



Open Government Plan 2.0 Addendum

U.S. Department of Homeland Security



Homeland
Security

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Introduction

In April 2010, the Department of Homeland Security (DHS) released Open Government Plan Version 1.0, which explored current activities that exhibit open government in DHS and charted a path for increasing transparency, collaboration, and partnership in the Department. In June 2010, the Department published Plan Version 1.1, an updated version of the DHS plan to address the Open Government Directive more fully. Throughout the remainder of 2010, the Department engaged in ongoing efforts to expand and enhance the ways DHS encourages transparency, public participation and collaboration.

In June 2011, DHS renewed its commitment to Open Government as it released Plan Version 2.0 which outlined new Open Government efforts including:

- Hosting open dialogues to receive comments and ideas from the public on cybersecurity and National Preparedness using General Services Administration's (GSA) online collaboration tool IdeaScale;
- Updating the Department's social media tools; and
- Providing additional datasets to data.gov, the main portal for providing the public access the high value, machine-readable datasets generated by the Executive Branch.

DHS is continuing its commitment to Open Government by releasing this addendum to Open Government Plan 2.0. In addition to highlighting the progress made since the release of Version 2.0, the Addendum renews the Department's commitment to transparency through a greater push for release of relevant information to the public. Public engagement and collaboration are also featured through the increased efforts in customer service and the Department's two additional flagship initiatives.

Culture change is also prioritized in the Addendum. Strong leadership coupled with increased training efforts and communications will help instill the spirit of Open Government throughout DHS. The Secretary designated the Deputy Under Secretary for Management (DUSM) to lead the implementation of Open Government.

The following Open Government Plan highlights:

- The Department's ongoing and new efforts to improve proactive disclosure and reduce Freedom of Information Act (FOIA) backlogs;
- Targeted datasets that provide valuable safety information to the new platform, Safety.data.gov;
- Geospatial data, information and images;
- A focus on customer service through web interface and public outreach; and
- Existing and new Flagship Initiatives.

The following pages are an addendum to the DHS Open Government Plan 2.0. This addendum was created in response to emerging requirements from the Office of Management and Budget (OMB) and the Department's continued commitment to the Open Government Initiative. This addendum is not intended to replace Plan Version 2.0. For information regarding Open

Government within the DHS mission space or the DHS governance structure for Open Government activities, please refer to Open Government Plan Version 2.0.

Institutionalizing Open Government Initiative and Data Transparency

DHS has recommitted to the Open Government Initiative with a focus on transparency while balancing the need to protect sensitive information. By the end of the third quarter of fiscal year (FY) 2012, the DUSM will distribute a memo to the Components communicating expectations to provide data in an open source format, which are critical to achieving the Department's transparency goals.

DHS is committed to safeguarding sensitive information while promoting a culture of information sharing and considering all high value data for release to:

- the general public;
- state, local, tribal, and commercial partners;
- other Federal agencies through the PM ISE; and
- other DHS Components and programs.

The DUSM and the DHS Office of the Chief Information Officer (OCIO) are working with the Components, the Data Management Working Group, and the Open Government Working Group to establish Data.gov candidate submission and review processes within the Components. These processes are coordinated through the OCIO and include collaborative review by the Privacy Office, the Chief Security Office, the Office of General Counsel, DUSM, and the Enterprise Data Management Office.

OCIO is developing materials to educate DHS employees about Data.gov to promote awareness and participation. This training will be available to all DHS program managers in Fiscal Year (FY) 2012. OCIO continues to institutionalize participation in Data.gov as part of a larger effort to incorporate data dissemination into the Systems Engineering Life Cycle and DHS culture. DHS will incorporate guidance and decision points into the engineering life cycle that encourage programs to consider all of the potential audiences and users of the data in a particular system and incorporate the process for data dissemination throughout the life of the system.

Enhancing Data.gov

Area of focus: Data Asset Catalog

The Data Asset Catalog is used to store information about the Data Assets used to accomplish the mission of Homeland Security. Each DHS Component is responsible for maintaining an accurate, up to date description of its data assets within the Data Asset Catalog under DHS policy, and as documented in the Enterprise Data Management Concept of Operations. Since the release of Version 2.0, the Department has developed the

Clarification of terms:

A **data asset** is a distinct organized collection of structured, semi-structured or unstructured values. Examples include a database, web site, document repository, Excel spreadsheet, extended mark-up language (XML) file, a geospatial image file or a data service.

A **data asset** may produce or store one or more **datasets**. For example, the National Emergency Management Information System (NEMIS) - Emergency Support Module is a FEMA data asset. The FEMA Disaster Declarations Summary and the FEMA Hazard Mitigation Program Summary are two datasets extracted from NEMIS Emergency Support Module.

Enterprise Management Scorecard and uses it to capture progress on this initiative. The Scorecard is presented quarterly to the DHS CIO Council.

One of the primary purposes for the collection of the data asset catalog is to further the Department's information sharing mission by ensuring a broad, Department-wide understanding of DHS data assets. The Data Asset Catalog is used to allow discovery of the data across the Department, ultimately resulting in reuse and increased sharing across DHS and with its federal, state, local, tribal and private sector partners.

The Department expanded the purpose for collecting the data asset catalog to encompass the broader mission of data dissemination in addition to information sharing as part of the Open Government Initiative. Institutionalizing data dissemination to the public and creating a culture for open government includes putting into place a process where each data asset owner within the Components will review each data asset and identify potential candidate datasets that could be made available via Data.gov. This set of responsibilities was added to the Enterprise Data Management Scorecard in 2011. Under this requirement, data owners will specify the broadest allowable scope for dissemination of the candidate dataset – the general public, private sector partners, state and local government, other federal government, and other DHS offices.

The DHS Data Asset Catalog currently includes approximately 600 of the estimated data assets 1,200 data assets held by DHS. The data assets are now undergoing a registration and certification process to identify authoritative and trusted data sources. The remaining datasets have been determined to be disposed of or not certifiable at this time.

DHS protects much of the information in the Data Asset Catalog because of security classifications, privacy sensitivity, and other Controlled but Unclassified handling restrictions, such as For Official Use Only (FOUO), Law Enforcement Sensitive, Special Security Information. This includes non-government restrictions such as data protected by trade agreements or those to protect intellectual property of our private sector partners. Because of its homeland security and national security missions, the categorization of the Data Asset Catalog shows that only 5 percent of the 1200 data assets contain data that is releasable to the public.

Of the 600 data assets, approximately one third have been reviewed, resulting in a list of 75 candidate datasets in the process of review.

In FY 2012, DHS will develop an expanded report to document status, challenges, and mitigations from the candidate datasets to review/approval processes and submissions to Data.gov.

Challenges/Solutions

Data storage is one of the biggest challenges the Department faces when it comes to releasing datasets. Many Components do not have readily available server space that may be accessed from outside the Department. The DHS CIO is working to identify potential solutions to this problem. Through the website consolidation program, a limited amount of space may be available to host certain datasets. However, as the space is limited, the Department continues to pursue other hosting solutions. The Data.gov Program Management Office (PMO) intends to provide hosting space for datasets on the new Socrata platform that was released in December 2011. DHS will use this option as part of the new Safety.data.gov community datasets and consider this alternative as more service details become known. Also, the Department is supportive of the new GeoPlatform data, information and images for the public.

Another major challenge for DHS is the need to protect sensitive information. Embedded deeply in the DHS culture is the protection of sensitive information that is critical to the DHS mission. DHS is striving to balance the need to safeguard sensitive information and the responsibility to disclose valuable information to the public. The Department has established a collaborative review process to ensure that the data provided informs the public without compromising security. This review process currently takes an average of two months per dataset, depending on the questions that arise in the review.

During the review process, the Department identified datasets that were determined not releasable due to the sensitivity of the information in the reports. Many of these datasets are suggestions received from the general public.

Below are two examples:

Dataset	Component	Rejection Reason
HSIP Freedom Geo-layers (160+)	NPPD; OCIO	Contains ‘For Official Use Only’ (FOUO) data essential to the value of the dataset; identified a solution to facilitate proactive planning and preparations by State/Local/Tribal/National users only who meet the FOUO classification; still deemed inappropriate for the public
Merchant and Recreational Vessels	USCG	Deemed Inappropriate by Privacy Office; Resubmitting with redacted information for review

For DHS to succeed in posting information to Data.gov, Components offices must participate in the process. Training materials in development will help educate program owners about Open Government and Data.gov, and will be required for all program managers. These materials will be available in Q4 of FY 2012. Also, the Department is exploring whether the Open Government and Data.gov training module can be incorporated into existing training programs,

such as new employee orientation. The established governance structure requires a Data.gov lead at each Component. DHS transitioned the pipeline and submission process responsibility to each Component in FY2011 in order to grow Data.gov participation.

Accountability

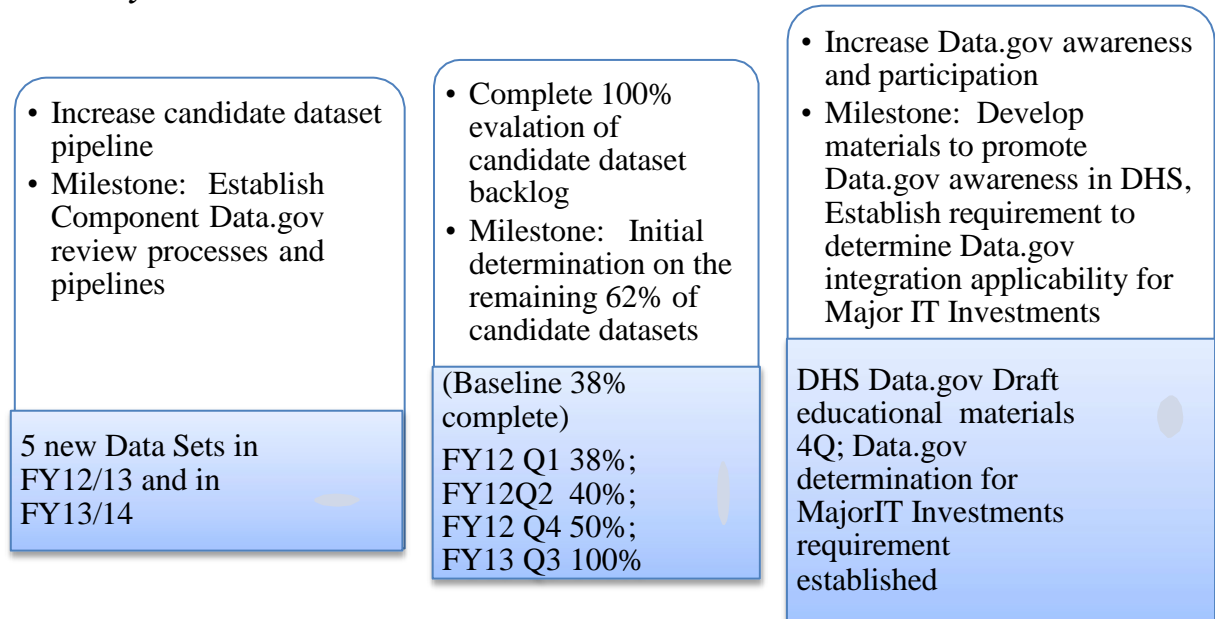


Figure 2 – Accountability Metric

Candidate datasets were identified in a number of ways. First, the Department’s leadership nominated a set of high value datasets as candidates for publication on Data.gov. These candidate datasets were initially the primary focus and the starting point for identification of the DHS candidate pipeline. They provided an example of the kind of Department information that would be considered high value and that could guide the Components in targeting additional candidates.

Then Components and programs self-nominated datasets they could contribute. Suggestions have also been received from the Data Management Working Group. OCIO identified data that is already published by the Department through Component websites, which can be provided in a more open, usable format. OCIO has established a site on the DHS intranet where DHS employees can view the pipeline and make additional suggestions.

Most importantly, suggestions have been provided by the public through the Data.gov public forum. These suggestions are provided to DHS through the Data.gov PMO. When suggestions for information are deemed to be too sensitive for release, Components strive to see if the data can be modified in such a way as to be releasable and still useful.

The DHS OCIO identifies potential sources for the candidate datasets and collects some high level information to determine whether or not the dataset is eligible for release. This high-level summary answers four basic questions:

- What is the data in the submission?

- How is it generated?
- How can the data be used?
- What data types will be in the dataset?

DHS OCIO works with the organization that maintains the source system for the data to determine the level of effort that would be required to produce the dataset.

The candidate dataset pipeline is tracked by Component. The pipeline summary (Figure-3) is provided to the DHS OCIO Council to keep Component information officers apprised of issues. The detailed pipeline of specific candidate datasets is provided in Appendix B.

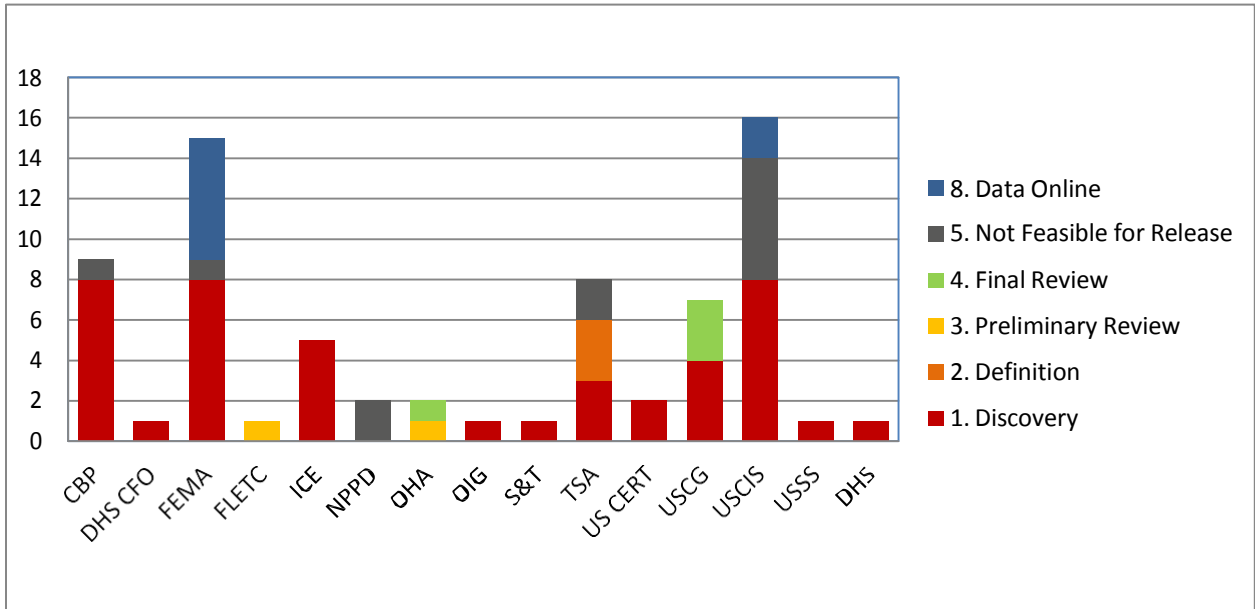


Figure-3 - Data.gov Pipeline Summary by Component

The DHS OCIO will develop and provide training materials to promote awareness of Data.gov across the Department programs. The training will provide an introduction to the Open Government Initiative and the concepts surrounding Data.gov. The training will be targeted toward DHS program managers, who are ultimately the business stewards of the data specific to their program. Program managers will be asked to identify candidate datasets that could be produced from their programs.

The DHS OCIO is investigating ways that Data.gov integration can be tied to existing oversight processes. One potential method is to include data dissemination determinations into the Systems Engineering Life Cycle (SEL). Each project producing a data structure would be asked to consider the widest allowable audience for data dissemination, including releasing the data to the general public through Data.gov.

Another oversight method that can be leveraged is the Office of Management and Budget (OMB) Exhibit 53/300 summary of budget estimates for all Information Technology investments. Per the OMB process, each agency submitting an Exhibit 53 must answer questions indicating

whether or not the their IT investment is providing data to Data.gov. DHS can potentially leverage this process to identify Data.gov candidates or to provide the reason why a particular investment should be excluded from participation.

DHS FOIA Operations Increasing Transparency

The Secretary of Homeland Security (Secretary) designated the DHS Chief Privacy Officer to serve concurrently as the Department's Chief FOIA Officer to promote efficiency, effectiveness, and statutory compliance in administering the FOIA. Capable and customer oriented FOIA operations play a huge role in the Department's efforts to promote transparency while fulfilling its mission. The Chief Privacy Officer leads the DHS Privacy Office (Privacy Office), and reports directly to the Secretary on both FOIA and privacy-related issues.

The Privacy Office ensures overall compliance with FOIA by developing Departmental policy needed to implement important FOIA initiatives, such as the sweeping changes set forth in the President's FOIA Memorandum and the Attorney General's FOIA Guidelines of Additionally, the Privacy Office performs coordination and oversight of Component FOIA operations, provides FOIA training, and prepares mandated annual reports of the Department's FOIA performance. The Privacy Office, through its FOIA unit (hereinafter referred to as the DHS FOIA Office), also processes initial FOIA and Privacy Act requests to the Office of the Secretary (including the Military Advisor's Office and the Office of Intergovernmental Affairs), and eight DHS headquarters Components (DHS FOIA Office Components).

DHS received more FOIA requests than any other Federal agency in each of the last two Fiscal Years (FY 2010 and 2011). Like many Federal agencies, DHS has a backlog of unprocessed FOIA requests. Despite such unprecedented request volume, DHS reduced its backlog an astonishing 84% from the end of FY 2008 through the end of FY 2010. In FY 2011, however, DHS received a total of 175,656 FOIA requests, an increase of 35% over FY 2010. The DHS FOIA Office met this challenge with vigor—processing 145,631 requests. Nevertheless, the continued influx of new FOIA requests outpaced responses, resulting in an increase to DHS's backlog.

It is important to note that this increased volume of incoming requests did not preclude a timely response. Nearly all DHS Components shortened the interval between the receipt of a simple perfected request and its final disposition. In some cases, the response time for complex requests also fell significantly.

Backlog reduction has long been, and remains, a top priority for the DHS FOIA Office. Immediately upon her arrival in March 2011, the new Deputy Chief FOIA Officer undertook a comprehensive review of Departmental FOIA operations. She established an intradepartmental team to develop strategies to address the backlog and its underlying causes. This team included the FOIA Officers from United States Citizenship and Immigration Services (USCIS), United

¹ The President's FOIA Memorandum of January 21, 2009 is available at: http://www.justice.gov/oip/foia_guide09/presidential-foia.pdf. The Attorney General's Memorandum of March 19, 2009 is available at <http://www.usdoj.gov/ag/foia-memo-march2009.pdf>.

States Coast guard (USCG), Customs and Border Protection (CBP), Immigration and Customs Enforcement (ICE), United States Secret Service (USSS), and Transportation Security Administration (TSA), in addition to eight DHS FOIA Office staff (collectively, the “backlog working group”).

The backlog working group studied systemic and other causes of the growth and persistence of the DHS backlog. It gathered information from all of the DHS FOIA Office Components, reviewed DHS-specific policies and procedures, examined relevant laws, regulations, directives, and historical documents, and explored available IT solutions. The backlog working group also met with FOIA experts from other Federal agencies, including the Department of Defense, the Department of Energy, the Department of Housing and Urban Development, the Department of State, the Department of Veterans Affairs, the Nuclear Regulatory Commission, and the United States Air Force, which have proven track records for decreasing backlogs and improving transparency.

Using this accumulated research, the working group formed recommendations on how DHS may marshal its current resources—both human and economic—to minimize its backlog through better day-to-day case management. Key among these recommendations is establishing an enterprise FOIA tracking and reporting system to streamline and standardize FOIA processing across the Department. The DHS FOIA Office undertook a pilot production of an electronic FOIA solution in March 2012, and currently plans to roll this program out to DHS Headquarters (HQ) Components during FY 2012. The backlog working group also recommended utilizing DHS FOIA Office staff to provide “surge” resources to Components through short-term staff assignments. The DHS FOIA Office already has taken action on this recommendation, which resulted in CBP making inroads in reducing its backlog. Similar short-term assignments are underway to assist other Components.

The DHS Privacy Office remains committed to promoting transparency in DHS operations through timely and thorough processing of FOIA requests, reducing its backlog, and providing gold standard customer services and support. For more information regarding DHS FOIA operations and processes, see the DHS Privacy Office 2012 Chief FOIA Officer Report to the Attorney General of the United States (March 2012), available at <http://www.dhs.gov/xlibrary/assets/privacy/dhs-chief-foia-officer-report-2012.pdf>

FOIA Requests

The Privacy Office is responsible for administering policies, programs, and procedures to ensure that Department of Homeland Security complies with the Freedom of Information Act (FOIA) and the Privacy Act of 1974, 5 U.S.C. 552 and 5 U.S.C. 552a, respectively. FOIA requires agencies to make various types of records available for public inspection in both paper and electronic form. These records are available for public viewing online in the DHS/FOIA Electronic Reading Room. Information regarding FOIA requests, frequently asked questions, contacts, statutes and resources can be accessed at <http://www.dhs.gov/foia>.

Proactive disclosure

The Freedom of Information Act outlines the transparency requirements government agencies must follow. Subsection (a)(2) requires each agency to make four distinct categories of records affirmatively available for “public inspection and copying.”

On August 26, 2009, DHS Chief Privacy Officer Mary Ellen Callahan issued the *Proactive Disclosure Memorandum* to inform the proactive disclosure process. In that memo, Ms. Callahan directed the Department to include the following categories of records on their agency websites and link them to their respective electronic reading rooms:

- Historical daily schedules of the most senior agency officials (notated to reflect that officials may have deviated from the posted schedule and abridged as appropriate for security and privacy concerns);
- Executed contracts and grants;
- Management Directives and instructions;
- Congressional correspondence under DHS control;
- FOIA logs; and
- Any records released pursuant to a FOIA request that have been, or are likely to become, the subject of three or more requests.

The DHS FOIA Office is responsible for proactively posting documents related to headquarters activities outside of the Privacy Office, and coordinates with headquarters offices in order to continue to update the FOIA Electronic Reading Room. The FOIA Office also coordinates with and assists the Components in their efforts to comply with the *Proactive Disclosure Memorandum*.

In light of the continued increase of proactively disclosed documents in the DHS FOIA Electronic Reading Room (http://www.dhs.gov/xfoia/editorial_0424.shtm), the FOIA Office has worked diligently to enhance its FOIA Electronic Reading Room to better accommodate its robust collection of documents. The Electronic Reading Room is linked on the front page of the DHS Privacy Office website, categorized by document type, and includes a “Frequently Requested” document section.

In FY 2011, DHS increased proactive disclosures by 43% from the previous fiscal year, as the Department fully embraced the concept of transparency; 8,903 pages of material were proactively released. The Department continues to post the Secretary’s calendars and has recently announced its decision to post DHS Congressional correspondence logs. With a new intra-departmental working group tasked to develop and implement recommendations to accelerate Department-wide release of documents of interest to the public, DHS anticipates additional growth in this area.

Data Integrity

The Department’s OCFO will continue to access quarterly the accuracy, completeness, and timeliness of data posted to USASpending.gov, the main portal for financial data on government contracts and grants. However, DHS many not be able to fully ensure accuracy, completeness, or timeliness of data until standardized and streamlined financial assistance business models, processes, and supporting information technologies are implemented across the Department.

Milestones to support the accuracy, completeness and timeliness of all financial assistance data posted to any public venue	Finish Date
Conduct monthly meetings with the Financial Assistant Reporting Working Group to discuss emerging issues	Recurring
Document current reporting process	Completed: October 2010
Identify a Financial Reporting Accountable Official for each Component	Completed: October 2010
Document way forward for USASpending.gov reporting	In Progress
Develop standard model for reporting	Completed: June 2011
Bring DHS closer to compliance with FFATA requirements.	Completed: August 2011
Train Financial Reporting Accountable Officials to ensure future FFATA compliance	Completed: August 2011
Develop business models and business rules related to reporting for the DHS-wide enterprise system.	In Progress

Table 1 – Data Integrity Milestones

The Department has released written guidance, formed working groups, provided Component support tools, and created a financial assistance inventory in accessing and improving USA-Spending data quality.

The Department’s “*Open Government – FY 2012 USASpending.gov Data Quality Validation Instruction*” manual provides the Components with a written policy and procedures to access data quality. It provides a means to determine completeness by reconciling total obligations calculated in the Statement of Budgetary Resources (SBR) and/or appropriate aggregated United States Standard General Ledger (USSGL) accounts from the Department’s financial management system-of-record to USASpending.gov data. The Department performs a comparison at the record level for transactions posted to USASpending.gov to test accuracy and timeliness. If any metrics result for completeness, accuracy, or timeliness falls below 95%, then Corrective Action Plans (CAPs) are developed and implemented.

The Department’s Financial Management (FM) Division established the Data Quality Working Group (DQWG). Members represent every Component’s financial management community, the Financial Assistance and Policy Oversight (FAPO) branch, and the Office of the Chief Procurement Officer (OCPO). The DQWG meets as needed to discuss best practices, lessons learned, common corrective action plan implementation, future data quality consideration, and methods to improve efficiency.

To improve accuracy and efficiency in measuring data quality, the Department has and is continuing to develop tools to assist our efforts. Current tools are the financial management systems to USASpending.gov data reconciliation template and the Department's progress tracking dashboard. The Department plans to migrate its USA-Spending Data Quality Validation results and efforts to Component Connection, a new repository system-of-record before FY 2013.

FAPO hosts the Financial Assistance Reporting workgroup. This workgroup is attended by financial assistance personnel in the areas of program, policy, and finance, including DHS Chief Financial Officers. The workgroup regularly discusses a variety of financial assistance topics including the need for the CFO's to certify financial assistance data on a regular basis. Impeding progress on certification on the timeliness, accuracy, and completeness of the data includes lack of financial assistance reporting systems. Data must be manually collected for certification. The manual process is labor intensive and prone to errors.

FAPO created a financial assistance inventory for FY 2011. This inventory includes data obtained from multiple sources including CFDA.gov, Funding Opportunity Announcements, USASpending.gov data, and congressional notifications. The inventory discloses a wide variety of spending and award information, highlighting gaps in financial assistance reporting data.

OCFO will continue to assess the completeness, accuracy, and timeliness of data posted in USASpending.gov; in addition, OCFO will continue to work with Components to achieve the Department's goal of 100% completeness, accuracy and timeliness of the data posted.

Transparency through Data

DHS plans to re-energize efforts to identify and release valuable datasets to the public. In this Addendum, the Department focuses on the areas of Public Safety and GeoSpatial information.

Public Safety:

In response to the new safety community on Data.gov, DHS is one of four federal partners in the safety community with the Departments of Transportation, Health and Human Services, and Justice. DHS will participate in the planning, preparations, stakeholder outreach, and launches. The U.S. Coast Guard will provide prioritized maritime safety data deemed appropriate and approved for release.

Future Actions Milestones:

1. At least one approved new data set from the Marine Safety and Pollution 3Q FY 2012
2. Evaluate list of requested datasets to determine feasibility; prioritize list 4Q FY 2012
3. If deemed requests appropriate, communicate updated expected datasets and timeline

GeoSpatial information:

During FY 2013 and FY 2014, DHS will continue to lead the homeland security Geospatial Concept of Operations, or GeoCONOPS. In addition to a focus on ensuring the sharing of Sensitive-But-Unclassified (SBU) map data with mission partners, DHS will also begin emphasizing the sharing of unclassified spatial data with citizens. This work will be conducted by the DHS Geospatial Management Office (GMO). The GMO is tasked with coordination of geospatial information technologies in support of the homeland's security community. Enabling the sharing of geospatial information among mission partners is a critical aspect of GMO activities.

The core of this effort will be technical advancement of the DHS Geospatial Information Infrastructure or GII. The GII is the platform through which DHS shares SBU geospatial data with mission partners today. As part of the continued technical development of the GII, linkage to public sites, such as the Federal Geospatial Platform, will be established to allow sharing of completely unclassified mapping information with the public.

The Federal Geospatial Platform (www.geoplatform.gov) is a FY 2011 budget initiative and Presidential call for action. Through the Federal Geographic Data Committee (FGDC), federal departments and agencies are developing the Geospatial Platform to more effectively provide place-based products and services to the American public. The Geospatial Platform will be a managed portfolio of common geospatial data, services, and applications contributed and administered by authoritative sources and hosted on a shared infrastructure, for use by government agencies and partners to meet their mission needs and the broader needs of the Nation.

DHS staff will coordinate with stewards of mapping data throughout the Department to identify geospatial datasets that can be shared with the public. Once these datasets have been vetted to assure they are appropriate for public release, they will be included in the GII. Through the GII, these unclassified datasets will be made available to the Federal Geoplatform. When incorporated into the Federal Geoplatform they will be available to the public for use.

These efforts will result in a more resilient nation. Improved spatial understanding of hazards and risks will enable better mitigation and preparedness and lead to faster, more effective responses and shorter, less costly recoveries from disasters of all types.

Future Actions Milestones:

1. 5 Datasets for GeoPlatform (public).
 - FEMA Disaster Recovery Centers Locations (FY 2013 Q3)
 - FEMA Regional Field Offices (FY 2013 Q1)
 - FEMA Historical Disaster Declarations (FY 2013 Q1)
 - FEMA Disaster Declarations (FY 2013 Q2)
 - FEMA Emergency Declarations (FY 2013 Q2)

2. Ten New Datasets published on the GII SBU platform (and not available to the public):
 - Five Datasets (FY 2013 Q1)
 - One Dataset (FY 2014 Q1)
 - Two Datasets (FY 2014 Q2)
 - One Dataset (FY 2014 Q3)
 - One Dataset (FY 2014 Q4)

Customer Service

Working with the Web

Although many of the Department's other initiatives focus on providing usable data to the public, the Department is also placing a priority on customer service. Like any government agency, DHS has many functions and it can be difficult for members of the public to find the information that they need when they need it. To address this issue, DHS is examining its web presence and implementing changes that will make it easier for the public to navigate the sites and provide feedback.

The Department recently completed a website audit of dhs.gov where the content is being identified in one of five categories: keep, refresh, delete, archive or 404 (which indicates the content was developed but never posted). Approximately 20 percent of content that did not meet our quality standards has been purged from the site.

DHS will introduce a new **TOPICS** top level page on www.dhs.gov, along with a new '**HOW DO I?**' top-level page to help people accomplish top tasks. And starting in Q3 2012 the metrics and user experience committee will lead a task force effort to do peer reviews, with two or three sites being evaluated each month and briefed before the monthly web council meetings.

Public POCs

In some instances, posting information publicly is not enough. On February 7, 2012, ICE created a new position of Public Advocate. The Public Advocate focuses exclusively on outreach with community groups, advocates, and members of the public who have immigration enforcement concerns. The Public Advocate will highlight the various protections in place for U.S. citizens and victims of crime. On March 9, 2012, ICE updated its website with contact information for 24 public advocate field liaisons. The Public Advocate team (field and headquarters levels) will help facilitate the resolution of issues or complaints from individuals and nongovernmental organizations (NGO). For more information on the public advocate <http://www.ice.gov/about/offices/enforcement-removal-operations/publicadvocate/>

The ICE Public Advocate builds upon the customer service best practices found in the CIS Ombudsman Office which was created to assist individuals and employers in resolving immigration benefits problems, propose changes in administrative practices to improve customer service, and directly provide Congress and the Department of Homeland Security substantive analysis on the quality of immigration services.

Flagship Initiatives

Flagship Initiative 2.0 National Information Exchange Model (NIEM)

In Plan version 1.1, DHS identified Virtual USA as its flagship initiative. In Plan 2.0, the Department's identified as its second major flagship initiative the National Information Exchange Model (NIEM) (www.niem.gov). NIEM is a federally-supported, government-wide initiative that helps communities of people with common mission interests connect and exchange information in order to successfully and efficiently accomplish their missions.

By providing a common vocabulary and mature framework to facilitate information exchange, NIEM enables diverse communities to "speak the same language" as they share, exchange, accept, and translate information efficiently.

Instead of seeking a nationwide integration of all local, state, tribal, and federal information systems, NIEM focuses on the development of shared services using cross-boundary information exchange across multiple levels of government. In this way, NIEM breaks down agency stovepipes and creates the opportunity for agencies to share information quickly and effectively without rebuilding systems. All 50 states and eighteen federal agencies (as of March 2012) are committed to use NIEM in some capacity and at differing levels of maturity.

A grassroots initiative, NIEM was born as a best practice developed at the state and local levels of government. Today, NIEM is a national program with international adoption. The federal sponsors of NIEM include the Department of Justice, Department of Homeland Security, and Department of Health and Human Services.

Transparency

In the same way that technology standards like HTML enabled the dawn of the first generation of Web 1.0 applications, more advanced smart tagging technologies like XML have become critical to enabling this next generation of Web 2.0 platforms. These technologies are critical to transparency initiatives and to feeding the evolving regulatory architectures of the Federal government.

The use of NIEM does not require building a new system or purchasing new technology. NIEM is technology agnostic and addresses the data layer, which means users can take advantage of NIEM irrespective of the particular technologies used within an organization. NIEM is about deploying more effective information systems by improving the way information is exchanged and reducing inaccurate and redundant information.

Adoption of NIEM continues to evolve into new mission spaces such as Health, Human Services, and Government Resource Management. Current noteworthy examples of success, made possible by NIEM, are those which are inherently intergovernmental. One such instance is the use of NIEM as the reporting standard for Recovery Act data from the states. The American Recovery and Reinvestment Act ("Economic Stimulus Act" or "Recovery Act") of 2009 established specific mandates for government transparency, accountability, and openness

particularly to counter waste, frauds abuse, or mismanagement of recovery funds. This was a union of opportunity and requirement, as the states, in particular through the National Association of State Chief Information Officers (NASCIO), were seeking consistent guidance across federal agencies in the format and mechanism of reporting Recovery Act results. It is important as adoption increases that the NIEM program continues to engage its strategic partners in the field to identify such opportunities for improvement.

Collaboration

NIEM represents a working and collaborative partnership directed by key governmental agencies and supported by operational practitioners, technologists, systems developers, private sector solution providers, and stakeholders in federal, state, local, and tribal governments as well as international partners. NIEM provides a forum for accelerating collaboration with communities of people as well as identifying common approaches and challenges to exchanging information.

The NIEM PMO was awarded the 2011 Government Technology Research Alliance (GTRA) GOVTek Executive Government Technology Award of Excellence in Education & Collaboration.

Participation

In August 2011, the NIEM 2011 National Training Event (NTE) was held in Philadelphia, PA. The NIEM 2011 NTE served as a collection point for the success stories and lessons learned in the NIEM community across a vast array of stakeholders. There were more than 500 registrants representing over 20 federal agencies, 38 states, four countries, and more than 75 private industry organizations.

The event covered topics ranging from NIEM in open government to demonstrations of mobile use of NIEM. The event concluded with an “Implementing NIEM Across National Borders Panel” featuring federal, state, and international information technology government executives.

The NIEM 2011 NTE also included a North America Day workshop giving an overview of the recently executed Memorandum of Understanding (MOU) between the United States, Canada, and Mexico, the outcome of a meeting hosted by the General Services Administration (GSA) in July 2011. The purpose of the MOU is to enhance information sharing among the three countries; the participants will undertake two trilateral pilot projects that use NIEM, serving as prototypes for international information sharing.

In addition, the NIEM Program Management Office presented the second biannual “Best of NIEM” Awards in 2011 recognizing five NIEM implementation projects that demonstrate how intergovernmental collaboration and innovative technology deliver results that improve government performance. Award recipients included one federal agency, three states, and one multi-jurisdictional county effort.

Future Actions: NIEM 2.0 Addendum- NIEM International

The value of NIEM is being recognized internationally. While it is true that NIEM was developed in the U.S., for use by those in the U.S., it is very flexible and extensible in nature.

NIEM can and does enable a wide variety of partners to share information, irrespective of borders.

At North America Day 2011 in Mexico City (July 12 -13), Canadian, Mexican, and American delegations agreed to formally launch trilateral pilot projects in the areas of public health and public safety, adopting NIEM as their information sharing and exchange foundation. Identification and implementation of the pilot programs are possible based on the newly signed trilateral Memorandum of Agreement signed at North America Day.

North America Day Activities

Desired Outcome:

To demonstrate that the NIEM framework and processes allow for information exchange and collaboration among the three countries, representing considerable advantages compared to point-to-point/ad hoc information exchanges and that NIEM represents a scalable, reusable, and flexible framework for future information exchanges.

The US, Canada, and Mexico have established two multinational working groups to define and execute two pilot projects.

Public Safety Pilot:

The theft of vehicles including their use, import/export and fencing of vehicles and parts represent a billion dollar criminal industry in North America. Approximately 30% of stolen vehicles are never recovered. The organizations and people who steal vehicles often act without regard to international borders and in fact, often exploit international borders to escape detection and prosecution for criminal activity.

The ability to identify stolen vehicles which have, or are attempting to, cross borders has the potential to assist law enforcement in all three countries apprehend stolen vehicles and in turn, disrupt the criminal activities associated with vehicle theft.

This pilot supports the achievement of the stated business objectives by developing a successful, replicable framework for information exchange, allowing for the three countries to share information about stolen vehicles in an efficient, scalable and effective manner.

Public Health Pilot:

Currently, public health alerts enable federal, state/provincial, and local public health partners to communicate in response to public health emergencies and threats. Within each country, public health agencies currently receive, create, and distribute alerts. However, alert protocols, message structures, distribution procedures, and infrastructure differ from country to country, impeding their ability to exchange and compare data about health events occurring outside of their jurisdiction.

The pilot is intended to demonstrate the interoperability of the three countries' public health alerting systems using the NIEM model and developed NIEM conformant exchange. Additional benefit outcomes include: enhanced relationships for cross-border collaboration among the three countries, increased skills in using NIEM among the public health agencies in the three countries that are participating in this pilot project, and best practice guidelines and success criteria that can be applied to future related projects.

Future Actions Milestones:

1. North America Day Working Groups formally establish a charter by 4Q FY 2013.
2. U.S., Mexico, and Canada implement pilot exchanges by 4Q FY 2014.

Office of Academic Engagement:

The Office of Academic Engagement (OAE) is being established to support the DHS mission by building, improving and leveraging relationships with the academic community. OAE's areas of responsibility include academic policy and oversight, inter- and intra-agency coordination, marketing and promotion of DHS resources, and collaboration with students, faculty and academic institutions.

The Department maintains numerous and varied links to the academic community, which are reflected in OAE's priority areas: attracting and retaining talent within DHS; enabling efficient and effective academic research, programs and outreach; improving campus resilience; fostering the development of academic curricula aligned to DHS missions; and improving the international student process. OAE works across DHS Components and alongside agency partners including the Department of State, Department of Education and the Federal Bureau of Investigation to address each of these priority areas.

The Department recently established the Homeland Security Academic Advisory Council (HSAAC). Per the *Federal Advisory Committee Act*, all HSAAC meetings are open to the public. Additionally, all meeting materials and minutes are posted on the [DHS website](#). Comprised of prominent higher education leaders, including college and university presidents, the HSAAC is charged with advising the Secretary and senior leadership at DHS on several key issues. Secretary Napolitano has asked the group to provide advice and recommendations for the following five areas. Please note some anticipated deliverables with approximate timing.

1. **Student and Recent Graduate Recruitment:** How to attract and retain top talent.
2. **Homeland Security Academic Programs:** How to train and educate both current and future homeland security professionals.

3. **Academic Research and Faculty Exchange:** How academic research can address DHS' biggest challenges.
4. **International Students:** How to improve the international student process.
 - **Q2 FY 2012** – Launch of Chinese language translation of [Study in the States](#) website
 - **Q3 FY 2012** – Launch of French language translation of [Study in the States](#) website
 - **Q4 FY 2012** – Launch of informational videos on [Study in the States](#) website
5. **Campus Resilience:** How to increase campus preparedness and recovery efforts.

OAE also supports the *Study in the States* initiative in collaboration with ICE's Student and Exchange Visitor Program. The *Study in the States* initiative expands public engagement between the government and academia, and provides a new website, <http://studyinthestates.dhs.gov>, that establishes a central online information hub for DHS and its agency partners to provide current and prospective international students with up-to-date information in a streamlined, dynamic, user friendly format. By streamlining all pertinent international student information into an interactive website, the *Study in the States* initiative allows DHS and its partner agencies to proactively coordinate and disseminate information to the more than 1.1 million international students, exchange visitors and their dependents who travel to the United States to study each year.

A - DHS Data.gov Pipeline

Source	Component	Idea or suggestion	Stage
DHS	CBP	CBP Airport Wait times - Seasonal Monthly Average	2. Definition
DHS	CBP	List of Pre Clearance Locations	2. Definition
DHS	CBP	List of Port Of Entry by Land, Air and Sea	2. Definition
DHS	CBP	CBP Border Wait Times	2. Definition
DHS	CBP	Record of Vessel in Foreign Trade Entrances	
DHS	CBP	FOIA Requests	5. Not Feasible for Release
Public	CBP	Historical Border Wait Times by Port of Entry, Mode of travel (e.g., pedestrian, motor vehicle, truck, SENTRI), month, day of week, time of day	2. Definition
Public	CBP		5. Not Feasible for Release
Public	CBP		Data on the location and time of illegal border crossings and drug seizures
Public	CBP	US Port seizures	2. Definition
Public	DHS	Department of Homeland Security Threat level over time.	1. Discovery
DHS	DHS CFO	Budget and Finance Documents	1. Discovery
DHS	FEMA	Pre-Disaster Mitigation Projects Summary	1. Discovery
DHS	FEMA	Public Assistance Project-level dataset	8. Data Online
DHS	FEMA	Hazard Mitigation Program Summary	8. Data Online
DHS	FEMA	Public Assistance Funded Projects Summary	8. Data Online

DHS	FEMA	Disaster Declarations Summary	8. Data Online
DHS/ Public	FEMA	Flood Hazard Maps	8. Data Online
DHS	FEMA	Public Assistance Grant Program Trends	1. Discovery
DHS	FEMA	2009 Disaster Statistics	1. Discovery
Public	FEMA	Disaster-related data (could be its own dataset) would be of great value. In the short-term, data such as cost per disaster or numbers of Americans who registered for aid could be distributed. In the long-term, as data from FEMA is screened for personal, sensitive information (such as addresses, etc), data could be released for academic study (such as income levels, averages of grants to various socio-economic levels, etc)...	1. Discovery
Public	FEMA	What can FEMA or DHS provide in terms of individual assistance aggregate data, public assistance aggregate data, presidential disaster declaration data, etc. There are well over 100 educational programs in the U.S. with multiple graduate programs - students and faculty are searching for data for theses, dissertations and publications. Thanks.	1. Discovery
Public	FEMA	Dollar figures for homeland security grant spending awards by state and government entity.	1. Discovery
Public	FEMA	Grants from 1999 to 2009	1. Discovery
Public	FEMA	Building Fire and Research Laboratory data from research and experiments.	1. Discovery
DHS	FLETC	Student Statistics (enrolled, graduated, ...)	3. Preliminary Review
DHS	ICE	Detention and Removal Statistics	2. Definition
DHS	ICE	Arrest statistics	2. Definition
DHS	ICE	Intellectual Property Rights Seizure Statistics	2. Definition

DHS	ICE	Student and Exchange Visitor Information System	2. Definition
Public	ICE	US Port seizures	5. Not Feasible for Release
DHS	NPPD	LandScan USA	5. Not Feasible for Release
DHS	NPPD	HSIP Freedom Geo-layers (160+)	5. Not Feasible for Release
DHS	OHA	Health Security Index	4. Final Review
DHS	OHA	Health Security Scoring	8. Data Online
DHS	OIG	Investigations / Audits	1. Discovery
DHS	S&T	Research Investments / Outcomes	5. Not Feasible for release
DHS/ Public	TSA	Damaged Baggage Claims	2. Definition
DHS	TSA	Civil Rights Complaints	1. Discovery
DHS	TSA	Traveler Redress	1. Discovery
DHS	TSA	Firearms Confiscation	2. Definition
DHS	TSA	Artfully concealed prohibited items found at checkpoints	2. Definition
DHS	TSA	Historical Transportation Security Fee Collection Data	1. Discovery
Public	TSA	Racial profiling in airports to prevent terrorism	5. Not feasible for release
Public	US CERT	The public and unclassified data from the Worldwide Incidents Tracking System published by the National Counterterrorism Center on its web site, wits.nctc.gov.	1. Discovery

Public	US CERT	I'd like to see DHS/CERT publish lists of IP addresses that attack government networks on a daily basis.	1. Discovery
DHS	USCG	Marine Casualty and Pollution	4. Final Review
DHS	USCG	Merchant and recreational vessels	5. Not Feasible for Release; Redacted information per guidance; resubmitted for review 4.Final Review
DHS	USCG	U.S. Coast Guard Search and Rescue Statistics	1. Discovery
DHS	USCG	Port State Information Exchange (PSIX)	5. Not Feasible for Release
Public	USCG	US Port seizures	1. Discovery
Public	USCG	Federal Information Clearinghouse of Marine Debris Information	1. Discovery
Public	USCG	Do you have any information on how the Coast Guard spends their money? In particular, their construction projects.	1. Discovery
DHS	USCIS	FOIA Requests	8. Data Online
DHS	USCIS	Equal Employment Opportunity Data Posted Pursuant to the No Fear Act	1. Discovery
Public	USCIS	USCIS - Immigrant and non-immigrant data, case processing status data.	1. Discovery
Public	USCIS	Immigration Subset = Legal Illegal	5. Not Feasible for Release
Public	USCIS	immigration status, finger print, green card,	1. Discovery
Public	USCIS	Immigration, laws, policies enforcement, changes in the last 50 years	5. Not Feasible for Release
Public	USCIS	Real time immigration data. Number of visas issued of all types. Diversity visa data	1. Discovery

Public	USCIS	Immigration statistics and how that relates to the population of Hispanics in the U.S. How many Mexican-Americans move back and forth between the two countries? Or how many baby boomers are retiring in Mexico?	5. Not Feasible for Release
Public	USCIS	Temporary immigration H-1B occupational characteristics L-1 occupational characteristics	1. Discovery
Public	USCIS	It will be great if USCIS post current backlog for Highly skilled immigrants waiting for green card based on their Priority date	5. Not Feasible for Release
Public	USCIS	N-400 Application for Naturalization processing times (by center) RSS feed	8. Data Online
Public	USCIS	I would like to see data about pending/approved/rejected green card applications by country and family/employment category.	1. Discovery
Public	USCIS	USCIS? Immigration Department data, Helps legal immigrants to know when to expect green cards and citizenships	1. Discovery
Public	USCIS	emigration	5. Not Feasible for Release
Public	USCIS	Every month DOS/USCIS publishes Visa Bulletin, which describes who are eligible to get Green Card, but then they don't mention how many visas are used or are available for the current fiscal year instead the mighty word used is "DUE to HIGH LOAD". It would be great to have that data available so for the folks waiting for visa availability, this data might give more transparency as to what DOS/USCIS is doing.	5. Not Feasible for Release
Public	USCIS	The United States Citizenship and Immigration Services (USCIS) maintains monthly statistical data in the form of the PAS (Performance Analysis System). It is raw monthly data from each USCIS office of the number of applications received and processed. It does not contain personally identifiable information or national security sensitive information. However, the excel spreadsheet format of the information makes it easy to use and it is the best available current data on USCIS receipts and processing nationwide. The release of this important information will make the agency more responsive to the public especially since it is a fee authorized (and not an appropriated agency).	1. Discovery
DHS	USSS	Criminal Investigation statistics	5. Not Feasible for Release