMA has seen a steady improvement in this measure.

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

**Disability Support during Disasters**

Mr. Mike Houston, Disability Integration Advisor with the FEMA National Incident Management Assistance Team (IMAT), and members of FEMA’s Disaster Survivor Assistance Team, assisted disaster survivor Paul Barnes, Jr. in applying for federal disaster assistance after torrential rain from a pair of thunderstorms triggered major flash flooding in his Pensacola, Florida neighborhood in May of 2014. They communicated in their shared first language—American Sign Language.

Mr. Houston is deaf, and was raised by deaf parents. His full-time role with the IMAT is coordinated with the FEMA Office of Disability Integration and Coordination and their national Disability Integration Cadre. Disability Integration Advisor Cadre members are experts on disability inclusive emergency management. The Cadre has grown to almost 70 members in 2014 whose efforts are to guide equal access to FEMA programs and services. These subject matter experts advise and provide technical assistance on providing effective communication access for disaster survivors with disabilities and others with access and functional needs. There are 20 sign language interpreters in the Cadre and all are deployable in disasters. In addition, the Office of Disability Integration and Coordination works with the FEMA Individual Assistance program to ensure that Disaster Recovery Centers are accessible to survivors with disabilities. This includes physical accessibility, assistive technology devices, materials in alternate formats, symbol signage, and on-site and remote qualified sign language interpreters as tools for meeting the accessibility requirements of disaster survivors with disabilities. Disability Integration Advisors have deployed to over 80 disasters since 2011 and on virtually every FEMA deployment in 2014.

The remaining strategic measures are used to gauge our efforts to ensure effective emergency response. For those measures that did not meet their targets, an explanation with corrective action are provided. In addition, changes to measure names and targets from the previous year’s report are identified.
### Federal Emergency Management Agency

<table>
<thead>
<tr>
<th>Performance Measures</th>
<th>FY09</th>
<th>FY10</th>
<th>FY11</th>
<th>FY12</th>
<th>FY13</th>
<th>FY15</th>
<th>FY16</th>
</tr>
</thead>
<tbody>
<tr>
<td>Percent of the U.S. population directly covered by FEMA connected radio transmission stations</td>
<td>---</td>
<td>72%</td>
<td>84%</td>
<td>85%</td>
<td>90%</td>
<td>90%</td>
<td>90%</td>
</tr>
<tr>
<td>Percent of Incident Management Assistance Teams establishing joint federal and state response objectives within 18 hours</td>
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<td>100%</td>
<td>100%</td>
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</table>

### National Protection and Programs Directorate

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<thead>
<tr>
<th>Performance Measures</th>
<th>FY09</th>
<th>FY10</th>
<th>FY11</th>
<th>FY12</th>
<th>FY13</th>
<th>FY14</th>
<th>FY15</th>
<th>FY16</th>
</tr>
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<tbody>
<tr>
<td>Percent of urban area interoperable communications capabilities that are rated at the most advanced levels</td>
<td>---</td>
<td>---</td>
<td>---</td>
<td>---</td>
<td>67%</td>
<td>75%</td>
<td>N/A</td>
<td>Retired</td>
</tr>
<tr>
<td>Percent of calls made by National Security/Emergency Preparedness users during emergency situations that DHS ensured were connected</td>
<td>94.2%</td>
<td>99.4%</td>
<td>97.8%</td>
<td>99.4%</td>
<td>96.8%</td>
<td>100%</td>
<td>99.3%</td>
<td>97.0%</td>
</tr>
</tbody>
</table>

In FY 2014 there were 126,085 ensured/completed calls out of the 126,958 calls. The Government Emergency Telecommunications Service that connects calls during emergency situations uses the public telephone network (architecture and technology) and requires the network—at the point of origin and the destination—be able to manage the call volume. Although the program may never reach its aspirational goal of 100 percent, they will continue to strive to ensure all calls made by National Security/Emergency Preparedness users during emergency situations are connected.

### U.S. Coast Guard

<table>
<thead>
<tr>
<th>Performance Measures</th>
<th>FY09</th>
<th>FY10</th>
<th>FY11</th>
<th>FY12</th>
<th>FY13</th>
<th>FY14</th>
<th>FY15</th>
<th>FY16</th>
</tr>
</thead>
<tbody>
<tr>
<td>Percent of people in imminent danger saved in the maritime environment</td>
<td>77.3%</td>
<td>74.4%</td>
<td>77.3%</td>
<td>77.3%</td>
<td>79.0%</td>
<td>100%</td>
<td>79.0%</td>
<td>100%</td>
</tr>
</tbody>
</table>

In FY 2014, U.S. Coast Guard saved 3,430 lives in the prosecution of 17,491 Search and Rescue cases. Factors beyond U.S. Coast Guard control often lead to tragic outcomes despite U.S. Coast Guard efforts to achieve a favorable outcome. Distress victims may, for example, succumb to traumatic injuries incurred in a boating accident before first responders reach the scene. In such cases, the opportunity to influence the outcome is negligible but the U.S. Coast Guard nonetheless responds with the intent to rescue. There are numerous variables that affect the percentage of people saved from imminent danger, many of which are beyond U.S. Coast Guard control. While the FY14 target was not realized, the percent of people in imminent danger saved is consistent with previous years. U.S. Coast Guard Search and Rescue will continue to analyze Search and Rescue data to determine potential causes for variances and determine contributing factors.

Note 1: Results for this measure were unavailable in FY 2014 since authorization per the Paperwork Reduction Act was not obtained to conduct the survey designed to capture the data. This measure is being retired.

Note 2: The FY 2015 target previously published as 100% in the FY 2013 – 2015 Annual Performance Report was changed to 97% based on prior year’s results.
Mission 5: Strengthen National Preparedness and Resilience

Goal 5.4: Enable Rapid Recovery

Strategies

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

Summary of Progress

Strategic Review Assessment Lead: Katherine Fox, Deputy Associate Administrator, Office of Policy and Program Analysis, FEMA

In FY 2013, there were 65 major disaster declarations, 17 emergency declarations, and 29 fire management assistance declarations. In addition to responding to these events, DHS carried out ongoing long-term recovery efforts from prior years such as Hurricane Sandy and the Deepwater Horizon spill. The breadth of these disasters required both land and maritime response and recovery operations involving numerous DHS Components and the coordination with individuals, businesses, nonprofit organizations, and local, tribal, territorial, state, and other Federal Government agencies. The quality of services provided by DHS was evidenced by very good assistance to individuals and state and local governments following disasters. In addition, DHS shortened its average time to provide housing assistance from 12 days to 4.3 days.

DHS has implemented a survivor-centric approach to provide increased flexibility in delivering recovery services to individuals and communities. This approach was designed to ease the burden placed on survivors, simplify processes to assist state and local officials, and generally improve overall recovery efforts. A key component of this approach was the establishment of deployable Disaster Survivor Assistance cadres and Disaster Recovery Centers. DHS also integrated advanced technologies into its field operations to strengthen recovery efforts. This included the use of mobile devices capable of geo-tagging and capturing photos, as well as the use of geospatial data to provide post-disaster assessments, which allowed recovery efforts to be targeted to high-impact areas. The effect of these collective actions has been improved continuity, restoration of services, and delivery of support to survivors in the aftermath of a disaster.

DHS will continue to implement provisions of the Sandy Recovery Improvement Act and reorient its activities and programs to be survivor-centric and develop simplified processes to assist Whole Community partners in disaster recovery efforts.

Overall Assessment: Performance for this goal is satisfactory. No specific actions regarding changes to policy, regulations, legislation, or budget were identified in the review. The strategic review highlighted activities associated with implementation strategies, process improvements, public outreach, and asset recapitalization that will continue to advance progress on this goal.
Performance Results and Plan

In FY 2014, there were two performance measures used to assess the Department’s efforts for this goal. In FY 2014, zero percent of the measures met their target and 50 percent maintained or improved actual results compared to FY 2013.

<table>
<thead>
<tr>
<th>Goal</th>
<th>Performance Summary</th>
</tr>
</thead>
<tbody>
<tr>
<td>Goal 5.4: Enable Rapid Recovery</td>
<td></td>
</tr>
</tbody>
</table>

- Percent of measures that met their FY 2014 target.
- Percent of measures that maintained or improved actual performance results compared to FY 2013.

Below are two highlighted strategic measures gauging our efforts to enable rapid recovery. Changes to measure names and targets from the previous year’s report are identified. In addition, with efforts to continually improve our set of performance measures, new measures are introduced and measures are retired each year, and are identified in the measure tables.

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)

<table>
<thead>
<tr>
<th>FY09 Result</th>
<th>FY10 Result</th>
<th>FY11 Result</th>
<th>FY12 Result</th>
<th>FY13 Result</th>
<th>FY14 Target</th>
<th>FY14 Result</th>
<th>FY15 Target</th>
<th>FY16 Target</th>
</tr>
</thead>
<tbody>
<tr>
<td>***</td>
<td>***</td>
<td>***</td>
<td>***</td>
<td>94.5%</td>
<td>92.0%</td>
<td>91.5%</td>
<td>93.0%</td>
<td>94.0%</td>
</tr>
</tbody>
</table>

This measure reflects FEMA’s role in delivering quality services to disaster survivors based on several factors: housing assistance cases; call center timeliness; staffing levels; grants management system availability; disaster case management; and customer satisfaction. In the aftermath of a disaster, taking steps toward restoring safety and comfort can make a big difference in a survivor’s ability to recover. Recovery assistance helps individuals affected by disasters and emergencies return to normal quickly and efficiently. In FY 2014, FEMA narrowly missed its target, achieving a 91.5 percent quality rating, down from FY 2013. Seven of the 49 disasters declarations in FY2014 were for Individual Assistance. Over half of those declarations occurred during severe storms April into May, spawning tornados and resulting in flooding across the southern states. The severe storms in Michigan during September resulted in 61 percent of total Individual Assistance cases in FY2014. FEMA provided housing assistance to disaster survivors in 4.3 days on average and was able to improve that to 3.6 towards at the end of the year. Customer satisfaction improved throughout the year and exceeded FY 2013’s results. An extension of assistance was granted to Colorado for Disaster Case Management assistance, which delayed the provision of the assistance; this was a major factor for Individual Assistance missing the yearly performance goal by 0.5 percent. To improve the performance moving forward, FEMA is streamlining the Disaster Case Management application and approval process as well as standardizing data collection methods.

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)

<table>
<thead>
<tr>
<th>FY09 Result</th>
<th>FY10 Result</th>
<th>FY11 Result</th>
<th>FY12 Result</th>
<th>FY13 Result</th>
<th>FY14 Target</th>
<th>FY14 Result</th>
<th>FY15 Target</th>
<th>FY16 Target</th>
</tr>
</thead>
<tbody>
<tr>
<td>***</td>
<td>***</td>
<td>***</td>
<td>***</td>
<td>86.2%</td>
<td>93.0%</td>
<td>90.9%</td>
<td>93.0%</td>
<td>93.0%</td>
</tr>
</tbody>
</table>

This measure reflects FEMA’s role in delivering quality services to communities following a disaster based upon three categories: program services, supporting infrastructure, and customer
satisfaction. Sub-elements within these three categories include ensuring timely kickoff meetings following requests for public assistance; having available grant management systems; assuring that business staff are in place; and, delivering these services to enhance customer satisfaction of those receiving public assistance. FEMA’s Public Assistance program for FY2014 has demonstrated a significant performance improvement of nearly 5 percent from FY2013; however, Public Assistance fell short of the established goal. Public Assistance performed well above target throughout the year for three of the designated performance areas, but fell short for the response time of request for public assistance. Public Assistance missed this designated performance area by 4 percent; however, there was an 8 percent improvement in this area over FY2013 results. In order to improve the results for FY2015, FEMA has undertaken a review of the Public Assistance program to re-align the program delivery model to establish processes for rapid, consistent, and accurate determinations with specific metrics. This reengineering effort will streamline and improve the efficiency of the grant funding process.

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

### State Grants Program Enables Recovery Efforts

The Homeland Security State Grants Program played an important role in the successful execution of two state recovery efforts in FY 2014 following severe flooding in Washington and Iowa.

While the DHS Secretary and FEMA Administrator toured the Washington mudslide and flooding response and recovery operations on April 6, 2014, they were approached by a helicopter pilot from the Snohomish County Sheriff’s Office Search and Rescue team. This individual was the first person to get an aerial view of the mudslide and began making rescues within an hour. He told the Secretary and Administrator that the Sheriff’s Office had used State Homeland Security Grant Program funds to outfit their rescue helicopter with a forward looking infrared camera and communications equipment which proved to be invaluable and helped save many lives during the rescue operations.

In June 2014, Iowa was struck by a band of severe storms that resulted in severe flooding across sections of the state. The Iowa Homeland Security and Emergency Management Department responded by dispatching Incident Management Teams (IMT) which they developed over the years using State Homeland Security Program grants funds. These IMTs were instrumental in helping the local emergency managers and responders to coordinate evacuations of local residents in the flood zones, and resulted in the loss of only a single life, when a building collapsed. These IMTs have been invaluable to the state for many years; and have saved countless lives during the regular flooding that occurs. These teams are located across the state and are dispatched as needed to high-risk areas.
Mature and Strengthen Homeland Security

Goal: Integrate Intelligence, Information Sharing, and Operations

Strategies

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

Summary of Progress

Strategic Review Assessment Lead: Darlene Wright, Associate Deputy Undersecretary, Plans, Policy and Performance Management, Intelligence and Analysis

The homeland security mission depends on our collective ability to share timely, accurate, and relevant information, with the right people, at the right time. DHS works through sustained and collaborative relationships with federal, state, local, tribal, territorial, and private sector entities. Over the past year, DHS reinforced the planning, policy, and implementation framework for intelligence integration, information sharing, and operations. The Department worked to develop integrated intelligence priorities, an enterprise-wide plan for intelligence analysis, information sharing and safeguarding strategies, counterintelligence guidance and a DHS data framework.

DHS improved performance by strengthening processes to increase production, timeliness and customer satisfaction in many facets of intelligence integration, information sharing—both domestic and international—and operations including requests for information processing, dissemination of intelligence information reports, finished intelligence products, breaking Homeland Security reports, and intelligence training. The Department also continued to improve capabilities across the National Network of Fusion Centers. All of these efforts were done while ensuring adequate protection of civil rights, civil liberties, privacy, oversight, and the proper level of transparency in the execution of our homeland security activities. DHS will continue to focus on improving systematic strategic planning for greater coordination and integration across the DHS Intelligence Enterprise.

Overall Assessment: Performance for this goal is satisfactory. No specific actions regarding changes to policy, regulations, legislation, or budget were identified in the review. The strategic review highlighted activities associated with implementation strategies, systems improvements, the development of additional performance measures, and information sharing that will continue to advance progress on this goal.
Performance Results and Plan

Below is a highlighted strategic measure gauging our efforts to integrate intelligence, information sharing, and operations. Changes to measure names and targets from the previous year’s report are identified. In addition, with efforts to continually improve our set of performance measures, new measures are introduced and measures are retired each year, and are identified in the measure tables.

| Percent of initial breaking homeland security blast calls initiated between the National Operations Center and designated homeland security partners within targeted timeframes (AO) |
|---|---|---|---|---|---|---|---|
| FY09 Result | FY10 Result | FY11 Result | FY12 Result | FY13 Result | FY14 Target | FY14 Result | FY15 Target | FY16 Target |
| 88% | 100% | 100% | 100% | 100% | 98% | 100% | 98% | 98% |

This measure assesses the rate at which DHS completes inter- and intra-agency blast calls to provide executive decision makers inside and outside DHS immediate verbal situational reports on breaking homeland security situations of national importance. All of the National Operations Center (NOC) duties following an incident are designed to prepare the Secretary to brief the American public within 60 minutes of a significant event if needed. The Analysis and Operations Component continues to meet its target and has maintained 100 percent execution for five years.
Mature and Strengthen Homeland Security

**Goal: Enhance Partnerships and Outreach**

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

### Summary of Progress

**Strategic Review Assessment Lead:** Michael Stroud, Assistant Secretary (Acting), Office of Policy, Private Sector Office

Public engagement with community partners and federal, state, and local governments is a priority for DHS. Private sector and local government engagement leverages resources that enhance the DHS mission, but also drives innovations and capabilities that can increase the effectiveness of national security programs.

Progress in partnerships can be seen in the increase in private sector companies’ assistance during man-made and natural disasters, enhancement of trusted traveler programs, reinforcement of private sector infrastructure, and deployment of a web-based toolset to improve community health resilience. The Loaned Executive Program, local Protective Security Advisors, and Office of Health Affairs’ state and local involvement with health officials enhance the Department’s assets and act as a force multiplier advancing the Department’s mission. Programs such as National Protection and Programs Directorate’s Critical Infrastructure Councils and the Private Sector Office’s Public-Private Partnerships Conference foster relations that coordinate national security efforts through economic sector collaboration. The Coast Guard’s Captain of the Port relationship, which combines authorities, regulatory regimes, and proactive collaboration among state and local agencies, industry, and port partners, strikes an important balance between regulation and partnership. This relationship encourages the use and creation of reasonable and fair regulations, and fosters industry-led innovations in maritime safety and response technologies. In addition, the Office for Civil Rights and Civil Liberties conducts engagement on countering violent extremism across the country and overseas, participating in dozens of conferences, workshops, speaker tours, visitor programs, and continues to expand engagement and outreach efforts.

The Department will continue to strengthen our state, local, tribal, and territorial partnership and outreach efforts to enhance the homeland security enterprise.

**Overall Assessment:** Performance for this goal is satisfactory. No specific actions regarding changes to policy, regulations, legislation, or budget were identified in the review. The strategic review highlighted activities associated with international agreements, implementation strategies, systems improvements, public outreach, and information sharing that will continue to advance progress on this goal.
Performance Results and Plan

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

Community Resiliency Exercises to Counter Violent Extremism

To counter violent extremism, DHS works with a broad range of partners to gain a better understanding of the behaviors, tactics, and other indicators that could point to potential terrorist activity within the United States, and the best ways to mitigate or prevent that activity. Public outreach and community engagement initiatives are central to the DHS strategy to counter violent extremism. These efforts are directed at addressing community grievances against the government, protecting civil rights, building trust between communities and law enforcement agencies, and promoting immigrant integration and community resilience. Active engagement with communities can undermine recruiting initiatives used by violent extremist groups, such as al-Qaida, al-Shabaab, and related affiliates.

The Community Resilience Exercise (CREX) is a half-day table-top exercise—designed on a successful United Kingdom model—to improve communication between law enforcement and communities and to share ideas on how best to build community resilience against violent extremism. The DHS Office for Civil Rights and Civil Liberties and National Counterterrorism Center’s Directorate for Strategic and Operational Planning have worked with local partners to implement this exercise in five cities across the United States to date with plans to implement numerous exercises in the near future.

The CREX uses professional facilitators to present an unfolding scenario of possible violent extremist activity focused on: 1) what the police have learned; and 2) what the community experiences. The scenario is revealed in several stages, with participants breaking into small groups after each stage to discuss potential responses and how they should work together. The scenario is hypothetical, but based on the behaviors exhibited by past violent extremists prior to their arrest. At the end of the exercise, the facilitators help the participants create a local action plan focused on prevention and intervention.

Below is a highlighted strategic measure gauging our efforts to enhance partnerships and outreach. Changes to measure names and targets from the previous year’s report are identified. In addition, with efforts to continually improve our set of performance measures, new measures are introduced and measures are retired each year, and are identified in the measure tables.

Percent of National Center for Missing and Exploited Children (NCMEC) examinations requested that are conducted (USSS)

<table>
<thead>
<tr>
<th>FY09 Result</th>
<th>FY10 Result</th>
<th>FY11 Result</th>
<th>FY12 Result</th>
<th>FY13 Result</th>
<th>FY14 Target</th>
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</table>

This measure represents the percentage of U.S. 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. The U.S. Secret Service has partnered with the National Center for Missing and Exploited Children for several years and has provided exemplary service conducting 100 percent of all examination requests for the last four years (333 examinations were conducted in FY 2014).
Mature and Strengthen Homeland Security

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

Strategies

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

Summary of Progress

Strategic Review Assessment Lead: Robert Mocny, Deputy Assistant Secretary, Office of Policy, Office of International Affairs

The Department of Homeland Security (DHS), in consultation with the Office of Management and Budget, has highlighted this goal as a focus area for improvement. The overall goal of the DHS international affairs enterprise is to improve Department coordination in order to achieve more effective and efficient engagement with international partners. DHS Components continued their international affairs activities, including bilateral and multilateral operations, exercises, agreements, negotiations, and dialogues. For example, in FY 2013, FEMA addressed concerns for foreign nationals impacted by U.S. disasters by hosting workshops with foreign consulates. In addition, the U.S. Coast Guard deployed 75 mobile training teams to 25 countries, hosted 250 international maritime students in resident courses, and provided foreign military sales and the transfer of excess defense articles.

DHS has sought to build up its international affairs programs by setting strategic international priorities and establishing a mechanism to coordinate and communicate across the international affairs enterprise. While great progress has been made to improve coordination, evidence indicates there is not a single, accepted view of DHS international operations and engagements. The multiplicity of views is due to independent Component activities, such as the pre-clearance of persons and freight by U.S. Customs and Border Protection, asylum operations conducted by U.S. Citizenship and Immigration Services, and investigations of transnational criminal organizations by Immigration and Customs Enforcement—each mission has a unique structure that operates largely independent of the others. Variances in perspective should be expected, given the breadth of DHS component missions, but uncertainty about basic international affairs management functions and a lack of orchestrated communication result in a need of a clearer vision for DHS’s International Affairs Enterprise. Continued work is needed to develop a strategic vision and improve coordination among Components to ensure that DHS is working towards unified goals.

Overall Assessment: Performance for this goal is a focus area for improvement.

Corrective Action Plan: The Office of International Affairs (OIA) and Components are engaged in a strategic review of the administration and management of all DHS offices with responsibility overseas to identify opportunities for consolidation of services and true cost savings. This review will also inform the development of an integrated strategic plan and footprint for DHS to carry out...
its international responsibilities under the Secretary’s unity of effort initiative. OIA will align its operations with the Components international affairs missions to better support the execution of the overarching DHS mission and priorities.

This effort had senior leader support in the form of the Deputies Management Action Group and the Chief Financial Officer’s Efficiency Review. Through these two efforts, the DHS Office of International Affairs should realize an increase in effectiveness and be able to address the shortcomings as noted in several reviews by the Government Accountability Office and Office of Inspector General. In addition, the Deputies Management Action Group directed an assessment and alternatives development for the DHS International Footprint. This effort will be underpinned with an update to the strategic environment assessment and resource base-lining and will be used to inform investment options-development by Issue Teams within the next Program and Budget Review.

Below is a highlighted accomplishment demonstrating success in DHS’s efforts to strengthen the international affairs enterprise.

**Beyond the Border**

The DHS Office of International Affairs (OIA) serves as the secretariat to coordinate interagency implementation of *Beyond the Border: A Vision for Perimeter Security and Economic Competitiveness*, announced by President Obama and Canadian Prime Minister Harper in February 2011, along with the subsequent December 2011 Action Plan. OIA leads coordination of the implementation effort among DHS Components and helps coordinate the U.S. interagency efforts to work collaboratively to address threats within, at, and away from our borders as early as possible while expediting lawful trade and travel.

In FY 2014, OIA tracked and reported on Beyond the Border (BTB) implementation progress for all agencies, including, for the third consecutive year, drafting and negotiating the annual BTB implementation report, which the White House will publicly release. Also in FY 2014, OIA played a key role in negotiating and coordinating the bilateral documentation that enabled CBP to implement a groundbreaking two-phase BTB truck cargo pre-inspection pilot in Surrey, British Columbia and in Fort Erie, Ontario. The pilot served as a proof of concept to test the technology and the ability to reduce wait times for cargo entering the United States from Canada.

Additionally, OIA serves as a single point of contact within the U.S. interagency for DHS’s engagement with Canada. In FY 2014, OIA convened a Department-wide briefing for the incoming U.S. Ambassador to Canada, which provided him with key background information on a variety of issues and initiatives DHS has with Canada, such as preclearance, automated immigration information sharing, law enforcement collaboration, cybersecurity, and intellectual property rights. The benefits of this early engagement are evidenced by the now-confirmed Ambassador’s public commitments to BTB implementation, his representation of other DHS interests such as intellectual property rights, and the frequent interaction and underlying trust that characterizes his interaction with Department leadership.
Mature and Strengthen Homeland Security

Goal: Conduct Homeland Security Research and Development

Strategies

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

Summary of Progress

Strategic Review Assessment Lead: Dick Williams, Chief Financial Officer, Science and Technology Directorate

Research and development (R&D) activities at the Department have a critical impact on our missions and are primarily carried out by the Science and Technology Directorate (S&T), the Domestic Nuclear Detection Office (DNDO), and the U.S. Coast Guard. Advanced technologies, knowledge products, technical analyses, laboratories, and university-based research contribute to the effectiveness and efficiency of DHS operations. Annual portfolio reviews assist with prioritizing key projects and aligning them with budgetary and planning requirements in order to focus on high-impact projects that rapidly transition to stakeholders.

Through its portfolio review, S&T has increased projects deemed likely to transition by 24 percent since FY 2010. In addition, DHS operational components are increasingly willing to share the risk necessary to develop the technology aligned to the DHS mission as 61 percent of projects received operational component funding—a 55 percent increase from FY 2012.

DNDO conducts long-term and applied R&D to address the challenges specific to nuclear detection. In FY 2013, it completed 42 comprehensive evaluations of technologies to protect against nuclear terrorism. This surpassed expectations and enhanced the Department’s ability to mitigate nuclear threats. DNDO’s R&D program engages small and large businesses, national laboratories, and academia in pursuit of solutions to meet the needs of its operational partners and to fill gaps in the Global Nuclear Detection Architecture, which is the framework for detection, analyzing, and reporting on nuclear and other radioactive materials outside of regulatory control.

At any given moment, the U.S. Coast Guard is working on more than 80 projects, pursuing technologies to strategically improve operations. The U.S. Coast Guard delivered 63 products with an on-time delivery rate of 92 percent, reflecting the ability to efficiently transform and transition new technologies into DHS’s maritime operations.

To offset research and development funding volatility and uncertainties, the Department increased collaboration across DHS, and with interagency and international partners. These efforts demonstrate how the Department is able to exercise a global reach across the dynamic spectrum of R&D efforts and will continue to focus on high-impact projects to advance the DHS mission.
**Overall Assessment:** Performance for this goal is satisfactory. No specific actions regarding changes to policy, regulations, legislation, or budget were identified in the review. The strategic review highlighted activities associated with cross-mission research and development that will continue to advance progress on this goal.

**Performance Results and Plan**

Below is a highlighted strategic measure followed by a management measure gauging our efforts to conduct homeland security research and development.

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

<table>
<thead>
<tr>
<th>FY09 Result</th>
<th>FY10 Result</th>
<th>FY11 Result</th>
<th>FY12 Result</th>
<th>FY13 Result</th>
<th>FY14 Target</th>
<th>FY14 Result</th>
<th>FY15 Target</th>
<th>FY16 Target</th>
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<td>---</td>
<td>---</td>
<td>New Measure</td>
<td>80%</td>
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One of S&T’s new focus areas is on Apex Programs. The goal of the Apex Program is to look strategically at the nation’s security and address future challenges while continuing to support today’s operational needs. This measure is being introduced into the FY 2015 Performance Plan to gauge the transition of these high-priority and high-value research and development projects. Apex technologies and knowledge products are delivered to improve homeland security operations and consist of cross-cutting, multi-disciplinary efforts which employ a 3-5 year innovation cycle from project inception through operational testing.

### Percent of Homeland Security Advanced Research Projects Agency (HSARPA) program milestones that are met, as established in the fiscal year's budget execution plan (S&T)

<table>
<thead>
<tr>
<th>FY09 Result</th>
<th>FY10 Result</th>
<th>FY11 Result</th>
<th>FY12 Result</th>
<th>FY13 Result</th>
<th>FY14 Target</th>
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<td>---</td>
<td>85%</td>
<td>62%</td>
<td>75%</td>
<td>77%</td>
<td>75%</td>
<td>75%</td>
</tr>
</tbody>
</table>

HSARPA manages a portfolio of highly innovative programs that are transforming the future mission space for Homeland Security. Complementary to S&T’s other programs and projects, HSARPA projects push scientific limits to address customer-identified gaps in areas where current technologies and R&D are inadequate or non-existent. HSARPA program managers lead teams of national experts in the development of new homeland security technologies, demonstrations, and applications that offer significant breakthroughs for DHS operations. These milestones reflect the programmatic and technical events, accomplishments, or intermediate goals in the life of HSARPA projects and programs. Performance for FY 2014 met the target and was up from FY 2013. S&T sets a target of 75 percent for all of its milestone measures to allow for each program to set aggressive research and development goals with the understanding that not all research and development activities result in success.
Below is a highlighted accomplishment demonstrating success in conducting homeland security research and development.

**Apex Air Entry and Exit Re-Engineering Project**

In recent years, increases in international travel and greater numbers of peak inbound international passengers have stressed CBP passenger entry screening operations, resulting in increased wait times and delays for travelers and airlines. In response, S&T along with CBP’s Office of Field Operations formally established the Apex Air Entry/Exit Re-engineering (AEER) partnership to enhance both air entry and air exit processes in order to meet increasing traveler volumes, and to identify a cost-effective concept of operation to biometrically confirm the departure of in-scope travelers from US airports.

To enhance its test and evaluation capability, Apex AEER established the Maryland Test Facility (MdTF) (see photo) in FY 2014, which gave CBP and S&T a controlled environment to evaluate the biometric technologies and other operational processes under simulated airport entry and exit conditions. The MdTF is approximately 25,000 square feet of reconfigurable laboratory space that is uniquely designed to support human subject scenario testing of candidate scenarios and technologies.

As a result of laboratory testing (Phase 1) in FY 2014, Apex AEER identified candidate biometric technologies that could be used to enhance entry operations as well as enable biometric exit capabilities. In scenario-based testing (Phase 2), Apex AEER will evaluate, assess system performance, and prioritize entry and exit concepts of operations based on impacts to DHS, airport, and airline processes.
Mature and Strengthen Homeland Security

Goal: Ensure Readiness of Frontline Operators and First Responders

Strategies

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

Summary of Progress

Strategic Review Assessment Lead: Marcus Hill, Assistant Director, Mission Readiness and Support, FLETC

Achieving proficiency, maintaining high-levels of readiness in homeland security related individual and collective specialized knowledge, skills, and abilities are critical to a unified partnership of law enforcement, first responders, and other frontline operators. The Department continues to make significant progress towards achieving this goal by providing basic and specialized training to more than 60,000 law enforcement agents annually—including more than 20,000 state, local, and international law enforcement officers, first responders, and other frontline operators.

Through rigorous lessons learned, operator and agent input, and innovative approaches, the Federal Law Enforcement Training Centers (FLETC) developed cutting edge training curriculum to address active shooter, police-on-police shooting, and distracted driving training which are recent and emerging issues law enforcement faces in a changing threat environment. FLETC maintained optimal customer satisfaction ratings while managing a constrained budget environment. In addition, the Department provided specialized training to new agents and officers including: U.S. Customs and Border Protection trained over 1,300 new Border Patrol Agents, CBP Officers, Air and Marine Agents, and Agricultural and Import Specialists; U.S. Immigration and Customs Enforcement effectively trained over 400 criminal investigators, deportation officers and immigration enforcement agents; and U.S. Secret Service conducted cybersecurity forensics training. In addition, FLETC supported the Federal Law Enforcement Training Accreditation board to accredit six federal law enforcement training centers and academies against established standards.

DHS will continue to look for other innovative ways to deliver training in a fiscally constrained environment, such as FLETC’s Online Campus, to address mounting training needs among our Nation’s law enforcement, frontline operators, and first responders and will continue to evolve its training curriculum to address evolving threats and increasing demand.

Overall Assessment: Performance for this goal is satisfactory. No specific actions regarding changes to policy, regulations, legislation, or budget were identified in the review. The strategic review highlighted activities associated with international agreements and process improvements that will continue to advance progress on this goal.
Performance Results and Plan

Below are two highlighted strategic measures gauging our efforts to train and exercise frontline operators and first responders. Changes to measure names and targets from the previous year’s report are identified.

<table>
<thead>
<tr>
<th>Number of federal law enforcement training programs and/or academies accredited or re-accredited through the Federal Law Enforcement Training Accreditation process (FLETC)</th>
</tr>
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<tbody>
<tr>
<td>FY09 Result</td>
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<tr>
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This performance measure reflects the cumulative number of federal law enforcement training programs and/or academies accredited or re-accredited through the Federal Law Enforcement Training Accreditation (FLETA) process. Agencies realize that FLETA accreditation provides a return on their investment as accreditation ensures a systematic approach to developing and providing consistent training for agencies. Steady upward progress has been seen by this program for many years.

<table>
<thead>
<tr>
<th>Percent of Partner Organizations that agree the Federal Law Enforcement Training Centers training programs address the right skills (e.g., critical knowledge, key skills and techniques, attitudes/behaviors) needed for their officers/agents to perform their law enforcement duties (FLETC)</th>
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<tbody>
<tr>
<td>FY09 Result</td>
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<tr>
<td>------------</td>
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<tr>
<td>82%</td>
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This performance measure reflects the satisfaction of Partner Organizations that FLETC training programs address the right skills needed for their officers/agents to perform their law enforcement duties such as the prevention of the introduction of high-consequence weapons of mass destruction, terrorism and other criminal activity against the U.S. and our citizens. The results of the measure provide ongoing opportunities for improvements that are incorporated into FLETC training curricula, processes and procedures. Partner Organizations indicated decreased satisfaction with their level of inclusion, contribution, and partnership with the FLETC. Training programs that meet end-users needs are important to our nation’s safety and security. FLETC is committed to providing the best training possible to all law enforcement organizations that we serve by establishing and maintaining a robust process to examine law enforcement trends and emerging issues. FLETC plans to collaborate with Partner Organizations to: 1) promote partnership; and 2) invite and respond to their input on research, development, and revision of training programs in order to effectively address the right skills needed for their officers/agents to perform their law enforcement duties.

* The FY 2015 target previously published as 97% in the FY 2013 – 2015 Annual Performance Report was changed to 92% based on prior year’s results.
Below is a highlighted accomplishment demonstrating success in training and exercising frontline operators and first responders.

**FLETC Expands Active Threat Training**

Acts of violence resulting in multiple casualties—such as the recent random shootings in schools, theaters, and shopping malls—have increasingly alarmed Americans. While they continue to constitute a small proportion of overall crime, they have compelled researchers and policymakers to take action to deter and better respond to this type of violence.

FLETC—in collaboration with its law enforcement Partner Organizations—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.” To support President Obama’s plan to reduce gun violence, FLETC received $4.5 million in FY 2014 to expand delivery of active threat training across the public security sector.

FLETC trained over 2,400 law enforcement officers, instructors, and leadership from across the Nation to recognize pre-incident indicators to mitigate threats, to properly respond to an active threat event, and to save the lives of officers and citizens through the tactical medical response. FLETC will continue to improve its active shooter training programs and offer courses for our Nation’s law enforcement officers.
Mature and Strengthen Homeland Security

Goal:  Strengthen Service Delivery and Manage DHS Resources

Strategies

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

Summary of Progress

Strategic Review Assessment Lead:  Vince Micone, Chief of Staff, Undersecretary for Management

The Department of Homeland Security (DHS), in consultation with the Office of Management and Budget, has highlighted this goal as a focus area for improvement. The Department of Homeland Security, in consultation with the Office of Management and Budget, has determined that performance toward this goal is resulted in limited progress being made toward this goal. Important strides have been made to strengthen DHS’s management functions and to integrate those functions across Headquarters and Components. Despite these efforts to mature management integration, Government Accountability Office’s (GAO) continues to include our Department on their list of agencies and program areas that are High Risk due to the need for transformation. DHS leadership has directed the attention of the Management Directorate to GAO’s thirty high risk outcomes identified related to Strengthening the Department of Homeland Security Management Functions, and been actively working to improve in all areas. Efforts have resulted in progress in financial management and controls, human capital management, IT program governance and acquisition management oversight.

The following examples provide key accomplishments during this past fiscal year illustrating DHS’s steady progress in strengthening service delivery and managing DHS resources. Energy management and efficiency has improved as demonstrated by having surpassed the Administration’s goal to reduce federal building energy use by 24 percent in FY 2013, and will continue to build on this success in the coming years. Financial management progress is evident in DHS’s first ever clean audit opinion, which was first achieved in FY 2013. Cross-Component coordination enabled DHS to improve its time-to-hire, reducing the average time-to-hire per employee to 100 calendar days (excluding security) in FY 2013 compared to 118 days in FY 2012. DHS achieved 100 percent, surpassing the goal of 55 percent, of major acquisition programs with approved core program management documentation for each acquisition life cycle phase.

Overall Assessment:  Performance for this goal is a focus area for improvement.
Corrective Action Plan: DHS leadership is actively managing a set of initiatives, holding regular internal progress reviews, and prioritizing efforts to move DHS off the GAO High Risk List. While additional work remains and sustained corrective action is necessary, DHS is firmly on the path to resolving the management risks identified by GAO. DHS has also implemented cross-cutting, multidimensional, transformational initiatives focused on integrated investment management and Business Intelligence, whose implementation duration will likely span multiple years. GAO has acknowledged the Department’s progress in transforming into a fully functioning cabinet department while simultaneously implementing a complex set of missions, and that this undertaking will take sustained achievements over time.

Performance Results and Plan

Below is a highlighted accomplishment demonstrating success in this goal.

DHS Veterans Hiring

Creating pathways to civilian employment for our veterans and service members returning home has been a high priority for President Obama and members of Congress given that the Department of Defense (DOD) estimates over 250,000 service members will transition out of the military each year for the next several years.

DHS is widely recognized as a leader across the Federal Government in veterans’ employment. For the past several years, only DOD and the Department of Veterans Affairs hired more veterans than DHS across the Federal Government. More than 53,000 veterans are employed across DHS, comprising 28 percent of the civilian workforce. Of this total, 14,000 are disabled veterans. For FY 2014, the DHS results were the highest ever recorded for both veterans and veterans with disabilities among new hires at 27.6 percent and 9.6 percent, respectively. The DHS Veterans Employment Team also received the Secretary’s Award for Excellence for sustained success in outstanding results related to veterans’ employment, innovative partnerships with other agencies, and the high regard held by leaders across the Federal Government.

DHS was recognized by the Office of Personnel Management Director, Katherine Archuleta, who announced a new government-wide initiative to enhance employment opportunities for women veterans and asked DHS’s Chief Human Capital Officer (CHCO) to lead the initiative. Earlier in FY 2014, DHS’s CHCO also had a leading role in developing the new government-wide Veterans Employment Performance Model for FYs 2015-2019 which was formally adopted by the Council on Veterans Employment which will enable greater assessment of performance in this area across the Federal Government. DHS recognizes the unique talents contributed by veterans and is proud to be a leader in the employment of those who have served our country.

Below are two highlighted management 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) |
|-----------------------------|-----------------------------|-----------------------------|-----------------------------|-----------------------------|-----------------------------|-----------------------------|-----------------------------|
| FY09 Result | FY10 Result | FY11 Result | FY12 Result | FY13 Result | FY14 Target | FY14 Result | FY15 Target | FY16 Target |
| --- | 23.4% | 21.2% | 24.9% | 24.5% | 25% | 27.6% | 25% | 25% |
This measure reflects the percentage of new Veteran hires for each fiscal year based on the total number of DHS new hires. As part of the President's Executive Order 13518 (November 9, 2009), on the Employment of Veterans in the Federal Government, the Council on Veterans Employment is required to establish performance goals to assess the effectiveness of the government-wide Veterans Employment Initiative. DHS has made excellent progress year-over-year in supporting our veterans.

| Percent reduction in scope 1 & 2 greenhouse gas emissions (DMO) |
|-------------|-------------|-------------|-------------|-------------|-------------|-------------|-------------|-------------|
| FY09 Result | FY10 Result | FY11 Result | FY12 Result | FY13 Result | FY14 Target | FY14 Result | FY15 Target | FY16 Target |
| ---         | ---         | 13.6%       | 5.3%        | 6.0%        | 5.0%        | 30.1%       | 7.0%        | 11.0%       |

The measure captures the percent reduction of greenhouse gas (GHG) emissions (scope 1 & 2 emissions only) across the Department of Homeland Security. FY 2014 results significantly exceeded the target. Most of the reduction is due to increased energy efficiency in buildings. Contributing factors include but are not limited to: increase in the number of sustainable buildings, power plants switching from coal to natural gas, enhanced accuracy in data reporting and updates in locality factors used to estimate GHG.
Priority Goals

Agency Priority Goals

In the FY 2014 Budget, the Obama Administration defined Agency Priority Goals (APG) which represent areas in which the Administration has identified opportunities to significantly improve near-term performance. DHS’s FY 2014 – 2015 APG’s are a set of focused initiatives that support the Agency’s longer-term strategic framework. A brief overview of each of the Department’s APGs is provided below. Additional detail is available at www.performance.gov.

| Agency Priority Goal 1: Strengthen Aviation Security Counterterrorism Capabilities and Improve the Passenger Experience by Using Intelligence Driven Information and Risk Based Decisions |
|---|---|
| **Goal Statement** | 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. |
| **Overview** | 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 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 Crew Member 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. |
| **Progress Update** | As of September 30, 2014, TSA achieved 44% of daily travelers receiving expedited physical screening. Specific activities through the end of FY 2014 |
- Availability of TSA Pre✓® at 119 airports with 11 participating airlines. At the beginning of FY 2015, one additional airport joined, bringing the total to 120 participating airports. There was also additional expedited screening in standard screening lanes at airports that do not support dedicated TSA Pre✓® screening lanes.
- Conducting “Managed Inclusion” activities using explosives detection, randomization, and/or behavior detection to enable passengers not enrolled in trusted traveler programs or designated trusted population to occasionally receive expedited screening.
- Extending participation eligibility to non-U.S. airlines, including partnership with Air Canada as the first participating in the program.
- Adding Department of Defense to Secure Flight and its list-based TSA Pre✓® service, thus expanding the eligible population.
- Increasing the Known Crew Member program to more than 55 airports across the country.
- Extending TSA Pre✓® eligibility to outbound international travelers and arriving in-bound international passengers at six airports with a Federal Inspection Station (FIS) connecting to a domestic flight aboard a participating airline. (This policy also extended TSA Pre✓® eligibility to arriving in-bound international passengers connecting to a domestic flight aboard a participating airline for passengers leaving the FIS and proceeding through screening at domestic screening checkpoints.)
- 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 CBP’s NEXUS Program, non-U.S. citizens who are members of CBP’s Global Entry Trusted Traveler Program, and TS/SCI clearance holders through the Office of the Director of National Intelligence.
- Expanding to more than 300 TSA Pre✓® application centers across the country, making TSA Pre✓® available to a broader population of travelers.
- Extending TSA Pre✓® eligibility to active, federal TSA employees and U.S. Department of State employees holding Top Secret level security clearances.
- Extending TSA Pre✓® eligibility to certain members of the National Fusion Center Association, Homeland Security Advisory Council, National Governors Association, and Aviation Security Advisory Committee.

The TSA Secure Flight Program continued to vet 100% of the domestic and international enplanements.

The wait time results at airport checkpoints represent typical operational performance.
The DHS TRIP program office adjudicated and closed 20,573 cases, 4,151 of which were older than 78 days. These closures reduced the backlog by 85 percent. This was accomplished through process improvement, improvements to the case management, and focused communications with DHS TRIP practitioners.

### Agency Priority Goal 2: Enforce and Administer our Immigration Laws through Prioritized Detention and Removal of Criminal Aliens

<table>
<thead>
<tr>
<th>Goal Statement</th>
<th>By September 30, 2015, ICE will increase criminal alien removals, as a percentage of total removals, by 5%.</th>
</tr>
</thead>
<tbody>
<tr>
<td>Overview</td>
<td>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. 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. ICE uses prosecutorial discretion which improves efficiencies by identifying and 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.</td>
</tr>
<tr>
<td>Progress Update</td>
<td>ICE is working to meet the Agency Priority Goals (APGs) of enforcing/administering immigration laws through prioritized detention/removal of criminal aliens. As of September 30, 2014, the 177,960 criminal alien removals are nearly 2% above the 55% baseline. This baseline metric is an important benchmark as it is the percentage of criminal aliens removed from the total number of removals in FY 2012 – the year in which ICE had the greatest number of criminal alien removals. ICE leadership guidance continues to focus its operations on agency priorities.</td>
</tr>
<tr>
<td></td>
<td>- The Criminal Alien Program (CAP) exceeded its goal by conducting three CAP Surge Enforce Team (CAPSET) operations by year’s end, which resulted in 657 detainers and 273 arrests.</td>
</tr>
<tr>
<td></td>
<td>- Fugitive Operations surpassed all previous years in the arrest of criminal aliens. Nearly 79% of its 27,062 arrests were convicted criminal aliens.</td>
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</table>
ICE’s Enforcement and Removal Operations (ERO) conducted the first “No Safe Haven” operation which targeted 24 known/suspected human rights violators.

- ICE also executed five international charters resulting in the removal of 34 “Failure to Comply” aliens. Failure to comply cases typically encompass aliens who have willfully made efforts to hinder their removal. These actions range from not completing requisite travel document applications to becoming violent on charter or commercial flights.

The Level 1 criminal alien target of 86,000 represented a 16% increase in removals from the FY 2013 end of year result of 74,159. Decreases resulted from the loss of Alien Transfer Exit Program (ATEP) removals. CBP continues to conduct these transfers to other locations; however, due to efficiencies in the CBP process ICE no longer takes aliens being transferred through ATEP into custody, which in-turn means these removals are not counted as ICE removals. Additionally, increases in jurisdictions not honoring detainers and aliens asserting credible fear claims. The number of 287(g) agreements, authorizing state and local law enforcement to perform immigration functions, continued to drop. In FY 2013, 287(g) facilitated approximately 11,000 criminal removals, as compared to only 8,000 removals in FY 2014.

A critical challenge was the unprecedented influx in unaccompanied children (UAC) and family units encountered in the RGV in 2014. Some 800 officers and support personnel (over 10% of ERO’s workforce) were detailed to support the effort in the RGV, and numerous officers outside the region performing interior transportation of UAC. Supporting the significant challenges with UAC and family unit apprehensions directed ICE resources and personnel away from other mission duties.

- In FY 2013, ERO had 6.20 book-ins per officer per month, including an average of 0.16 UACs and family units. In FY 2014, through July 31, 2014, ERO had 6.36 book-ins per officer per month, including an average of 0.90 UACs and family units. While the rate at which ERO booked aliens into custody between FY13 and FY14 remained constant, more book-ins consisted of UACs and family units which are generally more difficult to effect than those of adults not traveling with children.
- While ICE prioritized criminal removals, it could not ignore needs prompted by the surge in UAC and family units, which required the agency to focus resources to the southwest border to ensure they were sheltered, screened, and cared for.

State and local laws, executive orders, and policies in hundreds of jurisdictions are limiting cooperation with ICE detainers. When this happens, ICE must dedicate additional officer resources to locate and arrest criminal aliens in the public domain, resulting in additional time, effort, human resources, and officer and public safety risks.
ERO experienced its highest officer/agent attrition (3%) since its existence and the lowest officer/agent totals since 2008. Despite the growth in potential targets from Secure Communities nationwide deployment, attrition and these obstacles resulted in an overall negative trend.

<table>
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<tr>
<th>Agency Priority Goal 3: Ensure Resilience to Disasters by Strengthening Disaster Preparedness and Response Capabilities</th>
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<tbody>
<tr>
<td><strong>Goal Statement</strong></td>
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<td><strong>Overview</strong></td>
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</table>
| **Progress Update** | **Results:**  
- Twenty-eight states and territories demonstrated improvement in their State Preparedness Reports toward achieving their core capability targets established through their THIRAs to meet the target for this measure. As the process matures, states and territories are refining capability targets, generally making them more specific and measurable. Roughly 10% of targets were made more challenging from the year before, about a third became more specific, and only about 3% of targets were decreased. Given this, FEMA has confidence the results of this measure demonstrate an increase in state and territory preparedness capabilities as indicated through the State Preparedness Report assessment.  
- Forty out of 56 states and territories completed THIRAs in alignment with the DHS guidance. Analysis showed that the majority of states experience challenges completing Steps 2-4 of the THIRA process. These results informed THIRA technical assistance in Q4, which will assist states and territories to achieve alignment with DHS guidance in FY15.  
**Milestones:**  
- FEMA regional offices, the National Preparedness Assessment Division, and the National Integration Center performed 5 in-person technical assistance deliveries to states, territories, and urban areas regarding the completion of their THIRAs and State Preparedness Reports. In addition, from July through October 2014, 24 webinars were held to focus on specific areas of the THIRA and the State Preparedness Report process. |
Emphasis was placed on Steps 2, 3 and 4 of the THIRA, which is consistent with the majority of the challenges noted in the THIRA/State Preparedness Report checklists.

- The 2014 National Preparedness Report was released on August 6, 2014.
- In partnership with Departments and Agencies across the Federal Government, FEMA held the second National PrepareAthon! Day with a focus on six hazards: hurricanes, floods, tornadoes, wildfires, earthquakes, and winter storms. The campaign is directed by *Presidential Policy Directive 8: National Preparedness* as a component of a comprehensive approach to building and sustaining national preparedness and provides guidance on research-validated protective actions and other preparedness actions. Over 17 million participants were registered as of September 30, 2014 on the America’s PrepareAthon! website with a commitment to conduct preparedness actions as part of the campaign. Media exposure reached an estimated audience of nearly 3.7 million people.

**Challenges:**

- Analysis suggests the rate of increase in average state and territory State Preparedness Report ratings will taper off over time making it more difficult to achieve ambitious increases in capability. In part, this may be due to the nature of the data employed for analysis. A one-point State Preparedness Report rating increase can represent a change in capability as large as 20%. Therefore, while states and territories continue to improve overtime, FEMA’s ability to capture smaller changes with existing data is limited.

- FEMA determines improvement in capability target achievement by comparing State Preparedness Report average capability levels from the current year to the baseline year (2012). When states and territories rate their capability level, they may also update their capability target. Since the capability level is determined relative to the target, changes to average capability levels may be the result of changes to capability targets.

- States continue to experience challenges successfully completing Steps 2-4 of the THIRA process utilizing current DHS guidance. Specific issues arise in Steps 3 and 4 including developing measurable capability targets, understanding resource requirements, and National Incident Management System resource typing. FEMA is using feedback from after-action calls with states and territories to better understand jurisdictional challenges and will adjust THIRA technical assistance for next year.
Cross-Agency Priority Goals

Cross-Agency Priority (CAP) goals were established and are being led by the Administration with participation from the relevant federal agencies to address cross-cutting issues of importance to government stakeholders. These goals are designed to improve cross-agency coordination and share best practices to deliver improved government services to the public. Historically, areas of shared responsibility for multiple government agencies have been resistant to real progress. Success in these areas requires a new kind of management approach – one that brings people together from across and outside the Federal Government to coordinate their work and combine their skills, insights, and resources. The CAP Goals represent Presidential priorities for which this approach is likeliest to bear fruit.

Fifteen CAP Goals were announced in the 2015 Budget, comprised of seven mission-oriented and eight management-focused goals with a 4-year time horizon.

One of the mission-oriented CAP Goals where DHS plays a major role is focused on improving cybersecurity. The President identified the cybersecurity threat as one of the most serious national security, public safety, and economic challenges we face as a Nation. The need to implement governance, risk management, and compliance in this arena has been highlighted by the establishment of the cybersecurity CAP Goal. This goal is led by J. Michael Daniel, Special Assistant to the President and Cybersecurity Coordinator, with leadership from DHS and DOD, and collaboration from all the CFO Act Agencies. The Cybersecurity CAP goal is to:

*Improve cybersecurity performance through ongoing awareness of information security, vulnerabilities, and threats impacting the operating information environment, ensuring that only authorized users have access to resources and information, and the implementation of technologies and processes that reduce the risk of malware.*

The goal uses the Federal Information Security Management Act (FISMA) of 2002 reporting structure, guidelines, and metrics to measure agency progress in improving cybersecurity. Progress on the goal is reported quarterly and annually through the FISMA manual and automated Security Content Automation Protocol (SCAP) data feeds provided to DHS. DHS then analyzes the agency SCAP data, along with other data sources, and provides progress summaries to those leading the goal, OMB, and all the federal agencies involved. DHS has the primary responsibility within the Executive Branch for the operational aspects of federal department and agency cybersecurity initiatives with respect to the federal information systems that fall within FISMA. One such area of operational implementation is the EINSTEIN 3 Accelerated (E3A) program. E3A leverages private sector cybersecurity innovation enhanced by data that is uniquely held by the Federal Government. The initial deployment of E3A is focused on countermeasures that will address 85 percent of the cybersecurity threats affecting the Federal Executive Branch civilian networks, in a fraction of the time required by the original government-furnished equipment approach. Future efforts related to this goal will continue to focus on Information Security Continuous Monitoring; Phishing and Malware Defense; and Identity, Credential, and Access Management

DHS is also a contributor, along with many other federal agencies, for the following mission-oriented CAP goals to: improve energy efficiency to affect climate change; mitigate insider
threat risks; identify job-creating opportunities; modernize infrastructure permitting modernization; and improve science, technology, engineering and mathematics education opportunities.

Similar to all CFO Act Agencies, DHS is also a contributor to the eight management-focused CAP goals designed to: deliver world class customer service; improve IT delivery customer service and outcomes; improve government's buying power through strategic sourcing; expand agencies use of shared services to improve performance and efficiency; improve administrative effectiveness and efficiency through benchmarking; support the interoperability and openness of data; improve the transfer of new technologies from the laboratory to the commercial marketplace; and build the workforce we need for tomorrow.

Each of the CAP goals has goal leads, co-leads, and collaboration from other federal agencies. They are in various stages of developing and implementing their project plans, establishing performance measures and targeted levels of performance, and processes for the regular reporting of progress and results. The CAP goal leads direct the activities of agencies and their staffs to drive cross-cutting results. For more information on both the mission and management CAP goals, see www.performance.gov for the latest information.
Management Initiatives

This section discusses several of the FY 2014 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:

- Unity of Effort
- Customer Service
- Human Capital Management
- Information Technology
- Acquisition Management/Strategic Sourcing
- Sustainability
- Financial Stewardship

Unity of Effort

The Department has many strengths, starting with the professionalism, skill, and dedication of its people and the rich history and tradition of its Components, which have led to many successes since its inception. The “Strengthening Departmental Unity of Effort” initiative, introduced by Secretary Jeh Johnson in April 2014, capitalizes on these strengths while identifying ways to enhance the cohesion of the Department as a whole.

Several core elements were strengthened or established as part of the DHS Unity of Effort initiative:

- New Department Senior Leader Forums, the Deputy’s Management Action Group, and the Senior Leaders Council are up and running—tackling the Department’s challenges in a transparent, collaborative way.
- New Component-led and focused Joint Requirements Council was established to formulate recommendations on the range of options to meet our mission needs by providing a vital link between our strategic guidance and investments.
- New approach to developing DHS joint operational plans which incorporate the Secretary’s priorities. The first initiative under this framework, which is the development of a campaign plan for conducting our Southern Border and Approaches missions has begun. This effort will guide DHS joint air, land, and maritime operations on the Southern Border and Approaches and also identify where we have capability gaps that will be analyzed by our Joint Requirements Council and subsequently will inform future resource decisions.
- Strengthen and enhance Departmental programming and budgeting process by incorporating the results of strategic analysis and joint requirements planning into portfolios for review by cross-Component issue teams. Substantive, large-scale alternative choices were presented to the Deputies Management Action Group as part of the annual budget development.
- Strengthen Departmental programmatic and budgetary structure, not just new investments, and 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.
- Strengthen Departmental acquisition oversight framework and processes, resulting in a transparent and coherent continuum of activities that link and integrate Departmental strategy and planning including the development of joint requirements, programming and budgeting decisions, capital investment planning, and the effective and efficient execution of major acquisitions and programs.
- Redesign, consolidate, and reorganize headquarters elements in order to support DHS Operating Component missions.

As the Strengthening Departmental Unity of Effort initiative matures it will fill gaps across the spectrum of activities that turns Secretary Guidance to Results, as illustrated in the figure below.

Enduring success will only occur with persistent leadership engagement and institutionalizing the new and strengthened processes and procedures in Departmental and Operating Component directives and delegations, and, most importantly the way the Department “does business.” Gauging what success looks like across the set of desired end effects, including integrated governance, strategy, processes, analysis, and culture, as executed within the entire spectrum of unity of effort activities will be a challenge going forward. The fact that the Department is only one of numerous homeland and national security departments and agencies requires we not only look inward in strengthening unity of effort, but eventually requires that we look to overcome challenges inherent in synchronizing DHS processes with those of our interagency and international, where appropriate, partners.

Institutionalizing the new processes and procedures is at the forefront of a growing list of next steps. This includes not only engraining the changes in our behavior across the Department, but formalizing them in legislation, where necessary, and codifying them in Departmental and Component instructions and delegations.
operate in a joint fashion, we will be faced with the need to better understand how to ensure capabilities from across the Department are made available and employed at the right place and time to deal with our steady-state operational needs, as well as during crisis. Further, as our essentially no-growth budget situation continues, we will need to better assess the capacity required for the Department to simultaneously conduct the Secretary’s priority operations to best inform future budget discussions.

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 Internal Progress Review:** The USM established the Management Service Delivery Council in 2011 to improve customer service by fostering integration, improving communication and collaboration among management service providers, and developing strategic goals. In 2014, the Acting USM created an Internal Progress Review process, where representatives from each Line of Business (LOB) briefs the USM on progress towards reaching established performance goals. These sessions have resulted in increased cost-savings and synergies across the LOBs.
  - **Cellular Wireless Managed Services** – The Department reduced mobile device spending by using a blanket purchase agreement and transitioning to new voice and data plans, which resulted in a cost savings of approximately $1.8 million.
  - **Management Cube** – This business intelligence tool went live in March 2014 and integrates the Department’s financial, acquisition, human capital, contracting, asset, and security data to support analysis and decision making. Users can access this data, build models, and develop visualizations to explore Department-wide business questions about workforce, funding, and investments. In recognition of the successful launch, the entire Management Cube team received a Cross-Management Collaboration Award for working across all of the Department’s lines of business.

- **Customer-centric Website:** In an effort to develop a more intuitive and customer-focused website, the Management Directorate redesigned its internal webpage. Using employee customer service data, enhancements, such as the “How Do I” page, were created.

In FY 2014, Management service providers built upon previous efforts to improve customer service by streamlining activities and developing alternatives to current processes. In FY 2015, the Management Directorate will enhance customer service by introducing five new benchmarking measures to the Service Delivery Council. This action will integrate DHS Performance
Improvement Officer Council reporting and satisfy Office of Management and Budget requirements. Moving forward, Management will continue to engage in collaborative efforts and find innovative ways to improve customer service.

**Air Passenger Screening Customer Service Initiatives**

TSA performs and oversees security operations at the nation’s airports, screening more than 660 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:

- **Social Media Updates**: Recognizing the need to instantly connect with travelers on the latest security-related information, policies, and initiatives, TSA has established a robust social media presence to actively share and engage with its followers and readers. In FY 2014, TSA expanded its Instagram presence as well as Twitter and the TSA Blog. TSA’s Instagram account has gained its quickest following since launching in summer 2013, with more than 171,000 followers. In addition to TSA’s use of Twitter and its blog, sharing interesting photographs via Instagram raises awareness about the items that are not permitted at the checkpoint, TSA Pre✓®, new initiatives, and fun facts.

- **TSA Website**: TSA’s website serves as the primary public source of information available 24/7 regarding checkpoint security screening policies and initiatives to ease the screening process and enhance the traveler experience at the airport. Information available on tsa.gov includes a traveler’s checklist to prepare prior to airport arrival, the varied divestiture requirements for standard and expedited screening along with information on whether or not a specific item can be brought at all or whether it should remain in checked baggage or carry-on baggage. In FY 2014, TSA launched a Spanish language version of its website as part of its strategy to expand its reach in the nation’s second most spoken language. The TSA Spanish language website contains the same helpful traveler information and tips found at tsa.gov. Also launched, TSA Kids is a web page that encourages children to become familiar with TSA procedures prior to traveling in a fun and engaging way. The web page features travel security activities, security related videos and information to teach children and their parents about the security process. This web page not only keeps young travelers informed, but it also enhances the family traveling experience.

- **Expedited Screening**: In FY 2014, TSA continued its expansion of risk-based security through existing intelligence and information to incorporate more lower-risk passengers into TSA Pre✓®, an expedited screening program that makes passenger risk assessments prior to their arrival at an airport checkpoint. As of September 2014, TSA Pre✓® was available at 119 airports through 11 participating airlines, including Air Canada as the first international participating airline. Expedited screening benefits apply to eligible frequent flyers of participating airlines and members of U.S. Customs and Border Protection’s Trusted
Traveler programs, TSA’s Pre✓® application program, members of Congress, federal judges, and all members of the U.S. Armed Forces including those serving in the National Guard and reserves as well as government employees from select agencies. In addition, TSA will continue to use Managed Inclusion to increase the number of low-risk passengers not enrolled in Pre✓® or other trusted traveler programs or populations to occasionally be selected for expedited screening. Managed Inclusion is an activity that is used to improve lane efficiency by combining explosives detection, randomization, and/or behavior detection to increase the number of passengers eligible for Pre✓® expedited screening upon arrival at an airport security checkpoint. Through these combined efforts, as of the end of September 2014, approximately 44% of the traveling public was receiving expedited screening. TSA expects that the expansion of Expedited Screening initiatives during FY15 will further reduce wait times and increase the percentage of passengers waiting less than 20 minutes.

- **Traveler Redress Inquiry Program (TRIP):** In FY 2014, the DHS TRIP program implemented a new case management system as well as several internal process improvements that have significantly decreased the amount of time necessary to process and resolve a redress case.

- **TSA Contact Center (TCC):** The TCC fields inquiries by telephone, email, or online portal. These direct inquiries from travelers concern a wide variety of issues, ranging from prohibited and permitted items to identification requirements to trusted traveler program enrollment. In FY 2014, TCC created a TSA Pre✓® group that assists travelers who are experiencing issues with the TSA Pre✓® program. This group assisted in addressing and resolving more than 86,000 inquiries related to TSA Pre✓®. TCC also initiated a customer satisfaction survey via e-mail and phone for passengers to provide feedback on their interaction with the TCC. Via the surveys, TCC received feedback from more than 9,000 passengers in FY 2014 and has already developed and implemented some projects to address various concerns that passengers identified, such as response rates and plain language in communications.

Considering the success of TSA’s expedited screening initiatives 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 67,000 truck, rail, and sea containers. This effort is accomplished with approximately 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 1,079,000 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 397,000 members who use dedicated commuter lanes to expedite crossings into the U.S. from Mexico.
  - Global Entry, which has enrolled nearly 1.7 million people, allows participants to bypass the passport control lines at airports by using automated kiosks. It is currently available at 53 U.S airports and ten preclearance airports. It serves U.S. citizens, U.S. lawful permanent residents, and citizens of seven other countries. Mexican nationals may participate directly, while citizens and residents of Canada may participate through membership in the NEXUS program and citizens of the Netherlands, Panama, and South Korea may participate through membership in their home countries’ trusted traveler programs. CBP also has limited pilots with the United Kingdom, Qatar, Germany, and Saudi Arabia. Global Entry currently has 83 enrollment centers, including NEXUS and SENTRI centers that also process Global Entry applications.

- **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 73 million applications through ESTA.

- **Automated Passport Control (APC)**: Automated Passport Control (APC) kiosks automate the administrative functions that occur during a primary inspection and reduce the time required to process a traveler by providing modern touch screen technology to allow passengers to scan their passports and enter their customs declaration information. These kiosks—provided through public-private partnership with airport authorities—expedite air passenger inspection for U.S. and Canadian citizens at participating airports.1 Established at 22 locations, APC kiosks reduce CBP officer interaction to approximately 30 seconds (from 55 seconds) while increasing security by allowing officers to focus on the interaction with the passenger. A number of these airports have experienced reductions in wait times of 30 percent or more after APCs have been implemented. In FY 2014, APC kiosks were opened to VWP travelers at the Orlando International Airport as a pilot. In the coming year,

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1 CBP does not procure, own, install, or maintain APC kiosks.
it is anticipated that APC kiosks will be available to VWP travelers at all APC locations as soon as airport/terminal operators are able to upgrade their kiosks for biometric capture. Currently under testing at the Dallas-Ft. Worth Airport, APC kiosk processing will also be extended to U.S. Lawful Permanent Residents (LPR) in the near future.

- **Mobile Passport Control**: CBP is committed to increasing the availability of mobile applications to travelers in order to speed up processing and increase convenience to the traveler. CBP is currently engaged with Airports Council International-North America (ACI-NA), who is developing a smartphone application to improve and streamline the arrivals process. A Mobile Passport Control pilot was begun in August 2014 at the Atlanta International Airport and will be expanded to other airports at the conclusion of a successful test in Atlanta.

- **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.

- **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. This self-service option provides travelers and importers with a large data bank of commonly—and not so commonly—asked questions and 24x7 assistance. More than 98 percent of visitors to the web site are satisfied with the automated service, with only two percent going on to submit requests for additional personal assistance with their inquiries. As a result of having such compliance information readily available via the web, travelers, and importers are 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 10 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 a wide variety of commercial
CBP is also reaching out to travelers and the private sector to explore other opportunities to provide improved customer service and meet the increasing demands of travel and trade stakeholders:

- **Public-Private Partnerships**: In the past two budget cycles, the Administration has requested and Congress has granted new legal authorities for CBP to enter into voluntary partnerships with State, local, tribal, and private sector entities so that increased CBP inspectional services could be provided on a reimbursable basis at U.S. ports of entry upon request. Five formal agreements were signed in the first quarter of FY 2014 and early indicators demonstrate that these partnerships can have a meaningful impact on service levels at those locations where the stakeholders have requested increased services. In January, 2014 Congress authorized broader authority under Section 559 of the *Consolidated Appropriations Act of 2014* for a “pilot program” to permit CBP to enter into partnerships for reimbursable services and to accept certain donations. In July, 2014, CBP announced new procedures and is currently entering discussions with a number of new participants. Discussions are expected to come to fruition with formal negotiations and partnership agreements, beginning in late FY 2015 and extending into FY 2016.

- **Passenger Service Manager**: The CBP Passenger Service Manager (PSM) plays a crucial role in responding to traveler complaints or concerns; oversees issues related to travelers requiring special processing; observes the overall traveler processing procedure; provides specific recommendations for improvement; provides training to managers, supervisors, and officers on customer service and professionalism issues; and promotes public awareness of the CBP mission through distribution of public information bulletins, brochures and comment cards. The PSM program is being implemented at over 300 ports of entry.

- **Staffing at Ports of Entry**: In partnership with Congress, the Administration has committed to providing additional staffing to international gateway airports and land and sea ports of entry to improve service levels and security for international travel and trade. The *Consolidated Appropriations Act, 2014* provides funding to hire, train, and equip 2,000 new officers and is a tremendous reflection of the President’s support and clear recognition of CBP’s critical role. The 2,000 Officers address immediate staffing requirements and additional requests for services. DHS will work expeditiously to bring talented new CBP Officers on board, train them, and deploy them to key ports of entry. CBP will also continue to report to Congress on their ongoing staffing needs in order to respond to growing international travel and trade demands in conjunction with the Administration’s annual budget.

**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 2014, FEMA launched an Instagram account to leverage its photo collection and share its mission and story through pictures. Additionally, FEMA continued to use technology to communicate and engage with citizens through text messages and the FEMA mobile app in English and Spanish. Twitter, Facebook, and the FEMA Blog continued to be an important mechanism to communicate with those impacted by disasters through regular updates on emerging weather events and emergency preparedness.

**Mobile Device Applications:** The *FEMA App* launched the Spanish language capability for Android and iOS on August 10, 2014 and will continue towards integration with other utilities to allow text messaging and *SalesForce* compatibility. The *Disaster Reporter* feature was launched in time to assist in the recent Colorado flooding by allowing first responders to determine road damage and plan alternative routes more efficiently. *Diamond* has been implemented to replace legacy platforms and reduce costs as part of a larger DHS initiative. *SalesForce* has replaced the antiquated Customer Relationship Management system and allows survivor’s questions to be addressed via FAQs or by direct contact with the Program Office. FEMA became the first DHS Component to utilize Survey Monkey giving a simpler, user friendly alternative to the previous legacy system at a substantial savings to the Agency.

**On-Scene Survivor Assistance:** Disaster Survivor Assistance (DSA) Teams leveraged tablets and portable IT equipment to support survivors in the most heavily-affected areas during Presidentially-declared disasters in FY 2014. FEMA utilized the Survivor Mobile Application Reporting Tool (SMART) which allows DSA Teams to use mobile geo-tagging and photo-capable devices in the field to capture data that was replicated in real-time to the FEMA GeoPlatform. This tool allows FEMA, state, and local leadership to better adjust resources to support local communities when needed. The software program allows DSA management and other FEMA, state, and local leaders the ability to view teams’ real-time status, critical and emerging needs in the field, as well as analytical charting to assess trends and progress related to survivor needs. In addition, DSA coordinated with FEMA’s Mobile Emergency Response Support to support the DSA mission in areas with limited connectivity, developing resources and protocols to support offline survivor registration in areas entirely without connectivity.

**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. Building on improvements initiated in FY 2013, FEMA now operates DRCs in accordance with a concept of operations document and strategic plan. These tools promote unity of effort between FEMA and partner organizations, utilization of analytics and forecasting to right size services and locations, and leverages historical disaster activities to better inform operations. The Concept of Operations and Strategic Plans were piloted and implemented in FY 2014.

**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. As part of FEMA’s strategic objective to enhance and expand services for survivors, efforts are currently underway to modernize the existing Call Center platform, enabling FEMA to leverage emerging technologies and services to improve the survivor experience and become a Government Center of Excellence in contact center service and performance. Successful modernization will enable the call centers to more
effectively meet survivor needs in a timely and effective manner in addition to allowing for faster response to disaster-related change. 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. DisasterAssistance.gov launched a new secure data sharing capability in July 2014 called Federated Application Framework. Not only does it enable the ability to easily share disaster survivor data between the Program’s 17 federal partners, it cost effectively bridges IT gaps between different agencies. FEMA will have the ability to deliver data in a variety of different manners, from low-tech .pdf files to direct two-way database connections. The Federated Application Framework will serve as the foundation of modernization efforts that align with the FEMA Chief Technology Officer’s data modernization strategy which will be launched in the near future.

- **Customer Satisfaction Surveys:** The Customer Satisfaction Analysis (CSA) group has redesigned the Follow-up Program Effectiveness & Recovery survey to focus on survivor centric support and align with strategic plan objectives. Requests from HQ Recovery, HQ National Preparedness Directorate, HQ External Affairs, and the HQ Office of Disability Integration & Coordination indicated a need for a redesign of the questionnaire to gather valuable feedback from our disaster survivors, including some topics not previously collected. The rewritten and renamed “Survivor Centric Customer Satisfaction Survey” includes topics on preparing for a disaster, post disaster information and communications, accessibility to FEMA resources and services, financial assistance, expectations, household’s level of recovery, and overall customer satisfaction. The survey was designed for flexible deployment for specific types of disasters and can be performed in any timeframe ranging from 30 days to 24 months after declaration. The sampling methodology is also flexible in that a random sample can include eligible applicants, ineligible applicants, or both as well as a follow-up survey with those who previously participated in past CSA satisfaction surveys. The questionnaire and supporting documentation are in the filing process with the Office of Management and Budget through FEMA’s Records Management Division.

**U.S. Citizenship and Immigration Services Customer Service Initiatives**

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

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 services and benefits to the range of customers the agency serves, including:

- Immigrants seeking to enter the country and those already here legally;
• Employers who use the E-Verify program to determine the employment eligibility of new employees; and
• Federal, state, and local government agencies that use the Systematic Alien Verification for Entitlements (SAVE) program to confirm immigration status before issuing public benefits.

Below are a few of USCIS’s recent efforts to improve the customer experience:

• **Redesigned Website:** Debuting in early FY 2014, the new and improved USCIS website offers a simplified and streamlined approach to Web design, incorporates current Web best practices, and introduces a new content management system to improve functionality. The www.uscis.gov site is also available in Spanish and is one of the Federal Government’s highest rated sites for customer satisfaction. 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 2014, USCIS implemented two enhancements to E-Verify (the duplicate case alert and updated Further Action Notices for Web service users) based on suggestions posted by employers on E-Verify Listens. The USCIS website also has SAVE and E-Verify search tools that allow the public to view employers and agencies currently enrolled in SAVE and E-Verify. USCIS plans to expand the E-Verify search tool to include a new search category for E-Verify employer agents.

• **USCIS Electronic Immigration System (ELIS):** USCIS continues to modernize the process for receiving and adjudicating immigration benefits. USCIS is using USCIS ELIS to change from a paper-based process to an electronic one. Regular releases will add benefit types and functionality to the system, which will gradually expand to cover all USCIS immigration benefits.

• **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. During the next fiscal year, the NCSC will significantly improve how customers interact with the agency, including Web chat and email. USCIS has already introduced the following enhancements:
  - **Interactive Voice Response (IVR)** – The IVR is the automated voice that callers hear first. USCIS uses it to provide information (for example, about case status, ordering forms, or obtaining field office directions) or to guide the caller to live assistance when needed. About 50 percent of callers get all the information they need through the IVR.
  - **Customer Contact Center (CCC)** – Customers who file for their benefit through USCIS ELIS can now communicate with USCIS officers electronically. Since accepting its first inquiries in November, the CCC is staffed with agency-trained adjudicators able to access all USCIS systems.

• **Customer Engagement Center:** USCIS is moving toward a new customer service model, evolving from traditional call centers to a full-scale customer engagement center. The Customer Engagement Center is an initiative that expands customer communication channels—such as live chat and secure messaging—and offers self-service tools to create a more user-friendly experience. In FY 2015, USCIS plans to integrate multiple tools into a new customer service model that provides customers with the following features:
A searchable knowledge database that will allow customers to enter immigration questions in plain language and receive a single, clear and definitive answer and relevant supporting materials;

A single, personalized portal that will enable them to access case status information; make case inquiries and submit requests for service; view personalized case and contact history; schedule in-person appointments; and communicate securely with USCIS via chat and email about their cases; and

A variety of new technologies that will improve reporting and operational efficiency. Some of these tools will include speech and text analytics, consolidated contact center reporting, e-learning for contact center employees, and quality monitoring.

In addition, USCIS will allow customers to enter small amounts of data about themselves to identify immigration benefits that they may qualify for, along with information on associated forms, fees, and required documentary evidence.

**Verification Contact Center:** In February 2014, USCIS’s Verification Division launched a new telephone system, featuring a new IVR call system. The new system provides USCIS with more information on incoming calls and simplifies call transfers. Intelligent call routing, which routes calls to the next available agent in the nationwide network, has been designed to shorten wait times and enhance customer service. USCIS also began integrating the new telephony system with the Customer Relationship Management system and the Verification Information System. The integration of these systems provides a more seamless and efficient customer experience and quickly provides the customer service representatives with necessary information to fully assist callers.

**Online Case Status Services for SAVE Applicants and E-Verify Employees:** The SAVE program offers Case Check—a feature that allows public benefit applicants to obtain information about their case statuses after applying for public benefits or licenses at government agencies. SAVE plans on enhancing Case Check by allowing benefit applicants to obtain case information as well as estimated resolution times. This will improve information sharing with applicants and reduce the number of questions USCIS receives regarding case status. In addition, E-Verify Self Check allows U.S. employees to check their employment eligibility in the United States before beginning a new job. On October 6, 2014, myE-Verify launched and includes Self Check, Self Lock—the new service that lets users protect their identities by locking their social security numbers to prevent unauthorized or fraudulent use within E-Verify—along with employee rights education. For the first time, myE-Verify provides a one-stop shop for employees to access features focused on protecting their identity and creating transparency in the E-Verify process.

**Outreach:** USCIS holds a variety of external stakeholder events to share information and obtain feedback on USCIS programs and policies. In FY 2014, USCIS hosted 54 national engagements and 3,400 local engagements reaching 134,000 individuals. This included 580 engagements on deferred action for childhood arrivals with 25,000 attendees; 731 multilingual outreach events with more than 39,500 participants; and 300 engagements with underserved populations that reached more than 13,000 people. During FY 2014, USCIS also expanded its public education and customer awareness efforts by enhancing communications on immigration scams and the unauthorized practice of immigration law; over 1400 engagements reached more than 56,000 customers.

**Citizenship Outreach Partnerships:** USCIS continues to expand municipal partnerships to increase the capacity of communities to prepare immigrants for naturalization and raise awareness of the rights and responsibilities of citizenship. In FY 2014, USCIS signed a
letter of agreement with the Metropolitan Government of Nashville and Davidson County in Tennessee and renewed its partnership with the City of Los Angeles to promote citizenship education and awareness. As a result of these partnerships and others, more than 100 public libraries have established Citizenship Corners. Also, librarians across the country are receiving information on the immigration and naturalization process and how to help immigrant patrons avoid immigration services scams.

Human Capital Management

The Office of the Chief Human Capital Officer (OCHCO) continued to strengthen the human capital line of business throughout FY 2014 with regular meetings and communications with the Human Capital Leadership Council (made up of the Human resource (HR) leadership of each operational Component). During FY 2014, the DHS Workforce Strategy 2011-2016 continued to serve as the framework for completing cross-cutting human capital strategic priorities. In addition, OCHCO worked to ensure a smooth transition to the new strategy and operational framework which will support emerging priorities in human capital in FY 2015 and beyond.

Sample accomplishments for FY 2014, as well as plans for FY 2015, follow below, organized by the four goals of the DHS Workforce Strategy 2011-2016.

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

- DHS built out the five-tiered DHS Leader Development Framework adding the Team Member and Team Lead tiers to the Cornerstone (supervisory level) tier and the Executive Capstone program that was originally launched in FY 2012.
- In FY 2014, 54 percent of participants in the DHS Senior Executive Service (SES) Candidate Development Program were appointed to the SES, a significant milestone for a new program when compared to a government-wide appointment rate of 43 percent.
- USCG was recognized with a performance excellence award from the International Society for Performance Improvement for its new Mid-Grade Officer Career Transition Course administered to 30 Coast Guard mid-grade officers and civilians transitioning into leadership.
- FEMA received the 19th Annual W. Edwards Deming Award for the Individual and Organizational Progressive Leader Development Program, recognizing FEMA’s efforts to build leader competencies using multiple instructional strategies and keeping the needs of individual adult learners at its center.
- USCIS strengthened the formal training and development requirements for new supervisors with the issuance of a Required Supervisory Training Management Directive and the addition of new resources and learning opportunities.
- TSA and NPPD implemented 360° assessments to address talent gaps identified during the workforce planning process.
- CBP established a Leadership Development Center of Excellence for seamless development and implementation of the DHS Leadership Development Framework to include mandated training at each transition of leadership level.
- In FY 2015, DHS will establish quality standards and program requirements governing mandatory training applicable to all or a significant portion of the DHS workforce.
**Goal 2: Recruit and build a highly qualified and diverse workforce.**

- DHS was recognized by OPM for its leadership in veterans hiring and tapped the DHS CHCO to lead an inter-agency workgroup to enhance employment opportunities for women veterans government-wide.
- DHS played a leading role on the Council on Veterans Employment to create a new Veterans Employment Performance Model to measure performance across all federal agencies.
- ICE operates one of the flagship programs in the department for veterans with disabilities. In partnership with the U.S. Special Operations Command (SOCOM) and the National Association to Protect Children (PROTECT) ICE launch the “Human Exploitation Rescue Operative (HERO) Child Rescue Corps” program for wounded, ill, or injured special operations forces. The program provides disabled veterans the opportunity to train as Computer Forensics Analysts Interns to give veterans the experience to apply for non-competitive appointments within ICE. Eighteen disabled veterans participated in the HERO Child Rescue Corp Program of which ICE offered full time positions to 15.
- DHS released Component Recruitment and Outreach Plans to ensure coordination between Component recruiters, workforce planning teams, and EEO/Diversity staff and incorporated an accountability checklist to assess whether Component recruiting and outreach plans effectively address workforce needs, particularly mission critical occupations.
- USCG piloted a program to attract disabled applicants in the Washington, DC and Norfolk/Chesapeake, VA areas resulting in heightened management awareness and improvement in the number of disabled permanent hires.
- USCIS enhanced performance management training for supervisors with the addition of E-Learning and Instructor-Led training on the topics of Coaching and Feedback and the Performance Plan & Appraisal process.
- TSA implemented new interview guides and rating scales for two mission critical positions providing managers with fewer but higher qualified candidates for interview.
- NPPD enhanced its employee rotational program to promote cross-organizational awareness and mission understanding while enhancing employee knowledge, skills, and abilities.
- CBP launched the Women’s Careers Page with a focus on highlighting the diverse career fields in CBP and attracting qualified females to frontline and support positions.
- Headquarters participated in the 2014 Young Women’s Conference on College and Careers providing over 150 young women from Washington, D.C. area middle schools, high schools and charter schools with the opportunity to attend engaging, career-focused workshops with leading professionals.
- In FY 2015, DHS will make enhancements to the Automated Position Description Tool initially developed for cybersecurity positions and explore using the Tool to streamline the recruitment process for additional positions which managers and human capital struggle to quickly and effectively describe.

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

- DHS hosted meetings with recognized DHS Employee Associations and conducted surveys on employee recognition and work/life balance to obtain employee input for employee engagement action planning.
- TSA introduced the “WE Improve” initiative launching 10 projects aimed at specific improvements in employee communication and engagement.
- USSS began incorporating additional in-service training for its law enforcement officers and agents. This new training program aims to re-instill a sense of, and commitment to, the root purpose and nobility of the law enforcement profession, and the mission of the USSS.
- USCG implemented the Alert and Warning System which allows all commands to send critical or general information to all employees (Active, Reserve, Civilian) keeping them informed and engaged with the command.
- FLETC, in collaboration with Labor, trained all managers and supervisors on the collective bargaining agreement including pre-decisional involvement and enhanced communications techniques.
- CBP stood up a Federal Employee Engagement Advisory Council and implemented a Federal Employee Viewpoint Survey Action Plan to strengthen collaboration, communications, and employee engagement between union members, other employees, and management.
- ICE successfully implemented a Peer Support Program including conducting training classes and developing a supporting webpage.
- NPPD implemented a tri-level mentoring program that focuses on formal mentoring, situational mentoring, and new supervisor sponsorship.
- Headquarters implemented the DHS Management Awards for Excellence and Outstanding Employee Awards programs to formally recognize outstanding employees and conducted the first Management Directorate Awards for Excellence Ceremony to honor 84 award recipients.
- In FY 2015, DHS will deploy the strategy developed by the Deputy Secretary’s Employee Engagement Steering Committee to address hiring and promotion transparency, training and professional development, rewards and recognition, performance management, and communication.
- In FY 2015, DHS will leverage the Labor Management Forum to assess barriers to employee engagement and identify potential solutions.

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

- DHS completed efforts to produce the FY 2015-2019 Human Capital Strategic Plan and drafted the FY15 Annual Operations Plan which will guide future human capital program efforts and resource planning.
- DHS implemented the Balanced Workforce Assessment Tool for use in analyzing proposed requirements for services to determine the proper mix of federal employees and contractors.
- DHS released a quarterly DHS Diversity Dashboard including multi-year trend analysis for key metrics to support data-driven decision-making.
- In FY14, DHS deployed a Diversity and Inclusion Dashboard to assess progress, drive decision-making, and provide information on key metrics to stakeholders.
- USSS created the Office of Integrity to oversee all disciplinary actions pertaining to all USSS employees to ensure fair and equitable discipline throughout the USSS. The Office of Integrity’s priority is to strengthen moral and ethical standards of its employees to create a culture of high standards and accountability to accomplish its mission.
CBP completed the review of positions designated as eligible to receive Administratively Uncontrollable Overtime (AUO) pay and developed and implemented compensation training for personnel on the proper overtime compensation, including the use and documentation of AUO.

CBP, FEMA, ICE, USCG, and USCIS awarded task orders, sponsored training, and planned program implementation of the department-sponsored Medical Case Management Services solution with nurse case management services in order to support a timely return to work for employees injured on the job.

In FY 2015, DHS will further enhance workforce planning guidance and accessibility to tools and resources through the update to the Workforce Planning Guide and creation of a central source for skills gap best practices.

In FY 2015, DHS will deploy a human capital dashboard with key indicators to senior leadership to support informed decision making and enhanced program performance.

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; executing the 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

The Department continues to enhance its Information Technology (IT) and management practices through implementation of administration priorities. DHS’s information resources management is an integral part of the Department's plans for mission accomplishment. An Information Technology Strategic Plan and the accompanying DHS Enterprise Roadmap describe the approaches used by DHS to manage its information resources and ensure that its management is embedded with financial, human resources, budget, and organizational planning.

The Office of the Chief Information Officer (OCIO) is driving consolidation of commodity IT, in particular IT infrastructure, consistent with OMB’s PortfolioStat initiative. 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. Extensive use of commodity IT generates significant efficiencies and cost savings.

These IT efficiencies will be achieved by eliminating duplicate functions and systems, rationalizing applications, moving to enterprise commodity IT services where appropriate, 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.

FY 2014 savings are more than $100 million for migrating commodity IT to enterprise services (in addition to the strategic sourcing savings, as discussed below). As part of the PortfolioStat and
A principal way to gain efficiencies in provision of commodity IT is through the use of cloud. 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. 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). 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 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. This year, DHS OCIO has been supporting the stand-up of the Joint Requirements Council to evaluate high priority, cross-Departmental opportunities as part of the unity of effort. Over the next year, OCIO will help the Council evaluate strategic opportunities such as Common Enrollment and the DHS Data Framework for cost effectiveness and mission impact.

DHS has a mandatory compliance directive and instruction regarding strategic sourcing which identifies the policy for developing and using DHS strategic sourcing contract vehicles. Strategic sourcing is a procurement strategy that requires Components to move away from numerous individual procurements and enter into a broader aggregate approach across DHS to achieve savings. 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.

During FY 2014, DHS expended nearly $2.1 billion on Strategic Sourcing IT commodities and services, which represent 73 percent of the total strategic sourcing spend. This has yielded savings
of $393 million (83 percent of the total strategic sourcing savings). DHS is a leading agency in implementing Enterprise License Agreements, and has shared best practices from its highly successful program for federal-wide implementation. During the next 1 to 2 years, DHS anticipates that it will expand participation in the Federal Strategic Sourcing Initiative federal-wide efforts related to IT, including Desktops/Laptops and Software Licensing.

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 and responding to cyber threats by the DHS Security Operations Center strengthens and matures our cyber defense in conformance with NIST guidance and compliance with the Federal Information Security Management Act of 2002 (FISMA). The OCIO incorporated the Cybersecurity Cross Agency Priority goals into the DHS FY 2014 Executive FISMA Scorecard in order to measure internal progress on meeting DHS’s goals. DHS has released a Task Order against the Continuous Monitoring as a Service (CMaaS) / Tools Blanket Purchase Agreement (BPA), the goal of which is to implement Continuous Diagnostics & Mitigation (CDM) on a centralized, multi-tenant, on-premise cloud solution as part of DHS’ cyber practices to enable the cyber future of “One DHS.” DHS’s vision integrates enterprise level Hardware Asset Management, Software Asset Management, Configuration Settings Management, and Vulnerability Management capabilities in the form of a standardized set of sensors, tools, and services throughout the Department. This enterprise approach to CDM will enable the Department to realize on-demand self-service, broad network access, resource pooling, rapid elasticity, and measured service supporting a safe, secure, and resilient DHS network. DHS is preparing for the adoption of EINSTEIN 3 Accelerated, with a target implementation date of the 2nd quarter of FY 2015, dependent on accreditation of the telecommunications vendor implementation, which is in the final stages at this time.

**Acquisition Management/Strategic Sourcing**

The Department of Homeland Security (DHS), Strategic Sourcing Program Office resides within the Office of the Chief Procurement Officer. The organization enhances mission efficiency and reduces the cost of delivering the mission by critically analyzing data on what we buy and how we buy it across the Department to identify ways to leverage spend, reduce redundancy, increase standardization, and streamline the acquisition of products and services. Through the development of department-wide contracts, strategic sourcing consolidates resources (both dollars and people) to save millions in taxpayer dollars.

The DHS Strategic Sourcing Program, viewed as a ‘best in class’ efficiency model across the Federal Government, has been endorsed by the Office of Management and Budget, Government Accountability Office, and several members of Congress. Since the program’s inception in 2005, DHS has saved more than $2.5 billion, of which more than $2 billion was saved in the last five years, and $471 million in fiscal year 2014 alone.

These savings accomplishments are a direct result of effective collaboration amongst stakeholders across the Department, and support the DHS Secretary’s “Unity of Effort” initiative by convening working groups comprised of DHS subject matter experts, acquisition professionals, legal staff, and other stakeholders that are focused on developing acquisition streamlining tools and shared
acquisition vehicles that effectively leverage the Department’s buying power, reduce administrative costs through the elimination of redundant contracts and processes, and foster continuous cooperation on future challenges and events.

Extensive collaboration across the Department has been vital to DHS’s strategic sourcing success. For example, the Office of the Chief Information Officer community has worked with the Strategic Sourcing Program Office on nearly 30 initiatives, and consistently work together to identify new opportunities. These efforts have helped to identify ways to enhance enterprise level capabilities and reduce the total lifecycle cost of commodities by focusing not only on a reduction in purchase price, but also by including beneficial terms and conditions in the contract vehicles that further lower the costs of maintaining and using the commodity.

Other organizations that the Strategic Sourcing Program Office has successfully collaborated with include the Office of the Chief Readiness Support Officer to establish the Bulk Fuel, Furniture, Employee Shuttle Service, and the Government-wide Domestic Delivery and Print Management initiatives; the Office of the Chief Human Capital Officer to develop and implement the Enterprise Talent Management System and Medical Case Management contract vehicles; and the Office of the Chief Financial Officer to deliver a suite of contract vehicles that are dedicated specifically to the DHS financial community, including Financial Management and Reporting Support Services; Assessment of Internal Controls Support Services; and Compliance, Performance, and Statistical Sampling of Internal Controls Support Services. Additionally, the program established a close working relationship with the DHS Efficiency Review team to jointly seek ways to reduce costs and increase efficiency while enhancing the mission. Together, the Strategic Sourcing Program Office and the DHS Efficiency Review team have worked on over 18 initiatives such as Tactical Communications, Enterprise Licenses, Language Services, Uniforms, Office Supplies, and Wireless Devices and Services.

In addition to internal programs, the DHS Strategic Sourcing Program Office provides innovations to the entire federal acquisition community. For example, the DHS Tactical Communications program supports multiple agencies beyond DHS boundaries, and is so successful that on March 20, 2014, the Office of Federal Procurement Policy presented DHS with the 2014 Chief Acquisition Officers Council Acquisition Excellence Award for its successful use of strategic sourcing on this contract vehicle.

The impact of strategic sourcing is rapidly growing as the program continues to evolve and become more institutionalized across the Department. With 64 active strategic sourcing initiatives covering nearly 500 individual contracts, the program’s current challenge is to further increase utilization of the strategic sourcing vehicles by spreading awareness of their availability and benefits to the DHS acquisition community. In addition, over the course of the next one to two years, the program will be establishing or renewing approximately 17 initiatives that will cover a range of products and services such as detection equipment, cyber security skills, software licenses, language services, munitions, and uniforms.

**Sustainability**

DHS continues to ensure that its operations are carried out in a manner that is both environmentally and fiscally sound. Managed by the Office of the Chief Readiness Support Officer, 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. 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. The Southwest Border Fuel Sharing Initiative, sponsored by the Chief Readiness Support Officer, has the potential to reduce fuel consumption for 17,000 CBP, ICE, and FLETC vehicles that will contribute to cost savings and greenhouse gas reductions.

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 2014\(^2\), DHS achieved the following:

- Reduced scope 1&2 greenhouse gas emissions by 30.1 percent and scope 3 emissions by 33.5 percent;
- Reduced 1,125 vehicles from the fleet inventory (from 54,130 to 53,005);
- Realized a 7.6 percent electricity usage from renewable energy sources;
- Reduced energy intensity 35.1 percent; and
- Used conservation initiatives at facilities across DHS to reduce the potable water intensity by 30 percent.

Education, awareness, and recognition efforts are helping DHS become even more successful. The Sustainability Awareness Training Curriculum was completed by the Office of the Chief Human Capital Officer and the Office of the Chief Readiness Support Officer, and is available to all DHS employees through the Department’s electronic learning management systems. Seven training modules were made available: Sustainability; General Awareness; Electronics Stewardship; Greenhouse Gas Reduction; Sustainable Acquisitions; Pollution Prevention; Water Conservation; and Environmental Financial Liabilities.

An example of how energy security can be effectively integrated within DHS’ mission support facilities is the recently commissioned 1,400 sq. ft. net zero building at

\(^2\) FY 2014 measure reports reflect FY 2013 actual results.
the Coast Guard Cutter NARWHAL support facility located at Corona Del Mar, California. A net zero building is one with zero net energy consumption, meaning the total amount of energy used by the building on an annual basis is roughly equal to the amount of renewable energy created on the site. This single story building (left) utilizes solar photovoltaic panels on the roof, yet maintains architectural integration with the surrounding neighborhood of beachfront homes.

**Financial Stewardship**

Since its inception in 2003, the Department has been diligently working to strengthen financial management to produce timely and reliable financial information. 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 four material weaknesses: Financial Reporting; Property, Plant, and Equipment; Budgetary Accounting; and Information Technology Controls and Systems Functionality.

In FY 2014, in addition to sustaining the clean financial statements audit opinion, the Department continued making progress towards our audit goal of obtaining a clean audit opinion of internal controls over financial reporting, and modernizing our financial systems. The Department provided reasonable assurance that internal controls over financial reporting were operating effectively as of September 30, 2014, with the exception of four material weaknesses: Budgetary Accounting; Financial Reporting; Property, Plant, and Equipment; and Information Technology Controls and Systems Functionality.

Also in FY 2014, DHS made notable progress in its Financial Systems Modernization (FSM) initiative. The U.S. Coast Guard (USCG), Transportation Security Administration (TSA), and Domestic Nuclear Detection Office (DNDO) completed a discovery phase with the Department of the Interior’s Interior Business Center (DOI IBC), a federal shared service provider. The discovery phase consisted of an in-depth analysis to determine the feasibility of DOI IBC implementing, deploying, and maintaining financial management services for these three Components. USCG, TSA, and DNDO’s migration to DOI IBC was approved on July 16, 2014.

Additionally, U.S. Citizenship & Immigration Services (USCIS), the Science & Technology (S&T) Directorate, the National Protection & Programs Directorate (NPPD), and the Management Directorate (DHS HQ) are finalizing their alternatives analysis to determine their path forward; the Federal Law Enforcement Training Centers (FLETC) is performing a technical refresh of their current Momentum solution; the Federal Emergency Management Agency (FEMA) is performing an evaluation of its modernization needs and following the Treasury’s Office of Financial Innovation and Transformation’s Agency Modernization Evaluation’s process; and Immigration and Customs Enforcement (ICE) is continuing the planning process for their FSM initiative.

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.
In FY 2015, DHS will continue to implement a risk-based approach to audit remediation and work closely with Components to mitigate risks of new material weaknesses or audit qualifications, while sustaining 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 it has done in prior years.

Specific FSM goals for FY 2015 include continuing to make significant progress on the DNDO, TSA, and USCG migration to DOI IBC. DNDO is scheduled to complete the migration in FY 2016, TSA in FY 2017, and USCG in FY 2018. Also in FY15, USCIS, S&T, NPPD, and DHS HQ will complete a discovery phase with a federal shared service provider; FLETC will complete a technical refresh of their financial management system in the first quarter; and DHS will continue to support FEMA and ICE as they continue their FSM planning efforts.
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) 2014 Major Management and Performance Challenges report included challenges in nine broad areas.

- DHS Operations Integration
- Financial Management
- Transportation Security
- Grants Management
- Infrastructure Protection, Cybersecurity and Insider Threat
- Acquisition Management
- IT Management and Privacy Issues
- Border Security and Immigration Enforcement
- Employee Accountability and Integrity

More specific information about these challenges, the Department’s progress addressing them and next steps can be found in the OIG’s report “Major Management and Performance Challenges Facing the Department of Homeland Security” located at http://www.oig.dhs.gov/assets/Mgmt/2015/OIG_15-09_Nov14.pdf.

Biennially, GAO identifies federal programs and operations that are high risk because of 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 (USM) has implemented a quarterly review of the Department’s progress in addressing each area.
The remainder of this section provides a brief summary of the Department’s efforts in addressing each GAO High-Risk area.

**GAO High-Risk – Status Update**

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<tr>
<th>GAO High Risk Area: Strengthening Department of Homeland Security Management Functions</th>
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<td><strong>Overview:</strong> 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 one cohesive 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 of this High-Risk category by GAO is a reflection of the Management Directorate’s successful efforts to systematically address major management concerns. This particular high-risk area includes challenges to further strengthen the Department’s management functions which include: acquisition management, information technology (IT) management, financial management, human capital management, and management integration.</td>
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<td><strong>DHS Lead Office and Official:</strong> Office of the USM, Dr. Kenneth Buck, Executive Director for Management Integration</td>
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| **DHS Progress:** In the past 4 years, the Department has focused efforts on strengthening the Department’s foundation and infrastructure. Efforts 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 using the lessons learned from the Integrated Investment Life Cycle Management pilots to implement the Secretary’s Unity of Effort framework. Unity of Effort will strengthen all elements of the investment process, including strategy development, planning, and joint requirements, which will ensure that the total budget is spent effectively and efficiently. The Department’s *Integrated Strategy for High Risk Management* (Integrated Strategy) was first published in January 2011 to address 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 September 2014, is composed of 11 specific initiatives, each with detailed corrective action plans that contain goals and metrics that correlate directly to GAO’s Outcomes. On April 22, 2014, Secretary Johnson directed the “Strengthening Departmental Unity of Effort” memo as a means to further reinforce Department-wide management integration. Through the Unity of Effort 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 and 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 to drive a better understanding of the broad and complex DHS mission space and to empower DHS Components to effectively execute their operations.

Planned Actions and Key Milestones: DHS will continue to implement the Integrated Strategy for High Risk Management to support the Unity of Effort initiative and track the progress of the initiatives through the USM’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:

- Support the Component-driven Joint Requirements Council (JRC), which enables cross-Component requirements and develops recommendations for investment, as well as changes to training, organization, laws and operations process and procedures. The JRC will continue to enhance operational effectiveness and better inform the Department’s main investment pillars—the program and budget review and the acquisition review process.
- 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 to integrate functions and mature capability to understand critical management information through the Business Intelligence initiative, led by the Management Dashboard Executive Steering Committee. The Management Cube, which went live in March 2014, is one part of the overall effort to improve the Department’s business intelligence, decision support, and analytics. Specifically, the “Cube” provides an analysis and reporting platform to leverage and integrate back office information from finance, acquisition, personnel, security, procurement, assets, and IT. Department leadership uses the data to inform planning, resource, and operational decisions, as well as to monitor organizational performance.
- Continue progress toward addressing the outstanding GAO Outcomes, monitor the effectiveness of resource mitigation strategies, and ensure that the objectives of the Integrated Strategy for High Risk Management can be achieved and sustained.
- Obtain consecutive clean audit opinions by executing an aggressive risk-based approach to audit remediation, working closely with Components to sustain prior-year successes, and mitigate the risk of new material weaknesses or audit qualifications.
- Continue to 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. For the FY 2016 budget cycle, substantive, large-scale alternative choices were presented to the Deputies Management Action Group as part of annual budget development. This review process allowed DHS to project the impact of current decisions on resource issues such as staffing, capital acquisitions, operations and maintenance, and similar issues that affect 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 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. The Biggert-Waters Flood Insurance Reform Act of 2012 (Biggert-Waters Act) and the Homeowner Flood Insurance Affordability Act of 2014 (HFIAA) introduced many changes to NFIP. In particular, the Biggert-Waters Act eliminated subsidized premium rates for several types of properties. As mandated by the Biggert-Waters Act, FEMA has begun phasing out subsidies on policies for residential properties that are not primary residences, and single-family properties with severe repetitive losses. Additionally, on October 1, 2013, FEMA stopped offering subsidized rates for properties newly purchased or not insured on July 6, 2012, which was repealed by HFIAA in March 2014. FEMA repaid $1 billion of its outstanding debt with the U.S. Treasury in 2014. FEMA closed all of the recommendations in GAO 10-66, Financial Management: Improvements Needed in NFIP’s Financial Controls and Oversight, which resulted in improved oversight of financial transactions and consistent and enhanced oversight of the WYO Companies. FEMA has been working aggressively to close other outstanding recommendations related to program oversight to further improve its management of the program.

**Planned Actions and Key Milestones:** In FY 2014, FIMA continued to implement provisions of the Biggert-Waters Act and began implementing provisions of the HFIAA. Since passage of the Acts, FIMA has continued to implement provisions of the Biggert-Waters Act. FIMA also worked to implement sections of the HFIAA that repealed certain rate increases and new requirements for rate increases. FIMA continues to examine affordability issues through the Affordability Study required by both Acts.

**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 (CS&C)/Enterprise Performance Management Office, Matthew Shabat, Director, Performance Management

DHS Progress: DHS has significantly progressed 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’s National Cybersecurity Assessment & Technical Services team conducted 384 cyber hygiene scans in FY 2014, which broadly assess Internet-accessible systems for known vulnerabilities and configuration errors on a frequently recurring basis. Recipients of these scans more than doubled in FY 2014 to 53 federal agencies, 11 state and local entities, and 4 private-sector critical infrastructure organizations. The Department drafted United States Computer Emergency Readiness Team incident notification guidelines to update and align incident reporting with National Institute of Standards and Technology (NIST) 800-61 Revision 2, which will enhance information sharing and situational awareness across the cyber community. In support of cybersecurity professionals and workforce development, the Department’s National Initiative for Cybersecurity Careers and Studies Web site now provides a central location to find cybersecurity training opportunities through a sortable training catalog containing more than 1,500 courses and 50 training providers. Similarly, the Federal Virtual Training Environment delivered an average of 35,000 training hours per month, which is a 17-percent increase from FY 2013, and actual course completions increased by 44 percent to 22,761 completed courses in FY 2014.

Additionally, the National Cybersecurity and Communications Integration Center (NCCIC) continued bringing 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. Beyond daily operations, the NCCIC designed, conducted, and/or participated in a total of 116 exercise engagements in FY 2014. These exercise engagements involved more than 132 NCCIC, federal, state and local, critical infrastructure sector, and international participants. The engagements included 30 externally focused exercises and 87 NCCIC-focused exercises. To put the team’s FY 2014 statistical accomplishments into perspective, the FY 2014 engagements represent a 24-percent increase from the next most productive fiscal year, which was FY 2013, and a 40-percent increase over the 5-year average of 68 exercises per fiscal year.

DHS continues to work 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 mitigation (CDM) as well as automated asset, configuration, and vulnerability management; two-factor authentication; and Trusted Internet Connections (TIC) Initiative compliance. The Department designed and hosted the first Small and Micro Agency Cybersecurity Support Workshop. This half-day workshop provided small agency Chief Information Security Officers (CISOs) and Chief Information Officers increased awareness of the cybersecurity services made available to them by DHS, and it fostered collaboration and coordination between federal partners. Guidance was provided on the DHS Reference Architectures, TIC Security Capabilities, the CDM Program, and Red Team Assessments. The event included speakers from CS&C over 35 federal CISOs in attendance. 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 by developing collaborative frameworks through which classified and unclassified threat, vulnerability, and mitigation information is shared. An example is the Structured Threat Information eXpression and Trusted Automated eXchange of Indicator Information specifications, which enable secure, real-time, actionable sharing of cyber threat information with and between public and private-sector partners.

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. More specifically, the whole-of-government approach is a result of the EO directing the Secretary of Homeland Security to establish a consultative process to coordinate improvements to the cybersecurity of critical infrastructure (Sec. 6). This approach also resulted in the interagency taskforce, led by DHS, to include representatives from Sector-Specific Agencies, other relevant agencies, independent regulatory agencies, the law enforcement community, NIST, and the Intelligence Community. DHS met each of its deadlines under these directives, including publication of the revised National Infrastructure Protection Plan and establishment of the Critical Infrastructure Cyber Community (C-Cubed) Voluntary Program. The C-Cubed Voluntary Program is the coordination point within the Federal Government for critical infrastructure owners and operators interested in improving their cyber risk management processes. Further, the C-Cubed Voluntary Program assists critical infrastructure enhancements to cybersecurity and improves the resilience of critical infrastructure systems by supporting and promoting the use of the Cybersecurity Framework (https://www.us-cert.gov/ccubedvp). DHS developed the Cyber Resilience Review (CRR) self-assessment package, which supports this voluntary program. The package includes a self-assessment, a description of the assessment methodology, a user guide, and a cross-walk between the CRR and Cybersecurity Framework. As DHS continues to develop and deploy new capabilities, such as CDM 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 CDM 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 U.S. Government Configuration Baseline 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.

In the past year, DHS has closed nine GAO recommendations directed at CS&C. DHS has also provided documentation to close out five additional CS&C recommendations by the end of calendar year (CY) 2014. In addition to the close-out of these GAO recommendations, DHS closed out the recommendation from OIG-13-95, “DHS Can Take Actions to Address Its Additional Cybersecurity Responsibilities,” which was highlighted in the 2014 GAO High-Risk Series Discussion Draft. Although recommendations remain open, DHS has demonstrated progress implementing recommendations and working with GAO to ensure a mutually beneficial partnership.
Planned Actions and Key Milestones: To further protect the Federal Government’s information systems, DHS uses CDM 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 longstanding lack of leadership in this area. Although 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 (OCHCO), Catherine V. Emerson, Chief Human Capital Officer (CHCO)

DHS Progress: In the February 2013 High-Risk Series update, GAO determined that DHS has demonstrated substantial progress and “mostly addressed” this outcome by implementing a strategic human capital plan. Specifically, GAO recognized that DHS issued a workforce strategy and a revised workforce planning guide to help the Department plan for its workforce needs. Since this time, the Deputy Secretary has made it a top priority for DHS to continue to implement the DHS Workforce Strategy for FY 2011–2016 (Workforce Strategy), including assessing Component progress on established goals and objectives, and has implemented the workforce planning guide requirements in select mission-critical occupations (MCOs), as well as three cross-departmental workforces. By virtue of its progress, the Department recently assessed this GAO Outcome as “fully addressed.”

Since FY 2011, with a committed team in DHS Headquarters and stakeholder engagement from each DHS Component, the Department has been able to build upon its foundation and fully implement the human capital strategic planning process. DHS has been demonstrating sustainment of this program through the Workforce Strategy since FY 2011, and is continuing progress by implementing an updated, robust framework with the new DHS Human Capital Strategic Plan for FY 2015–2019 (Strategic Plan). The following activities demonstrate DHS progress in this area:

- Using a streamlined performance data collection and operational activity submission process, DHS OCHCO collected FY 2013 performance measure data at the Component and headquarters levels to initiate annual review and feedback activities. DHS OCHCO followed with the collection and review of FY 2014 Human Capital Operational Plans from the Components to ensure their alignment with the Workforce Strategy. The review of the 2014 Human Capital Operational Plans was provided to the cross-departmental Human Capital Leadership Council (a Department-wide council of human capital and development executives) in May 2014 and was used in the establishment of the new Strategic Plan.
- In preparation for the revision of the Strategic Plan for FYs 2015–2019, an analysis of the Workforce Strategy (FYs 2011–2016) measures was also conducted to determine the
continued availability, reliability, and alignment to departmental priorities. This assessment of the state of the current operational plans, the Workforce Strategy measures, in addition to an extensive internal and external environmental scan, informed the creation of the new Strategic Plan.

- In May 2014, the CHCO, cross-Component DHS human capital leaders, human capital and line of business workforce subject matter experts, the Office of Policy, and the Office of the Chief Financial Officer met to discuss and identify human capital solutions to our most pressing challenges and to align workforce-focused priorities to future DHS mission needs. Included in this discussion was the environmental scan information, which included feedback around the current Workforce Strategy Operational Plans and process. These discussions resulted in the development of FYs 2015–2019 DHS human capital goals and objectives and set the stage for the establishment of tactics and success indicators that create the Annual Operational Plan.

- In June 2014, the Annual Operational Plan, which includes tactics and success indicators for FY 2015, was completed to outline the specific activities and measures to ensure execution of the Strategic Plan.

- On July 9, 2014, OCHCO launched the HRstat Program (quarterly data-driven performance reviews) at DHS, involving human capital leaders from across the Department. The HRstat program institutes a three-tiered framework: 1) Discussion of quarterly measures that align to the Strategic Plan; 2) Discussion and deep-dive into one of the four Strategic Plan goals; and 3) Review of progress toward achieving the Annual Operational Plan. Nine human capital quarterly measures were established following an internal and external environmental scan. During the July 9 meeting, participants discussed these measures and reviewed initiatives related to the Strategic Plan Goal 1, which focuses on strategy, workforce planning, data analytics, and succession planning.

- In August 2014, a new reporting and governance framework was launched to the cross-departmental Human Capital Leadership Council in preparation for the launch of the Strategic Plan beginning in FY 2015.

- During the September 10, 2014 HRstat meeting, participants discussed key human capital quarterly measures and reviewed initiatives related to Strategic Plan Goal 2, which focuses on recruitment strategies, workforce diversity, and onboarding.

- On the basis of the implementation and sustained progress on the current Workforce Strategy from FYs 2011–2015, in addition to the continued focus on strategic human capital planning via the updated Strategic Plan for FYs 2015–2019 and HRstat implementation, DHS believes that a Fully Addressed rating is warranted.

**Planned Actions and Key Milestones:** Building on the progress in FY 2014, DHS continues to apply the steps of the Workforce Planning Guide to selected priority MCOs. In FY 2015, DHS plans to continue following the guidance set forth by the Strategic Human Capital Management High Risk Initiative. In addition, the pilot competency assessments for selected DHS occupations will continue throughout FY 2015, 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 protection of 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 improved enough that GAO no longer considers them to be high risk.

DHS Lead Office and Official: Management Directorate, Office of the Chief Readiness Support Officer (OCRSO), 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 continues to work assertively to demonstrate square-foot reduction and cost savings. Indications are that the 10-year look of the DHS footprint will negligibly trend down in the short term. However, the 5-year opportunity created by lease expiration will build momentum toward significant future footprint reductions as a result of implementing the Department’s long-term goals.

The Department develops multi-year plans and strategies focused on increasing utilization and reducing costs of real property. DHS views lease expirations as the ideal opportunity for consolidation and economy. Over the next 5 years, approximately 15 million office square feet nationally will be expiring with a 5-year rent cost of approximately $545 million. We use the Department’s 5-year plan to monitor all expirations and to oversee planning and governance to ensure that the Department’s footprint and lease costs are optimally managed. To support space reduction goals, we direct that new housing plans for office space have a utilization rate of 150 usable square feet per person or less. The Department also provides policy instruction supporting the design and development of more efficient space, which will ultimately reduce our reliance on leased space.

The Department, through the OCRSO in partnership with the Readiness Support Council, developed an initiative to complete Component Program Management Reviews and Assessments across all real property programs, Department-wide. The purpose of the effort is to implement departmental processes that assess the health of Component real property programs, and to ensure that foundational policies and processes are in place that provide consistent, correct, and compliant guidance that includes a focus on longstanding problems as identified by GAO for real property programs.

DHS is maintaining its working relationship with the General Services Administration (GSA) to be fully responsive 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 expected outcomes will be improved property management, reduced overreliance on leasing, and reduced excess and underused property. The Department is firmly committed to reducing real property spending across the portfolio and, in particular for the National Capital Region, to integrating our real property strategy to be in
alignment with our St. Elizabeths plan. We have developed a working draft plan for the consolidation in the National Capital Region that leverages lease expirations, and flexible and mobile workplace trends. This will create consolidated, mission-driven office space that helps reduce reliance on leased office space and will drive down total square feet under management and related costs.

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. The Master Plan was based on space standards in effect in 2009 before the concepts of flexible workplace strategies and mobile work gained wide acceptance in the real estate world.

Although the Coast Guard Munro building (Phase 1) was completed on budget and on schedule, the rest of the project has not received the level of funding that DHS and GSA officials originally requested. Consequently, completion of the St. Elizabeths development beyond Phase 1 has been delayed and overall costs increased. DHS and GSA re-baselined the schedule. The revised plan was approved by OMB in June 2013 to continue development of the campus in smaller (300,000 square feet) but complete, severable segments of the project within more manageable fiscal levels. The revised plan would complete the development in 2026, if fully funded by Congress.

The FY 2014 President’s Budget Request to renovate the Center Building Complex to house the Department’s executive leadership and management was submitted in accordance with this revised approach. Congress only partially funded the FY 2014 Request, and GSA awarded a Design-Build Bridging contract for the renovation of the Center Building proper (not the entire complex) on September 30, 2014. The President’s FY 2015 request includes the unfunded portions of the FY 2014 request. With the funding delays, the project schedule is now misaligned with the lease expirations for headquarters facilities throughout the National Capital Region. In addition, the space standards have been updated in accordance with the Freeze the Footprint Guidelines. Therefore, GSA and DHS revised the consolidation plan to meet the utilization goals, align the lease expirations, and reduce overall development costs. The “Enhanced” Consolidation Plan was submitted to OMB in conjunction with the FY 2016 Budget submission and is under review. If approved, the plan will reduce construction by as much as 900,000 square feet, reduce development cost by almost $1 billion, and could recover the schedule to an FY 2021 completion, if fully funded by Congress. 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 on protecting federal facilities. 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 2014, FPS conducted over 51,200 PSO post inspections and 18,500 personnel file audits. GAO has noted that
FPS’s current funding structure challenges capital investments that would enhance FPS’s ability to leverage technology to improve management and oversight. 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 DHS Workspace Standard was approved in late FY 2014 and provides the Department with a consistent process for delivering more efficient, mission-driven office space. The standard provides a methodology for supporting OMB’s Freeze the Footprint initiative; is responsive to GAO High-Risk audits on real property use; will help the Department achieve its goal of providing a superior flexible workspace and lower facility costs; and will deliver on the goal of 150 usable square feet per person. The Department will continue to work with the DHS Components to identify their flexible/mobile work requirements and target facility footprints to support those requirements.

DHS is partnering with GSA to develop tools and resources that can be utilized collaboratively by both agencies in effectively implementing the policy. DHS and GSA will be rolling out the policy nationally to all lines of business in December 2014. Resource planning and training development will be largely completed in 2014.

The Department continues to meet regularly with GSA to discuss leasing and general portfolio management strategies. We will be coordinating a roll-out of our new work standards with GSA in the first quarter of FY 2015.

FPS continues to be an integral part of the Interagency Security Committee (ISC), the body which sets security standards for non-military federal facilities nationwide. This is important because FPS enables the agencies whose facilities it protects to meet the ISC standards through the FPS Facility Security Assessment process, which is discussed further below. FPS has representatives on every ISC Working Group and Subcommittee. FPS currently chairs the Training Subcommittee and the Countermeasures subcommittee, and the Future of Federal Workplace Security Working Group.

The ISC recently published its ninth edition of the *Design-Basis Threat (DBT)* report. FPS’s participation on the ISC’s DBT subcommittee led to an improved format simplifying the utilization of the report in the field by grouping the undesirable events into 7 overarching categories versus 31 alphabetic listings. This method improves upon the older process that often created duplicative countermeasure recommendations. Consequently, combining the undesirable events will advance the DBT for less-costly elicitation of threat estimates and more consistent application of risk management for federal facility security. FPS also led the effort to submit an issue paper to the ISC Steering Subcommittee to stand up a REAL ID Working Group to develop implementation strategies in federal facilities for Facility Security Committees (FSCs). FPS also submitted a paper to the ISC noting that the current DBT does not address cyber events, such as malicious activity related to systems that control processes or security in federal buildings. GAO noted in a recent report that this was a positive advance for federal facility security, with work remaining to be done.

FPS has successfully implemented its Facility Security Assessment process over the last two fiscal years. FPS has accomplished approximately 4,000 FSA reports/actions with a specific focus upon high-risk facilities and in accordance with the ISC standards. Simultaneously, FPS is preparing to deploy the new Web-based version of the Modified Infrastructure Survey Tool 2.0. This new version will enhance the FSA process through Web-based automation, in system workflow, and facility inventory management correlations. FPS continues to achieve milestones in the FSA
program and, ultimately, in protecting federal facilities.

FPS is committed to ensuring high performance of its contracted PSO workforce. In FY 2014, FPS continued post inspections in accordance with policy. Further, FPS conducted a 100-percent file audit as part of a Special Emphasis Audit. This audit reviewed more than 4,300 files 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 files in the field, and examined over 12,000 PSO records in FY 2014.

Additionally, FPS continues to coordinate and collaborate with various security companies through the National Association of Security Companies and with federal partners such as the Transportation Security Administration and U.S. Marshals Service Court Security Officers to enhance the training program designed to protect federal facilities and those who visit or work within. FPS’s Train-the-Trainer PSO Training Pilot program, in which FPS trains and certifies contract guard instructors to teach PSOs the NPPD/FPS Screener Training course (i.e., National Weapons Detection Training Program), began in April 2014. The yearlong pilot program is on target, and FPS is achieving the objectives and gathering information to allow future training-related decisions at the conclusion of the pilot. The pilot success to date has allowed FPS to expand the project into two specific and limited areas to help produce more data to inform the decisions at the end of the pilot. Additionally, FPS is using the pilot to inform development of a construct for PSO screener station refresher training; this includes establishing an overt training and testing program to supplement the current PSO training programs. Oversight of the certified contract guard instructors performing their training instruction is being monitored as planned, and FPS is looking at the feasibility of certifying PSO leads (a type of PSO supervisor) to be able to manage screening operations more effectively. FPS has collaborated with security companies to establish a national lesson plan for all PSO training. The draft National Lesson Plan is nearing completion and ready for a second round of collaboration with security companies and internal staffing across FPS. FPS continues to plan to implement the National Lesson Plan for PSOs no later than September 30, 2015.

FPS is also leading an effort to explore a concept that would establish a Protection Center of Excellence. Partnering with Federal Law Enforcement Training Centers (FLETC) and ISC members, the initiative focuses on answering how security and protection professionals achieve the Security Professional Competencies identified by the ISC. Today’s complex security environment has caused the security and protection community to recognize the importance of effective and relevant security-related training and professional development programs. This effort will help determine whether a center should be established, with coordination from FLETC and ISC members, to address and standardize security- and protection-related training and professional development across the homeland security enterprise and federal agencies.

Lastly, FPS continues to expand initiatives to further enhance data sharing with GSA and coordination with state and local law enforcement. In FY 2014, FPS engaged in approximately 849 state and local meetings throughout 11 regions. FPS, USMS, and GSA are also revising memoranda of understanding to capture key elements of their partnership, including, among other things, information and data sharing. FPS and the Pentagon Force Protection Agency signed a memorandum of understanding this year that clearly lays out roles and responsibilities for security. 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 “Establishing Effective Mechanisms for Sharing and Managing Terrorism-Related Information to Protect the Homeland” as high risk. GAO has since monitored federal efforts to implement the Federal Information Sharing Environment (Federal ISE) because the government faced serious challenges in analyzing key information and sharing information among federal, state, local, tribal, territorial, and other security partners in a timely, accurate, and useful way to protect against terrorist threats. 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 (DOJ) 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 continues to make progress in both its contributions to the Federal ISE as well as executing its own information-sharing and safeguarding mission. In September 2014, DHS issued the *Information Sharing and Safeguarding Directive* and *DHS Information Sharing Environment Instruction*, which establish the policy and governance framework for information sharing and safeguarding within the Department and between the Department and its federal, state, local, tribal, territorial, private-sector, and international partners.

DHS continues to be committed to its obligations to share information with Intelligence Community (IC) partners for national security purposes and to ensure that the data shared are appropriately used, maintained, and protected by our IC partners. To that end, DHS finalized its bulk data-sharing policy for counterterrorism purposes. DHS identified a framework of six factors:

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1. 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.
(consisting of both data sensitivity and operational factors) to be considered in determining periods of retention by the IC of bulk-ingested DHS datasets. This framework was the cornerstone for the renegotiation of DHS datasets concerning the National Counterterrorism Center (NCTC) revised Attorney General Guidelines. DHS, in partnership with the NCTC, was able to complete Memorandum of Agreements for the following DHS datasets: Advanced Passenger Information System; Refugees, Asylum, and Parole System; Arrival and Departure Information System; and Electronic System for Travel Authorization.

The Information Sharing and Safeguarding Governance Board (ISSGB) enhanced collaboration among DHS Components by identifying key information-sharing initiatives and has played a role in the Department’s investment decision process. Specifically, it championed the Data Framework, DHS’s pathway to build better data aggregation and information-sharing systems, incorporating privacy and civil rights and civil liberties protections into the data and system architecture, while enabling better controlled, more effective, and more efficient use of existing homeland security-related information across the DHS enterprise and with other U.S. Government partners, as appropriate.

DHS also enhanced the Homeland Security Information Network (HSIN) to better serve the needs of the federal, state, local, tribal, territorial, private sector, and international communities. With over 30,000 registered users, HSIN has made significant growth over the last year in supporting the sharing of operational information across homeland security professionals. HSIN collaboratively worked with the FBI eGuardian team to implement an update to the Suspicious Activity Reporting (SAR) vetting tool to support DHS’s SAR submission to the FBI. DHS achieved Single Sign-On (SSO) federation with the Regional Information Sharing System and advanced SSO planning, architecture, and solutions development for the NPPD Office of Infrastructure Protection’s (IP) TRIPwire and IP Gateway platforms. HSIN also began SSO integration planning with the El Paso Intelligence Center and DOJ’s Law Enforcement Enterprise Portal. This work allows for faster, more efficient, and more secure access to multiple mission-critical information-sharing systems, for thousands of homeland security users nationwide. Finally, DHS increased the efficiency of its login process and paved the way for increased use by DHS federal users by implementing the DHS Personal Identity Verification card login option. Since its inception in early September 2014, nearly 800 logins have been done using this new option, making access to HSIN’s resources easier and more efficient.

DHS included recommendations from GAO-12-809, “Information Sharing: DHS Has Demonstrated Leadership and Progress, but Additional Actions Could Help Sustain and Strengthen Efforts” in the FY 2013–2017 DHS Information Sharing and Safeguarding Strategy (DHS Strategy) released in January 2013 and in its FY 2013–2017 Information Sharing and Safeguarding Implementation Plan (Implementation Plan), and in the 2014 update to the Implementation Plan. These documents identify information-sharing and safeguarding gaps, initiatives with milestones to address the gaps, and risks to the DHS Strategy if the initiative is not accomplished. They chart the course for enhancing DHS information-sharing capabilities and support investment decisions and improvements in information sharing and safeguarding. In February 2014 the ISSGB implemented a Performance Management Program that allows the Department to track initiatives at the Priority Objective level and allows leadership to intercede when actions are off-track. In addition, the ISSGB published a detailed Implementation Guide which documents procedures to be followed annually. As a result of these accomplishments, in the spring of 2014 GAO closed out the five
recommendations from GAO-12-809.

**Planned Actions and Key Milestones:** DHS efforts going forward will build on these successes by focusing on maturing performance and risk management, policy development, and progress toward key information-sharing initiatives.

The ISSGB will mature its performance measures to more outcome-based measures during FY 2015. In addition, the ISSGB will address risk requirements from the Strategy.

Policy development will focus on a more effective and efficient way for the Homeland Security Enterprise to set up and finalize agreements to share information across the Federal Government, and with our state, local, and international partners. DHS stood up an International Information Sharing Architecture Integrated Project Team to focus both policies and technologies to improve the Department’s ability to respond with one voice when coordinating with international partners on information sharing, especially for sharing information critical to ongoing counterterrorism investigations.

Major progress is expected in implementing the Data Framework across governance, management, and technology with expected finalization of the Data Framework Steering Group Charter, the Data Framework Implementation Plan, and its roadmap, as well as achieving concrete results from the Limited Production Capability activities.

**GAO High Risk Area:** Limiting the Federal Government’s Fiscal Exposure by Better Managing Climate Change Risks (Government wide)

**Overview:** In February 2013, GAO designated “Limiting the Federal Government’s Fiscal Exposure by Better Managing Climate Change Risks” as 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 it needs a government-wide strategic approach with strong leadership to manage related risks.

**DHS Lead Office and Official:** FEMA, 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) Executive Steering Committee (ESC) in March 2011. The ESC consists of representatives from 17 Components authorized to speak on behalf of their respective offices on climate change issues.

Under the direction of the ESC, the **DHS Climate Action Plan** was developed. It was required by EO 13653 and helps implement the vision of the **President’s Climate Action Plan** from June 2013. DHS publicly released the plan on October 31, 2014.

FEMA is leading on two key initiatives that will help reduce the Federal Government’s fiscal risk to climate change. First, the Federal Flood Risk Management Standard is nearing completion and will be implemented in 2015. The standard provides guidance for minimum level risk management
measures to be taken against flood hazards when major federal investments are involved. This action is a step in the right direction because the cost borne on the Federal Government by flooding is more than by any other hazard. Second, the Mitigation Framework Leadership Group coordinated by FEMA is devising a strategy for 2015 to encourage the adoption and enforcement of building codes across the Nation. Structural resilience to extreme weather events will diminish demands for federal aid post disaster and help ensure the safety of the public.

**Planned Actions and Key Milestones:** The ESC met on February 21, 2014, to approve Department-wide priority actions under the DHS Plan. The ESC agreed to the following priorities for FY 2014 through FY 2015:

- Launch a DHS public-facing CCA section on DHS’s official Web site.
- 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
ACAS – Air Cargo Advance Screening
AO – Analysis and Operations
APC – Automated Passport Control
APG – Agency Priority Goal
APR – Annual Performance Report
BTB – Beyond the Border
CAP – Cross Agency Priority Goal
CBP – U.S. Customs and Border Protection
CBRN – Chemical, Biological, Radiological, and Nuclear
CCC – Customer Contact Center
CDS – Consequence Delivery System
CEE – Centers of Excellence and Expertise
CFO – Chief Financial Officer
COO – Chief Operating Officer
CSI – Container Security Initiative
C-TPAT – Customs Trade Partnership Against Terrorism
DHS – Department of Homeland Security
DMO – Departmental Management and Operations
DNDO – Domestic Nuclear Detection Office
DRC – Disaster Recovery Center
E³A – EINSTEIN 3 Accelerated
ELIS – Electronic Immigration System
ESTA – Electronic System for Travel Authorization
FEMA – Federal Emergency Management Agency
FLETA – Federal Law Enforcement Training Accreditation
FLETC – Federal Law Enforcement Training Centers
FPS – Federal Protective Service
FY – Fiscal Year
FYHSP – Future Years Homeland Security Program
GAO – U.S. Government Accountability Office
GHG – Greenhouse Gas
GPRA – Government Performance and Results Act
GPRAMA – GPRA Modernization Act of 2010
GSA – General Services Administration
HR – Human Resource
HSE – Homeland Security Enterprise
I&A – Intelligence and Analysis
ICE – U.S. Immigration and Customs Enforcement
IT – Information Technology
NCSC – National Customer Service Center
NIST – National Institute of Standards and Technology
NPPD – National Protection and Programs Directorate
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
PIO – Performance Improvement Officer
PPBE – Planning, Programming, Budgeting, and Execution
R&D – Research and Development
ROPE – Radiological Operations Preparedness Exercise
S&T – Science and Technology Directorate
SPR – State Preparedness Report
SSPP – Strategic Sustainability Performance Plan
TCC – TSA Contact Center
THIRA – Threat and Hazard Identification and Risk Assessments
TRIP – Traveler Redress Inquiry Program
TSA – Transportation Security Administration
USCG – U.S. Coast Guard
USCIS – U.S. Citizenship and Immigration Services
USM – Under Secretary for Management
USSS – U.S. Secret Service
VWP – Visa Waiver Program