

Federal Emergency Management Agency



FEMA Corps and FEMA Disaster Survivor Assistance Team members canvas tornado stricken neighborhoods of Moore, Oklahoma. Photo by Andrea Booher - May 22, 2013

President Carter created the Federal Emergency Management Agency in 1979 through an executive order, consolidating many separate Federal disaster-related entities into a single dedicated agency to manage incidents. Today, FEMA leads the planning and coordination of efforts across the Federal government to support its partners in preparing for, protecting against, responding to, recovering from, and mitigating all hazards.



FEMA Individual Assistance Preliminary Damage Assessments specialists survey repair efforts following damage to Pennsylvania homes caused by Hurricane Sandy. Photo by Elizabeth Stands - Nov 01, 2012

The *Homeland Security Act* as amended by the *Post-Katrina Emergency Management Reform Act* (PKEMRA) directs FEMA to reduce the loss of life and property and protect the Nation from all hazards, including natural disasters, acts of terrorism, and other man-made disasters, by leading and supporting the Nation in a risk-based, comprehensive emergency management system of preparedness, protection, response, recovery, and mitigation. FEMA's more than 14,000 employees – including term and intermittent employees – carry out the Agency's mission through extensive collaboration, assisting states, tribes, territories, communities, and survivors before,

during, and after disasters. The *Robert T. Stafford Disaster Relief and Emergency Assistance Act* (*Stafford Act*) authorizes the primary programs the Federal government uses to provide assistance to state, territorial, and local governments, tribal nations, eligible private nonprofit organizations, and individuals affected by an incident that receives a Presidential major disaster or emergency declaration.

FEMA also delivers programs such as the National Flood Insurance Program, pre-disaster mitigation, flood mapping, disaster planning, exercise management and coordination, urban search and rescue coordination, Individual Assistance and Public Assistance, and homeland security and firefighter assistance grant programs to reduce risk and improve the nation's resilience for disasters of any size or scale. FEMA leads government continuity planning, guidance, and operations for the Federal Executive Branch to minimize the disruption of essential operations and guarantee an enduring Constitutional government.



FEMA Urban Search and Rescue (NE TF1) team members search house to house for survivors in tornado devastated neighborhood in Moore, Oklahoma. Photo by Andrea Booher - May 22, 2013

Average FEMA Day

Note: numbers based on FY 2015 data.

- Responds to 1,657 disaster survivors' phone calls to its Recovery Service Centers.
- Provides \$23.7 million in Federal disaster recovery assistance to state, local, territorial, and tribal governments through Public and Individual Assistance.
- Funds 9,343 Public Assistance projects at the state, local, tribal, and territorial level to support debris removal, emergency protective measures, and the repair, replacement, or restoration of disaster-damaged, publicly owned facilities and the facilities of certain private non-profit organizations.
- Supports local communities in building capacity and resilient communities with \$4.4 million in homeland security assistance.
- Provides grants to enable local communities to retain and employ 1,841 firefighters nationwide through the Staffing for Adequate Fire & Emergency Response (SAFER) Grant Program. *Note: This number is an annual figure.*
- Obligates \$227,220 in Pre-Disaster Mitigation Program funds for hazard mitigation planning and projects to reduce overall risk to the U.S. population and structures from future hazard events, while also reducing reliance on Federal funding in future disasters.



FEMA helps a disaster survivor register with FEMA and answers questions at a Disaster Recovery Center in Detroit, MI in response to the severe storms and flooding Photo by Christopher Mardorf - Oct 9, 2014

- Funds \$290,998 in Flood Mitigation Assistance for planning and projects to reduce or eliminate risk of flood damage to buildings that are insured under the National Flood Insurance Program (NFIP).
- Trains 5,912 students from states, localities, tribes, and territories in emergency preparedness, response, recovery, and mitigation.
- Supports the design and delivery of at least one state, local, tribal, and/or territorial government-level exercise across the homeland security enterprise to support the goal of a more secure and resilient nation.
- Employs a mobile workforce of more than 14,000 personnel in locations across the country who stand ready to work on preparedness, protection, response, recovery, and mitigation efforts in support of disaster survivors and their respective state, tribe, or territory.
- Maintains and trains a Surge Capacity Force of over 5,500 designated Departmental personnel to support response to catastrophic disasters. *Note: Data based on August 2016 Surge Capacity Force personnel.*



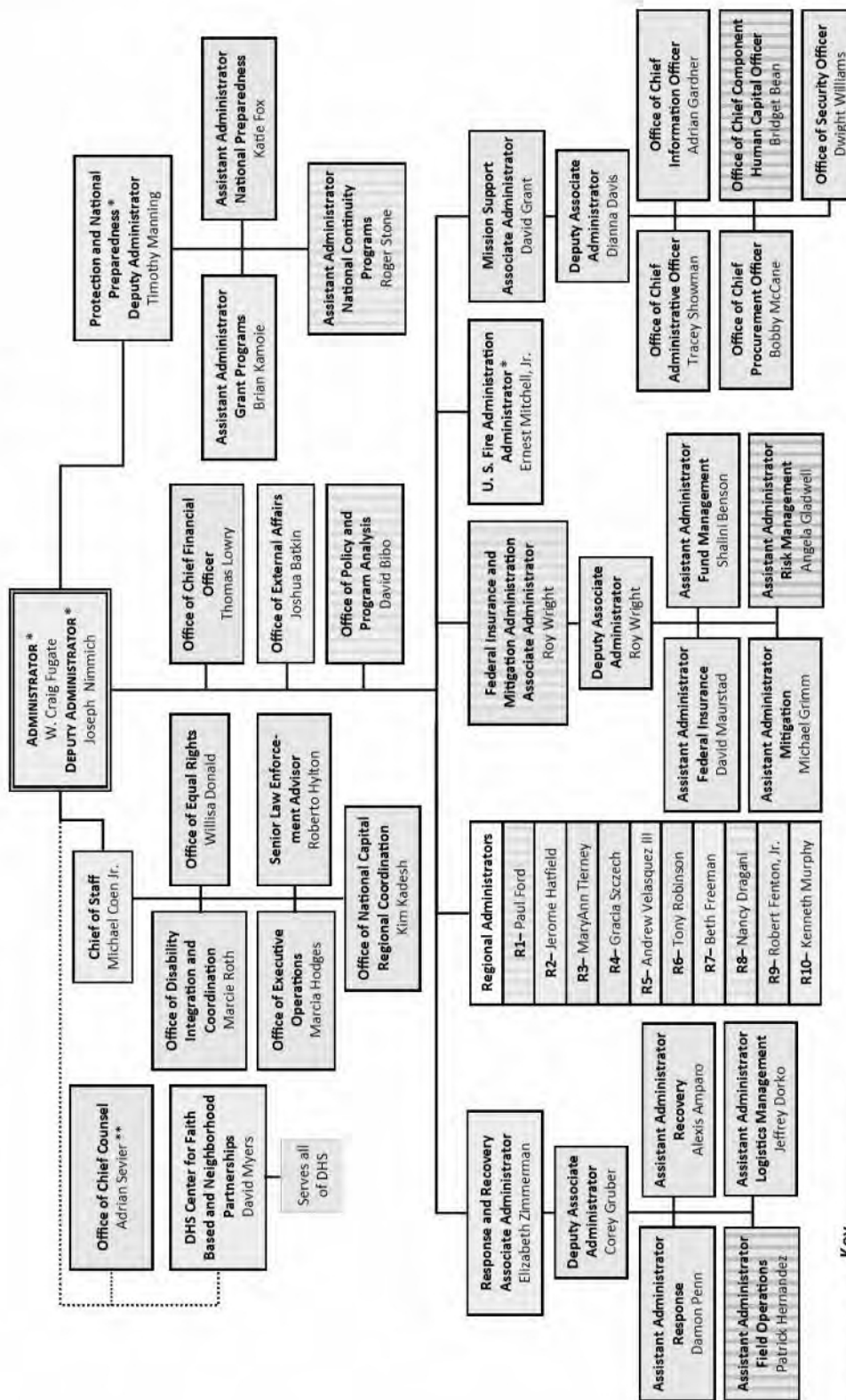
A patient simulator undergoes the decontamination process during a course exercise at the Center for Domestic Preparedness (CDP). These new systems allow emergency responders to provide complete mass casualty care from the beginning of medical treatment to the end.
Anniston, AL – Oct 31, 2012

Mission

To support our citizens and first responders to ensure that as a nation we work together to build, sustain and improve our capability to prepare for, protect against, respond to, recover from and mitigate all hazards.

Organization Chart

Federal Emergency Management Agency



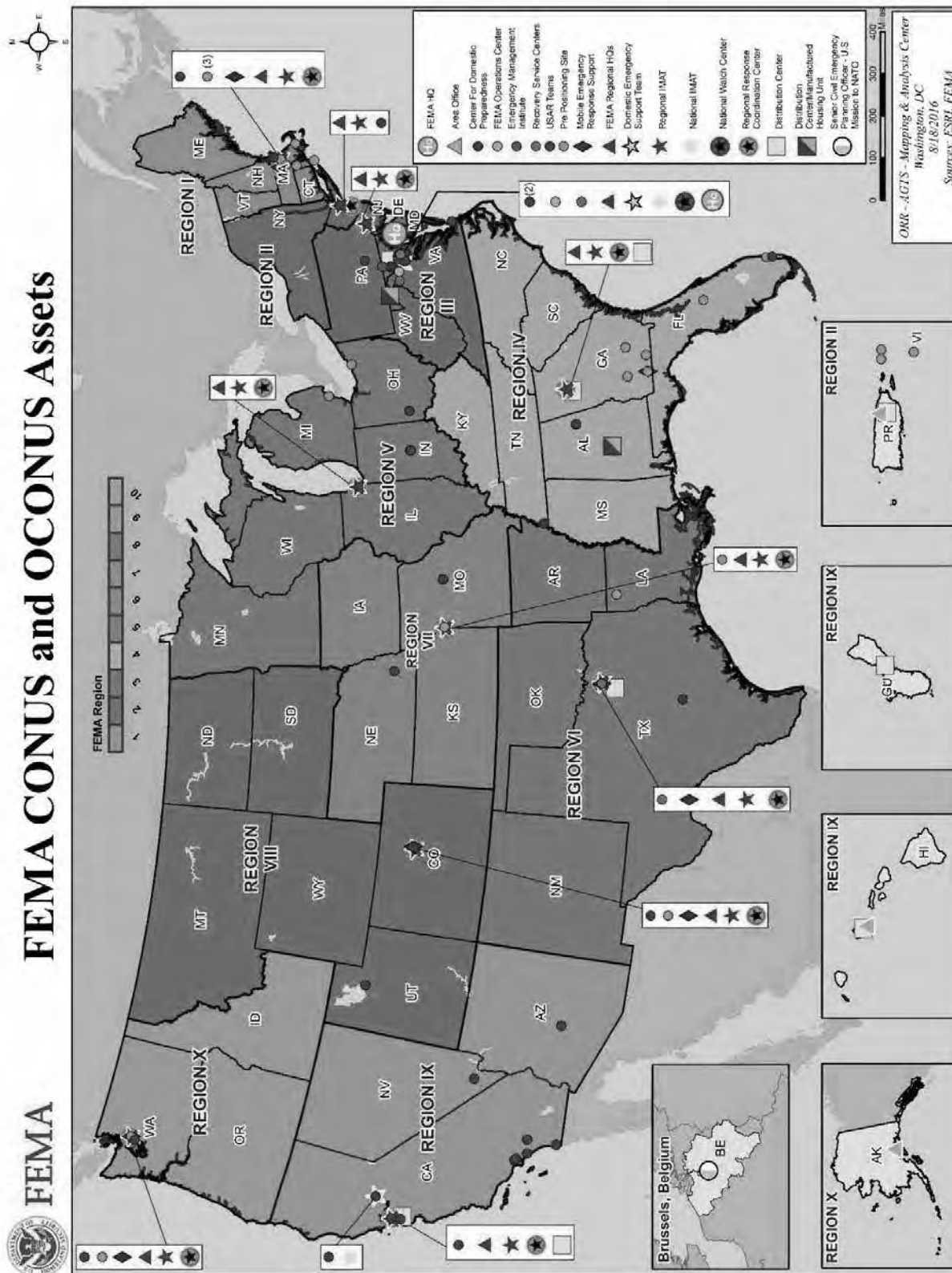
Key

* Senate Confirmed ** Reports to OGC

Non-Career	Career
Acting Non-Career	Acting Career
Non-Career or Career Position	

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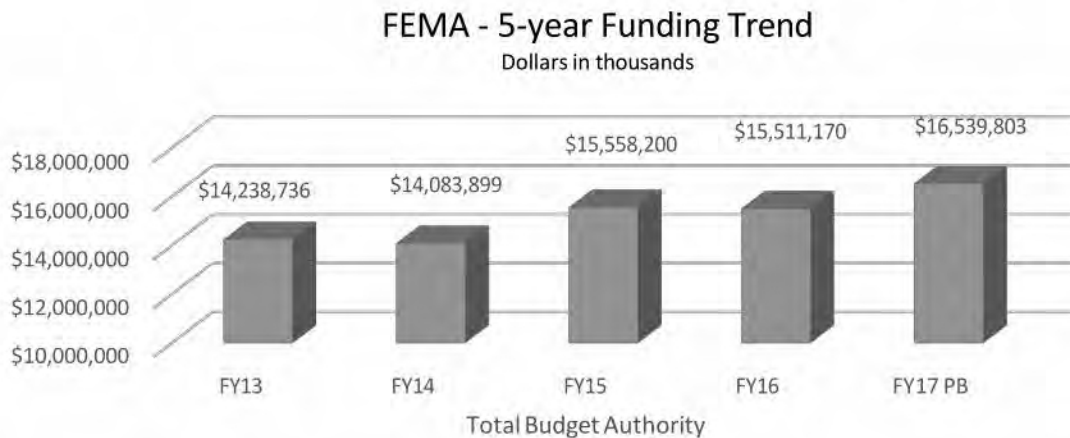
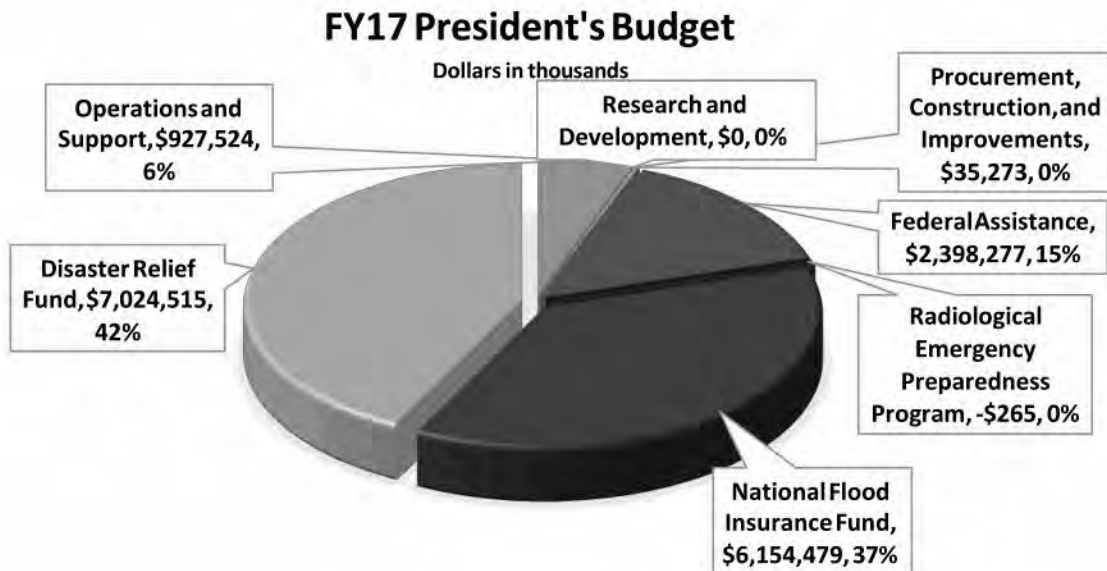
FEMA Regional Structure and Force Laydown



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FEMA Regional Structure and Force Laydown

FEMA - Total Budget Authority		
FY 2016 Enacted	FY 2017 President's Budget	+/-
\$13,984,971,000	\$14,169,074,000	\$181,104,000
Grant Programs		
\$2,590,000,000	\$2,370,729,000	-\$219,271,000



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Workforce

Employee Type	Authorized*	Onboard*	Vacancies
Title V (PFTs)	4,824	4,777	422
Stafford Act** (Reservists, COREs)	N/A	9,570	N/A
Total		14,347	

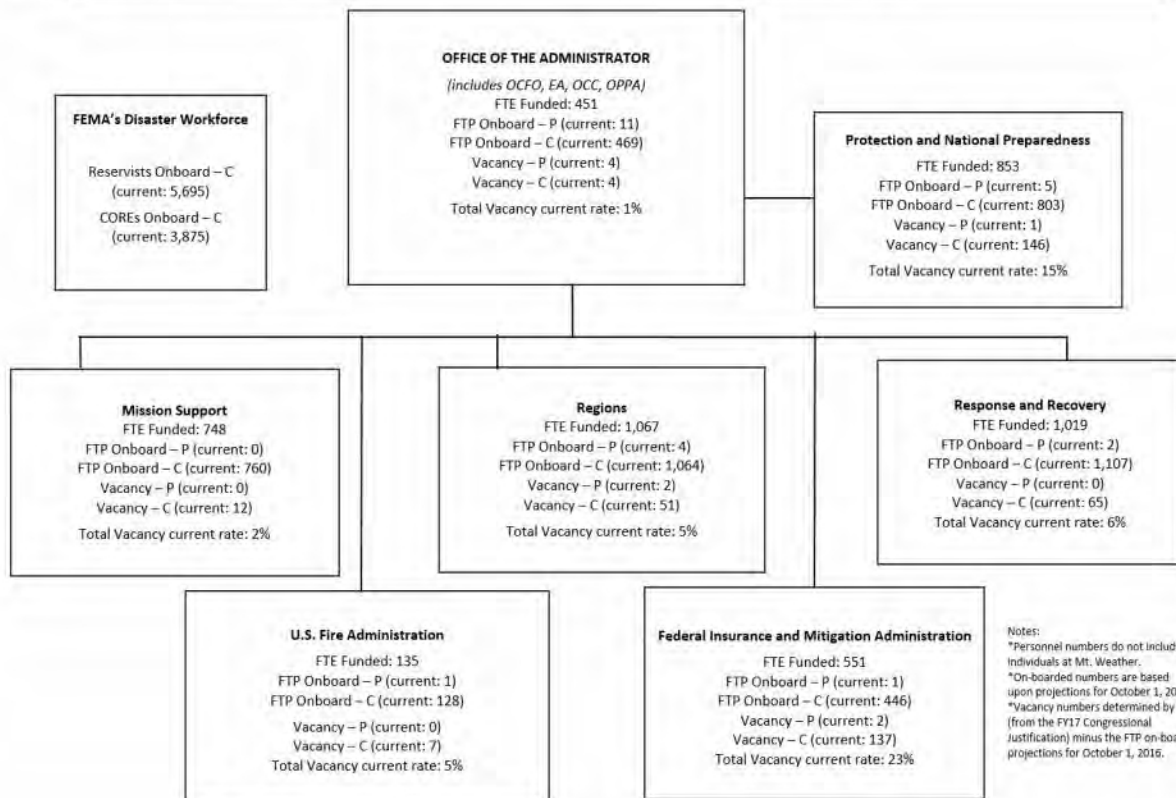
* Figures do not include reimbursable, working capital, or revolving account employees.

** Note: Stafford Act employees include both Cadre of On-Call Response/Recovery Employees (CORE) and Reservists, who deploy nationwide to assist states, territories, tribal nations, communities, and survivors before, during, and after disasters.



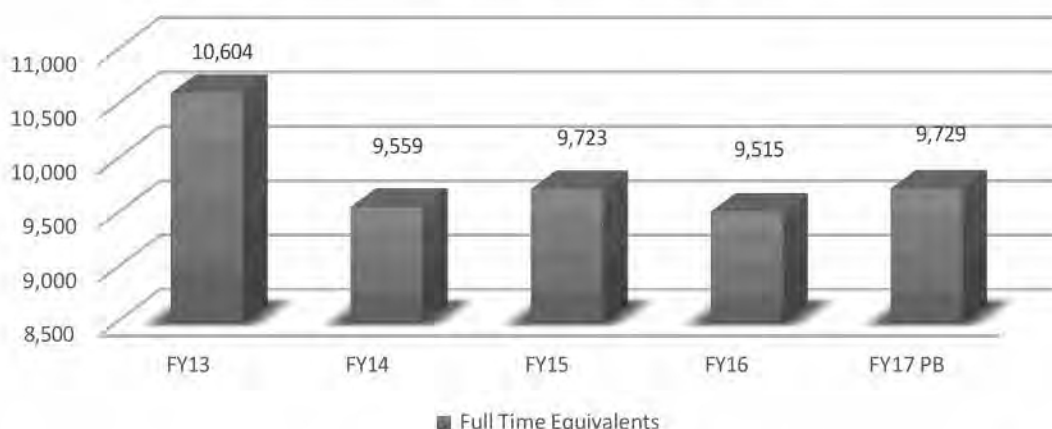
FEMA

US Department of Homeland Security/FEMA



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FEMA - 5-year Workforce Trend



* Note: Hurricane Sandy, which made landfall in October 2012, contributed to a higher number of FTE in FY 2013.

Strategic Priorities

- Posture and Build Capability for Catastrophic Disasters:** FEMA works with all levels of government, the private and nonprofit sectors, civic and faith-based organizations, communities, and individuals to ensure partnerships, tools, and resources are in place to support national-scale continuity, response, and recovery operations for catastrophic disasters. FEMA's efforts are not only focused on planning for disasters within our capability to respond, but also for catastrophic disasters with impacts so severe that existing response structures and capabilities are insufficient. Based upon findings in the National Preparedness Report, preparing for a catastrophic disaster remains a challenge for not just FEMA, but all levels of government and all communities.



FEMA Capstone 2014 National Exercise mobilization to Alaska. A FEMA Mobile Emergency Response truck is loaded onto a C17 at Joint Base Lewis-McChord, WA. Photo courtesy of U.S. Air Force Airman 1st Class Jacob Jimenez - July 14, 2014

Through grant funding, planning, exercises, and technical assistance, FEMA focuses on assisting state, local, tribal, and territorial partners in acquiring and maintaining capabilities to prepare for catastrophic disasters and continue performance of essential functions under all conditions. In addition to acquiring new capabilities, FEMA is also working to facilitate the sharing of existing resources through effective mutual aid across jurisdictions. Furthermore, FEMA is developing a National Qualifications System, which will facilitate the deployment of a trained, credentialed, and qualified workforce in response to all-hazard incidents.

- **Be Survivor-centric in Mission and Program Delivery:** FEMA focuses on supporting and empowering disaster survivors, including individuals, households, organizations, and communities, through increasing their capacity to take effective and practical steps to help themselves, their families, and their communities. FEMA is working to improve services for individuals during initial contact with the Agency, whether it involves individual registration for disaster assistance, referral resources, or reporting critical unmet needs. The Agency is also strengthening the



FEMA Mitigation Specialist points out requested information to tornado disaster survivor in Birmingham, AL. Photo by Christophe Mardorf - July 23, 2011

effectiveness of the Public Assistance program through implementation of a new Public Assistance Model, which focuses on the communities being served, improving program delivery, effectiveness, and efficiency by streamlining and simplifying processes and policies. The Agency's focus on survivor-centric programs prioritizes access to services to accelerate disaster recovery.

- **Become an Expeditionary Organization:** Based upon our current staffing, training, and equipment readiness, FEMA can only currently meet the requirements of multiple moderate or a single significant disaster. Building FEMA's incident workforce includes hiring, training, and qualifying employees in each of FEMA's cadres, ensuring that FEMA Corps members are trained and available to support disaster operations, and building the DHS Surge Capacity Force to be appropriately sized, trained, and organized to conduct effective and efficient operations, even under the most austere conditions. This effort enables FEMA to address the needs of disaster-affected communities with the right people and resources in the right places at the right times.



Mennonite Disaster Services volunteers repair a handicap accessible ramp on this disaster survivor's home, which was damaged by a severe flooding event in May 2013. After recovery measures were suspended due to the extreme winter weather, FEMA, the State of Alaska, and the volunteers went back to work to complete the rebuilding and repair to those disaster survivors who are eligible for individual assistance. Photo by Adam DuBrowa - July 15, 2014

- Enable Disaster Risk Reduction Nationally: The Nation faces increasing disaster risk in the near and long-term due to multiple interacting factors such as shifting demographics, aging infrastructure, and increasing storm frequency and severity. FEMA promotes increased risk-informed action at all levels of society. Risk reduction is accomplished through Federal grants; resilient investments by states, tribes, territories, communities, and the private sector; and actions



Longfellow Elementary school and homes flooded by the Souris River in Minot, North Dakota. FEMA is providing assistance through Public Assistance and Individual Assistance programs. Photo by Andrea Booher - June 25, 2011

by individuals, such as purchasing insurance and understanding individual risk. Supporting the effective use of Federal funding, FEMA is working to establish minimum standards for Public Assistance projects to promote resiliency and increase achieved risk reduction. FEMA is also exploring the concept of a disaster deductible to incentivize mitigation strategies; promote risk-informed decision-making to build resilience; reduce the costs of future events; and facilitate state, local, tribal, and territorial government planning and budgeting for enhanced disaster response and recovery capability through greater transparency.

To enable risk reduction at the individual level, the National Flood Insurance Program (NFIP) is designed to insure against, as well as mitigate, the long-term risks to people and property from the effects of flooding, and to reduce the escalating cost of flooding to taxpayers. Two NFIP priorities include adding additional oversight and reauthorizing the program in 2017.

- Strengthen FEMA's Organizational Foundation: FEMA requires people, data, resources, and processes to carry out its mission. FEMA's aging information technology (IT) infrastructure requires an effort to modernize its technology portfolio including Grants Management Modernization, Financial Systems Modernization, the NFIP's IT Phoenix, and the Integrated Public Alert and Warning System. The Agency is also focused on strengthening data analytics capabilities to inform strategic decision-making at the program level and in the field. Working through the Human Capital Governance Board, FEMA is enhancing its enterprise-wide governance of human capital goals, strategies, initiatives, and processes to ensure that human capital programs and policies are effectively integrated and aligned with the Agency's mission.



A Preliminary Damage Assessment (PDA) Team looks at a damaged bridge in Atchison County caused by heavy rains. FEMA and the State of Kansas are doing joint PDAs in the areas affected by flood waters. A joint PDA is used to determine the magnitude and impact of an event's damage. The State uses the results of the PDA to determine if the situation is beyond the combined capabilities of the State and local resources and to verify the need for supplemental Federal assistance.

Photo by Steve Zumwalt - June 17, 2015



A FEMA Reservist and Public Information Officer brief survivors on FEMA disaster assistance at an afternoon town hall hosted in Jersey City, NJ's council chambers. Photo by David Valdez - Nov 10, 2012

Key Partnerships / Stakeholders

FEMA's partnerships and stakeholders are critical to the success of the Agency's mission. The partnerships listed in the table below describe FEMA's critical Federal interagency, advisory councils, and non-governmental community partner organizations. Annex G includes a list of additional partnerships.

Interagency	
Partner	Description
White House Policy Councils, especially the National Security Council (NSC) and Council on Environmental Quality (CEQ)	There is regular engagement in FEMA's mission space among the various White House Policy Councils, especially the NSC and CEQ. FEMA preparedness, response, recovery, and mitigation policy issues and operations have been regular topics among interagency bodies convened at all levels (i.e., Principals, Deputies, and Assistant Secretary-level Interagency Policy Committees).

Interagency	
Partner	Description
White House Intergovernmental Affairs	FEMA works closely with the White House Office of Intergovernmental Affairs to keep them apprised of FEMA policy decisions and programmatic issues that could impact states, cities and towns, counties, territories, and tribal governments as well as other constituencies that could be impacted by disasters. FEMA supports multi-agency Federal Intergovernmental Affairs meetings coordinated by the White House to ensure that all Federal agencies have situational awareness of the impacts of disasters and FEMA's actions to coordinate Federal resources under a disaster declaration.
Emergency Support Functions (ESF) (Primary and Support Agencies)	As outlined in the National Response Framework, the ESFs provide the structure for coordinating Federal interagency support for a Federal response to an incident. They are mechanisms for grouping functions most frequently used to provide Federal support to states, tribes, and territories, and Federal-to-Federal support, both for declared disasters and emergencies under the Stafford Act and for non-Stafford Act incidents. There are 14 ESFs, each with an identified lead Coordinating Department or Agency responsible for planning and coordination of efforts throughout all phases of an incident. Federal response interagency coordination occurs at both the national level and at regional levels through Regional Interagency Steering Committees. See Annex A for a list of ESF Coordinating Agencies.
Recovery Support Function Agencies (RSF) (Primary and Support Agencies)	As outlined in the National Disaster Recovery Framework, the RSFs bring together the core recovery capabilities of Federal departments and agencies and other supporting organizations, including those not active in emergency response, to focus on community recovery needs. Their purpose is to support local governments by facilitating problem solving, improving access to resources, and by fostering coordination among state and Federal agencies, nongovernmental partners, and stakeholders. Through the RSFs, relevant stakeholders and experts are brought together during steady-state planning and when activated post-disaster to identify and resolve recovery challenges. The RSFs are organized into six manageable components, each led by an identified Coordinating Agency, at both the national and regional levels. See Annex A for RSF Coordinating Agencies.
Mitigation Framework Leadership Group (MitFLG)	The MitFLG is a national coordinating structure focused on integrating Federal efforts to deliver Mitigation core capabilities identified in the National Mitigation Framework (NMF). The MitFLG works to create a national culture shift that embeds risk management and mitigation in all planning, decision making, and development to the extent practicable. As a senior level group that promotes coordination of mitigation efforts across the Federal Government, the MitFLG facilitates information exchange, coordinates policy implementation recommendations on national-level issues, and oversees the successful implementation of the NMF. See Annex A for a list of MitFLG members.

Interagency	
Partner	Description
The Department of Defense (DOD)	DOD is a full partner in the Federal response to domestic incidents and the DOD response is fully coordinated through the mechanisms outlined in the National Response Framework. DOD normally provides Defense Support to Civil Authorities in response to requests for assistance (RFA) from other Federal departments or agencies, or in some cases, state, local, or tribal governments. Support provided in response to such RFAs may help civil authorities prepare for, prevent, protect against, respond to, and recover from domestic incidents. Defense resources are committed after approval by the Secretary of Defense or at the direction of the President. FEMA maintains two full-time positions within U.S. Northern Command Headquarters in Colorado Springs, CO.

Stakeholder Groups and Federal Advisory Committees (FACA)	
Partner	Description
Advisory Committees	The FEMA National Advisory Council (NAC) was established by the enactment of the Post-Katrina Emergency Management Reform Act of 2006 to ensure effective and ongoing coordination of Federal preparedness, protection, response, recovery, and mitigation for natural disasters, acts of terrorism, and other manmade disasters. The NAC advises the FEMA Administrator on all aspects of emergency management. The NAC incorporates input from state, local, and tribal governments, nonprofits, and the private sector to the development and revision of the National Preparedness Goal, the National Preparedness System, the National Incident Management System, and other related plans and strategies. In addition, Regional Advisory Councils were created at each of the 10 FEMA regions to enhance communications and preparedness for future disasters and advise the Regional Administrators on emergency management issues specific to each region. Furthermore, the Technical Mapping Advisory Council is comprised of representatives from Federal, state, local, and private sector organizations and was established to review and make recommendations to the FEMA Administrator on matters related to the national flood mapping program authorized under the Biggert-Waters Flood Insurance Reform Act of 2012.

Industry / Public-Private / Academia	
Partner Name	Description
The American Red Cross	The relationship between the American Red Cross (ARC) and the Federal government is unique. The ARC is an independent entity that is organized and exists as a nonprofit, tax-exempt, charitable institution pursuant to a charter granted by the United States Congress. The ARC maintains the legal status of "a Federal instrumentality," due to charter requirements to carry out responsibilities delegated by the Federal government, which include maintaining a system of domestic and international disaster relief, with associated responsibilities coordinated by FEMA under the National Response Framework.

Industry / Public-Private / Academia	
Partner Name	Description
Emergency Management Organizations to include Voluntary Organizations Active in Disaster (VOAD)	Emergency management organizations, such as the National Emergency Management Association (NEMA), the International Association of Emergency Managers (IAEM), and Big City Emergency Managers (BCEM) represent emergency professionals at all levels of government and provide leadership to enhance public safety by improving the Nation's ability to prepare for, respond to, and recover from all emergencies, disasters, and threats to national security. National, State/Territorial, and Local/Regional Voluntary Organizations Active in Disaster (VOAD) are nonprofit organizations that include over 50 of the country's most reputable national, state, territorial, and local organizations (faith-based, community-based, and other non-governmental organizations) and facilitate sharing of knowledge and resources throughout the disaster cycle to help communities prepare for, respond to, and recover from disasters.
Non-Governmental Community Partner Organizations and Private Sector	Non-Governmental Community Partner Organizations include Community Planning/Development Organizations and Public Health Organizations. FEMA is committed to supporting and sharing information about disaster resources with national community planning and development organizations in support of their state, regional, and local efforts. These organizations have a unique role in planning for disaster impacts and working in partnership with state, local, territorial, and tribal governments to identify preparedness, response, recovery and mitigation needs, and sustain capabilities as part of the whole community support for disaster survivors. Furthermore, the private sector is also a vital part of the emergency management team. FEMA works with the private sector's vast network of business, industry, academia, trade associations, and other non-governmental organizations in every phase from preparedness to response and recovery to mitigation. Whether supporting elderly, low income, disabled, or limited English proficiency populations, or other members of the whole community, FEMA works with these national community partners to support pre- and post-disaster efforts for disaster survivors.

Legislative Priorities

- Disaster Workforce Flexibility Act** - A significant portion of FEMA's response and recovery capabilities reside in its Reservist workforce and Cadre of On-Call Response/Recovery Employees (COREs). FEMA Reservist and CORE personnel provide valuable and essential services at FEMA headquarters, regional offices, and disaster Joint Field Offices, in the immediate lead-up to, during, and after an emergency or major disaster. However, unlike permanent Federal employees, these Reserve/CORE personnel are not eligible to compete for vacant Federal permanent positions under merit promotion procedures. This proposal would amend Title V, United States Code, to provide a pathway for time-limited appointed employees hired under the authority of the *Stafford Act* (Public Law 93-288, as amended, 42 U.S.C. 5121 et seq.) to compete for vacant permanent positions under merit promotion procedures. This change would provide a strong incentive to join FEMA, increase the efficiency and effectiveness of our resources, and allow us to keep a more experienced workforce. *[Note: FEMA proposal; not a bill in Congress]*

- Foreign Responder Assistance Act - In the event of a catastrophic disaster or simultaneous large-scale major disasters impacting the United States, FEMA anticipates the need to support existing domestic search and rescue assets, and potentially other responder services, with responders from other countries. The Foreign Responder Assistance Act would (1) immunize foreign personnel from liability for assistance provided while performing duties under the President's direction for a major disaster or emergency; (2) in certain cases, allow such foreign medical personnel and others to rely on their foreign licenses; and (3) authorize Federal agencies to waive certain statutes and regulations preventing or slowing importation of supplies when necessary to meet immediate threats to life or property resulting from a major disaster or emergency. Without legislative changes, foreign countries' ability or willingness to assist the United States will be constrained. *[Note: FEMA proposal; not a bill in Congress]*
- Stafford Act - FEMA's ability to provide essential financial assistance in events receiving a Presidential disaster or emergency declaration relies on sufficient balances in the Disaster Relief Fund (DRF). The Budget Control Act of 2011 established a mechanism for calculating a yearly ceiling on appropriations for disaster relief without triggering sequestration. This ceiling, also known as the Disaster Relief Allowable Adjustment, is trending downward. This could result in FEMA relying on emergency supplemental appropriations to support basic disaster missions as soon as FY2018 or FY2019. Moreover, FEMA may need to suspend obligation of Federal recovery dollars in communities across the country to preserve funds for response to no-notice events. FEMA must maintain the integrity of the DRF by working with DHS and the Office of Management and Budget to define a solution to the declining ceiling that reduces the risk of needing future supplemental appropriations or needing to suspend obligation of recovery dollars. Complicating this challenge, Congress previously sought to amend the Stafford Act to allow for the Secretaries of Agriculture and the Interior to request presidential disaster declarations for wildfires on Federal lands, which would authorize use of the DRF for response and recovery operations, which would exacerbate the risk to the DRF. FEMA opposes this effort. Opening the budget authority for disaster relief for uses outside of those envisioned by the Stafford Act, including as a means of funding other Federal agencies' emergency activities for which they already have authorities and appropriations, will degrade the integrity of the DRF and compromise the availability of funds for disaster operations, especially no-notice catastrophic events.
- Notable Legislative Actions -
 - S. 2012, the Energy Policy Modernization Act - Includes H.R. 2647 as Division B, Title IX in the Engrossed Amendment of the House as of May 25, 2016 and is currently in conference, this bill would amend the Stafford Act to provide for the declaration of a major disaster for wildfire on federal lands.
 - Sandy Recovery Improvement Act (P.L. 113-2) - Enacted in January 2013, as part of the Disaster Relief Appropriations Act, this act amends the Stafford Act to authorize the President, acting through the FEMA Administrator, to approve public assistance projects for major disasters or emergencies under alternative procedures.
 - Homeowner Flood Insurance Affordability Act of 2014 (P.L. 113-89) - Enacted in March 2014, this act repeals and modifies certain provisions of the Biggert-Waters Flood Insurance Reform Act of 2012 and makes additional program changes to other aspects of the National Flood Insurance Program (NFIP) not covered by that Act.
 - Reauthorization of the Defense Production Act (P.L. 113-72) - Enacted in September 2014, this act reauthorizes the Defense Production Act through September 30, which is an essential

- piece of the disaster response/recovery toolkit and provides authority for the President and federal agencies to prepare for national defense, military conflicts, disasters, or acts of terrorism using the domestic industrial base to supply materials and services.
- H.R. 1471, the FEMA Disaster Assistance Reform Act - Passed the House in February 2016 and pending action in the Senate, this bill provides directives to FEMA, and makes amendments to the Stafford Act.
 - H.R. 2901, the Flood Insurance Market Parity and Modernization Act - Passed the House in April 2016 and pending action in the Senate, this bill makes technical amendments to the Flood Disaster Protection Act of 1973 that include the revision of flood insurance requirements for certain home loans or loan guarantees and the extension of the federal flood insurance program to U.S. territories.
 - Integrated Public Alert and Warning System (IPAWS) Modernization Act of 2015 (PL 114-143) - Passed in April 2016, the IPAWS Modernization Act amends Title V of the *Homeland Security Act of 2002* and calls for the modernization of the Nation's alert and warning systems to ensure the President can communicate with the U.S. population under all conditions and disseminate timely and effective warnings.

Government Accountability Office / Office of the Inspector General Audits

GAO Audits			
Title	Report Number	Description	Final Report Issued / Due
Federal Disaster Assistance: Improved Criteria Needed to Assess a Jurisdiction's Capability to Respond and Recover on Its Own	GAO-12-838	The GAO reviewed disaster assistance to assess the resiliency of local jurisdictions and made 4 recommendations.	9/14/2012
Hurricane Sandy: An Investment Strategy Could Help the Federal Government Enhance National Resilience for Future Disasters	GAO-15-515	The GAO's audit looks at establishing an investment strategy to identify, prioritize, and guide federal investments in disaster resilience. The GAO made 2 recommendations.	7/30/2016
National Flood Insurance Program: Options for Providing Affordability Assistance	GAO-16-190	The GAO identified options for policyholders who may face affordability issues if charged full-risk rate premiums. GAO made no recommendations regarding this report.	3/10/2016
Information Technology: FEMA Needs to Address Management Weaknesses to Improve Its Systems	GAO-16-306	The GAO audited FEMA's IT systems and capabilities, and made 8 recommendations with which FEMA concurred.	5/5/2016

OIG Audits			
Title	Report Number	Description	Final Report Due
Summary and of Key Findings of Fiscal Year 2014 FEMA Disaster Grant and Program Audits	OIG-15-146-D	The OIG provided their sixth annual capping report which focused on Public Assistance and Hazard Mitigation grants, as well as well as non-grant audits that reflect Disaster Relief Fund activities. The OIG made 2 recommendations.	9/15/2016

- In August 2013, the President issued PPD-25 to address identified deficiencies in National counterterrorism policy and ensure a holistic National response to specific terrorist threats requiring a time-sensitive response, including WMD threats. This policy sets an expectation that Federal operations in response to such threats will incorporate capabilities to counter and prevent any attack, as well as to mitigate and respond, as necessary, to the effects of such an incident. The policy requires the activation, deployment, and application of these capabilities be coordinated through existing NSC crisis response processes—specifically the Counterterrorism Security Group and the NSC Deputies Committee. To achieve these ends the FEMA Administrator leads the coordination of Federal pre-incident consequence management operations in response to an identified threat or actual incident and advises the President, NSC, and the Secretary on their execution.
- Additionally, DHS Components work every day to stop dangerous items, including pathogens and biological weapons, from crossing our borders.

Courses of Action

- **Status Quo:** Currently, DHS has large equities across the biological threat space. Component programs are meeting their missions, but must evolve to meet tomorrow's threats.
- **Focus Area 1: Enhance biosurveillance and biodefense capabilities to provide early warning of biological events affecting homeland security.** Planned enhancements to NBIC will allow the Center to move from basic informational summaries to robust analytic reports that integrate additional data streams and predictive analytic tools to better assess the likelihood of future scenarios and their potential impacts on the operations of DHS and other federal and SLTT agencies. Success will require increased cooperation and data sharing from external stakeholders, including federal partners. Planned improvements to the BioWatch system, including technology enhancements, are intended to provide better, faster coverage of U.S. cities, and will allow the system operate in additional indoor environments. These enhancements to both programs will allow DHS to meaningfully address critical program gaps identified in recent GAO and Blue Ribbon Study Panel on Biodefense reports.
- **Focus Area 2: Strengthen programs to protect first responders against biological threats.** OHA is in the early planning stages for a First Responder Vaccine Initiative (FRVI) that will deliver vaccine from the Strategic National Stockpile to first responders who volunteer to add this layer of protection against biological threats. FRVI's first effort is the Anthrax Vaccine Pilot, which will test the viability of delivering the anthrax vaccine to self-selected first responders in two trial states.

Key Partnerships

- The most prominent federal partner in this space is the Department of Health and Human Services, including the Centers for Disease Control and Prevention. However, all federal agencies are impacted by these threats and nearly all have plans in place to deal with related issues.
- State and local partners include a wide array of SLTT health departments and other public health officials, the full range of emergency response entities across the country, and law enforcement partners.



FEMA Employee Satisfaction

Having an engaged workforce is critical to each agency's ability to achieve its mission of providing excellent service to the American public. The Federal Employee Viewpoint Survey (FEVS) is designed to gauge employees' perceptions of whether, and to what extent, conditions characterizing successful organizations are present in their agencies, including FEMA. Survey results provide valuable insight into the strengths, opportunities, and challenges within FEMA's workforce. FEMA has been actively monitoring FEVS results for more than five years, and continuously seeking ways to improve. From 2015 to 2016, FEMA's Global Satisfaction Index among permanent full time employees increased 3.9 percentage points. In 2012, FEMA invested in surveying employees hired under Stafford Act disaster authorities, providing additional insight into the perceptions and satisfaction FEMA's full workforce. FEMA's Stafford Act employees score higher than FEMA's permanent full time employees, and 9.3 percentage points higher than DHS permanent employees.

How did FEMA improve employee satisfaction? What was the plan of action?

Since 2011, FEMA executives have reviewed in-depth the FEVS results, including successes and areas for improvement. FEMA makes all of the FEVS data available to employees across the Agency and managers are encouraged to use the data to identify areas for improvement in their organizations. The broad availability of data and the recurring focus in senior leadership forums on improving FEVS results promotes active and continuous management to improve employee engagement and productivity.

Improving FEVS results is not the sole responsibility of supervisors and managers, but all of FEMA's employees. Moreover, improving employee satisfaction is not a single year initiative; instead, it requires long-term dedication by FEMA leaders, managers, and employees. FEMA has entrusted responsibility for employee engagement action planning and implementation through a dedicated cross-functional body of executives sitting on a Human Capital Governance Board. FEMA has codified employee engagement actions in a five-part work plan:

1. Increasing employee participation and involvement in work processes
2. Adopting proven strategies to increase and maintain employee engagement
3. Reducing employee attrition
4. Increasing communication between employees, supervisors, and managers
5. Improving professional growth opportunities through additional training and professional development resources

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Specific actions FEMA has taken to address employee engagement and satisfaction include:

Leadership Engagement: FEMA Senior Executive Service members are required to review the FEVS results for their particular offices addressing the employee engagement challenges FEVS results indicate are affecting their employees.

Improving Performance Based Awards and Advancement: FEMA Supervisors and managers are required to link individual performance goals to FEMA's Strategic Plan, instilling a greater understanding of each employee's contribution towards the FEMA mission. In recent years, FEMA has also sought to align individual performance expectations with organizational and crosscutting goals, and supervisors and managers have access to a set of pre-approved performance goals that assist developing performance plans.

Improving Employee Development: Over the last several years, FEMA has made significant investments in employee development. In 2011, FEMA began leadership development programs to identify and train future leaders.

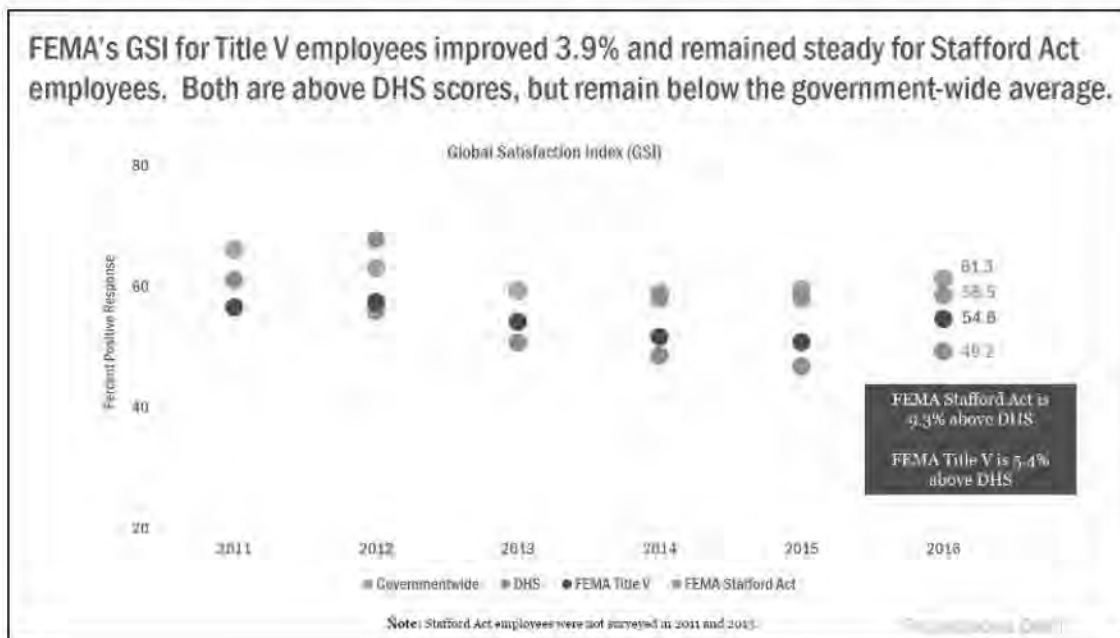
Increasing Communications: New communication channels were implemented to increase the flow of information and transparency of agency actions and objectives.

- FEMA created the "Ask Us!" program, which provides a two-way communications tool between senior leaders and employees. FEMA employees have the opportunity to anonymously submit questions for discussion at the weekly senior leadership video teleconference, which is broadcast for all FEMA employees.
- FEMA created a "You Rock!" initiative for staff to recognize peer-to-peer contributions through email submissions through a SharePoint messaging portal.
- FEMA's internal communication strategy was redesigned to provide consistent, mutually reinforcing messaging regarding current goals and programs.

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What metrics were used?

FEMA uses the Office of Personnel Management's (OPM) Global Satisfaction Index (GSI) as a constant measure of employee satisfaction. FEMA uses GSI to measure employee satisfaction because the index is similar to the Partnership for Public Service's Best Places to Work Index. Both indices use questions 40 ("I recommend my organization as a good place to work"), 69 ("considering everything, how satisfied are you with your job?"), and 71 ("considering everything, how satisfied are you with your organization?"). The OPM GSI index also includes question 70 ("considering everything, how satisfied are you with your pay?"). FEMA does not use the Best Places to Work Index as an internal metric because the Partnership for Public Service uses a proprietary weighted formula. In addition to the GSI related questions, FEMA tracks specific questions related to effective leadership, performance based rewards and advancement, and employee development to rate the effectiveness of FEMA's engagement activities.



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GRANTS MANAGEMENT



FEMA

DECEMBER 15, 2016

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FEMA Grants

In fiscal year 2016, Congress appropriated \$2.8 billion in FEMA non-disaster grant funds and FEMA obligated approximately \$8.5 billion in disaster grants.

Today's Agenda

- Grants Overview
- Grant Management Modernization

Grants Overview

FEMA manages 40+ active disaster and non-disaster grant programs covering a broad scope of activities within mitigation, preparedness, response, and recovery.

4 grant types

FORMULA: Funding amounts predetermined

PROJECT: Project proposals determine awards

COOPERATIVE AGREEMENT:
FEMA works closely with recipient through grant execution

DIRECT PAYMENT: For specified uses

6 recipient categories

- States, territories, and tribal governments
- State, territorial, and tribal agencies
- Local governments and communities
- Private non-profit organizations
- Non-profits, universities
- Individuals

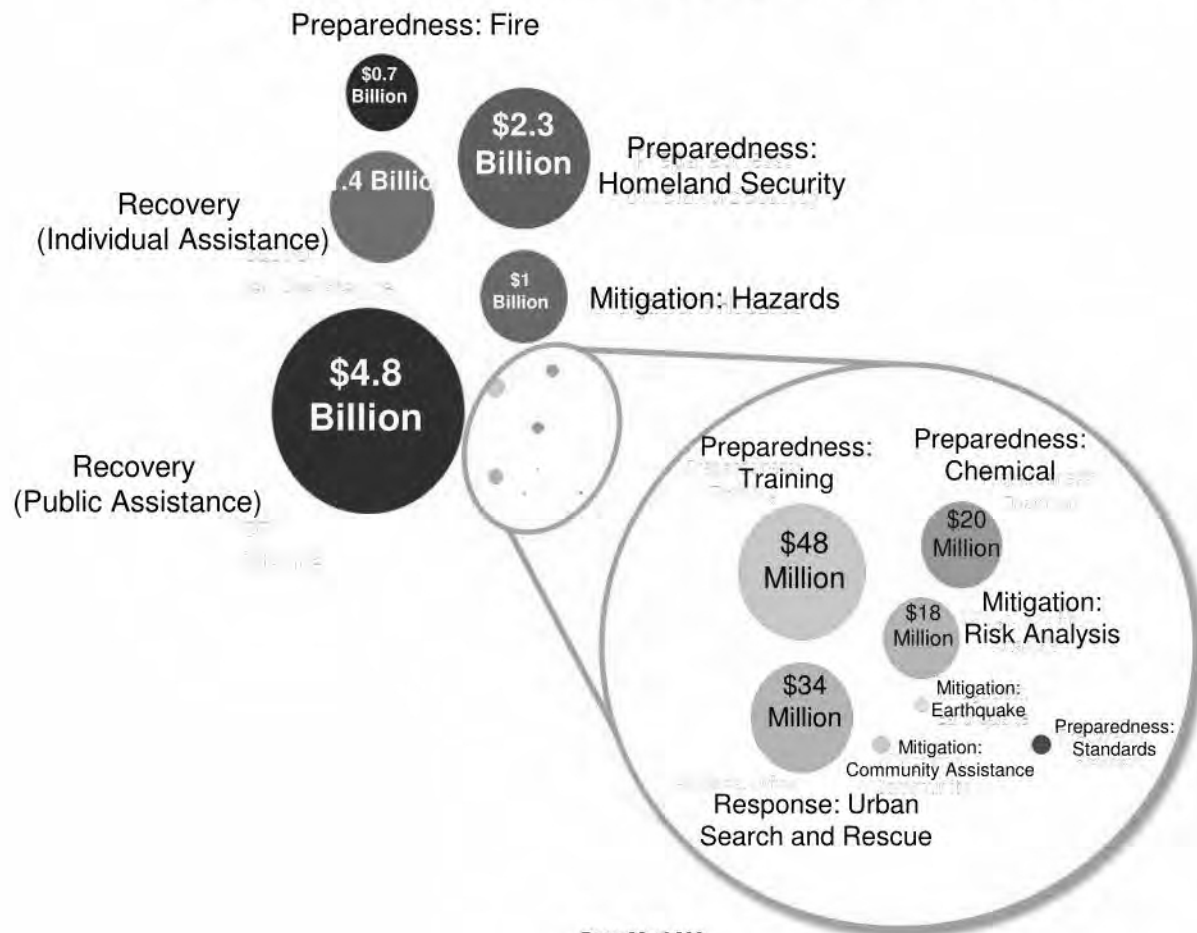
9 primary IT systems

- Assistance to Firefighter Grants System
- Emergency Management Mission Integrated Environment (EMMIE)
- Environmental Management Information System
- Grants Reporting Tool
- National Emergency Management Information System (NEMIS) Public Assistance
- NEMIS Hazard Mitigation Grant Program
- NEMIS Individual Assistance
- Non-Disaster Grant Management System
- Mitigation Non-Disaster Grant Management System

Grants Overview

Five grant programs make up approximately 99% of FEMA's grant funding.

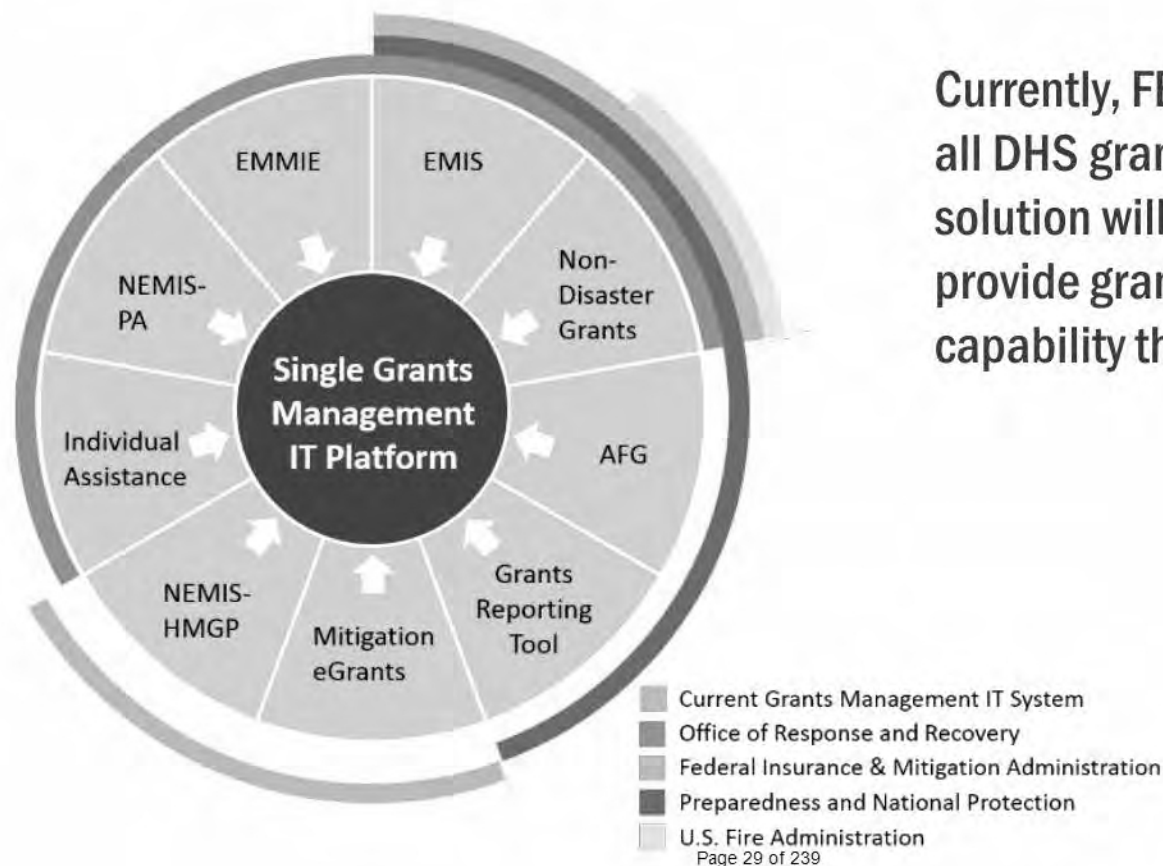
Average Annual Grant Funding 2005 - 2015



Source: Compiled from OpenFEMA, IFMIS, and Catalog of Federal Domestic Assistance

Grants Management Modernization

*The Grants Management Modernization program seeks to streamline grants management across the Agency through a user-centered, business driven approach with the goal of establishing a **single** grants management information technology platform.*











Currently, FEMA awards 97% of all DHS grant funding. The solution will be designed to provide grants management capability throughout DHS.

Grants Management Modernization

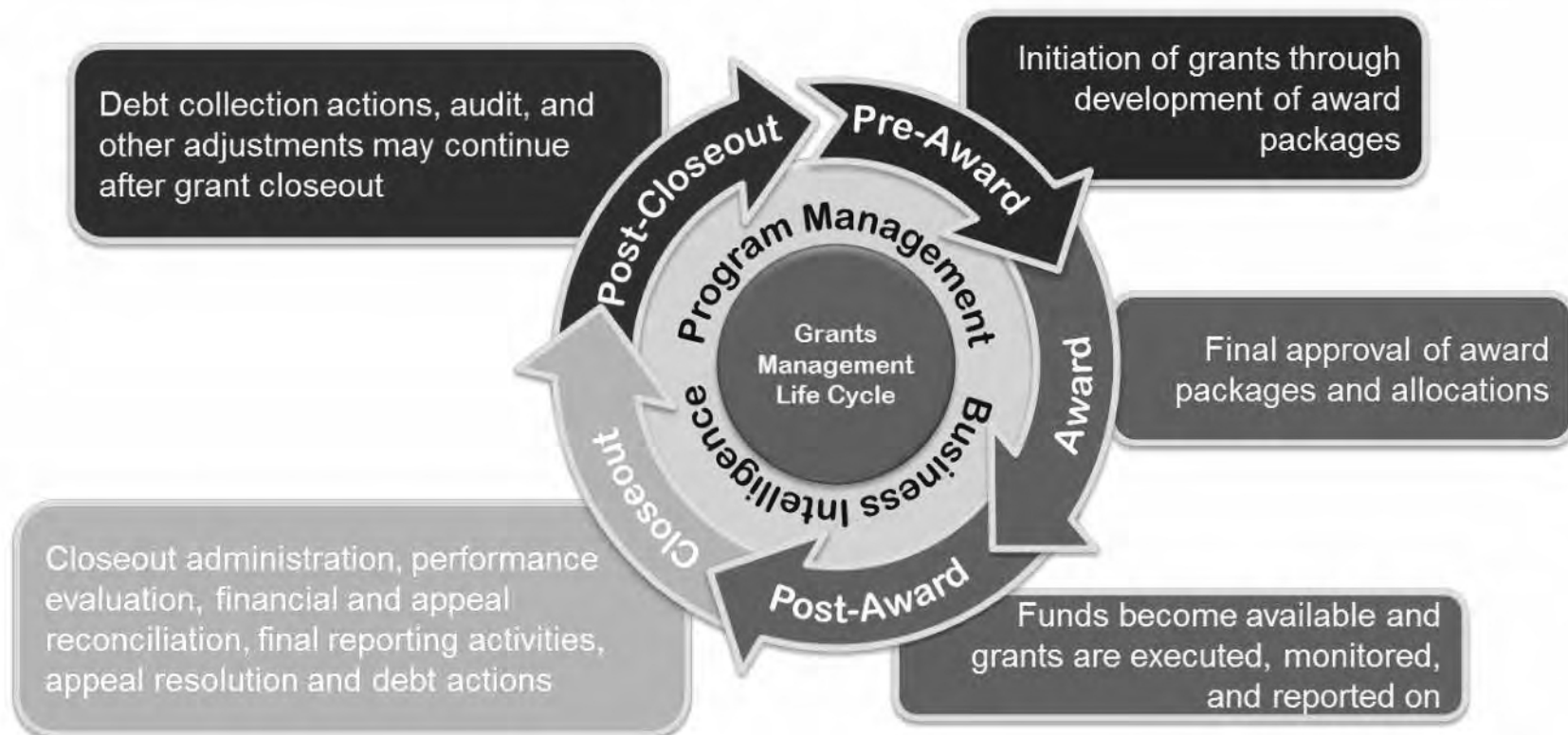
This program will improve the efficiency and effectiveness of FEMA's grant operations thereby strengthening FEMA's ability to carry out its mission.



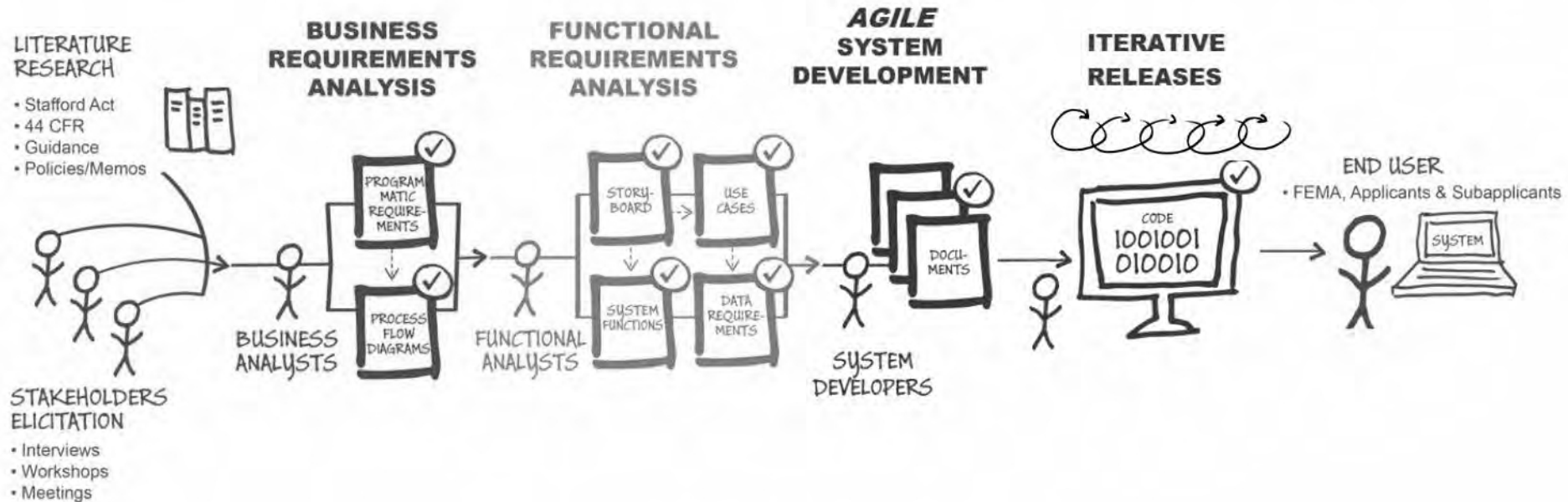
	Simplify the grants life cycle process.
	Improve the timeliness of funding to support survivors and facilitate community resiliency.
	Improve the allocation of grant funds across the emergency management community.
	Streamline and improve business performance by improving business processes and supporting decision-making.
	Improve business intelligence and decision-making by increasing access to data.
	Facilitate compliance with regulations and statutes.
	Reduce overall sustainment costs by consolidating legacy systems into a single grants management IT platform.
	User-centered, business-driven approach to grants transformation founded on active engagement with all grants stakeholders.

Grants Management Modernization

With a single grants management information technology platform, the opportunity exists to establish a common grants management life cycle and unified business programs across grant programs.



Grants Management Modernization



Project Timeline

FY15				FY16				FY17				FY18				FY19				FY20			
Q1	Q2	Q3	Q4	Q1	Q2	Q3	Q4	Q1	Q2	Q3	Q4	Q1	Q2	Q3	Q4	Q1	Q2	Q3	Q4	Q1	Q2	Q3	Q4
Need Phase				Analyze/Select Phase				Obtain/Develop Phase								Production Phase							

↑
Current phase

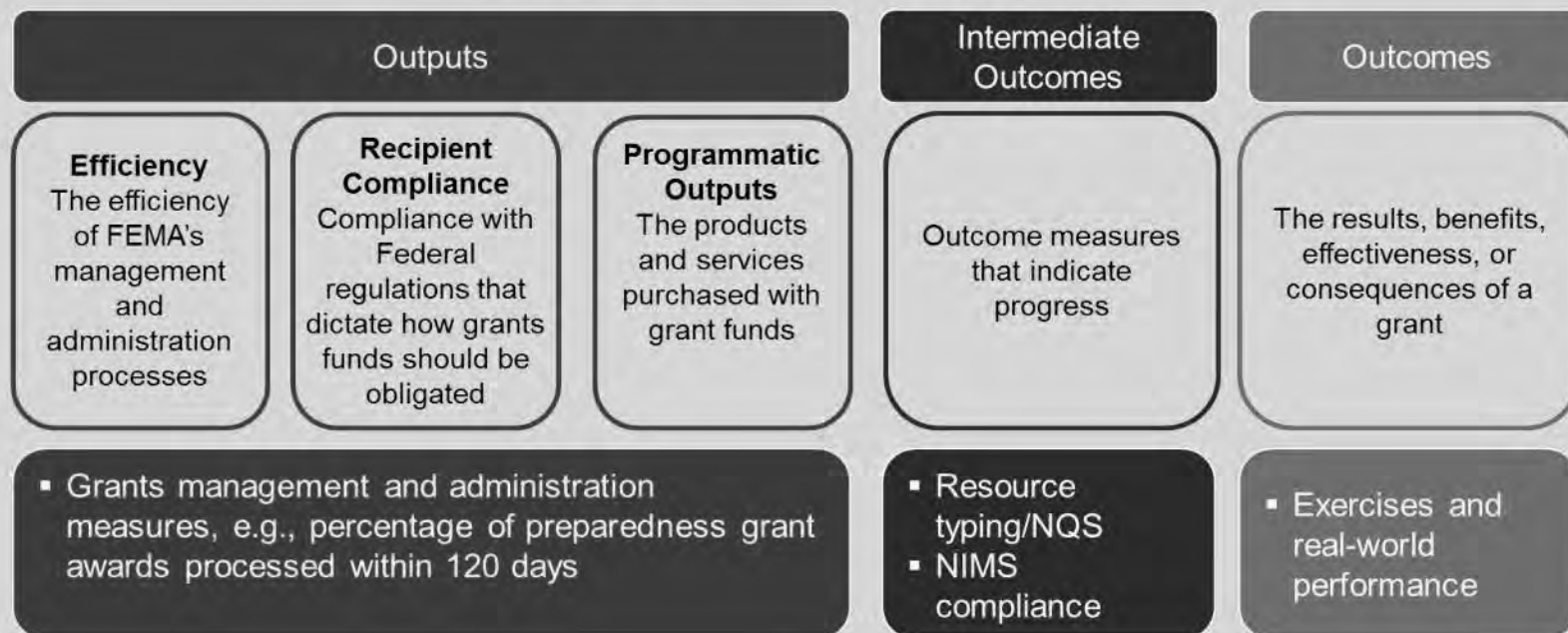
QUESTIONS?

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Defining Grant Effectiveness

FEMA has implemented a range of different approaches to measure grant effectiveness

Grants Management and Performance



List of Acronyms:

NIMS: National Incident Management System is a comprehensive, national approach to incident management that is applicable at all jurisdictional levels and across functional disciplines.

NQS: National Qualification System

FRAUD DETECTION



FEMA

DECEMBER 15, 2016

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Today's Agenda

- Fraud Prevention
- Fraud Detection and Monitoring
- Fraud Investigation and Prosecution
- Improvements Going Forward

Fraud Prevention

FEMA uses a four-part approach to preventing fraud, waste and abuse.

Internal Controls

Each of FEMA's financial programs have internal controls that are audited by the DHS Office of Inspector General and Government Accountability Office periodically and audited by external auditors (currently, KPMG) on an annual basis.

Proactive Training

FEMA requires all employees take annual Fraud Awareness and Prevention Training and offers additional trainings to processing center and other employees. Additionally, where FEMA or auditors identify recurring fraud risk, such as with reimbursements for procurement and debris collection, FEMA develops and offers targeted trainings.

Technical Assistance

Since a number of FEMA's programs are legislatively constructed with State or Tribal recipients playing a major role in preventing fraud, FEMA offers significant technical assistance including determining program eligibility, monitoring contract performance, and procurement processes.

Fraud Division

To ensure adequate resources and proper coordination among offices, FEMA published an internal directive on fraud and maintains its Fraud and Internal Investigations Division. The division continuously reviews fraud internal controls and improves processes for effectiveness and efficiency.

Post-Katrina Fraud Prevention Improvements

- Issued Directive (FD 121-6) establishing the authority of FEMA's Fraud and Internal Investigations Division within the Office of Chief Security Officer. The division proactively reviews disaster assistance applications and payments and grant applications and awards to check for indicators of fraud, waste, or abuse.
- Based on a DHS OIG recommendation (OIG-11-84, May 2011) to reallocate resources to increase the staff and budget of the Fraud Branch, FEMA increased the number of staff who handle fraud investigations from 7 to 29 Investigators, Fraud Research Specialists, and other support staff to proactively monitor and investigate reports of fraud.
- Expanded cooperation with DHS Office of Inspector General's Emergency Management Oversight division and actively supports a robust budget for the oversight office to ensure they can properly audit FEMA's internal controls and investigate claims of fraud, waste and abuse.
- Devoted greater resources to the Suspension and Debarment Program that takes actions to prevent business entities who engage in malfeasance or gross misconduct from participating in future government contracts, subcontracts, grants, loans, and other assistance programs.
- Established the Procurement Disaster Assistance Team (PDAT) to reduce applicant violations of the Federal procurement regulations by training employees and grant recipients on 2 C.F.R. §§ 200.317 through 200.326 (the "Uniform Rules"). The PDAT is comprised of a deployable field attorney cadre dedicated to reinforcing Federal procurement standards by training disaster assistance applicants throughout the year. Since its inception in 2014, PDAT has conducted 261 procurement training sessions for over 7,961 emergency management personnel and applicants at all levels of government.

Fraud Detection

FEMA uses a four-part approach to detect fraud, waste and abuse

Tip Solicitation

FEMA actively solicits tips from internal whistle blowers as well as the general public through a DHS managed tip line and online tip submission portal. This information is actively messaged to the general public and staff in application materials, press releases, trainings, and written policies and procedures.

Proactive Meta-Data Review

Trained and experienced FEMA investigators use industry best practices to query data from government and commercial investigative databases, including open sources, to detect patterns indicative of fraud.

Program Review

As detailed below, eight FEMA programs undergo annual review of financial transactions under the Improper Payments Elimination and Recovery Act.

Tip Review

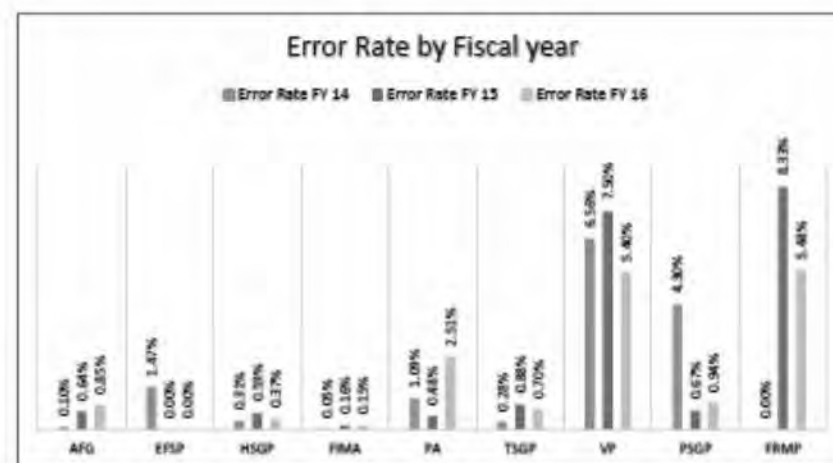
Fraud investigations and DHS OIG review tips and internal reports of fraud and, if necessary, recoup funding and refer cases to law enforcement personnel.

IPERA & Program Fraud Detection

- Consistent with requirements of the Improper Payments Elimination and Recovery Act (IPERA), FEMA conducts tests for improper payments across eight programs: Assistance to Firefighter Grants, Homeland Security Grant Program, Transit Security Grant Program, Port Security Grant Program, National Flood Insurance Program-Flood Claims, Public Assistance, Vendor Payments, and Flood Risk Maps- Contracts.
- FEMA uses IPERA testing ensure programs identified as susceptible to improper payments are maintaining sound internal controls.
- IPERA tests capture possible improper payments by reviewing disbursements at a transactional level. Every improper payment does not rise to the level of fraudulent activity. For example, improper payments may arise from insufficient documentation, administrative errors, or an incorrect signature on a receipt. Although these errors constitute improper payments they do not constitute fraudulent activity.
- The segregation of duties is a vital part of the IPERA process. Personnel tasked with making payments are separated from those who conduct the assessment testing. FEMA ensures that all individuals participating in the assessment are independent from all aspects of making, reviewing, or certifying disbursements.
- FEMA's IPERA process is approved annually by DHS OCFO and reviewed by KPMG auditors.
- The results are reviewed by DHS OCFO, KPMG, and DHS Auditors and are incorporated in the DHS Annual Financial Report.

IPERA Historical Results

- Since FY 2009 IPERA risk assessments and testing have detected no fraudulent activity. However, the assessments have uncovered potential waste and abuse.
- FEMA has improved its internal control processes over its programs, which has resulted in fewer improper payments and only one program that exceeds the Office of Management & Budget's defined improper payment threshold (1.5% error rate and \$10M).



The charts above detail the results of FEMA's IPERA testing for the past three fiscal years.

Measuring Fraud

- Performance metrics are used to monitor and measure disaster related fraud across the following primary areas:
 - 1) Funds prevented from being disbursed involving fraudulent disaster applications.
 - 2) Funds submitted for recoupment involving fraudulent disaster applications.
 - 3) Number of fraud reviews conducted with indications of fraud.
 - 4) Number of disaster applications found through data mining that led to fraud reviews with fraud indicated.
- Since 2012, over 5,500 fraud reviews and 2,300 proactive fraud reviews completed resulting in the submission of approximately \$26M in requests for recoupment from applicants who submitted fraudulent disaster applications. FEMA referred over 4,600 cases to the OIG.
- Fraud reviews resulted in preventing over \$34M from being disbursed involving fraudulent disaster applications.

Fraud Investigation & Prosecution

- DHS OIG manages referral of fraud cases to the US Attorney's Office
- FEMA fraud investigators do not possess law enforcement authority
- DHS OIG leads criminal investigations, per DHS Directive 0810.1, OIG
- Since 2012, FEMA referred over 4,600 cases of possible fraud to the OIG

What is the frequency that we accept audit findings on waste, fraud, and abuse?

FEMA and the OIG work together to identify systemic issues and resolve them as effectively as possible.

Since 2009, FEMA responded to over 1,325 recommendations related to expenditure of the Disaster Relief Fund. FEMA agreed with 97.3 % of these recommendations.

Most common issues

Ineligible work or costs	Funds spent on non-approved projects
Funds put to better use	Grantees not accounting for all funds Insufficient grant monitoring efforts Funding was provided but work was not performed
Unsupported costs	Lack of documentation Improper accounting procedures
Grant Management and Administrative Issues	Per the OIG, FEMA does not adequately hold grantees accountable for managing subgrantees, making grant funds vulnerable to fraud, waste, and abuse

OIG Recommendations								
Most Common Issues	2009	2010	2011	2012	2013	2014	2015	Total
Collections/Deobligations	16							16
Funds Put to Better Use		17	26	25	22	15	17	122
Grant Management and Administrative Issues	39	37	54	51	82	54	61	378
Ineligible Work or Costs	134	87	116	85	120	63	60	665
Unsupported Costs	19	14	24	26	37	8	16	144
Total	208	155	220	187	261	140	154	1325

Improvements Going Forward

- Address grant oversight through training, webinars, and process improvements
- Update guidance specific to Public Assistance (PA) and Hazard Mitigation Grant Programs for FEMA staff and state PA staff
- Implement the PA single obligation process, where obligations and drawdowns are done at the project level, minimizing the improper payments issues, resulting in more efficient grants closeout, and resolving unliquidated obligations and undelivered obligations
- Re-design the PA Program and its data architecture to better track grant funds and projects
- Provide grantees guidance at the start of a disaster on federal regulations and PA Program processes
- Conduct site visits to ensure compliance with policies regarding procurement, equipment, internal controls, financial management, and proper accounting systems

QUESTIONS?

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DISASTER COSTS



FEMA

DECEMBER 13, 2016

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Today's Agenda

- **Reducing Overall Cost of Disasters**
 - Preparedness, Insurance and Mitigation
 - National Flood Insurance Program (NFIP)
 - Disaster Deductible
- **Reducing FEMA's Disaster Administrative Costs**

Reducing Overall Cost of Disasters

Supporting State Capabilities can Reduce Disaster Costs

FEMA supports states in preparing for terrorism and natural disasters through preparedness grants, training, exercises, and technical assistance

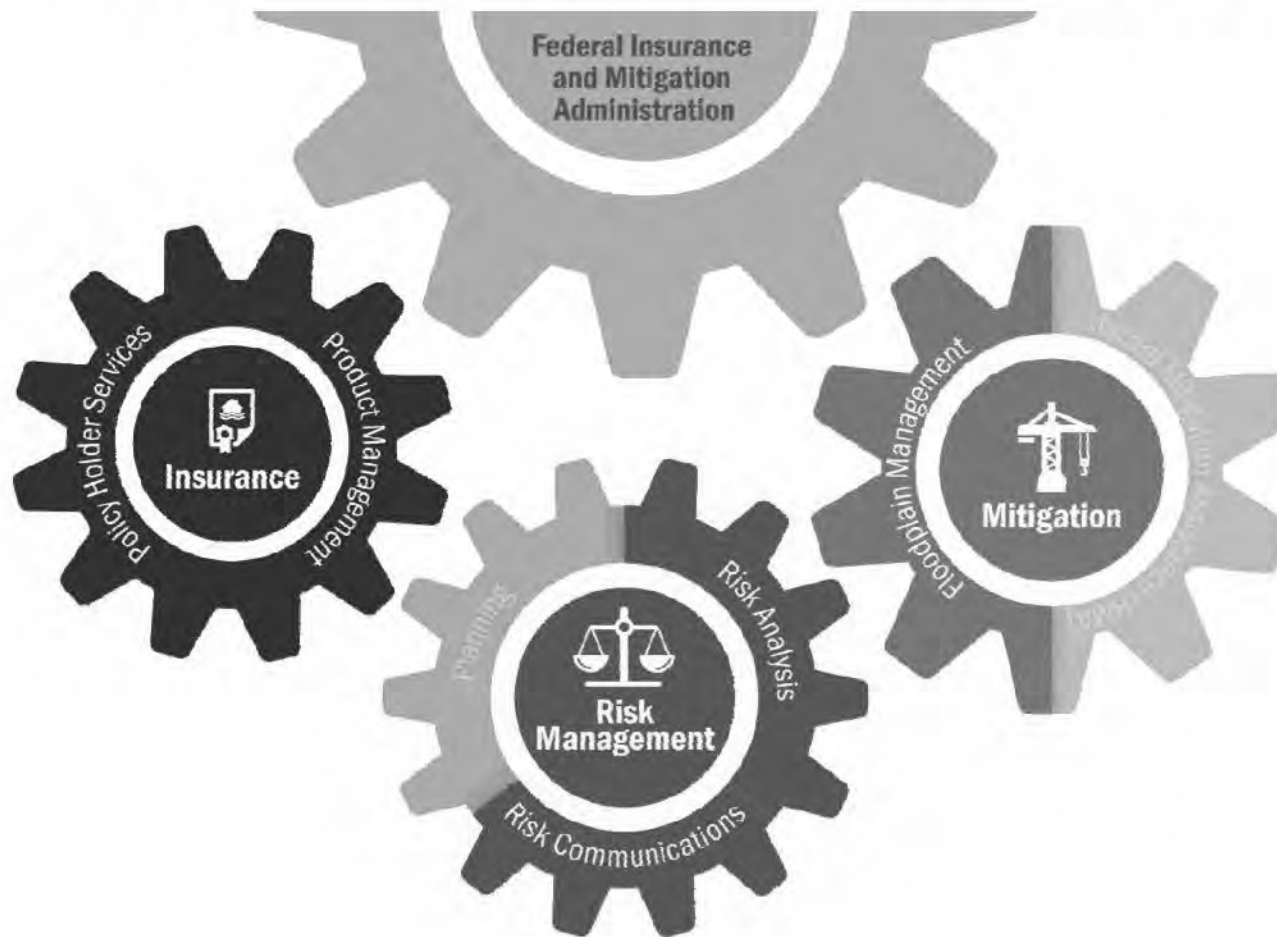


Building state capabilities to respond to and recover from disasters decreases the need for Federal disaster funds. For example:

- **The State of Washington used preparedness grants to create aerial search and rescue response teams. These teams saved lives in the 2014 Oso mudslide, reducing the need for Federal resources**
- **Massachusetts credited the grant-funded Urban Shield exercise with improving the local response to the Boston Marathon bombing in 2013**



Insurance and Mitigation Reduce Disaster Costs



Mitigation Works – In 2005, a study by the National Institute of Building Sciences quantified the future savings from FEMA's natural hazard mitigation efforts and found that for every public dollar spent on mitigation, there is a savings of \$4 to society

History of the NFIP

1966 Vision for Program*

- “Flood insurance is viewed as both a means of helping the individual bear more easily the risks of flood damage..., and equally, as a means of **discouraging unwise occupancy of flood prone areas**”
- “...moreover, **some continuing Federal subsidy will also be necessary** to a comparably small number of present occupants of high risk areas. Otherwise the cost of their insurance will be more than they can bear...”
- “The insurance program should be **designed to encourage construction in locations where there is no special flood hazard**”

* HUD Secretary’s 1966 report to the President on establishing the NFIP.

Current Realities

- Flood policies in force:
 - 1980 – **2.1 million**
 - 2009 – **5.7 million (peak)**
 - 2016 – **5.1 million**
- Total coverage: **\$1.25 trillion**
- Losses dollars paid:
 - 2005 -- **\$17.8 billion**
 - 2012 -- **\$9.27 billion**
 - 2014 -- **\$377 million**
- Outstanding Debt: **\$23 billion**
- **21% of policies are rated at less than actuarial rates (directed by statute)**
- Private development remains and continues to expand in high risk areas

Achieving a Sound Financial Framework for the NFIP

Challenges:

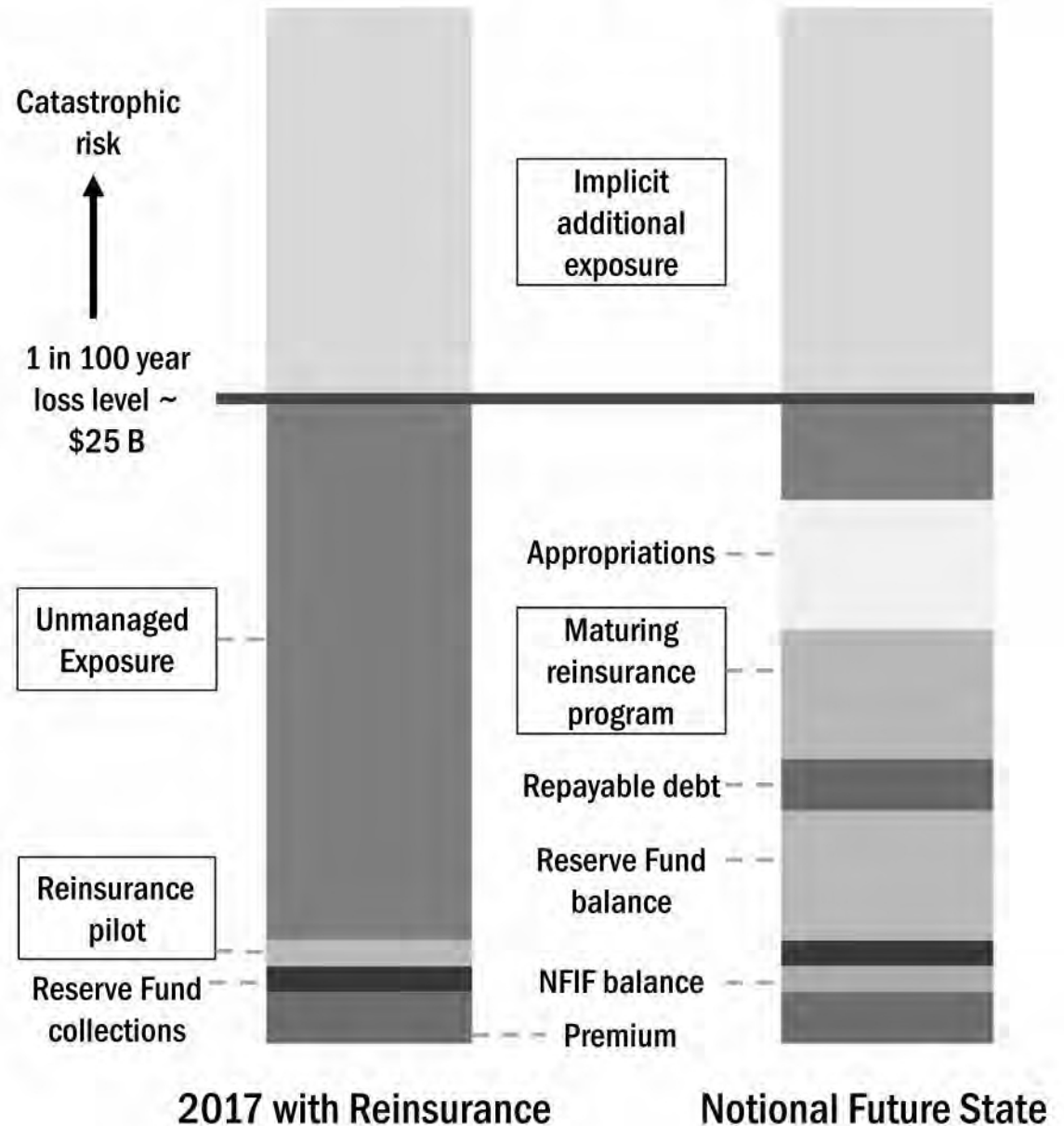
- Magnitude, volatility of flood losses (realized & potential)
- Public policy choices yield benefits ... but limit ability to grow financial reserves

Status Quo:

- Basic financial structure
- Significant unmanaged exposure

Sound Financial Framework:

- Understand exposure
- Use additional tools, including reinsurance
- Clarity on who pays what and when



Disaster Deductible

FEMA is focusing on ways to incentivize states to increase their investment in building resilience and mitigating risks, thereby reducing future disaster costs for the whole community.

Background

A Public Assistance deductible would require a predetermined financial commitment from a state, either in the form of credits for qualified investments in risk reduction or through the acceptance of responsibility for that amount of restoration costs, before providing grants for infrastructure repair. The deductible would not affect other types of disaster assistance.

On January 20, 2016, FEMA published an Advance Notice of Proposed Rulemaking (ANPRM) seeking comment on a Public Assistance deductible concept.

A second ANPRM went to OMB for executive review on November 22, 2016. This ANPRM provides a much more detailed plan, including deductible amounts for each state, for further public outreach and stakeholder engagement.

Opportunities

Short Term Outcomes:

- States proactively invest in risk reduction and resilience to earn credit toward the deductible
- Modest reduction in federal Public Assistance expenditures as states take more responsibility

Long Term Outcomes:

- Increase state resilience and readiness
- Reduce disaster expenditures for everyone

Second ANPRM presents notional Deductible Program

FEMA would calculate deductible annually for each state:

$$\text{Deductible} = \text{Base} \times \text{Average (Risk Index} \times \text{Fiscal Capacity Index)}$$

With risk weighted at 75% and Capacity at 25%

States apply for credits for investments in qualifying activities:

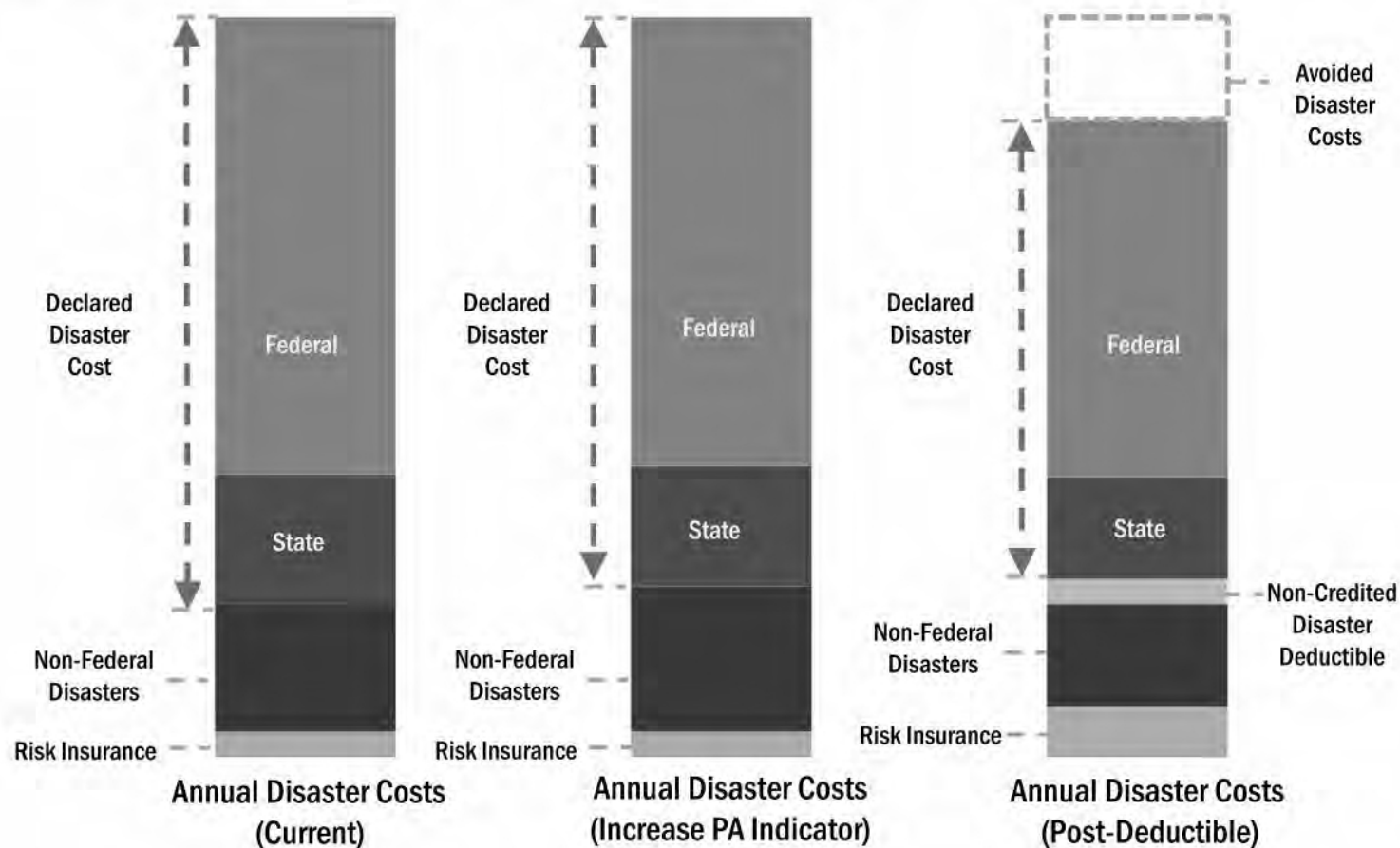
- Creating and funding a state disaster relief fund
- Paying for disaster costs when the President doesn't issue a declaration
- Adopting and enforcing building codes
- Paying for mitigation projects
- Buying or providing insurance coverage for public facilities
- Spending on state emergency management programs to increase preparedness

FEMA reviews and approves credits, reduces deductibles based upon approved credits, and establishes the final deductible for each state for the following year.

A state not meeting its annual deductible amount when the President issues a major disaster declaration would need to pay for some public infrastructure restoration projects to satisfy the remaining deductible amount before FEMA will provide assistance for additional projects.

Through the ANPRM, FEMA will seek public input on all aspects of this concept. FEMA will evaluate that input and decide on an appropriate approach.

Potential Disaster Deductible Impact on Future Disaster Costs



*Relative values estimated for demonstrative purposes only

Reducing FEMA's Disaster Administrative Costs

FEMA Plan to Reduce Disaster Administrative Costs

Internal plan for accomplishing a 5 percentage point reduction in disaster administrative costs

Guides the Agency in managing effective and efficient disaster operations

Set interim targets for FY15-FY18

Pursuant to Directing Dollars to Disaster Relief Act of 2015

Key Initiatives

- *New Public Assistance Program Delivery Model*
- *FEMA Qualification System*
- *Improving FEMA's data management systems and processes*

Disaster Administrative Cost Goals

While FEMA is pursuing disaster administrative cost reductions, the Agency will continue to support rapid stabilization of disasters, and ensure the delivery of lifesaving and life-sustaining support and the transition of survivors into interim housing is neither slowed nor impeded in pursuit of reducing costs.

FEMA Administrative Costs		Average administrative cost %		
Include	<ul style="list-style-type: none"> Disaster-related personnel and travel costs Technical Assistance Contracts Mission assignments for Federal Operations Support Leases, communications, supplies, and equipment 	BASELINE  2018 GOAL		
		Size of disaster	Disasters declared in FY04-FY14	Disasters declared in FY18
Do not include	<ul style="list-style-type: none"> Direct Federal Assistance Urban Search and Rescue Grant assistance to survivors 	Small <\$50M	22.9	17.9
		Medium \$50-500M	18.4	13.4
		Large >\$500M	16.6	11.6

QUESTIONS?

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FEMA Policy Issues

Please list and provide details on all major policy decisions that are pending between now and January 20 as well as within the first 100 days of the new administration.

The Agency establishes a schedule of doctrine and policy priorities for the upcoming fiscal year as part of FEMA's annual Planning, Programming, Budgeting and Execution cycle. The doctrine and policy priorities establish guidance for new programs, address Government Accountability Office recommendations, Office of the Inspector General recommendations, Congressional requirements, or other changes in the Agency's mission environment. The list included below highlights the doctrine and policies targeted for completion between December 15, 2016, and January 20, 2017, as well as within the first 100 days of the new administration. The list also includes anticipated timelines for fiscal year 2016 grant awards and fiscal year 2017 funding opportunity announcements.

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Policies that will advance between now and January 20		
Title	Description	Target Completion / Decision By
FEMA Reporting Condition	Establishes a process to improve workforce readiness and continuation of activities during all-hazard events.	12/31/2016
Personnel Allowance List	Establishes an integrated, enterprise-wide governance process for personnel management.	12/31/2016
Program Acquisition and Enterprise Service Acquisition	Provides guidance for the review of FEMA program acquisitions and enterprise services acquisitions.	12/31/2016
FEMA Reservist Program	Provides agency-wide policy for the administration, implementation, and oversight of FEMA's Reservist Program	12/31/2016
Provision of Personal Property (Commodities and Equipment) in the Absence of a Presidential Emergency or Major Disaster Declaration	Vests the authority to approve requests from State, local, and tribal governments for equipment and commodities to the Assistant Administrator of the Logistics Management Directorate, in the absence of a presidential emergency or major disaster declaration.	12/31/2016
Consequence Management Coordination Unit and Domestic Emergency Support Team Management	Establishes a single, authoritative directive on the management of the Consequence Management Coordination Unit (CMCU) and Domestic Emergency Support Team (DEST).	12/31/2016
Operational Planning Integration	Formalize the principles underpinning FEMA's implementation of the National Planning System, including the development and integration of operational planning to execute a mission area.	12/31/2016

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External Affairs Directive	Establishes the consistent communication and engagement process the Agency utilizes when communicating with external stakeholders.	12/31/2016
FEMA Tribal Policy	Establishes FEMA's commitment to enhance its relationship with the Nation's American Indian and Alaska Native Tribal communities.	12/31/2016
Agency Gift Acceptance and Solicitation	Clearly identifying responsibilities for accepting and soliciting domestic gifts.	12/31/2016
FEMA Administrative Investigations	Establishes policy for reporting employee or contractor misconduct, conducting administrative investigations; and reporting actions taken in response to substantial misconduct.	12/31/2016
Delegation of Authority	Establishes the Agency's policy and requirements for preparing, coordinating, and submitting Delegations of Authority for approval and issuance.	12/31/2016
Agency Workflow and Clearance Directive	Establishes the consistent process FEMA will use to analyze, coordinate and respond to requests.	12/31/2016

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Policies that will advance within the first 100 days of the Administration		
Title	Description	Target Completion / Decision By
Non-Disaster Grant Award Determinations	FEMA will make non-disaster grant award determinations before January 20, 2017, or within the first 100 days of the Administration. Included are: the FY 2016 Assistance to Firefighters Grant Program, and the FY 2016 Complex Coordinated Terrorist Attack program.	1/20/2017
Countering Violent Extremism Grant Program	Secretary's announcement regarding the recipients of the Countering Violent Extremism grant program.	1/20/2017
National Cyber Incident Response Plan	Sets the strategy and doctrine for how the whole community will mitigate, respond to and recover from a cyber incident affecting critical infrastructure. This Plan will guide operational planning, which provides further information regarding roles and responsibilities, identifies the critical tasks an entity will take in executing core capabilities for a cyber incident, and identifies resourcing, personnel, and sourcing requirements.	1/22/2017
Public Assistance Program and Policy Guide (Version 2)	Updates the compendium of Public Assistance policies and provides an overview of the public assistance program implementation process.	1/31/2017
National Incident Management System (Version 2)	Issuing and release of an updated systematic and proactive approach to guide departments and agencies at all levels of government, nongovernmental organizations, and the private sector to work together seamlessly and manage incidents involving all threats and hazards—regardless of cause, size, location, or complexity—in order to reduce loss of life, property and harm to the environment.	1/31/2017
Guidance for Implementing the Federal	Finalize implementation of the Federal Flood Risk Management Standard through rulemaking and associated implementation of policy to ensure	After confirmation of FEMA

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Flood Risk Management Standard	FEMA's investments are better protected and reduce or eliminate the need for repairs or replacements following disasters.	Administrator (see RFI Task 138.2)
Center Management System Operations Guide	Enables the integration and sharing of personnel among operations and coordination centers nationwide, at all levels of government. Similar to how the use of the Incident Command System unifies field responders, the use of Center Management System will enable overwhelmed Emergency Operations Centers across the nation to ask for the support they need through mutual aid, and have confidence that the personnel they receive will be experienced, and qualified to work in, an Emergency Operations Center environment.	3/30/2017
Secure Data Sharing	Provides guidelines under which FEMA will share recovery data with trusted partners.	3/31/2017
Cost share waiver requirements for Assistance to Firefighters Grants	Establishes the process to authorize economic hardship waivers for Assistance to Firefighters and Fire Prevention and Safety grant recipients.	3/31/2017
Purchase of Ballistic Protective Equipment for Fire and Emergency Medical Services Personnel in Support of Active Shooter and Mass Casualty Incidents.	Establishes the process to authorize through FEMA's preparedness grant programs the purchase of ballistic protective equipment for fire and emergency medical services personnel in support of active shooter and mass casualty incidents.	3/31/2017
FEMA Personal Identification and Verification Guidance	Establishes FEMA's direction on the common identification standard for federal employees and contractors, and for the issuance and management of facility access cards and official government credentials.	3/31/2017

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Scheduling of Work	Establishes policies and procedures for the scheduling of work and the use of traditional and alternative work schedules within FEMA.	3/31/2017
Unauthorized Commitments	Provides guidance for requesting, submitting and approving the ratification of unauthorized commitments at FEMA	3/31/2017
Incident Support Management Directive	Establishes procedures for accountability, and outlines expectations for employees who work in the incident support operations in the National Response Coordination Center.	3/31/2017
Expeditionary Organization Capstone	Reinforces the concept of FEMA as an expeditionary organization resulting in greater understanding of how each employee contributes to the mission.	3/31/2017
Fiscal Year 2016 Grant Awards	Based on the current timeline, FEMA expects to make award determinations for the FY 2016 Assistance to Firefighters Grants, Staffing for Adequate Fire and Emergency Response grant, and Fire Prevention and Safety grants.	4/15/2017
Fiscal Year 2016 Grant Awards	Based on the current timeline, FEMA expects to make award determinations for the Complex Coordinated Terrorist Attack program.	4/30/2017
Fiscal Year 2017 Grant Announcements	Dependent on the fiscal year 2017 appropriation timeline, Notice of Funding Opportunities (i.e., grant guidance) for FEMA's State and local program appropriation, Assistance to Firefighter Grants, and Emergency Management Performance Grant programs may be released.	4/30/2017

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FEMA Operational Issues

The following list provides details on operational issues FEMA expects to face between now and January 20 as well as within the first 100 days of the new administration.

Ricin at the Center for Domestic Preparedness

FEMA is conducting an inquiry into circumstances related to the use of ricin toxin in the course of preparedness training conducted at FEMA's Center for Domestic Preparedness (CDP) in Anniston, Alabama. FEMA's initial review of this matter indicates laboratory staff handling certain training material and student first responders at CDP were training with a more toxic form of ricin than what was intended for use in the training and that this occurred possibly as early as 2011. On December 15, 2016, FEMA Administrator Craig Fugate invited the DHS Inspector General to conduct an independent inquiry to ensure transparency and assure the first responder community that FEMA will uphold the highest standards of safety in its programs. The DHS Office of Inspector General has opened an investigation in response to FEMA's request. FEMA is prepared to conduct a briefing on this matter for the President Elect's Transition Team.

Meeting the Needs of Disaster Survivors

Ongoing Disasters: The incoming Administration will face challenges with two large disasters that dominated the media's coverage of FEMA's work in the latter part of 2016, including the mid-summer Louisiana flooding around Baton Rouge, and Hurricane Matthew, which caused damage in four states and a commonwealth. In total, FEMA has Joint Field Offices (JFOs) open, responding to 20 Presidentially-declared Major Disasters and two Presidentially-declared Emergencies, with more than 3,600 FEMA staff currently deployed at these locations. Major Disasters are complex operations with distinct operational issues relating to state, local, tribal, and territorial characteristics, interagency and intergovernmental relationships, and compliance with requirements associated with the delivery of Federal assistance. Additional detail on each open Major Disaster is available for the Landing Team's review.

FEMA Must Always Be Ready for No-Notice Incidents and New Disaster Declarations: The Stafford Act sets forth a process for a governor or tribal chief executive to request that the President declare a Major Disaster or Emergency. Historically, during December to April, the President declared 13–19 Major Disasters, with an average cost of \$41 million each. In a worst-

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case year during the December-April period, the President declared 42 Major Disasters (1996). For incidents that may occur between December 15, 2016 and April 30, 2017, FEMA anticipates the following potential operational issues:

Staffing: Due to current staffing shortages, if there is another large or multi-state disaster, FEMA would need to redeploy staff currently serving in the Baton Rouge JFO or states impacted by Hurricane Matthew. Fewer staff would be stationed in Disaster Recovery Centers to aid survivors; a reduction to the Assess, Inform and Report mission conducted by Disaster Survivor Assistance Teams; and, overall staffing shortages in JFOs.

Housing: FEMA provides assistance to individuals and households for disaster-caused housing needs not covered by insurance or other sources. Where housing options are unavailable, states may request FEMA provide direct housing for up to 18 months, generally in the form of a manufactured housing unit (MHU). In the Baton Rouge area, FEMA expects to place approximately 4,200 MHUs by program end, of which 2,284 are currently installed and licensed for occupancy. As a result of ongoing direct housing missions, FEMA's supply of MHUs is currently being replenished. A Major Disaster requiring a significant amount of direct housing would pose a serious operational challenge.

National Flood Insurance Program (NFIP): Due to the mid-summer Louisiana flooding around Baton Rouge and Hurricane Matthew in 2016, the NFIP received more than 62,000 claims and issued \$2.2 billion in payments. As a result, the NFIP will exercise its borrowing authority to pay insured survivors claims and fund programmatic activities in this larger than average claims year. The NFIP is currently \$23 billion in debt to the U.S. Treasury due to multiple catastrophic flooding events in the past decade, leaving \$7.4 billion remaining in borrowing authority. FEMA is making required interest payments, but has no ability to repay the debt under the current financial considerations and has not received additional appropriations to cover these extraordinary losses.

Planned Activations and Exercises

FEMA encourages state, local, tribal, territorial and other partners to prepare for emergencies, and also uses major events and training exercises to build the Agency's own capacity to respond to all hazards. FEMA is participating in numerous events categorized as National Security Special Events (NSSE) and Special Event Assessment Rating (SEAR) events, including:

January 20, 2017: 58th Presidential Inauguration: FEMA co-chairs the Inauguration Consequence Management Sub-Committee with the U.S. Secret Service and the District of Columbia Homeland Security and Emergency Management Agency (DCHSEMA). FEMA will have Incident Management Assistance Teams (IMATs) co-located with the DCHSEMA, at the Maryland State Emergency Operations Center (SEOC); and at the Virginia SEOC. FEMA will also deploy

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liaisons to multiple coordination centers and will activate the FEMA Region III Regional Response Coordination Center in Philadelphia.

January 2017 (Exact Date TBD): Principal Level Exercise: The objective of this exercise is to ensure that senior officials are prepared to address a major domestic incident early in the new Administration. It will provide an opportunity for the outgoing and incoming Cabinet, senior White House officials, and select agency heads with roles in domestic incident response to review and rehearse domestic incident management challenges that may be encountered in the first weeks following the Presidential Inauguration.

February 5, 2017: Super Bowl 51 in Houston: A FEMA representative has been named the Alternate Deputy Federal Coordinator on the Federal Coordination Team, serving on the consequence management group within the FBI's Joint Operations Center, and supporting state and local responders. FEMA Region VI's Regional Response Coordination Center will be on Enhanced Watch the day of the event.

January/February 2017 (Date TBD): State of the Union: An annual National Security Special Event (NSSE), FEMA co-chairs the Consequence Management Sub-Committee with the U.S. Secret Service and the District of Columbia Homeland Security and Emergency Management Agency (DCHSEMA) to develop a consequence management plan and to deploy and coordinate resources based on the threat analysis and operational requirements. FEMA will have an Incident Management Assistance Team (IMAT) at DCHSEMA, liaisons at multiple coordination centers, and Region III will elevate to an enhanced watch.

April 18-23, 2017: Gotham Shield 2017: Gotham Shield is a FEMA-sponsored functional exercise to examine the Nation's ability to prevent, protect against, respond to, and plan initial recovery from the effects of an Improvised Nuclear Device attack. The exercise participants will include DHS and all Federal response and recovery agencies, the governments of Canada and Mexico, the States of New York and New Jersey, as well as FEMA Regions I, II, III, and V - Boston, New York, Philadelphia, and Chicago, respectively. Partnering with U.S. Northern Command (USNORTHCOM) and DHS, Gotham Shield will be linked to four annual Department of Defense (DOD) exercises aligned to counterterrorism response operations, including weapons of mass destruction.

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Preparedness and Mitigation

FEMA expects the DHS Secretary to announce the recipients of the **Countering Violent Extremism (CVE) Grant Program** by January 20, 2017¹.

Preparedness and Mitigation Grants award determinations FEMA may make before the end of April, depending on annual year appropriations:

- Assistance to Firefighters Grant programs (AFG)
- Complex Coordinated Terrorist Attack (CCTA) program
- Staffing for Adequate Fire and Emergency Response (SAFER)
- Fire Prevention and Safety (FP&S)
- Flood Mitigation Assistance (FMA)
- Pre-Disaster Mitigation (PDM)

Historically, the appropriations that fund most of FEMA's non-disaster grant programs stipulate specific timeframes that govern each step in the grant cycle. FEMA expects the FY 2017 appropriation to similarly contain specific timeframes that FEMA and its recipients will be required to meet. Assuming the availability of funds will be limited to one year, all awards must be made before the end of the fiscal year (September 30, 2017) or the funding will lapse.

National Flood Insurance Program: Congress must vote to reauthorize the NFIP no later than September 30, 2017, in order for the program to continue selling and renewing flood insurance policies in communities nationwide. NFIP reduces the impact of flooding through three interrelated activities – mapping flood hazards, encouraging communities to adopt and enforce floodplain management regulations, and providing affordable insurance to property owners.

Day-to-Day Operations

In addition to the above, the following audits and real property items affect FEMA operations and may require decision or action by April 30, 2017.

Audits: Four audits are estimated to be released during the first quarter of Fiscal Year 2017 by the Government Accountability Office (GAO) and the DHS Office of the Inspector General (OIG):

GAO 17-36 Flood Insurance: FEMA Needs to Address Data Quality and Consider Company Characteristics When Revising its Compensation Methodology: In October 2016, GAO issued a report focused on inconsistencies in reporting flood expenses and setting compensation rates among private insurers (Write Your Own (WYO) companies)

¹ DHS Office of Community Partnerships administers the grant programmatically whereas FEMA is responsible for the financial administration.

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selling and servicing policies and adjusting claims for the NFIP. Previously, FEMA received recommendations relating to WYO compensation methodology and data quality. FEMA continues to lack the information it needs to incorporate actual flood expense data into its compensation methodology and to determine WYO profits and whether compensation payments are appropriate.

OIG-16-051: Sheltering and Temporary Essential Power (STEP) NYC Commercial

Properties: This audit engagement focuses on a \$30 million grant to NY State and NY City for repair of multi-family dwellings. The entire STEP pilot program is valued at \$538 million, of which there is 90 percent federal share. In a draft from November 2016, OIG indicates some portion of this grant should be recovered as it was spent on repairs to commercially owned buildings that were otherwise ineligible for Public Assistance. OIG indicated it will audit the entire program in the future.

OIG-16-015: City of New Orleans Streets, Sewerage, and Water Infrastructure: The OIG initiated an audit of Public Assistance funds provided to both the City of New Orleans and the Sewerage & Water Board of New Orleans for infrastructure projects. FEMA provided a total of \$2.04 billion between the two which includes the Agency's settlement for infrastructure repairs to streets, sewerage, and water systems related to damage from Hurricanes Katrina and Rita. OIG is requesting a disallowance of \$1.94 billion claiming that there is not validated evidence that Hurricane Katrina caused the damage.

OIG-16-008: Verification Review of OIG-12-18 Tracking Public Assistance Insurance

Requirement: The OIG initiated this audit to determine the extent to which FEMA implemented recommendations to improve insurance tracking capabilities. In a draft shared with FEMA in July 2016, the OIG asserts that FEMA placed \$17 billion at risk since 2001. FEMA communicated concerns with the accuracy of this projection and is hoping to come to an agreement with the OIG prior to the Final Report being issued.

Real Property: In recent years, the Agency has downsized its footprint in the National Capital Region significantly. Below are ongoing key real property concerns, including determinations regarding Regional Offices and the Maryland National Processing Service Center that must be made by the end of January 2017.

- The Center for Domestic Preparedness in Anniston, Alabama is wrapping up a three year, \$25 million renovation project to expand their capacity to accommodate and better train emergency response providers.
- Three FEMA regional offices - Regions IV, V, and VII in Atlanta, Chicago, and Kansas City, respectively - are in the process of workplace transformations, including consolidating workspace or procuring new leases. Regional Office transformations

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are typically estimated to cost about \$9 million for construction, security, and IT needs.

- The Maryland National Processing Service Center lease expires March 2018 and must be relocated or consolidated with other facilities.

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FEMA Regulations

Please list and provide details on all regulations that are pending. Please list all regulations that will advance between now and January 20 as well as within the first 100 days of the new administration.

NOTE: This list is per the Fall 2016 Unified Agenda of Federal Regulatory and Deregulatory Actions (<https://www.reginfo.gov/public/do/eAgendaMain>), with the exception of dates, which have been updated since publication of the Agenda.

FEMA Regulations		
Establishing a deductible for FEMA's Public Assistance Program (Prerule stage)	Implementing policy concerns from OIG and GAO on disaster numbers and costs, this Advance Notice of Proposed Rulemaking seeks comment on the concept of FEMA requiring States to satisfy a deductible requirement before FEMA provides them reimbursement for the repair of public facilities, and a system whereby States may satisfy their deductible requirement via credits earned for activities that improve a State's resilience.	Anticipated publication January 2017
Disaster Assistance - Federal Assistance to Individuals and Households (Final Rule)	Finalizes a 2002 interim final rule that implemented FEMA's Individual and Households Grant Program.	February 2017
Public Assistance Cost Estimating Format (CEF) for Large Projects (Final Rule)	Implementing section 406 of the Stafford Act, this final rule codifies in the Public Assistance regulations the CEF to reimburse applicants for large permanent work Public Assistance projects on a fixed estimate basis, and establishes thresholds of plus or minus 10% to govern situations in which the actual cost of a project is higher or lower than the CEF estimate.	After confirmation of FEMA Administrator.
Factors Considered when Evaluating a Governor's Request for Individual Assistance for a Major Disaster (Final Rule)	Implementing Section 1109 of the <i>Sandy Recovery Improvement Act of 2013</i> , this final rule revises the factors FEMA uses to measure the severity, magnitude, and impact of a disaster when recommending to the President whether to declare a disaster or emergency authorizing the Individual Assistance program.	After confirmation of FEMA Administrator.
Updates to Floodplain Management and	Implementing Executive Order 13690, which establishes the FFRMS, this final rule revises current regulations on the Floodplain Management and Protection of Wetlands. The final	After confirmation of FEMA Administrator.

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FEMA Regulations		
Protection of Wetlands Regulations to Implement EO 13690 and the Federal Flood Risk Management Standard (FFRMS) (Final Rule)	rule would change how FEMA defines a "floodplain" for FEMA-funded projects, and ensures FEMA's investments are better protected and reduce or eliminate the need for repairs or replacements following disasters.	
National Flood Insurance Program Financial Assistance/Subsidy Arrangement (Final Rule)	Removes the copy of the standard "Arrangement" with Write Your Own (WYO) Companies from the National Flood Insurance Program regulations, providing FEMA more flexibility in managing the WYO program.	Effective 12/23/16.
Tribal Declarations Guidance for Pilot Program (Final Policy)	This policy implements the provision of the Sandy Recovery Improvement Act of 2013 (SRIA) that provides federally recognized Indian Tribal governments the option to request a Presidential emergency or major disaster declaration.	January 2017

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FEMA Major Procurements

Please list and provide details on all major procurements \$100M and above that will advance between now and January 20 as well as within the first 100 days of the new administration.

FEMA's Office of the Chief Procurement Officer (OCPO) enables the Agency to successfully deliver the mission through the contracting of critical supplies and services to support disaster and non-disaster-related efforts in the field, as well as at regional offices and Headquarters, to support customers, programs, partners, and the public.

- Activities Prior to January 20, 2017

FEMA Program Office	Short Requirement Description	Anticipated Contract Value	Anticipated Award Date	Anticipated Contract Type	Acquisition Milestone (steps detailed below)	Contract number	Type funding Code	Master Acquisition Oversight List (MAOL) Acquisition Phase (reference MAOL list memo Oct 15, 2016)	Outcome / Alignment with FEMA Goals
OCIO	<u>Currently Systems Engineering and Technical Assistance/Enterprise Applications Development Integration Sustainment (EADIS):</u> Program/project management, technology architecture and application standards, software engineering lifecycle, change management and knowledge transfer.	\$290,000,000	12/13/2016	Multiple Award - IDIQ	7. Acquisition Package Deliver to AOD	HSFEHQ-10-D-0390	OS	N/A	Information technology systems development and sustainment across the Agency.
FIMA	<u>Risk Mapping Assessment and Planning (RiskMAP):</u> Customer and Data Services.	\$297,551,836	12/29/2016	Single Award - IDIQ	6. Acquisition Package Drafted	HSFEHQ-11-C-1598	NFIF/FA 44	FEMA RiskMAP Program - Post Full Operational Capability System Delivery	Allows the Agency to determine the flood plain risk of the United States.
OCIO	<u>Information Technology Security: Enterprise Data / Information Standards & Business Intelligence</u> (e.g. Software code, data models, data flow diagrams, Inter-Agency service agreements for data sharing, data dictionaries, data specifications).	\$754,000,000	12/31/2016	FFP Contract	7. Acquisition Package Deliver to AOD	New contract - will be awarded end of 2016	OS	N/A	Information technology systems development and sustainment (EADIS replacement) across the Agency.

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- Activities Prior to April 30, 2017

Program Office	Short Requirement Description	Anticipated Contract Value	Anticipated Award Date	Anticipated Contract Type	Acquisition Milestone	Contract number	Type funding	Master Acquisition Oversight List (MAOL) Acquisition Phase (reference MAOL list memo Oct 15, 2016)	Outcome / Alignment with FEMA Goals
OCIO	<u>Currently Centralized Operations, Maintenance, and Management of Information Technology Services:</u> Production management operations and management; application support, operational implementation, production application management, and video teleconference.	\$290,000,000	1/20/2017	T&M Contract	7. AOD Acceptance	HSFE30-15-D-0002, HSFE30-15-D-0003, HSFE30-15-D-0004, HSFE30-15-D-0006	OS	N/A	Information technology systems engraining and operations and maintenance for the Agency.
Logistics	<u>Defense Logistics Inter-Agency Agreement:</u> Three task orders (Subsistence, construction & equipment, and fuel) for the replenishment of D.C. inventories during disasters.	\$372,000,000	3/10/2017	IAA	6. Acquisition Package Drafted	HSFEHQ-11-X-0347	DRF	N/A	For disaster support and commodities and fuel.
OCIO	<u>IT Program Management Oversight:</u> Delivering value to the mission through innovation, optimization, rapid delivery, and reduction of total costs of ownership.	\$112,000,000	4/30/2017	Single Award - IDIQ	7. AOD Acceptance	New requirement - will be awarded end of April 2017	OS	N/A	Information technology program management support services.

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- Requests for Proposals (RFPs)

Program Office	Short Requirement Description	Anticipated Contract Value	Anticipated RFP release date	Anticipated Contract Type	Acquisition Milestone	Contract number	Type funding	Master Acquisition Oversight List (MAOL) Acquisition Phase (reference MAOL list memo Oct 15, 2016)	Outcome / Alignment with FEMA Goals
ORR	Public Assistance - Technical Assistance Contract	\$1,800,000,000 (5 Years)	June-17	IDIQ	8. Prepare Solicitation	TBD	DRF	N/A	To provide capabilities to restore local infrastructures to include engineering services, restoration, and architectural and engineering.
OCIO	Information Technology Hardware	\$418,000,000 (5 Years)	February-17	IDIQ	8. Prepare Solicitation	TBD	OS	N/A	To provide computer hardware, software and licenses, and maintenance that is found under Schedule 70 – general purpose commercial information technology equipment, software, and services.
OCIO	Information Technology Operations & Maintenance (O&M)	\$300,000,000 (5 Years)	February-17	IDIQ	8. Prepare Solicitation	TBD	OS	N/A	To provide information technology O&M such as network operations (LAN, MAN, WAN) configuration, components, monitoring & access control, internet / intranet access and support, and desktop applications management and delivery communications security (COMSEC).

Acquisition Milestones for reference:

Acquisition Milestones	
1. Formulate/Establish IPT	7. Acquisition Package Deliver to AOD / AOD Acceptance / AOD Approval
2. Acquisition Decision Event (ADE) required	8. Prepare Solicitation / Issue Solicitation / Receipt of Proposals
3. Market Research / RFI / Due Diligence Sessions / Industry Day	9. Evaluation and Source Selection
4. ITAR – Information Technology Acquisition Review	10. Award / Reviews / QA / OCC
5. Develop Requirements / Acquisition Strategy	11. Congressional Notification
6. Acquisition Package Drafted / PfM Review / Acquisition Management Review	12. Sign contract

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Acronyms:

44	Stafford Act (CFR 44)
A&E	Architecture & Engineering
ADE	Acquisition Decision Event
AOD	Acquisition Operations Division
CDS	Customer and Data Services
COMMITTS	Centralized Operations, Maintenance, and Management of Information Technology Services
COMSEC	Communications Security
DLA IAA	Defense Logistics Agency Inter-Agency Agreement
DRF	Disaster Relief Fund
EADIS	Enterprise Applications Development Integration Sustainment
FA	Federal Assistance, category of Common Appropriations Structure for appropriations”
FFP	Firm Fixed Price
FOC	Full Operational Capability system
IDIQ	Indefinite Delivery Indefinite Quantity
IPT	Integrated Process Team
ITAR	Information Technology Acquisition Review
LAN	Local Area Network
MAN	Metropolitan Area Network
O&M	Operations and Maintenance
OCC	Office of Chief Counsel
OS	Operations and Support
PfM	Portfolio Management
QA	Quality Assurance
RAD	Risk Analysis Division
RFI	Request For Information
SETA	Systems Engineering and Technical Assistance
T&M	Time and Materials
WAN	Wide Area Network

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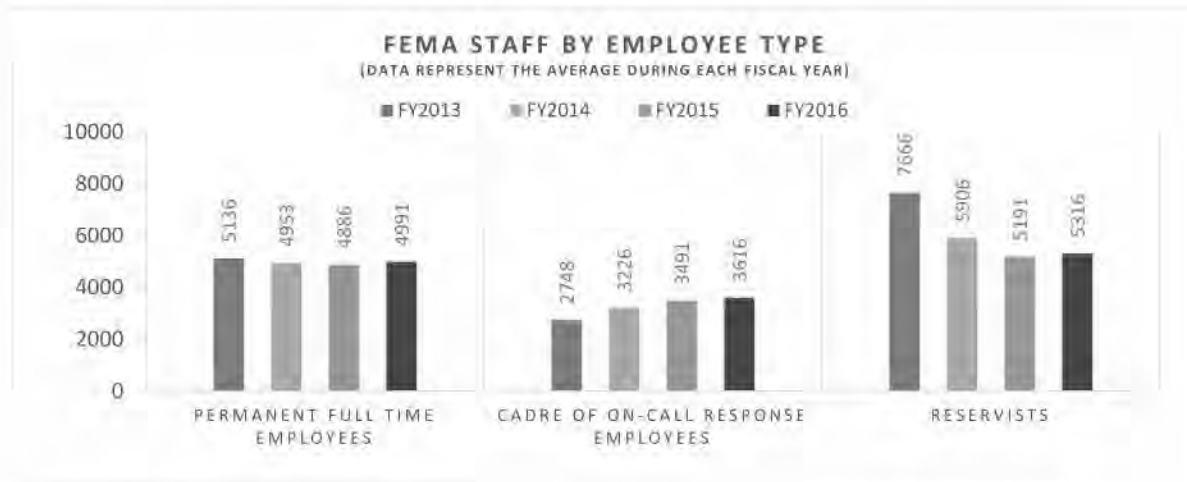
FEMA Human Capital

Please list and provide details on all major human capital issues you currently face. Please include current staffing numbers as well as growth in the offices over the last four years. Please provide context for any increases or reductions over the last four years.

Current and History of FEMA Staffing Numbers

FEMA's average workforce in FY16 was 13,923 employees, which include Title V permanent full-time (PFT) employees and Stafford Act employees, which include Cadre of On-Call Response/Recovery employees (COREs) and intermittent employees called Reservists.

For permanent full-time employees, the Agency experienced a 90 percent fill rate when compared to authorized positions, and experienced an annual attrition rate of 8.6 percent. Over the past four years, the number of Reservist employees decreased by 30 percent. Some of this decrease is due to changes in the structure of the Reservist program and associated increased attrition (particularly from FY13 to FY14). Vacancies in the FEMA workforce – especially among Reservists – have an impact on FEMA's ability to conduct response and recovery operations, and FEMA is actively working to fill vacant positions. The number of COREs increased by 30 percent between FY13 and FY16. This was in part due to the Agency's hiring of full-time disaster supervisors, called incident management COREs, and expansion of FEMA's incident management assistance teams.



Current Challenges

Building, sustaining, and improving the FEMA's workforce is critical to meeting the Agency's responsibilities under DHS to strengthen national preparedness, resilience, and emergency response. To effectively fulfill its emergency management mission, FEMA must have a highly skilled, flexible, and engaged workforce. The Agency's human capital challenges include

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staffing, workforce planning, security clearances, training and development, and human resources information technology systems update.

Staffing & Workforce Planning

FEMA has filled only 59 percent of the positions it needs to remain ready for disasters, thus it faces strategic risk if a significant event or multiple concurrent disasters were to occur. While 1,400 personnel were added to FEMA's force strength last year, the goal is to hire an additional 4,000 new Reservists in FY17 to fill critical vacancies. To date, FEMA has developed a workforce model for its disaster workforce¹, but is in the process of creating a plan for the Agency as a whole.

In order to better analyze mission requirements, review essential functions, and align resources to budget and deliverables, FEMA is actively building an Agency-wide workforce plan. Resources (financial, human, and technology) to continue development and implementation of an Agency-wide workforce plan are strained when re-directed to meet mission critical hiring activities, Agency priorities, and deployments.

Security Clearances

While FEMA streamlined its hiring process and achieved efficiencies, it continues to face challenges with security clearances. FEMA processes Public Trust and National Security clearances in under 15 and 30 days respectively, well under the Office of Personnel Management goals of 104 and 34 days. However, the Office of Personnel Management, who is FEMA's investigative provider, is experiencing significant delays in process including averaging more than 240 days to investigate an individual at the Top Secret level, resulting in delays for onboarding and training select new hires. These challenges would be exacerbated with an increase in hiring.

Training and Development

FEMA does not have the technology and human resources to build and sustain an enterprise training strategy that will ensure staff have the right skills, competencies, and knowledge to meet the Agency's mission. Over the past four years, FEMA has undergone a loss of experience due to retirements and turnover. The average tenure of FEMA employees dropped from 9 years in FY13 to 6.4 years in FY16. The recruitment and hiring of new employees, and the training, development and retention of all employees is a key focus for the Agency.

Modernization of Human Resource Information Technology

The Agency currently has disparate systems in place that do not interface with one another and compromise data quality. Therefore, FEMA faces a challenge in ensuring that the necessary systems and resources are in place to meet the needs of the Agency. With increasing requirements and resource needs, the Agency must analyze, track, report, and communicate the needs of human capital and its customers.

¹ Currently, the RAND Corporation is assessing the disaster workforce model to ensure it is optimally structured to achieve mission requirements.

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Pending FEMA Reorganizations

Please describe any pending reorganizations.

At this time, FEMA has no plans to reorganize¹ any Agency program. However, FEMA is currently in the process of realigning² three program offices:

1. Realigning the Office of Executive Operations (OEO) to optimize customer service and stakeholder engagement, increase communication, and bolster administrative services.
2. Realigning the Technological Hazards Division of the National Preparedness Directorate to combine existing functions to facilitate greater internal and external accountability, improve coordination, and provide a better focus on core functional responsibilities.
3. Realigning the Center for Domestic Preparedness (CDP) to ensure proper oversight, accountability, administration, and management of a directorate that trains state, local and other Federal Agencies.

In addition, Mount Weather and the National Continuity Program realignments were approved and implemented. FEMA's Human Capital is correcting organization code errors that occurred during the processing phase which should be completed in the next two weeks.

¹ A reorganization is based on mission changes that eliminate, add to, or redistribute the functions or duties of an organization and may impact the organization's mission, structure, function, geographic boundaries, jurisdiction, roles, or reporting lines. Successful reorganizations should improve the ability to handle mission-critical decisions, enable people to make better decisions, and improve effective execution of the mission.

² A realignment is based on personnel needs and does not affect the organization's mission or function, but rather places employees in a new organizational configuration. For realignments to be successful it is important to keep employees focused on the mission, promote consistent and transparent communication, and re-evaluate processes to better represent operational and service needs.

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Fiscal Years 2014-2018 Strategic Plan



Homeland
Security

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MESSAGE FROM THE SECRETARY



Homeland
Security

I am pleased to submit the U.S. Department of Homeland Security (DHS) Strategic Plan for Fiscal Years (FY) 2014-2018, fulfilling the GPRA Modernization Act of 2010 (P. L. 111-352) and the Office of Management and Budget's (OMB) Circular A-11, Part 6 (2013) requirement for all Federal departments and agencies to publish an Agency Strategic Plan.



Much like the 2014 Quadrennial Homeland Security Review, the FY14-18 Strategic Plan provides an analytic foundation for the Department's Unity of Effort Initiative. The DHS Unity of Effort Initiative builds important linkages between the Department's planning, programming, budgeting, and execution processes, ensuring that the Department invests and operates in a cohesive, unified fashion, and makes decisions that are transparent and collaborative to drive strategic guidance to results. The FY14-18 Strategic Plan represents an important step in our process toward achieving unity of effort by articulating the strategies we employ to achieve each goal and long-term performance measures that we use to evaluate our progress.

As part of the development of this Strategic Plan, the Department also undertook an unprecedented effort to identify the Department's highest priorities across mission areas. While we will continue to execute against all of the mission goals and objectives laid out in the 2014 Quadrennial Homeland Security Review and the 2014-2018 Strategic Plan, these areas represent our top priorities in terms of investment, strategic and operational planning, and stakeholder engagement. By prioritizing efforts in this way, we will be more closely aligned in our efforts, stronger partners to our stakeholders, and better stewards of our limited resources.

While the 2014 QHSR focused on our shared responsibilities with partners across the federal, state, local, tribal, and territorial governments, the private sector, and other nongovernmental organizations, the FY14-18 Strategic Plan focuses on how we accomplish our mission as a Department. This report reflects the important work of all homeland security employees, who tirelessly fulfill the missions of homeland security: prevent terrorism and enhance security, secure and manage our borders, enforce and administer our immigration laws, safeguard and secure cyberspace, and strengthen national preparedness and resilience. I am continually grateful for their service.

Sincerely,

A handwritten signature in black ink, appearing to read "Jeh Charles Johnson".

Jeh Charles Johnson

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Credit: U.S. Department of Homeland Security

OVERVIEW

The United States is poised at the outset of a new era in homeland security that reflects long-term changes in the security environment and key advances in homeland security capabilities. The 2014 Quadrennial Homeland Security Review describes the challenges and opportunities of this new era and how the Department of Homeland Security (DHS) and our homeland security partners must strategically posture ourselves to address those challenges. The 2014 Quadrennial Homeland Security Review also takes an important foundational step toward a Secretary-level priority: strengthening Departmental “Unity of Effort.” The DHS Unity of Effort Initiative builds important linkages between the Department’s planning, programming, budgeting, and execution processes, ensuring that the Department invests and operates in a cohesive, unified fashion, and makes decisions that are transparent and collaborative to drive the Secretary’s strategic guidance to results.

The DHS FY14-18 Strategic Plan focuses on how we will implement the goals laid out in the 2014 Quadrennial Homeland Security Review. It describes the missions and goals of homeland security, the strategies we use to achieve those goals, and the ways in which we

OVERVIEW

measure our success. It also sets several key, priority efforts under each mission and describes how those priorities will be achieved through the DHS Unity of Effort Initiative.

The Homeland Security vision is a homeland that is safe, secure, and resilient against terrorism and other hazards, where American interests, aspirations, and way of life can thrive. This requires the dedication of more than 240,000 employees in jobs that range from aviation and border security to emergency response, from cybersecurity analysis to chemical facility inspections. Our duties are wide-ranging, but our goal is clear — keeping America safe. The 2014 Quadrennial Homeland Security Review reaffirmed the five-mission structure of DHS:

- Prevent Terrorism and Enhance Security
- Secure and Manage our Borders
- Enforce and Administer Our Immigration Laws
- Safeguard and Secure Cyberspace; and
- Strengthen National Preparedness and Resilience

Accomplishing these missions requires unity of effort – across every area of DHS activity and among the numerous homeland security partners and stakeholders.

UNITY OF EFFORT

The Department has many strengths, including the professionalism, skill, and dedication of its people and the rich history and tradition of its Components, which have led to many successes over the Department's relatively short life. The Unity of Effort Initiative capitalizes on these strengths while identifying ways to enhance the cohesion of the Department as a whole. The Department will accomplish this not by centralizing the decision making authority and processes within an opaque DHS Headquarters, but rather by transparently incorporating DHS Components into unified decision making processes and the analytic efforts that inform decision making.

We will focus initially on four main lines of effort to improve our planning, programming, budgeting and execution processes: 1) inclusive senior leader discussion and decision making forums that provide an environment of trust and transparency; 2) strengthened management processes for investment, including requirements, budget, and acquisition processes that look at cross-cutting issues across the Department; 3) focused,

Strengthening Department Unity of Effort: Guidance to Results

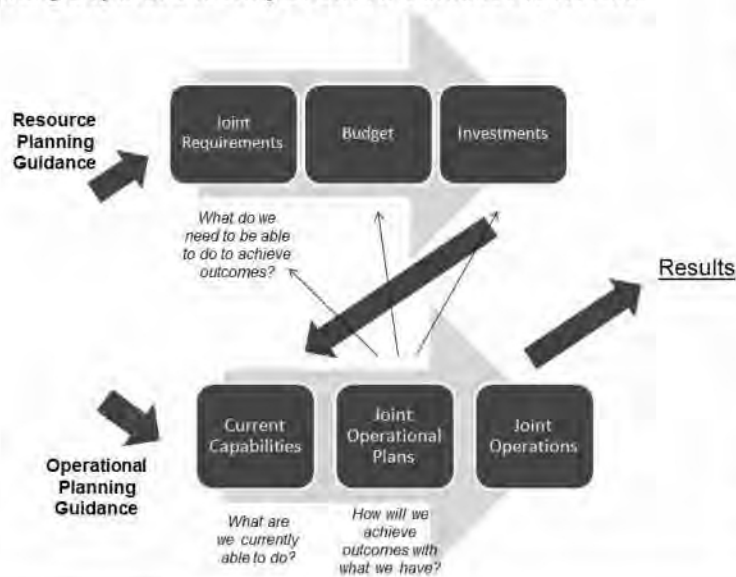


Figure 1: Strengthening Departmental Unity of Effort diagram

collaborative Departmental strategy, planning, and analytic capability that support more effective DHS-wide decision making and operations; and 4) enhanced coordinated operations to harness the significant resources of the Department more effectively.

If executed properly,

the Unity of Effort Initiative will provide the Department with better understanding of the broad and complex DHS mission space and support the effective execution of our missions.

STAKEHOLDER ENGAGEMENT

The FY14–18 DHS Strategic Plan builds upon the stakeholder engagement and outreach process conducted for the 2014 Quadrennial Homeland Security Review and incorporates the more specific consultation requirements set forth in the GPRA Modernization Act of 2010. Throughout the Quadrennial Homeland Security Review process, DHS conducted extensive engagement with federal executive branch partners and Congress; state, local, tribal and territorial partners; the private sector; academics, and others. In addition to those engagements, development of the FY14–18 Strategic Plan has been closely coordinated with the Office of Management and Budget.

CROSS-AGENCY PRIORITY GOALS

Cross-Agency Priority goals address the longstanding challenge of tackling horizontal problems across vertical organizational silos. To establish these goals, the Office of Management and Budget solicited nominations from Federal agencies and several congressional committees. Per the GPRA Modernization Act of 2010 requirement to address Cross-Agency Priority Goals in the agency strategic plan, the annual performance plan, and the annual performance report, please refer to <http://www.performance.gov> for

OVERVIEW

the Department of Homeland Security's contributions to those goals and progress, where applicable. The Department currently contributes to the following mission-related Cross-Agency Priority Goals:

- Cybersecurity (related to DHS Objective 4.2: Secure the Federal Civilian Government Information Technology Enterprise).
- Climate Change (Federal Actions) (related to DHS Objective 5.1: Enhance National Preparedness; DHS Objective 5.2: Mitigate Hazards and Vulnerabilities; and DHS Objective 5.3: Ensure Effective Emergency Response).
- Insider Threat and Security Clearance (related to DHS Objective 1.1: Prevent Terrorist Attacks; DHS Objective 1.3: Reduce Risk to the Nation's Critical Infrastructure, Key Leadership, and Events; and Maturing and Strengthening Homeland Security).
- Job-Creating Investment (related to Maturing and Strengthening Homeland Security).
- Infrastructure Permitting Modernization (related to Maturing and Strengthening Homeland Security).
- Science, Technology, Engineering and Mathematics Education (related to Maturing and Strengthening Homeland Security).

The DHS FY14-18 Strategic Plan is a Departmental management tool for strategic achievement of the responsibilities set forth in those documents. The Plan satisfies the requirements of the GPRA Modernization Act of 2010 (P. L. 111-352) and the Office of Management and Budget's Circular A-11 requirement to publish an Agency Strategic Plan.

CONTACT INFORMATION

Department strategic capstone products are located at our public website at <http://www.dhs.gov/qhsr>. For more information, contact

Department of Homeland Security
Office of Policy
Office of Strategy, Planning, Analysis, and Risk
Washington, D.C. 20528

Information may also be requested by sending an email to STRATEGY@dhs.gov.

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ANALYTIC AGENDA

The Department of Homeland Security, like any large government agency or private corporation, must be able to harness vast amounts of data to inform strategy and future planning. As the latter sections of this plan describe, there are a number of key areas where DHS must improve its ability to collect new data, analyze existing data, and present data in a compelling way to our partners and the public. The Department's four-year Analytic Agenda provides the foundation for tackling this "Big Data" challenge and supporting analytically-informed decision-making across DHS missions.

Over the past several years, the Department has made great strides to improve its analytical understanding of the diverse DHS mission space. For example, DHS developed and fostered a risk community of interest, convening risk management experts from across the Department to share risk data and best practices for risk assessment. To further support the Secretary's Unity of Effort Initiative, the Department will deepen its analytic capability across its mission areas. In particular, DHS will continue to acquire, develop, and implement the basic tools required for data-driven management of its missions, such as the ability to consistently assess strategic/external risk; measure outcomes; forecast such outcomes under different resource allocations, policies, and economic conditions; and use these forecasts to inform strategic planning, programming, acquisition, and operational decisions.

To begin building this capability, DHS Headquarters will, in close coordination with departmental and enterprise partners, formalize a line of effort similar in purpose to the Department of Defense's "Analytic Agenda" initiative. The objective of this multi-year effort will be to build and institutionalize the necessary data, models, and underlying business processes to provide a unified baseline for aiding decision-making across the Department. Topics for these analytic baselines will be determined by leadership, based on missions or goals that would benefit from a more rigorous analytical approach. Key inputs informing the topic selection are the Quadrennial Homeland Security Review, this DHS Strategic Plan, ongoing analysis of changes in the strategic environment, annual resource and operational planning guidance, and other DHS policy imperatives.

For any particular mission area, an analytic agenda may include comprehensive empirical modeling; estimation of the impacts of social, technological, economic, environmental, or political variables; incorporation of these empirical results into a model with the capability to simulate future outcomes; sustained development of outcome measurement; and development of dashboards and tools for support to strategic-level decision-making. Such

ANALYTIC AGENDA

an effort would enable the creation of a full set of performance measures for a given study topic; support analytically informed strategy development, resource allocation, investment, and operational decision making for that topic; facilitate systematic program evaluation; and optimally deliver indicator and warning capabilities to allow the Department to assume an anticipatory posture. Maintaining a standing set of empirical models would allow the Department to quickly analyze the causes, likely duration, and the predicted effectiveness of alternative policy options in response to new trends. DHS would use this data to develop effective strategies and communicate authoritatively with its public and private stakeholders.

The Analytic Agenda initiative will be co-led by the Office of Policy and the Office of the Chief Financial Officer, with each study leveraging the expertise of DHS Components. These offices will be responsible for setting the strategic direction, creating planning scenarios, identifying methodologies, conducting individual studies, providing data, warehousing that data and accompanying analytic results, and integrating the effort with the various DHS decision systems.



Credit: U.S. Customs and Border Protection



Credit: U.S. Coast Guard

DEPARTMENT MISSIONS AND GOALS

The first QHSR report developed an enduring mission framework for homeland security; that framework was reflected in the Fiscal Years 2012–2016 DHS Strategic Plan. As a preparatory activity for the second Quadrennial Homeland Security Review, the Department initiated an internal Roles and Missions Review to review and validate the Quadrennial Homeland Security Review 2010 mission framework. The Department updated the framework to reflect changes in policy, strategy, and the strategic environment. Activities previously categorized as “Providing Essential Support to National and Economic Security” were incorporated into the five homeland security missions and into the cross-cutting summary of activities documented in the Mature and Strengthen the Department section of the Strategic Plan. While the Quadrennial Homeland Security Review reflects an overarching strategic approach for homeland security, the DHS Strategic Plan reflects the strategies, including activities, programs, and operations, of the Department for executing our missions in the FY 2014–2018 timeframe.

DEPARTMENT MISSIONS AND GOALS



Credit: Transportation Security Administration

MISSION 1: PREVENT TERRORISM AND ENHANCE SECURITY

Preventing terrorism is the cornerstone of homeland security. Within this mission we focus on the goals of preventing terrorist attacks; preventing and protecting against the unauthorized acquisition or use of chemical, biological, radiological, and nuclear materials and capabilities; and reducing risk to the Nation's most critical infrastructure, key leaders, and events.

The 2014 Quadrennial Homeland Security Review described a more integrated, networked approach to counterterrorism and community engagement efforts. To improve overall Departmental unity of effort, we will work with our partners to identify, investigate, and interdict threats as early as possible; expand risk-based security; focus on countering violent extremism and preventing complex mass casualty attacks; reduce vulnerabilities by denying resources and targets; and uncover patterns and faint signals through enhanced data integration and analysis. DHS shares the responsibility to prevent terrorist attacks with several federal departments and agencies, including the Departments of State, Justice, and Defense, and the Office of the Director of National Intelligence, as well as with state, local, tribal, territorial, and private sector partners. DHS further collaborates with foreign partners on security issues of concern.

MISSION PRIORITIES

The following Mission Priorities represent the highest priority efforts for the Department of Homeland Security within Mission 1. While the Department will continue to work on all of the mission goals and objectives laid out in the 2014 Quadrennial Homeland Security Review and the 2014-2018 Strategic Plan, these are the top areas of focus in terms of investment, strategic and operational planning, and stakeholder engagement, and will be addressed through actions undertaken in one or more of the following DHS foundational activities: Joint Requirements Council, joint operational plans and operations, enhanced budget and investment processes, and focused strategic and analytic efforts.

- **Prevent terrorist travel** into the United States by enhancing information sharing, international cooperation, and risk-based targeting, including by focusing on foreign fighters.
- **Strengthen aviation security** by implementing risk-based mitigation strategies.
- **Prevent the hostile use of nuclear materials against the homeland** by deterring or preventing adversaries from smuggling nuclear weapons and materials, and enhancing the ability to detect nuclear weapons and materials out of regulatory control.
- **Protect key leaders, facilities, and National Special Security Events** by deterring, minimizing, and responding to identified vulnerabilities and threats against the President, Vice President, other protected individuals, the White House Complex, and other sites.

GOAL 1.1: PREVENT TERRORIST ATTACKS

The Department remains vigilant to new and evolving threats in order to protect the Nation from a terrorist attack. Although the U.S. Government's counterterrorism efforts have degraded the ability of al-Qa'ida's senior leadership in Afghanistan and Pakistan to centrally plan and execute sophisticated external attacks, since 2009 we have seen the rise of al-Qa'ida affiliates, such as al-Qa'ida in the Arabian Peninsula and the al-Nusrah Front in Syria. These groups have made attempts to export terrorism to our Nation. Additionally, we face the threat of domestic-based "lone offenders" and those who are inspired by violent extremist ideologies to radicalize and commit acts of terrorism against Americans and the Nation. These threats come in multiple forms and, because of the nature of independent actors, may be hardest to detect.

We will pursue the following strategies to prevent terrorist attacks:

Analyze, fuse, and disseminate terrorism information by sharing information with, and utilizing threat analysis alongside, stakeholders across the homeland security enterprise.

DEPARTMENT MISSIONS AND GOALS

We remain committed to integrating critical data sources, such as those for biometric data, by consolidating or federating screening and vetting operations. We will also continually increase and integrate domain awareness capabilities, as well as improve our ability to fully utilize vast amounts of intelligence and other information—the so-called “big data” challenge—while rigorously protecting privacy and civil rights and civil liberties.

Deter and disrupt operations by leveraging the intelligence, information sharing, technological, operational, and policy-making elements within DHS to facilitate a cohesive and coordinated operational response. We will also develop intelligence sources and leverage research and analysis to identify and illustrate the tactics, behaviors, and indicators potentially associated with violent extremism as well as factors that may influence violent extremism, and jointly develop with federal, state, local, tribal, and territorial partners training for frontline law enforcement officers on behaviors that may be telling regarding violent extremist activity.

Strengthen transportation security by using a multi-layered risk-based approach to detect malicious actors and dangerous items at various entry and exit points in the travel and trade system. We will also improve coordination with foreign governments and stakeholders to expand pre-departure screening and enhance transportation security operations among willing partners to mitigate risks from overseas.

Counter violent extremism by: 1) supporting community-based problem solving and integration efforts, as well as local law enforcement programs; and 2) working with our partners to share information with frontline law enforcement partners, communities, families, and the private sector about how violent extremists are using the Internet and how to protect themselves and their communities.

GOAL 1.2: PREVENT AND PROTECT AGAINST THE UNAUTHORIZED ACQUISITION OR USE OF CHEMICAL, BIOLOGICAL, RADIOLOGICAL, AND NUCLEAR MATERIALS AND CAPABILITIES

Chemical, biological, radiological, and nuclear threats are enduring areas of concern. The consequences of these attacks are potentially high even though the likelihood of their occurrence is relatively low. Small scale chemical attacks are expected to remain more likely because the relative lack of specialized skills and knowledge required to conduct such attacks. However, nuclear terrorism and bioterrorism pose the most strategically significant risk because of their potential consequences. Although the difficulty of stealing a nuclear weapon or fabricating one from stolen or diverted weapons materials reduces the likelihood of this type of attack, the extremely high consequences of an improvised nuclear device attack make it an ongoing top homeland security risk.

We will pursue the following strategies to prevent and protect against the unauthorized acquisition or use of chemical biological, radiological, and nuclear materials and capabilities:

Anticipate chemical, biological, radiological, and nuclear emerging threats by identifying and understanding potentially dangerous actors, technologies, and materials, and prioritizing research and development activities including: 1) analyses of alternative technology options; 2) assessments of complex issues such as the relative risk of different chemical, biological, radiological, and nuclear threats; 3) experimentation and operational test and evaluation of technologies proposed for acquisition; 4) detailed technical characterization of potential biological threat organisms; 5) the creation of consensus standards that enable cost-effective progress across many fields; and 6) the determination of nuclear material characteristics through nuclear forensics techniques.

Identify and interdict unlawful acquisition and movement of chemical, biological, radiological, and nuclear precursors and materials by leveraging investigative and enforcement assets towards domestic and international movement of these materials and by engaging in information sharing with all stakeholders to monitor and control this technology.

Detect, locate, and prevent the hostile use of chemical, biological, radiological, and nuclear materials and weapons by 1) combining authorities and assets with other departments and agencies; 2) building the U.S. Government's global nuclear detection capability through the Global Nuclear Detection Architecture, a framework for detecting (through technical and non-technical means), analyzing, and reporting on nuclear and other radioactive materials that are out of regulatory control; 3) advancing nuclear forensics capabilities in order to close down nuclear smuggling networks, promote global nuclear security, and deter would-be nation state terrorist facilitators from transferring nuclear materials to terrorists; 4) providing unimpeachable forensic data for use by law enforcement authorities in the investigation and prosecution of crimes involving biological agents; 5) regulating high-risk chemical facilities to ensure that they take proper steps to mitigate risks; and 6) preventing the occurrence of significant biological incidents, where possible, but, when unable to prevent, stopping them from overwhelming the capacity of our state, local, tribal, and territorial partners to manage and respond. To this last point, DHS will deploy technologies that enable early detection of biological agents prior to the onset of symptoms, pursue more rapid responder capabilities, and increase the capacity and effectiveness of local public health, medical, and emergency services.

DEPARTMENT MISSIONS AND GOALS

GOAL 1.3: REDUCE RISK TO THE NATION'S CRITICAL INFRASTRUCTURE, KEY LEADERSHIP, AND EVENTS

DHS has national leadership responsibility for enhancing security to the Nation's critical infrastructure and protecting key leaders, facilities, and National Special Security Events. DHS reduces risk across a wide portfolio of activities, including the agriculture and food sector, the travel and trade system, and the financial services sector. These systems are vulnerable to criminal exploitation and both physical and cyber-attacks. DHS also maintains constant guard over key leaders and during high-profile events, reducing the possibility that these events could be exploited by criminal or terrorist actors.

We will pursue the following strategies to reduce risk to the nation's critical infrastructure, key leadership, and events

Enhance security for the Nation's critical infrastructure from terrorism and criminal activity



by 1) identifying critical infrastructure and related vulnerabilities; 2) developing and deploying a scalable assessment methodology depending on the level of threat and the nature of the target; 3) inserting and/or developing appropriate technologies; 4) tracking protective measures of our partners across the homeland security enterprise; and 5) conducting investigations that maximize disruption of criminal enterprises that pose the greatest risk to the United States. We will also enhance

the Nation's ability to counter improvised explosive devices (IEDs) by coordinating whole community efforts to prevent, protect against, respond to, and mitigate terrorist and criminal use of explosives.

Protect key leaders, facilities, and National Special Security Events by 1) working with partners across the homeland security enterprise to coordinate intelligence, information sharing, security, and response resources; 2) protecting the President, the Vice President,

visiting heads of state, major Presidential candidates, and other designated protectees; 3) protecting federal facilities, employees, and visitors; and 4) assessing risk and coordinating support to partners during major special events across the Nation through the Special Events Assessment Rating.

HIGHLIGHTED PERFORMANCE MEASURES

The table below presents a subset of the DHS performance measures associated with gauging results for Mission 1. For more information on these measures, along with a more extensive list of measures associated with this mission, please see the FY 2013–2015 Annual Performance Report at http://www.dhs.gov/xabout/budget/editorial_0430.shtm.

Mission 1: Prevent Terrorism and Enhance Security				
Highlighted Performance Measures	Goal Alignment	Planned Targets		
		FY 2014	FY 2015	FY 2018
Percent of intelligence reports rated “satisfactory” or higher in customer feedback that enable customers to understand the threat (AO)	1.1	93%	94%	94%
Percent of foreign airports that serve as last points of departure and air carriers involved in international operations to the United States advised of necessary actions to mitigate identified vulnerabilities in order to ensure compliance with critical security measures (TSA)	1.1	100%	100%	100%
Percent of international air enplanements vetted against the terrorist watch list through Secure Flight (TSA)	1.1	100%	100%	100%
Percent of inbound air cargo screened on international passenger flights originating from outside the United States and Territories (TSA)	1.1	100%	100%	100%
Percent of cargo conveyances that pass through radiation portal monitors upon entering the nation via land border and international rail ports of entry (DNDO)	1.2	FOUO	FOUO	FOUO
Percent of performance standards implemented by the highest risk chemical facilities and verified by DHS (NPPD)	1.2	97%	95%	95%
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)	1.3	100%	100%	100%
Financial crimes loss prevented through a criminal investigation (in billions) (USSS)	1.3	\$1.90	\$2.70	\$3.0

DEPARTMENT MISSIONS AND GOALS



MISSION 2: SECURE AND MANAGE OUR BORDERS

Secure, well-managed borders must not only protect the United States against threats from abroad, they must also safeguard and expedite the flow of lawful trade and travel. Achieving this end requires that we focus on three interrelated goals: 1) secure U.S. air, land, and sea borders and approaches; 2) safeguard and expedite lawful trade and travel; and 3) disrupt and dismantle transnational criminal organizations and other illicit actors.

The 2014 Quadrennial Homeland Security Review defined a risk segmentation approach to managing the flows of people and goods: minimize disruption to and facilitate safe and secure inbound and outbound legal flows of people and goods; prioritize efforts to counter illicit finance and further increase transnational criminal organization perception of risk through targeted interdiction and other activities, while continuing to increase efficiencies in operations; and counter terrorist travel into the United States, terrorism against international travel and trade systems, and the export of sensitive goods and technology.

Building on that work, the U.S. Southern Border and Approaches Campaign Planning Effort (2014), one of the first management imperatives from the Unity of Effort Initiative, articulates four mutually-supporting key areas of effort for securing the southern border and approaches: 1) segment and expedite flows of people and goods at ports of entry; 2) strengthen the security and resilience of the global supply chain and the international travel system; 3) combat transnational organized crime and terrorism; and 4) prevent illegal flows of people and goods between ports of entry.

MISSION PRIORITIES

The following Mission Priorities represent the highest priority efforts for the Department of Homeland Security within Mission 2. While the Department will continue to work on all of the mission goals and objectives laid out in the 2014 Quadrennial Homeland Security Review and the 2014-2018 Strategic Plan, these are the top areas of focus in terms of investment, strategic and operational planning, and stakeholder engagement, and will be addressed through actions undertaken in one or more of the following DHS foundational activities: Joint Requirements Council, joint operational plans and operations, enhanced budget and investment processes, and focused strategic and analytic efforts.

- **Secure the U.S. Southern Border and approaches** by implementing a strategic framework.
- **Combat transnational organized crime** by countering illicit finance and further integrating elements of the layered defense.

GOAL 2.1: SECURE U.S. AIR, LAND, AND SEA BORDER AND APPROACHES

Flows of people and goods around the world have expanded dramatically in recent years. DHS employs a range of strategies to improve upon border security, as well as to exclude terrorist threats, drug traffickers, and other threats to national security, economic security, and public safety. DHS and our partners ensure transit via legal pathways; identify and remove people and goods attempting to travel illegally; and ensure the safety and integrity of these flows of people and goods by safeguarding the conveyances, nodes, and pathways that make up the travel and trade system. DHS relies on a combination of people, technology, assets (e.g., surface and aviation platforms), and infrastructure (e.g., roads, fences) across DHS operating components to enable situational awareness and secure the border. Given the inherently transnational nature of securing our borders, DHS also continues to build international partnerships to enhance our ability to identify threats or hazards before they emerge in the United States.

We will pursue the following strategies to secure U.S. air, land, and sea border and approaches:

Prevent illegal import and entry by employing a layered, risk-based approach to screen, identify, and intercept threats at points of departure and at U.S. ports of entry. Using a variety of intelligence, automated tools, and information collected in advance of arrival for passengers and cargo at air, land, and seaports, DHS screens, identifies, and intercepts threats at points of departure before they reach our borders. In the approaches to the United States, DHS maintains domain awareness efforts to establish and maintain a common

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operating picture of people, vehicles, aircraft, and marine vessels approaching our borders, as well as interdiction capabilities to achieve a law enforcement resolution.

Prevent illegal export and exit through a risk-based strategy to inspect people, cargo, and conveyances departing the United States through all airports, seaports, land border crossings, and international mail/courier facilities. Using this information, law enforcement organizations such as Immigration and Customs Enforcement will investigate illegal exports and exit.

GOAL 2.2: SAFEGUARD AND EXPEDITE LAWFUL TRADE AND TRAVEL

The vast majority of people and goods entering and exiting the United States represent lawful trade and travel. Lawful trade and travel provides enormous economic benefits to our society, evident by a substantial increase in the number of tourist and business travelers and in the value of U.S. exports and imports between 2005 and 2012, and underscored by projections for continued growth at an average of six percent annually through 2030. DHS and our partners work to secure and expedite these flows of people and goods, as they are a main driver of U.S. economic prosperity.

We will pursue the following strategies to safeguard and expedite lawful trade and travel:

Safeguard key nodes, conveyances, and pathways by establishing and enforcing security standards and plans that maintain or restore infrastructure capabilities to be resilient from attacks and natural disasters; this includes facilities at ports of entry, modes of transportation, and pathways.

Manage the risk of people and goods in transit by employing a risk-segmentation approach that identifies low-risk and high-risk people and goods moving within legal channels as far from the homeland as possible, and then expediting low-risk, lawful movement to and through the United States.

Maximize compliance with U.S. trade laws and promote U.S. economic security and competitiveness by: 1) working with international partners, such as the International Maritime Organization, the International Civil Aviation Organization, and INTERPOL, to create global standards for security and resilience of the global trade and travel system and 2) conducting cargo recognition programs to reduce redundancies for industry while maintaining a commensurate level of security.

GOAL 2.3: DISRUPT AND DISMANTLE TRANSNATIONAL CRIMINAL ORGANIZATIONS AND OTHER ILLICIT ACTORS

Transnational criminal organizations are increasing in strength and capability. They rely on revenues generated through the sale of illegal drugs and counterfeit goods, human trafficking and smuggling, and other criminal activities. They are also gaining strength by taking advantage of the same innovations in management and supply chain structures that are propelling multinational corporations.

We will pursue the following strategies to disrupt and dismantle transnational criminal organizations and other illicit actors:

Identify, investigate, disrupt, and dismantle TCOs by: 1) targeting illicit financing activities that transnational criminal organizations depend on, such as money laundering, and increasing outbound inspection to deter practices such as cash smuggling; and 2) creating a deterrent effect from injecting the greatest amount of uncertainty and concern into criminal decision making by swiftly shifting assets, presence, technology, and tools, further targeting and focusing interdiction activities, and emphasizing strategic communications that project the effectiveness of homeland security capabilities.

Disrupt illicit actors, activities, and pathways by using intelligence to target and interdict illicit people and goods through a rapid response workforce as well as surveillance and enforcement assets to detect, identify, monitor, track, and interdict targets of interest, and board vessels.



Credit: Immigration and Customs Enforcement

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HIGHLIGHTED PERFORMANCE MEASURES

The table below presents a subset of the DHS performance measures associated with gauging results for Mission 2. For more information on these measures, along with a more extensive list of measures associated with this mission, please see the FY 2013–2015 Annual Performance Report at http://www.dhs.gov/xabout/budget/editorial_0430.shtm.

Mission 2: Secure and Manage Our Borders				
Highlighted Performance Measures	Goal Alignment	Planned Targets		
		FY 2014	FY 2015	FY 2018
Rate of interdiction effectiveness along the Southwest Border between ports of entry (CBP)	2.1	77%	80%	89%
Percent of people apprehended multiple times along the Southwest border (CBP)	2.1	≤ 17%	≤ 17%	≤ 17%
Number of smuggled outbound weapons seized at the ports of entry (CBP)	2.1	400	400	400
Percent of detected conventional aircraft incursions resolved along all borders of the United States (CBP)	2.1	100%	100%	100%
Percent of inbound cargo identified by CBP as potentially high-risk that is assessed or scanned prior to departure or at arrival at a U.S. port of entry (CBP)	2.2	100%	100%	100%
Percent of imports compliant with U.S. trade laws (CBP)	2.2	97.5%	97.5%	97.5%
Percent of import revenue successfully collected (CBP)	2.2	100%	100%	100%
Fishing regulation compliance rate (USCG)	2.2	96.5%	96.5%	97.5%
Number of detected incursions of foreign fishing vessels violating U.S. waters (USCG)	2.2	< 148	< 155	< 176
Percent of transnational gang investigations resulting in the disruption or dismantlement of high-threat transnational criminal gangs (ICE)	2.3	62%	62%	62%
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)	2.3	25%	25%	25%



MISSION 3: ENFORCE AND ADMINISTER OUR IMMIGRATION LAWS

Immigration is essential to our identity as a nation of immigrants. Most American families have an immigration story, some recent, some more distant. Many immigrants have taken on great risks to work and contribute to America's prosperity or were provided refuge after facing persecution abroad. Americans are extremely proud of this tradition. Smart and effective enforcement and administration of our immigration laws remains a core homeland security mission.

The following priorities from the 2014 Quadrennial Homeland Security Review inform the strategic approach in this mission area: 1) Building a stronger, smarter border enforcement system; 2) Achieving smart and effective interior enforcement; 3) Creating a 21st-Century legal immigration system; 4) Facilitating reunions for long-separated families; 5) Creating an earned path to citizenship; and 6) Enhancing management and organization to develop a responsive immigration system.

GOAL 3.1: STRENGTHEN AND EFFECTIVELY ADMINISTER THE IMMIGRATION SYSTEM

At the center of any good immigration system must be a structure able to rapidly respond to regulatory changes and the flow of demand around the world while at the same time safeguarding security. We are constantly seeking ways to better administer benefits and use technology to make information more accessible and secure.

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MISSION PRIORITIES

The following Mission Priorities represent the highest priority efforts for the Department of Homeland Security within Mission 3. While the Department will continue to work on all of the mission goals and objectives laid out in the 2014 Quadrennial Homeland Security Review and the 2014-2018 Strategic Plan, these are the top areas of focus in terms of investment, strategic and operational planning, and stakeholder engagement, and will be addressed through actions undertaken in one or more of the following DHS foundational activities: Joint Requirements Council, joint operational plans and operations, enhanced budget and investment processes, and focused strategic and analytic efforts.

- **Strengthen the immigration benefits system** by transforming procedures for the adjudication of applications, strengthening anti-fraud measures, and expanding best practices and supporting capabilities.
- **Strengthen and focus DHS interior enforcement activities** by providing clear guidelines with respect to the arrest, detention, and removal of priority individuals, namely national security, public safety, and border security threats.

We will pursue the following strategies to strengthen and effectively administer the immigration system:

Promote lawful immigration by uniting families, providing refuge, fostering economic opportunity, and promoting citizenship. We will also work to better assist high-skilled immigrants, streamline the processing of immigrant visas to encourage businesses to grow in the United States, and develop innovative programs to enable immigrants to reach their potential in the United States.

Effectively administer the immigration services system by: 1) providing effective customer-oriented immigration benefit and information services at home and abroad; 2) making all information needed to make immigration decisions available to appropriate agencies electronically and in real-time, including active individual case files and biometric information; and 3) ensuring that only eligible applicants receive immigration benefits through expanded use of biometrics, a strengthening of screening processes, improvements to fraud detection, increases in legal staffing to ensure due process, and enhancements of interagency information sharing.

Promote the integration of lawful immigrants in American society by enhancing educational resources and promoting opportunities to increase understanding of U.S. civic principles and the rights, responsibilities, and importance of citizenship, and supporting comprehensive immigration reform that provides an earned pathway to citizenship.

GOAL 3.2: PREVENT UNLAWFUL IMMIGRATION

The increased movement of people and goods across our borders provides many opportunities but also provides more places for illegal goods, unauthorized migrants, and threats to hide. Unauthorized migration is influenced by many factors, including weak rule of law and violence in sending countries. In addition, violent extremists and criminals can hide within this larger flow of migrants who intend no harm.

We will pursue the following strategies to prevent unlawful immigration:

Prevent unlawful entry, strengthen enforcement, and reduce drivers of unlawful immigration by: 1) increasing situational awareness of our borders; 2) ensuring that only those abroad who are eligible receive travel documents to the United States; and 3) identifying and removing criminal aliens, individuals who pose a threat to public safety, health, or national security, repeat immigration law violators, and other individuals prioritized for removal. We also reduce the demand for illegal immigrants by conducting inspections, audits, and investigations of employers who hire illegal immigrants and administering tools such as E-Verify to facilitate employers' ability to hire eligible workers in compliance with immigration laws.

Arrest, detain, and remove criminals, fugitives, and other dangerous foreign nationals by leveraging federal information sharing and state, local, and federal criminal justice systems to take enforcement action based on priorities with regard to criminal aliens, and working



Credit: U.S. Customs and Border Protection

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with the Department of Justice to ensure more timely hearing of immigration cases and appeals.

HIGHLIGHTED PERFORMANCE MEASURES

The table below presents a subset of the DHS performance measures associated with gauging results for Mission 3. For more information on these measures, along with a more extensive list of measures associated with this mission, please see the FY 2013–2015 Annual Performance Report at http://www.dhs.gov/xabout/budget/editorial_0430.shtm.

Mission 3: Enforce and Administer Our Immigration Laws				
Highlighted Performance Measures	Goal Alignment	Planned Targets		
		FY 2014	FY 2015	FY 2018
Average of processing cycle time (in months) for adjustment of status to permanent resident applications (I-485) (USCIS)	3.1	≤ 4.0	≤ 4.0	≤ 4.0
Average of processing cycle times (in months) for naturalization applications (N-400) (USCIS)	3.1	≤ 5.0	≤ 5.0	≤ 5.0
Overall customer service rating of the immigration process (USCIS)	3.1	85%	85%	85%
Number of convicted criminal aliens removed per fiscal year (ICE)	3.2	198,000	198,000	198,000
Average length of stay (in days) in detention of all convicted criminal aliens prior to removal from the United States (ICE)	3.2	≤ 34.5	≤ 34.5	≤ 32.5
Percent of detention facilities found in compliance with the national detention standards by receiving an acceptable inspection rating (ICE)	3.2	100%	100%	100%



MISSION 4: SAFEGUARD AND SECURE CYBERSPACE

Each and every day, the United States faces a myriad of threats in cyberspace, from the theft of trade secrets, payment card data, and other sensitive information through cyber intrusions to denial-of-service attacks against Internet websites and attempted intrusions of U.S. critical infrastructure. DHS works closely with government and private sector partners to strengthen cybersecurity capabilities, investigate cybercrime, and share actionable information to ensure a secure and resilient cyberspace that protects privacy and civil rights and civil liberties by design, supports innovation and economic growth, and supports public health and safety.

The 2014 Quadrennial Homeland Security Review outlines four strategic priorities to safeguard and secure cyberspace: 1) Strengthen the security and resilience of critical Infrastructure against cyber attacks and other hazards; 2) Secure the federal civilian government information technology enterprise; 3) Advance cyber law enforcement, incident response, and reporting capabilities; and 4) Strengthen the cyber ecosystem.

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MISSION PRIORITIES

The following Mission Priorities represent the highest priority efforts for the Department of Homeland Security within Mission 4. While the Department will continue to work on all of the mission goals and objectives laid out in the 2014 Quadrennial Homeland Security Review and the 2014-2018 Strategic Plan, these are the top areas of focus in terms of investment, strategic and operational planning, and stakeholder engagement, and will be addressed through actions undertaken in one or more of the following DHS foundational activities: Joint Requirements Council, joint operational plans and operations, enhanced budget and investment processes, and focused strategic and analytic efforts.

- **Reduce national cyber risk** through the Cybersecurity Framework, threat awareness, public awareness campaigns, and best practices, all of which increase the baseline capabilities of critical infrastructure.
- **Enhance critical infrastructure security and resilience, with respect to physical and cyber risks**, by reducing vulnerabilities, sharing information on threat, consequences and mitigations, detecting malicious activity, promoting resilient critical infrastructure design, and partnering with critical infrastructure owners and operators.

GOAL 4.1: STRENGTHEN THE SECURITY AND RESILIENCE OF CRITICAL INFRASTRUCTURE AGAINST CYBER ATTACKS AND OTHER HAZARDS

The concept of critical infrastructure as discrete, physical assets has become outdated as everything becomes linked to cyberspace. This “cyber-physical convergence” has changed the risks to critical infrastructure in sectors ranging from energy and transportation to agriculture and healthcare. DHS coordinates with its private sector partners as well as with state, local, tribal, and territorial governments to share information and intelligence regarding cyber threats and vulnerabilities, foster development of trustworthy products and services, and encourage the adoption of best-in-class cybersecurity practices.

We will pursue the following strategies to strengthen the security and resilience of critical infrastructure against cyber attacks and other hazards:

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 by increasing the volume, timeliness and quality of cyber threat reporting shared with the private sector and state, local, tribal, and territorial partners, and enabling the National Cybersecurity and Communications Integration Center (to

receive information at “machine speed” by enabling networks to be more self-healing, using mathematics and analytics to mimic restorative processes that occur biologically.

Partner with critical infrastructure owners and operators to ensure the delivery of essential services and functions by building effective partnerships to set a national focus and determine collective actions, providing assistance to local and regional partners, and leveraging incentives to advance security and resilience, as described in the National Infrastructure Protection Plan: Partnering for Security and Resilience.

Identify and understand interdependencies and cascading impacts among critical systems by leveraging regional risk assessment programs, organization-specific assessment, asset- and network-specific assessment, and cross-sector risk assessments.

Collaborate with agencies and the private sector to identify and develop effective cybersecurity policies and best practices through voluntary collaboration with private sector owners and operators (including their partner associations, vendors, and others) and government entity counterparts.

Reduce vulnerabilities and promote resilient critical infrastructure design by identifying and promoting opportunities that build security and resilience into critical infrastructure as it is being developed and updated, rather than focusing solely on mitigating vulnerabilities present within existing critical infrastructure.

GOAL 4.2: SECURE THE FEDERAL CIVILIAN GOVERNMENT INFORMATION TECHNOLOGY ENTERPRISE

The Federal Government provides essential services and information on which many Americans rely. Not only must the government protect its own networks, it must serve as a role model to others in implementing security services. DHS itself plays a leading role in securing federal civilian networks, allowing the Federal Government to do its business securely. DHS partners with agencies to deploy products such as the EINSTEIN set of capabilities that provide perimeter network-based intrusion detection and prevention.

We will pursue the following strategies to secure the federal civilian government information technology enterprise:

Coordinate government purchasing of cyber technology to enhance cost-effectiveness by using strategically sourced tools and services such as the Continuous Diagnostics and Mitigation program.

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Equip civilian government networks with innovative cybersecurity tools, information, and protections by supporting research and development and making the innovations from research and development available not only to the Federal Government but widely available across the public and private spheres.

Ensure government-wide policy and standards are consistently and effectively implemented and measured by promoting the adoption of enterprise-wide policy and best practices and working with interagency partners to develop government-wide requirements that can bring the full strength of the market to bear on existing and emergent vulnerabilities.

GOAL 4.3: ADVANCE CYBER LAW ENFORCEMENT, INCIDENT RESPONSE, AND REPORTING CAPABILITIES

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

We will pursue the following strategies to advance cyber law enforcement, incident response, and reporting capabilities:

Respond to and assist in the recovery from cyber incidents by managing incident response activities through the National Cybersecurity and Communications Integration Center and fostering enhanced collaboration between law enforcement and network security officials to pre-plan responses to cyber incidents.

Deter, disrupt, and investigate cybercrime by 1) increasing the quantity and impact of cybercrime investigations; 2) partnering with other agencies to conduct high-profile criminal investigations, prioritize the recruitment and training of technical experts, and develop standardized methods; and 3) strengthening law enforcement agencies' ability to detect, investigate, and arrest those that make illicit use of cyberspace.