



Integrated Strategy for High-Risk Management

Strengthening Management Functions

A Biannual Update to the Government Accountability Office

March 2020



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March 17, 2020

The Honorable Gene L. Dodaro
Comptroller General of the United States
U.S. Government Accountability Office
441 G Street, NW
Washington, DC 20548

Dear Comptroller General Dodaro:

On behalf of the Department of Homeland Security (DHS), I am pleased to submit an update to the DHS *Integrated Strategy for High-Risk Management (Integrated Strategy)*. The biannual *Integrated Strategy* outlines the Department's framework for addressing the *Strengthening Department of Homeland Security Management Functions* area on the Government Accountability Office (GAO) High-Risk List. First issued by DHS in 2011, the *Integrated Strategy* has been recognized as a best practice and is now required by statute.¹

The enclosed corrective action plans outline the steps DHS is taking to advance the remaining 13 of 30 GAO outcomes not yet rated as Fully Addressed by GAO. Collectively, the outcomes, agreed to by GAO and DHS in 2010, serve as a goal post reflecting the level of maturity in order to address the underlying challenges that contributed to GAO's high-risk designation. As a byproduct of our progress toward these outcomes, the substantial advancements we achieve along the way will satisfy GAO's five criteria for High-Risk List removal. As it stands today, *Strengthening Department of Homeland Security Management Functions* is the only area on the High-Risk List to have met the majority of GAO's criteria.²

As head of the Management Directorate, among my highest priorities are to ensure the delivery of optimal mission support and oversight to DHS Components and see to it that our employees are equipped with the resources and support they need in order to safely and effectively carry out the mission, whether they are protecting our borders, ensuring the security of our airports, delivering day-to-day business support, or ensuring survivors receive services in times of need. The Department's partnership with GAO to strengthen DHS management functions supports these priorities. For instance, GAO recently credited the Department for demonstrating significant and measurable improvements in acquisition program performance and continuing the positive trend in employee engagement scores for the fourth consecutive year, outpacing improvements in all other very large agencies.

¹ 6 U.S.C. § 341.

² GAO, *High-Risk Series: Substantial Efforts Needed to Achieve Greater Progress on High-Risk Areas*, GAO-19-157SP (Washington, D.C.: March 6, 2019), page 28.

Overall, GAO determined that DHS has Fully Addressed 17 of 30 GAO outcomes,³ increasing from 13 in 2017⁴ and nearly doubling our total from 2015.⁵ For nearly half of the remaining outcomes (six of 13), GAO notes that progress is significant and little work remains, rating them as Mostly Addressed. The progress demonstrated in strengthening departmental management validates the steps DHS leadership has taken to optimize oversight and mission support delivery, and highlights the value of the continuous feedback fostered by our close partnership with GAO. When viewed cumulatively, the advancements across DHS management functions have effectively and substantially narrowed the scope of the remaining challenges.

The key underpinning to our success continues to be senior leadership's sustained, collective commitment and the overriding consensus that resolving High-Risk List issues is instrumental to the Department's ability to efficiently and effectively achieve our complex and challenging mission. The Department has constructed sound approaches to resolve high-risk issues on a foundation of strong leadership commitment. This commitment will continue.

The next *Integrated Strategy* update, planned for September 2020, will provide a comprehensive update on how DHS is achieving and sustaining all 30 GAO outcomes, in addition to performance information for initiatives that support the GAO outcomes.

I look forward to GAO's feedback on our continued efforts to strengthen DHS management functions.

Sincerely,



R. D. Alles
Deputy Under Secretary for Management

Enclosure

³ Ibid., page 186.

⁴ GAO, *High-Risk Series: Progress on Many High-Risk Areas, While Substantial Efforts Needed on Others*, GAO-17-317 (Washington, D.C.: February 15, 2017), page 366.

⁵ GAO, *High-Risk Series: An Update*, GAO-15-290 (Washington, D.C.: February 11, 2015), page 215.



Progress on GAO High-Risk Outcomes



Progress on GAO High-Risk Outcomes

Progress on GAO High-Risk Outcomes

This document provides corrective action plans for achieving the 13 outcomes that have not yet achieved a Fully Addressed rating by GAO. In 2010, GAO identified the outcomes and DHS agreed that achieving them was critical to addressing challenges within the Department’s management areas and improving integration of management functions across DHS. The outcomes cover the functional areas of financial management, human capital, information technology, acquisition, and management integration. GAO rates the Department’s progress on the outcomes using the following scale:

- **Fully Addressed:** Outcome is fully addressed.
- **Mostly Addressed:** Progress is significant and a small amount of work remains.
- **Partially Addressed:** Progress is measurable, but significant work remains.
- **Initiated:** Activities have been initiated to address the outcome, but it is too early to report progress.¹

Subsequent to each *Integrated Strategy* update, GAO meets with DHS officials to provide feedback on progress, identify areas where additional work remains, and review outcome ratings. In recent years, DHS has steadily improved its progress as measured by the number of outcomes receiving a Fully Addressed or Mostly Addressed rating. For example, as of December 2019, GAO rated DHS as Fully Addressed or Mostly Addressed for 77% (23 of 30) of the outcomes, up from 70% in 2018 and 47% in 2015. *Table 1* provides a functional-level summary of 2020 GAO outcome ratings.

Table 1. Summary of GAO Outcome Ratings by Functional Area

Functional Area	Total GAO Outcomes	Fully Addressed	Mostly Addressed	Partially Addressed	Initiated
Financial Management	8	2	0	3	3
Human Capital Management	7	5	2	0	0
Information Technology Management	6	5	1	0	0
Acquisition Management	5	2	3	0	0
Management Integration	4	3	0	1	0
Total as of December 2019	30	17	6	4	3

The Department first issued the *Integrated Strategy* in 2011 and has maintained a practice of updating GAO twice yearly.² In general, the first *Integrated Strategy* report in each year provides updated action plans for the outcomes that have not yet achieved a Fully Addressed rating from GAO. The second report for each year includes a complete discussion of the efforts to achieve and sustain all 30 GAO outcomes.

¹ GAO, *High-Risk Series: Progress on Many High-Risk Areas, While Substantial Efforts Needed on Others*, GAO-17-317 (Washington, D.C.: February 15, 2017), page 366.

² Congress codified this practice by requiring DHS to report to GAO every six months. *National Defense Authorization Act for Fiscal Year 2017*, Public Law 114-328 § 1903(b) ((codified at 6 U.S.C. § 341(a)(11)), page 674.



Financial Management Outcome #2

Outcome Lead: Susie Dossie

Outcome Executive: Stacy Marcott

GAO Outcome: Obtain an unmodified opinion on internal control over financial reporting (ICOFR) to demonstrate effective internal controls.

GAO 2020 Outcome Rating

Initiated	Partially Addressed	Mostly Addressed	Fully Addressed
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CURRENT STATUS
<p>To advance to Fully Addressed, DHS must obtain an unmodified opinion on ICOFR and demonstrate capacity to maintain an effective system of internal controls. DHS continues to make significant progress by achieving its seventh unmodified audit opinion on the 2019 DHS financial statements and related footnotes. In addition, the sustainment of a “clean” financial statement opinion for seven years provides continued evidence that DHS has implemented the internal control over financial reporting sufficient to ensure that year-end financial reporting is not materially misstated.</p> <p>With two remaining areas of material weakness in internal controls—in Financial Reporting and Information Technology—the Department’s Chief Financial Officer (CFO) is executing a multi-year plan to achieve an unmodified “clean” ICOFR opinion by FY 2021. The Department recognizes remediation of the remaining areas of material weakness is the most challenging phase of the strategy to achieve a “clean” ICOFR opinion, due to the complexity resulting from DHS’s many CFO-designated systems (with some in various stages of modernization) and the need to rely on manual compensating controls. The Department continues to build upon its successful internal control enterprise approach, demonstrating incremental and sustainable progress each year and remains collectively focused on the FY 2021 target.</p> <p>DHS reported several accomplishments in recent <i>Integrated Strategy</i> updates (listed below) that remain integral to meeting the timeline for achieving a “clean” ICOFR opinion and further strengthening financial management.</p> <ul style="list-style-type: none"> • Built clearly defined, repeatable business processes, policies, and procedures that will sustain progress in resolving deficiencies and reducing their severity; • Implemented and measured progress against a top-down, risk-based strategy that assesses the overarching control environment both at the Department and Component levels to prevent control failures, as well as detect and fix potential failures early; • Implemented the Internal Control Maturity Model to objectively measure each Component’s progress on obtaining a “clean” ICOFR opinion; • Updated the FY 2020 Department-wide internal control assessment plan and the corresponding assessment procedures using a risk-based approach with qualitative and quantitative measures; • Continued Deputy Secretary commitment and communication to Component Heads and the workforce on the importance of the audit and on prioritizing resources to implement the Department’s find, fix, test, and assert strategy; • Gained commitment from CFOs and Chief Information Officers (CIOs) of those Components that contribute to the Department’s outstanding material weaknesses—through recurring meetings—to achieve annual Department-wide audit and ICOFR performance goals



CURRENT STATUS

(commitments are required as an element of each Component’s CFO and CIO performance plans);

- Implemented continuous monitoring of progress against Mission Action Plans (MAPs), identifying critical milestones, addressing audit risks, and reviewing mitigation strategies; and
- Held status reviews with Component representatives on a regular basis, depending upon the level of identified risk for their organization. Sustainment of controls is subsequently validated by positive ICOFR assessment results submitted by Components to the DHS CFO.

For FY 2020, the Department will continue to utilize a risk-based approach designed to prioritize high impact systems and critical IT and Federal Information System Controls Audit Manual controls. This approach will help define the scope for internal control assessments and prioritization for IT remediation of both external audit findings as well as internally identified deficiencies. For the internal IT control assessments of financial support systems, the Department has designated 40 critical controls that are to be addressed through assessments and adequate remediation efforts, if needed, in order to strengthen the IT internal control environment.

OUTCOME ACTION PLAN

Actions	Projected Date	Actual/Adjusted Date(s)	Reason for change/notes
Obtain an unmodified (i.e., clean) opinion on internal control over financial reporting for FY 2021.	November 2016	November 2021	Targeting a Fully Addressed rating. The independent auditor will issue its report for FY 2021 in November 2021. DHS expects to clear one significant deficiency in FY 2021. DHS proposes this outcome be considered Fully Addressed when no material weaknesses exist and minimal significant deficiencies remain.
Components re-evaluate risks to sustaining a clean audit opinion and reducing weaknesses in internal control and business processes.	March, June, and August 2021		Components review the results of testing for the second and third quarters to continue to assess their progress as part of routine monitoring.
DHS CFO to review and validate Component completed remediation steps.	March, June, and August 2021		DHS CFO incrementally reviews and validates remediation steps completed by Components.
DHS CFO will work with Components to assess FY 2020 audit risks and develop corrective actions.	December 2020		
Demonstrate measurable progress by continuing to reduce weaknesses in internal control and business processes.	November 2020		The independent auditor will issue its report for FY 2020 in November 2020. DHS expects to downgrade one area of material weakness and clear one



OUTCOME ACTION PLAN			
Actions	Projected Date	Actual/Adjusted Date(s)	Reason for change/notes
			significant deficiency in FY 2020. DHS has designed a repeatable process to address the audit conditions and will be executing designed controls and testing to demonstrate effectiveness. DHS proposes this outcome be considered Mostly Addressed when the Financial Reporting material weakness area is reduced to a significant deficiency.
Components re-evaluate risks to sustain a clean audit opinion and reduce weaknesses in internal control and business processes.	March, June, and August 2020		Components review the results of testing for the second and third quarters to continue to assess their progress as part of routine monitoring.
DHS CFO to review and validate Component completed remediation steps.	March, June, and August 2020		DHS CFO incrementally reviews and validates remediation steps completed by Components.
DHS CFO will work with Components to assess FY 2019 audit risks and develop corrective actions.	December 2019		Complete.
Demonstrate measurable progress by continuing to reduce weaknesses in internal control and business processes.	November 2019	November 2020	<p>Targeting a Mostly Addressed rating.</p> <p>The independent auditor issued its report for FY 2019 in November 2019.</p> <p>DHS did not meet its target to reduce one material weakness and clear one significant deficiency in FY 2019 because controls were not in place long enough to demonstrate effectiveness.</p> <p>DHS has developed strategy and approach that will be fully executed in FY 2020.</p>
Components re-evaluated risks to sustaining a clean audit opinion and reducing weaknesses in internal control and business processes.	June and August 2019	June and August 2019	Completed.
DHS CFO reviewed and validated Components completed remediation steps.	March, June, and August 2019	March, June, August 2019	Completed.
DHS CFO worked with Components to assess FY 2018 audit risks and develop corrective actions.	December 2018	January 2019	Completed.



OUTCOME ACTION PLAN			
Actions	Projected Date	Actual/Adjusted Date(s)	Reason for change/notes
Demonstrated measurable progress by continuing to reduce weaknesses in internal control and business processes.	November 2018	November 2018	The independent auditor issued its report for FY 2018 in November 2018.
Components ensured adequate resourcing by assessing resource requirements based on the developed risk-based approach and Component identified emerging risks.	N/A	September 2018	Completed.
Components re-evaluated risks to sustaining a clean audit opinion and reducing weaknesses in internal control and business processes.	March, June, September 2018	March, June, September 2018	Completed.
DHS CFO worked with Components to assess FY 2017 audit risks and develop corrective actions.	December 2017	January 2018	Completed.
Demonstrated measurable progress by continuing to reduce weaknesses in internal control and business processes.	November 2017	November 2017	For FY 2017, DHS remediated one material weakness.
Components ensured adequate resourcing by assessing resource requirements based on the developed risk-based approach and Component identified emerging risks.	N/A	October 2017	DHS CFO conducted a workforce analysis of internal control functions to benchmark resourcing by Component size.
DHS CFO reviewed and validated remediation steps completed by Components.	March, June, August 2017	March, June, August 2017	DHS CFO incrementally reviewed and validated remediation steps completed by Components.
Components re-evaluated risks to sustaining a clean audit opinion and reducing weaknesses in internal control and business processes.	March and June 2017	March, June, August 2017	Components completed testing for as part of routine monitoring.
DHS CFO reviewed and validated remediation steps completed by Components.	March 2017	March, June, August 2017	DHS CFO verified and validated U.S. Coast Guard property remediation. Remediation is in progress for all other Components.
DHS CFO worked with Components to assess FY 2017 audit risks and develop corrective actions.	December 2016	December 2016	Completed. Identified critical milestones. Tracking critical milestones on a monthly basis with Component CIOs/CFOs.
Demonstrated measurable progress by continuing to reduce weaknesses in internal control and business processes.	November 2016	November 2016	Completed. In FY 2016, DHS remediated one significant deficiency. DHS developed a comprehensive strategy and approach that will steadily work toward remediating



OUTCOME ACTION PLAN			
Actions	Projected Date	Actual/Adjusted Date(s)	Reason for change/notes
			all outstanding material weaknesses.
Components re-evaluated risks to sustaining a clean audit opinion and reducing weaknesses in internal control and business processes.	March and June 2016	July and September 2016	Completed.
DHS CFO reviewed and validated remediation steps completed by Components.	March 2016	March 2016	Completed.
DHS CFO engaged with Component CFOs to review the Components' status of addressing audit findings, risks, and mitigation strategies.	February–October 2016	February–October 2016	Completed.
DHS CFO worked with Components to assess FY 2015 audit risks and develop corrective actions.	December 2015	December 2015	Completed.
Demonstrated measurable progress by continuing to reduce weaknesses in internal control and business processes.	November 2015	November 2015	In FY 2015, DHS reduced one of four material weaknesses (reducing the number of materials weaknesses to three).
DHS CFO engaged with Component CFOs to review the status of addressing audit findings, risks, and mitigation strategies.	February 2015–October 2015	February 2015–October 2015	Completed.



Financial Management Outcome #4

Outcome Lead: Susie Dossie

Outcome Executive: Stacy Marcott

GAO Outcome: Sustain unmodified opinions for at least two consecutive years on internal control over financial reporting (ICOFR).

GAO 2020 Outcome Rating

Initiated	Partially Addressed	Mostly Addressed	Fully Addressed
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CURRENT STATUS

To advance to Partially Addressed, DHS must reduce the financial reporting material weakness to a significant deficiency in order to position the Department to obtain its first unmodified opinion on ICOFR.

The Department continues to make significant progress by achieving its seventh unmodified audit opinion on the 2019 DHS financial statements and related footnotes. In addition, the sustainment of a “clean” financial statement opinion for seven years provides continued evidence that DHS has implemented internal controls over financial reporting sufficient to ensure that year-end financial reporting is not materially misstated.

With two remaining areas of material weakness in internal controls—in Financial Reporting and Information Technology—the Department’s Chief Financial Officer (CFO) is executing a multi-year plan to achieve an unmodified “clean” ICOFR opinion by FY 2021. DHS reported several accomplishments in recent *Integrated Strategy* updates (listed below) that remain integral to meeting the timeline for achieving a “clean” ICOFR opinion and further strengthening financial management.

- Built clearly defined, repeatable business processes, policies, and procedures that will sustain progress in resolving deficiencies and reducing their severity;
- Implemented and measured progress against a top-down, risk-based strategy that assesses the overarching control environment both at the Department level and the Component level to prevent control failures as well as detect and fix potential failures early;
- Implemented the Internal Control Maturity Model to objectively measure each Component progress on obtaining a “clean” ICOFR opinion;
- Updated the FY 2019 Department-wide internal control assessment plan and the corresponding assessment procedures using a risk-based approach using qualitative and quantitative measures;
- Continued Deputy Secretary commitment and communication to Component Heads and the workforce on the importance of the audit and on prioritizing resources to implement the Department’s find, fix, test, and assert strategy;
- Gained commitment from CFOs and Chief Information Officers (CIOs) of those Components that contribute to the Department’s outstanding material weaknesses—through the DHS CFO and CIO Councils—to achieve annual Department-wide audit and ICOFR performance goals (Commitments are required as an element of each Component’s CFO and CIO performance plans);
- Implemented continuous monitoring of progress against the Mission Action Plans, identifying critical milestones, addressing audit risks, and reviewing mitigation strategies; and



CURRENT STATUS

- Held status reviews with Component representatives on a regular basis dependent upon the level of identified risk for their organization. Sustainment of controls is subsequently validated by positive ICOFR assessment results submitted by Components to the DHS CFO.

OUTCOME ACTION PLAN

Actions	Projected Date	Actual/Adjusted Date(s)	Reason for change/notes
Sustain an unmodified (i.e., clean) opinion on internal control over financial reporting for two consecutive years (i.e., FY 2021 and FY 2022).	November 2017	November 2022	Targeting a Fully Addressed rating. The independent auditor will issue its report for FY 2022 in November 2022.
Components re-evaluate risks to sustaining a clean audit opinion and reducing weaknesses in internal control and business processes.	March, June, and August 2022		Components identify risks that could prevent sustainment of progress and develop appropriate risk response.
DHS CFO to oversee and review A-123 results.	March, June, and August 2022		CFO incrementally reviews Component A-123 assessment results and sustains progress.
Obtain an unqualified (i.e., clean) opinion on internal control over financial reporting for FY 2021.	November 2016	November 2021	Targeting a Mostly Addressed rating. The independent auditor will issue its report for FY 2021 in November 2021. DHS proposes this Outcome be considered Mostly Addressed when no material weaknesses exist and DHS receives its first clean audit opinion on internal controls over financial reporting.
Components re-evaluate risks to sustaining a clean audit opinion and reducing weaknesses in internal control and business processes.	March, June, and August 2021		Components review the results of testing for the second and third quarters to continue to assess their progress as part of routine monitoring.
DHS CFO to oversee and review A-123 results.	March, June, and August 2021		CFO incrementally reviews Component A-123 assessment results.
Demonstrate measurable progress by continuing to reduce weaknesses in internal control and business processes.	November 2020		Targeting a Partially Addressed Rating The independent auditor will issue its report for FY 2020 in November 2020. DHS proposes this Outcome be considered Partially Addressed when the Financial Reporting material weakness area is



OUTCOME ACTION PLAN			
Actions	Projected Date	Actual/Adjusted Date(s)	Reason for change/notes
			reduced to a significant deficiency.
Components re-evaluate risks to sustaining a clean audit opinion and reducing weaknesses in internal control and business processes.	March, June, and August 2020		Components review the results of testing for the second and third quarters to continue to assess their progress as part of routine monitoring.
DHS CFO to oversee and review A-123 results.	March, June, and August 2020		CFO incrementally reviews Component A-123 assessment results.
Demonstrate measurable progress by continuing to reduce weaknesses in internal control and business processes.	November 2016	November 2020	Date has been revised to FY 2020. DHS has designed a repeatable process to address the audit conditions; however, controls were not in place long enough to demonstrate effectiveness. DHS will be executing designed controls and testing to demonstrate effectiveness.
DHS CFO worked with Components to prioritize FY 2019 scope to continue routine monitoring.	October 2018	October 2018	Completed.
Components ensured adequate resourcing by assessing resource requirements based on the developed risk-based approach and Component-identified emerging risks.	N/A	September 2018	Completed.
Components re-evaluated risks to sustaining a clean audit opinion and reducing weaknesses in internal control and business processes.	March, June, and September 2018	March, June, and September 2018	Completed.
DHS CFO oversaw and reviewed A-123 results.	March, June, and August 2018	March, June, and August 2018	Completed.
Components ensured adequate resourcing by assessing resource requirements based on the developed risk-based approach and Component-identified emerging risks.	N/A	April 2018	Completed.
DHS CFO worked with Components to prioritize FY 2018 scope to continue routine monitoring.	October 2017	November 2017	Completed.
Components re-evaluated risks to sustain a clean audit opinion and reduce weaknesses in internal control and business processes.	March, June, and August 2017	March, June, and August 2017	Completed.
DHS CFO oversaw and reviewed A-123 results.	March, June, and August 2017	March, June, and August 2017	Completed.



OUTCOME ACTION PLAN			
Actions	Projected Date	Actual/Adjusted Date(s)	Reason for change/notes
DHS CFO worked with Components to prioritize FY 2017 scope to continue routine monitoring.	October 2016	October 2016	Completed.
DHS CFO reviewed and validated Component-completed remediation steps.	March 2016	July and September 2016	Completed.
Components re-evaluated risks to sustain a clean audit opinion and reduce weaknesses in internal control and business processes.	March and June 2016	March 2016	Completed.
DHS CFO worked with Components to assess FY 2015 audit risks and develop corrective actions.	December 2015	December 2015	Completed.
Demonstrated measurable progress by continuing to reduce weaknesses in internal control and business processes.	November 2015	November 2015	In FY 2015, DHS reduced one of four material weaknesses.
DHS CFO engaged with Component CFOs to review their status toward addressing audit findings, risks, and mitigation strategies.	October 2015 and October 2016	October 2015 and October 2016	Completed.

Financial Management Outcome #5

Outcome Lead: Susie Dossie

Outcome Executive: Stacy Marcott

GAO Outcome: Achieve substantial compliance with the *Federal Financial Management Improvement Act* of 1996 (FFMIA) as reported annually by its independent auditors in accordance with the Act.¹

GAO 2020 Outcome Rating

Initiated	Partially Addressed	Mostly Addressed	Fully Addressed
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CURRENT STATUS

The FY 2019 independent auditor report noted that DHS has demonstrated continued progress toward compliance with FFMIA and remediated some of the conditions identified in the prior year. DHS monitors and assesses Component financial systems for compliance with FFMIA Section 803(a) requirements for core financial management systems. In addressing compliance, DHS follows the Office of Management and Budget (OMB) Compliance Framework.² The DHS Chief Financial Officer (CFO) ensures procedures are in place to provide guidance that summary adjustments posted in the financial system(s) are traceable to the transaction source, and ensures Components accurately report instances of non-conformance to generally accepted accounting principles. To further strengthen management, DHS, through a CFO/Chief Information Officer integrated approach and strategy, is conducting the following activities:

- Requiring Components to document necessary actions to remediate IT security control weaknesses in their corrective action plans. The Department's independent auditor reviews Component compliance with FFMIA annually.
- Continuing remediation efforts to downgrade the Financial Reporting weakness area to a significant deficiency by FY 2020 and reducing the severity of the IT weakness area to a significant deficiency by FY 2021 in order to meet OMB Circular A-123 Appendix D requirement for complying with FFMIA.
- Assessing the Department's FFMIA compliance utilizing the compliance framework as outlined in OMB Circular A-123. DHS plans to be FFMIA-compliant by FY 2021, as the Department expects to remediate the IT and Financial Reporting areas of material weakness by then, as well as achieve compliance with the Federal Information Security Modernization Act of 2014.

¹ *Federal Financial Management Improvement Act (FFMIA)*, Congress Public Law No. 104-208, 104th, September 30, 1996.

² Office of Management and Budget, *Management's Responsibility for Internal Control, OMB Circular A-123* (Washington, D.C.: September 20, 2013), *Appendix D, Compliance with the Federal Financial Management Improvement Act of 1996*.

OUTCOME ACTION PLAN			
Actions	Projected Date	Actual/Adjusted Date(s)	Reason for change/notes
Substantially comply with the requirements of FFMI as reported by the independent auditor.	November 2016	November 2021	<p>Targeting a Fully Addressed rating.</p> <p>The independent auditor will issue its report for FY 2021 in November 2021.</p> <p>The Department proposes this outcome be considered Fully Addressed when DHS downgrades the material weaknesses in Financial Reporting and in IT, to satisfy the FFMI requirement regarding Federal financial management system requirements, based on OMB's updates to Circular A-123.</p>
The Independent Auditor's Report notes further improvement in Component FFMI compliance and indicates a reduction in the number of Components contributing to the IT and Financial Reporting conditions.	November 2016	November 2020	<p>The independent auditor will issue its report for FY 2020 in November 2020.</p> <p>DHS did not meet its target to reduce one material weakness and clear one significant deficiency in FY2019 because controls were not in place long enough to demonstrate effectiveness.</p> <p>DHS has developed strategy and approach that will be fully executed in FY2020.</p>
DHS CFO to engage with Component CFOs to review the status of addressing audit findings, risks, and mitigation strategies.	February–December 2020		Monthly action.
Assess the Department's FFMI compliance based on the results of DHS-wide assessment.	November 2020		DHS CFO is conducting the DHS-wide assessment.
Components re-evaluate risks to sustain a clean audit opinion and reduce weaknesses in internal control and business processes.	March, June, and August 2020		Components review the results of testing for the second and third quarters to continue to assess their progress as part of routine monitoring.
Conduct quarterly risk assessments and incorporate results into Component risk management plans through recurring quarterly meetings.	December 2019; April and July 2020		Risk assessment meetings track progress being made on areas needing most improvement, or areas that would significantly impact ability to reduce weaknesses in internal control and business processes.

OUTCOME ACTION PLAN			
Actions	Projected Date	Actual/Adjusted Date(s)	Reason for change/notes
DHS CFO to engage with Component CFOs to review the status of addressing audit findings, risks, and mitigation strategies.	February–December 2020		Monthly action.
Assessed the Department’s FFMI compliance based on the results of DHS-wide assessment.	November 2019		DHS CFO conducted the DHS-wide assessment.
Components re-evaluated risks to sustain a clean audit opinion and reduce weaknesses in internal control and business processes.	March, June, and August 2019	June and August 2019	Completed. March submission was extended to be submitted with June due to impact of lapse in appropriations.
Conducted quarterly risk assessments and incorporate results into Component risk management plans through recurring quarterly meetings.	December 2018; April and July 2019	December 2018 and July 2019	Completed. April submission was extended to be submitted with July due to impact of lapse in appropriations.
DHS CFO engaged with Component CFOs to review the status of addressing audit findings, risks, and mitigation strategies.	February–December 2019		Completed.
Assessed the Department’s FFMI compliance based on the results of DHS-wide assessment.	November 2018		Completed.
Components re-evaluated risks to sustain a clean audit opinion and reduce weaknesses in internal control and business processes.	March, June, and August 2018		Completed.
Conducted quarterly risk assessments and incorporate results into Component risk management plans through recurring quarterly meetings.	December 2017; April and July 2018		Completed.
DHS CFO engaged with Component CFOs to review the status of addressing audit findings, risks, and mitigation strategies.	February–December 2018		Completed.
DHS CFO to engage with Component CFOs to review the status of addressing audit findings, risks, and mitigation strategies.	February–December 2017	February–December 2017	Completed.
Assess the Department’s FFMI compliance based on the results of DHS-wide assessment.	November 2017	November 2017	Completed.
Components re-evaluated risks to sustain a clean audit opinion and reduce weaknesses in internal control and business processes.	March, June, and August 2017	March, June, and August 2017	Completed.

OUTCOME ACTION PLAN			
Actions	Projected Date	Actual/Adjusted Date(s)	Reason for change/notes
Conducted quarterly risk assessments and incorporated results into Component risk management plans through recurring quarterly meetings.	December 2016; April and July 2017	December 2016; April and July 2017	Completed.
The Independent Auditor's Report notes further improvement in Component FFMI compliance and indicates a reduction in the number of Components contributing to the IT and Financial Reporting condition.	November 2016		Targeting a Partially Addressed rating. FY 2016 Independent Auditor's Report noted that DHS progressed toward compliance with FFMI and remediated some of the conditions identified in the prior year.
Components re-evaluated risks to sustain a clean audit opinion and reduce weaknesses in internal control and business processes.	June 2016	June 2016	Completed.
Assessed the Department's FFMI compliance based on the results of DHS-wide assessment.	May 2016	June 2016	Completed.
Conducted quarterly risk assessments and incorporated results into Component risk management plans through recurring quarterly meetings.	March 2016	March 2016	Completed.
DHS CFO engaged with Component CFOs to review the status of addressing audit findings, risks, and mitigation strategies.	February–December 2016	February–December 2016	Completed.
DHS CFO engaged with Component CFOs to review the status of addressing audit findings, risks, and mitigation strategies.	February–December 2015	February–December 2015	Completed.
The Independent Auditor's Report noted improvement in Component FFMI compliance.	November 2015	November 2015	Completed. Improvement from five Components noted to four in the Independent Auditor's Report.
Components re-evaluated risks to sustain a clean audit opinion and reduce weaknesses in internal control and business processes.	June 2015	June 2015	Completed.
Assessed the Department's FFMI compliance based on the results of DHS-wide assessment.	May 2015	May 2015	Completed.

Financial Management Outcomes #6–8

Outcome Lead: Jeffrey Bobich

Outcome Executive: Stacy Marcott

GAO Outcome: Effectively manage the implementation of a financial management system solution or modernization of existing systems for the U.S. Coast Guard (USCG) and its customers; Federal Emergency Management Agency (FEMA); and U.S. Immigration and Customs Enforcement (ICE) and its customers by:

- Applying rigorous and disciplined information technology (IT) acquisition management processes throughout the program/project lifecycle that are consistent with applicable practices identified in Level 2 of the Carnegie Mellon Software Engineering Institute’s Capability Maturity Model® Integration. These steps will help to ensure that the systems meet expected capabilities/requirements and associated mission benefits.
- Implementing oversight mechanisms to monitor contractors or shared service providers selected to implement the solution or modernize the existing systems. These steps will help to ensure that actual cost, schedule, and performance are within established threshold baselines, and variances are identified, tracked and addressed.

GAO 2020 Outcome Rating: **FM 6 (USCG)**



GAO 2020 Outcome Rating: **FM 7 (FEMA) and 8 (ICE and ICE Customers)**



CURRENT STATUS
<p>DHS consolidated action plans for financial systems modernization (FSM) efforts into a single plan that reflects the Department’s consolidated strategy and program management approach.</p> <p>In late 2016, the Department of the Interior (DOI), Interior Business Center (IBC) informed DHS it could no longer sustain the USCG’s FSM implementation, nor could it support further engagement activities with other DHS Components, as planned. DHS and IBC agreed that preserving the investment DHS made was paramount and determined the best path forward was to move the software solution to a new hosting location or data center. DHS or the new host location would also assume operation of the system and would transition Transportation Security Administration (TSA) and USCG to the solution.</p> <p>During Q4 FY 2018, the FSM solution for the Countering Weapons of Mass Destruction Office (CWMD), TSA, and USCG —referred to as the “Trio”— transitioned from IBC to DHS data centers. This solution delivers a standardized baseline solution for the Trio with increased functionality and integration for CWMD. FSM also received Acquisition Review Board approval to begin implementation of TSA and USCG functionalities. Once configuration is complete and software has been implemented, financial and procurement operations at TSA and USCG are expected to improve.</p> <p>Due to a lapse in appropriations in early FY 2019, implementation work for TSA and USCG was delayed. After reviewing the scope of the delayed work and associated impact to the timeline, DHS determined that an auditable solution that meets all TSA requirements could not be configured, tested, and the user community trained, in time for the planned go-live in</p>

CURRENT STATUS

Q1 FY 2020. The system integrator has committed to having all TSA functionality complete by Q2 FY 2020, and TSA will go live on the solution in Q1 FY 2021. DHS committed to reevaluating the USCG timeline as work progressed and after the technical refresh for CWMD. Based on lessons learned from CWMD going live on the upgraded version of FSMS, work to date on TSA and USCG data conversions, and the need for adequate time for USCG interface development, system testing, and training, USCG go-live is planned for Q1 FY 2022.

JPMO

DHS established a Joint Program Management Office (JPMO) to oversee FSM oversight, program management, execution, priorities, risk, cost, and schedule. In Q4 FY 2018, the JPMO received approval of a Joint Concept of Operations and the Joint Operational Requirements Document.

DHS has prioritized essential system modernizations for the Components with the highest business need and projected greatest potential return on investment for improved and standardized business processes. The revised action plan for GAO outcomes FM 6-8 reflects the current status and timelines discussed below.

Trio (CWMD, TSA, and USCG) – FM 6:

- DHS awarded contracts for the new hosting provider in Q4 FY 2017 and system deployment vendor in Q1 FY 2018.
- The solution at IBC transitioned to DHS data centers in Q4 FY 2018.
- CWMD continues to use the solution, now in DHS data centers.
- DHS completed a technical refresh of the solution software in Q1 FY 2020.
- TSA is scheduled to transition to the solution in Q1 FY 2021.
- USCG is scheduled to transition to the solution in Q1 FY 2022. (See *Figure 3*).



Figure 3. Planned Timeline for Trio FSM Implementation

FEMA (FM 7) and ICE and ICE Customers (FM 8):

- ICE Customers include U.S. Citizenship and Immigration Services (USCIS), Cybersecurity and Infrastructure Security Agency (CISA), Science & Technology Directorate (S&T), and Departmental Management and Operations (DMO). The Department released solicitations for strategic sourcing vehicles for software – Enterprise Financial Management Systems (EFiMS) – and system integration – Enterprise Financial Systems Integrator (EFSI) – in October 2019. In November 2019, DHS received a protest of EFiMS in the Court of Federal Claims and immediately suspended all EFiMS work. As of January 2020, the litigation is still pending and EFiMS remains on hold. The target award for EFSI is Q2 FY 2020.

CURRENT STATUS

U.S. Secret Service (USSS):

- USSS completed the upgrade to Oracle Federal Financials Release 12.2 in Q1 FY 2018.

OUTCOME ACTION PLAN

Actions	Projected Date¹	Actual/Adjusted Date(s)	Reason for change/notes
FM 6			
USCG completes migration of their financial management systems.	October 2021		Targeting a Fully Addressed rating for GAO Outcome FM 6.
USCG go live.	October 2021		
USCG Data conversion and migration.	October 2021		Data will be incorporated from old to new system.
USCG Training.	October 2021		USCG Training Team will receive new system and business process training.
USCG Program status review.	September 2021		USCG will present documentation to support that the solution is ready for deployment and support.
USCG Test and acceptance.	September 2021		End users will test and accept system software based on their requirements and approved test plans.
DHS completes configuration and interfaces for USCG.	December 2020		System provider will configure system software to meet requirements.
TSA completes migration of their financial management systems.	October 2020		Targeting a Mostly Addressed rating for GAO Outcome FM 6.
TSA go live.	October 2020		
TSA Data conversion and migration.	October 2020		Data will be incorporated from old to new system.
TSA Training.	October 2020		TSA end users will receive new system and business process training.
TSA Test and acceptance.	October 2020		End users will test and accept system software based on their requirements and approved test plans.
TSA Program status review.	September 2020		TSA will present documentation to support that the solution is ready for deployment and support.

¹ One of the planned strategic sourcing vehicles (EFiMS) is under litigation as of January 2020, and as a result all activities are on hold, and DHS cannot project completion dates for activities marked under FM 7 and 8.

OUTCOME ACTION PLAN			
Actions	Projected Date ¹	Actual/Adjusted Date(s)	Reason for change/notes
DHS implements system configurations for TSA.	February 2020		System provider will configure system software to meet requirements.
DHS completes configuration and interfaces for TSA.	March 2020		
CWMD refreshes to Release 12.2.7.	October 2019	October 2019	Completed.
DHS completed initial configuration to Release 12.2.7 for CWMD.	July 2019	July 2019	System provider configured system software to meet requirements.
DHS completed discovery for TSA and USCG in new hosted environment.	January 2018	July 2018	The system integrator delivered the final Discovery Report in July 2018.
Completed hosting migration of CWMD and CWMD go live in new hosted environment.	March 2018	August 2018	Completed.
Awarded integrator contract.	Q1 FY 2018	December 2017	Completed.
Awarded hosting task order.	September 2017	September 2017	Completed.
Hosting discovery phase.	August 2017	July 2017	Completed.
CWMD completes migration of their financial management systems to a federal shared service provider.	October 2015	November 2015	Go-live completed on November 5, 2015.
CWMD program status review.	September 2015	October 2015	The Under Secretary for Management was presented with documentation to support that the solution is ready for deployment and support.
CWMD training.	August 2015	October 2015	End users received new system and business process training.
CWMD test and acceptance.	August 2015	October 2015	Completed. Schedule adjusted due to late cycle testing.
CWMD data conversion and migration.	August 2015	September 2015	
CWMD system configuration.	March 2015	June 2015	System provider configured system software to meet requirements.
FM 7			
FEMA completes migration of their financial management systems.	TBD		Targeting a Fully Addressed rating for GAO Outcome FM 7.

OUTCOME ACTION PLAN			
Actions	Projected Date ¹	Actual/Adjusted Date(s)	Reason for change/notes
FEMA go live.	TBD		Component will present documentation to support that the solution is ready for deployment and support.
FEMA Program status review.	TBD		End users will receive new system and business process training.
FEMA Data conversion and migration.	TBD		End users will test and accept system software based on their requirements and approved test plans.
FEMA Training.	TBD		Data will be incorporated from old to new system.
FEMA Test and acceptance.	TBD		System provider will configure system software to meet requirements.
DHS completes configuration and interfaces for FEMA.	TBD		
Discovery phase.	TBD		
Select the system integrator.	TBD		
Select the software.	TBD		
Strategic Sourcing Software Licensing.	TBD		All work on the EFIMS procurement is on hold due to pending litigation.
Strategic Sourcing System Integration (SI).	Q2 FY 2020		EFSI solicitation released October 2019 and pending award.
FM 8			
ICE and other ICE Customers (i.e., CISA, S&T, and DMO) complete migration of their financial management systems.	TBD		Targeting a Fully Addressed rating for GAO Outcome FM 8.
ICE and other ICE Customers go live.	TBD		Component will present documentation to support that the solution is ready for deployment and support.
ICE and other ICE Customers Program status review.	TBD		End users will receive new system and business process training.
ICE and other ICE Customers Data conversion and migration.	TBD		End users will test and accept system software based on their requirements and approved test plans.
ICE and other ICE Customers Training.	TBD		Data will be incorporated from old to new system.

OUTCOME ACTION PLAN			
Actions	Projected Date ¹	Actual/Adjusted Date(s)	Reason for change/notes
ICE and other ICE Customers Test and acceptance.	TBD		System provider will configure system software to meet requirements.
DHS completes configuration and interfaces for ICE and other ICE Customers.	TBD		

USCIS complete migration of their financial management systems.	TBD		Targeting a Partially Addressed rating for GAO Outcome FM 8. USCIS will be the first ICE Customer to pilot the financial management system. The Fully Addressed rating for GAO Outcome FM 8 will occur once ICE and other ICE Customers (i.e., CISA, S&T, and DMO) migrate to the financial management system.
USCIS go live.	TBD		Component will present documentation to support that the solution is ready for deployment and support.
USCIS Program status review.	TBD		End users will receive new system and business process training.
USCIS Data conversion and migration.	TBD		End users will test and accept system software based on their requirements and approved test plans.
USCIS Training.	TBD		Data will be incorporated from old to new system.
USCIS Test and acceptance.	TBD		System provider will configure system software to meet requirements.
DHS completes configuration and interfaces for USCIS.	TBD		
Discovery phase.	TBD		
Select the system integrator.	TBD		
Select the software.	TBD		
Strategic Sourcing Software Licensing.	TBD		All work on the Enterprise Financial Management Software (EFiMS) procurement is on hold due to pending litigation.
Strategic Sourcing System Integration (SI).	Q2 FY 2020		Enterprise Financial Systems Integrator (EFSI) solicitation

			released October 2019 and pending award.
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Human Capital Management Outcome #6

Outcome Leads: Alisa Green

Outcome Executive: Clothilda Taylor

GAO Outcome: Federal Employee Viewpoint Survey (FEVS) – Improve the Department’s scores on the Office of Personnel Management’s (OPM) Federal Employee Viewpoint Survey within the four Human Capital Assessment and Accountability Framework indices: (1) leadership and knowledge management; (2) results-oriented performance culture; (3) talent management; and (4) job satisfaction.¹

2020 GAO Outcome Rating



CURRENT STATUS

The Department must continue its progress improving employee engagement scores on the FEVS in order to advance to Fully Addressed. GAO has favorably recognized the employee engagement action planning cycle the Department has implemented within its operational Components.² The Department’s action planning cycle continued in the lead up to OPM’s administration of the 2019 FEVS, which was launched in May 2019.³

DHS continues to experience improvements, as evidenced by a sustained increase in scores that began in 2016:

- From 2015 to 2019 the overall DHS employee engagement score increased a total of nine percentage points, a sustained trend that thought brought the score above the previous high score of 61 percent in 2010.
- DHS tied with the Department of the Army for the largest increase in employee engagement scores among very large agencies for 2017. In 2018, the Department increased in two engagement-related indices for the third straight year. The Global Satisfaction Index increased from 55 percent in 2017 to 56 percent in 2018, and the New Inclusion Quotient (IQ) Index increased from 52 percent in 2017 to 53 percent in 2018.
- In 2019, the Department’s overall FEVS Employee Engagement Index (EEI) score was 62%, an increase of two percentage points over previous year. The Global Satisfaction Index held steady at 56%, and the New IQ rose one percentage point to 54%.
- The United States Secret Service had the largest increase in employee engagement of any DHS operational Component from 2017 to 2018 and again from 2018 to 2019. The EEI rose six percentage points in 2018 and seven percentage points in 2019, to 64%.
- The Transportation Security Administration, Federal Emergency Management Agency, Customs and Border Protection, Cybersecurity and Infrastructure Security Agency, U.S. Coast Guard, and U.S. Citizenship and Immigration Services also increased EEI scores in 2019.

¹GAO notified DHS that this In November 2018, GAO agreed to benchmark against the Employee Engagement Index (EEI) rather than the Human Capital Assessment and Accountability Framework (HCAAF) indices since the HCAAF had been sunsetted by the Office of Personnel Management.

² GAO, *High-Risk Series: Substantial Efforts Needed to Achieve Greater Progress on High-Risk Areas*, GAO-19-157SP (Washington, D.C.: March 6, 2019), page 188.

³ Subsequent to the release of the 2019 *High-Risk Series* report (GAO-19-157SP), GAO notified DHS that this outcome had advanced from Partially Addressed to Mostly Addressed.

OUTCOME ACTION PLAN			
Actions	Projected Date	Actual/Adjusted Date(s)	Reason for change/notes
Receive 2021 FEVS results.	September 2021		Targeting a Fully Addressed rating. DHS sustains improved FEVS scores.
Components update employee engagement action plans in response to 2020 FEVS results.	April 2021		
Continued cycle of communication and Component employee engagement action plan implementation.	October 2020		
Receive 2020 FEVS results.	September 2020		DHS sustains improved FEVS scores.
Components update employee engagement action plans in response to 2019 FEVS results.	April 2020		
Continued cycle of communication and Component employee engagement action plan implementation.	October 2019		
Received 2019 FEVS results.	September 2019	September 2019	Achieved a Mostly Addressed rating. DHS sustained improved FEVS scores. GAO advanced this outcome to Mostly Addressed in December 2019.
Components updated employee engagement action plans in response to 2018 FEVS results.	April 2019		
Continued cycle of communication and Component employee engagement action plan implementation.	October 2018		
Received 2018 FEVS results.	August 2018	August 2018	DHS sustained improved FEVS scores.
Components updated employee engagement action plans in response to 2017 FEVS results.	April 2018	April 2018	Complete.
Continue cycle of communication and Component employee engagement action plan implementation.	October 2017	Ongoing	Components have assessed their FEVS results and are implementing their action plans.

OUTCOME ACTION PLAN

Actions	Projected Date	Actual/Adjusted Date(s)	Reason for change/notes
Received 2017 FEVS results.	August 2017	August 2017	Employee engagement scores increased by 4 percentage points in 2017, the second consecutive year DHS experienced an improvement.

Human Capital Management Outcome #7

Outcome Lead: Tyler Maxey/Neil Singh

Outcome Executive: Clothilda Taylor/Donna Seymour

GAO Outcome: Assess Development Programs – Develop and implement a mechanism to assess education, training, and other development programs and opportunities to help employees build and acquire needed skills and competencies. This includes making demonstrated, sustained progress in implementing and assessing a formal training and development strategy, providing formal and on-the-job training opportunities, supporting individual development plans, developing rotational assignments and opportunities, and allowing for formal and informal mentoring relationships among employees and managers.

GAO 2020 Outcome Rating

Initiated	Partially Addressed	Mostly Addressed	Fully Addressed
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CURRENT STATUS
<p>To advance to Fully Addressed, it is the Department’s understanding that evidence must be provided to GAO that reflects (1) continued implementation and sustainment of the DHS rotation policy; (2) continued implementation of, and updates to, the DHS Workforce Development Plan (WDP); (3) continued annual reviews of Component training plans to ensure compliance with DHS policy; and (4) the use of DHS-wide training data to inform human capital programs.</p> <p>The Department implemented Performance and Learning Management System (PALMS) capabilities in select Components to enhance the accessibility and comparability of DHS training data.¹ While PALMS serves a majority of DHS, it is not the sole enterprise solution for learning management. The Department will continue to leverage PALMS into fiscal year 2020 to allow time for the selection and implementation of follow on talent development and training capabilities for DHS. In addition, the Department has built data interchanges between the four learning management solutions and the Human Capital Enterprise Information Environment to create a central repository for the Department’s training data, which allows for enterprise-wide reporting and data analytics.</p>

OUTCOME ACTION PLAN			
Actions	Projected Date	Actual/Adjusted Date(s)	Reason for change/notes
Demonstrate that DHS has institutionalized the use of training data to inform human capital programs.	September 2020		Targeting a Fully Addressed rating.

¹ Components leveraging PALMS learning management system module: U.S. Customs and Border Protection (CBP), Federal Law Enforcement Training Centers (FLETC), U.S. Immigration and Customs Enforcement (ICE), U.S. Citizenship and Immigration Services (USCIS), U.S. Secret Service (USSS), Cybersecurity and Infrastructure Security Agency (CISA), and Headquarters.

OUTCOME ACTION PLAN			
Actions	Projected Date	Actual/Adjusted Date(s)	Reason for change/notes
Conducted annual review of Component compliance with implementing the DHS Rotation Program.	July 2020		HSRO has been assigned to a new Program Office. The new Program Office will be working with Components to standardize data collection, metrics, and accountability.
Established data interchanges to enable enterprise-wide reporting and analytics of DHS training data.	June 2019	November 2019	
Conducted annual review of Component compliance with DHS training policy.	December 2018	June 2020 June 2019	DHS annually captures and tracks DHS-wide training and development data to provide evidence of Components' compliance with laws, regulations, and DHS learning and development policies, as well as provide data on trends and gaps in DHS mission training metrics. DHS is preparing to update this information as part of the Component Training Plans.
Provided GAO with evidence of PALMS sustainment.	December 2018		PALMS is operational, and metrics are published monthly to demonstrate usage.
Provided evidence reflecting implementation of the DHS Rotation Program.	September 2018	December 2018	Provided in December 2018.
Provided evidence reflecting implementation of the FY 2018–2019 Workforce Development Plan.	September 2018	May 2020	Updating future Workforce Development Plan to synchronize with OCHCO Strategic Learning Development & Engagement (SLDE) strategic planning cycle.
Assessed Component compliance with DHS training policy.	December 2017	December 2017	DHS submitted to GAO the “DHS Component Training Plan Review Report” on December 28, 2017.
Assessed FY 2016–2017 WDP actions and developed FY 2018 plan.	December 2017	December 2017	DHS provided GAO with the FY 2016-2017 WDP Assessment Report in October 2017 and the FY 2018–2019 WDP in January 2018.
Rolled-out PALMS learning management system module in designated Components.	May 2017	CBP, 07/13/15 HQ, 10/06/15 FLETC, 12/10/15 ICE, 06/01/16	PALMS is currently deployed to designated Components.
Issued the Rotations Directive and Instruction.	September 2016	August 2016	Issued August 2016.

OUTCOME ACTION PLAN			
Actions	Projected Date	Actual/Adjusted Date(s)	Reason for change/notes
Provided evidence that gap analysis results are being used to improve knowledge, skills, and abilities.	September 2016	September 2016	Provided in September 2016.
Tracked compliance through the Human Resources Operations Audit.	December 2015	August 2015	Incorporated leadership development and training items.
Issued the Workforce Development Plan and implemented planned actions.	September 2015	October 2015	The FY 2016–2017 DHS Workforce Development Plan was issued in October 2015.
Issued the Directive and Instruction, "Employee Learning and Development."	July 2015	September 2016	Issued September 2016.
Issued the guides for Components and conducted assessments.	July 2015	April 2016	In April 2016, the <i>Needs Assessment Guide</i> and <i>Training Evaluation Guide</i> were published. Components were also assessed on their assessment and training evaluation practices.

IT Management Outcome #6

Outcome Lead: Dr. Thresa Lang

Outcome Executive: Elizabeth Cappello

GAO Outcome: Enhance Information Technology (IT) Security – Establish enhanced security of the Department’s internal IT systems and networks as evidenced by:

- Demonstrate measurable progress in achieving effective information system controls by downgrading the Department’s material weakness in financial systems security to a significant deficiency for two consecutive years and reducing the deficiencies that contribute to the significant deficiency, as reported by the independent auditors of the Department’s financial statements;
- Implement the federal desktop core configuration on applicable devices and instances across Components, as determined by an independent assessment;
- Promptly develop remedial action plans and demonstrate sustained progress mitigating known vulnerabilities, based on risk, as determined by an independent assessment; and
- Implement key security controls and activities, as independently assessed by the Office of Inspector General or external auditor based on *Federal Information Security Management Act of 2002* (FISMA) reporting requirements.

GAO 2020 Outcome Rating



CURRENT STATUS

To reach Fully Addressed, DHS must achieve and sustain a downgrade of its material weakness in financial systems security to a significant deficiency for two consecutive years. The Department has implemented continuous monitoring of progress against the remediation work plan, identifying critical milestones, addressing audit risks, and reviewing mitigation strategies.

DHS continues enhancing the security of the Department’s internal IT systems and networks in the following ways:

- Expanding the IT internal control program, which is a joint effort by the DHS Chief Information Officer (CIO) and the Chief Financial Officer (CFO), to assist in the monitoring and management of the IT internal controls for the Department and jointly support Components in efforts to strengthen IT general controls, systems security, and IT internal controls environments.
 - Gained commitment from CFOs and CIOs of the Components that contribute to the Department’s outstanding material weaknesses to achieve annual Department-wide audit and ICOFR performance goals (commitments are required as an element of each Component’s CFO and CIO performance plans.
- Adjusting the schedule of Component IT security status meetings with the DHS Acting Under Secretary for Management to increase the meeting frequency for those with more complex remediation challenges and decrease the meeting frequency for Components that have consistently achieved noteworthy progress in addressing IT security weakness. The overall improvements in DHS IT security posture were the direct result of these meetings. As of February 2020, these executive-level meetings have been held with the following components:
 - Federal Emergency Management Agency

CURRENT STATUS

- U.S. Secret Service
- U.S. Coast Guard (USCG)
- Issuing the FY 2020 DHS Information Security Performance Plan to include new FISMA requirements and refine metrics to strengthen the Department's security posture.
- Performing Information Security Continuous Monitoring (ISCM) for Secret and Top-Secret systems that are connected within a DHS network. DHS Components are scored, and metrics are calculated on a monthly basis for National Security Systems (NSS) against ISCM guidance established by the DHS CIO. The CIO reports compliance metrics on an NSS-specific Scorecard providing for greater visibility on the cybersecurity posture of the NSS environment.
- Working across the Department to embed cybersecurity within the DHS Acquisition Lifecycle Framework (ALF). The DHS Chief Information Security Officer initiated working groups and developed cybersecurity and acquisition policy and guidance to address challenges the working groups identified.
- To increase efficiencies and consolidate functions, the Cybersecurity Operations Center (formerly the Enterprise Security Operations Center, (ESOC) was moved from the Chief Information Security Officer Directorate (CISO) to the Information Technology Operations Directorate (ITO). This will ultimately align OCIO with the Network Operations Security Center (NOSC) model, which provides real-time operational network intrusion detection and perimeter defense capabilities. The goal of this move is to modernize and defend DHS assets from hostile threats. Consolidating the security and network functions under ITO increases collaboration and integration in DHS's network. A more integrated workflow under a single directorate will make it easier to deploy, implement, and respond to capabilities preventing intrusions. This adjustment will allow CIO to focus on enterprise policy, compliance, and assessments in support of the DHS mission.
- Strengthening the Department's operational security posture through the enhanced cooperation of .gov and .mil network defenders with the DHS ESOC taking a lead role in coordination and information sharing amongst the DHS Component SOCs, USCG Cyber Command and Other Government Agencies. In addition, the DHS ESOC continues to close visibility gaps, setup enhanced monitoring of cloud connections, and increase storage of logs necessary for investigations.
- Continuing the SOC Optimization initiative to heighten ESOC visibility, unify incident responses, introduce a shared services model, and improve overall communication between Components. SOC Optimization will be pursued through the Cybersecurity Service Provider (CSP) Assessments of component SOCs and the SOC Network Visibility working group with participation from all component SOCs. The DHS SOC Optimization will enable greater visibility, efficiency, and integration without sacrificing the autonomy and mission expertise unique to each Component SOC.
- The DHS CIO established a directive on August 14th, 2019 mandating a review of SOC Capabilities. Depending on assessment results, SOCs will be able to operate as an independent accredited SOC, act as a Service Provide to other SOCs, or need to buy services from a Service Provider. DHS has formed a CSP Program and established the DHS CSP Program Management Office (PMO). The DHS CSP PMO oversees all aspects of the DHS CSP Program for DHS and all DHS Components, under the oversight of the DHS Chief Information Security Officer (CISO) Council. Under this mandate, all DHS Components must participate in the CSP Assessment Process. The contracts Integrated

CURRENT STATUS

Project Team, which is inclusive to this pursuit, is currently searching for the optimal enterprise vehicle.

- Progressing toward full operating capability for the Continuous Diagnostic and Mitigation (CDM) program for DHS. The CDM team has:
 - Assessed the existing architecture and design, in order to determine optimal design options;
 - Moved policy and compliance portion of the Program to CISO as of Q2 FY 2020;
 - Determined impacts to the program cost model and schedule resulting from alternative tool use and potential new design;
 - Baselined current program status; and
 - Initiated program assessment and reorganized and restructured program strategy.

The DHS OCISO enhanced the Plan of Action and Milestones (POA&M) monitoring program to ensure the completeness and quality of remediation activity and POA&M management. The program consists of two reviews, a Weakness Remediation Completeness Review and POA&M Quality Review, which are described below. Both reviews are based on remediation completion evidence and POA&M data maintained in the Information Assurance Compliance System (IACS).

- Weakness Remediation Completeness Review: Provides DHS assurance that Components are remediating weaknesses within 30 days of identification or creating POA&Ms to address weaknesses within 31 days of identification.
- POA&M Quality Review: Provides DHS assurance that POA&Ms are managed in accordance with the DHS Process Guide for POA&Ms, Attachment H, of the DHS 4300A Sensitive Systems Handbook. The supplemental guide describes the core process for remediating control deficiencies in Sensitive But Unclassified DHS Information systems.

DHS OCISO is developing a DHS Cyber Security Risk Management Plan that, among other features, will establish cybersecurity risk tolerance levels.

OUTCOME ACTION PLAN

Actions	Projected Date	Actual/Adjusted Date(s)	Reason for change/notes
Sustain "significant deficiency" status or less for two consecutive years (i.e., FY 2021–2020).	November 2021		Targeting a Fully Addressed rating.
Achieve "significant deficiency" status or less for FY 2021.	Q4 FY 2015	November 2021	A status of "significant deficiency" or less must be maintained for two consecutive years for this outcome to be Fully Addressed.
Completed actions to address three recommendations contained in the OIG FY 2018 FISMA report (OIG-19-60).	Q4 FY 2019	September 2019	All recommendations were closed in September 2019.
Completed actions to address five recommendations contained in the OIG FY 2017 FISMA report (OIG-18-56).	Q4 FY 2018	September 2019	All recommendations were closed in September 2019.

OUTCOME ACTION PLAN			
Actions	Projected Date	Actual/Adjusted Date(s)	Reason for change/notes
Completed actions to address four open recommendations contained in the OIG FY 2016 FISMA report (OIG-17-24).	Q4 FY 2017	May 2019	All recommendations were closed in May 2019.
Completed actions to address six open recommendations contained in the OIG's FY 2015 FISMA report (OIG-16-08).	Q4 FY 2016	May 2018	All recommendations were closed in May 2018.
Completed actions to address six open recommendations contained in the OIG's FY 2014 FISMA report (OIG-15-16).	Q4 FY 2015	March 2018	All recommendations were closed on March 22, 2018.
Oversee and assist Components in addressing deficiencies that contributed to the Department's material weakness in the IT security control and financial system functionality area to achieve a reduction to a significant deficiency by the independent auditors.	October 2015	Ongoing	Sustaining a Mostly Addressed rating. Existing, significant IT security control deficiencies must be remediated with no new significant deficiencies identified.
Continued to oversee and assist Components in addressing IT deficiencies.	September 2015	Ongoing	Meet with Components monthly to review progress and provide guidance as needed.

Acquisition Program Management Outcome #3

Outcome Lead: Steven Truhlar, Chief of Staff, Joint Requirements Council

Outcome Executives:

Joseph Wawro, Director, Joint Requirements Council

Debra Cox, Executive Director, Program Accountability and Risk Management

Randolph Alles, Deputy Under Secretary for Management

GAO Outcome: Joint Requirements Council – Establish and effectively operate the required Joint Requirements Council (JRC), or equivalent governing body, to review and validate Component-driven capability requirements that drive non-materiel and acquisition programs Department wide and identify and eliminate any unintended redundancies. The JRC, or equivalent governing body, would help DHS inform its annual budget process for funding major programs and reduce the occurrence of major programs receiving funding without validation of requirements.

GAO 2020 Outcome Rating:



CURRENT STATUS

GAO found the JRC’s approach to be generally sound.¹ To achieve a Fully Addressed rating, it is the Department’s understanding that the JRC must sustain effective operations evidenced in part by its continued impact on investment decisions. The Component-composed JRC is the executive body that governs the Department’s operational requirements process by generating, validating, and prioritizing capability gaps, needs, concepts of operation, and requirements. JRC validation is a critical step prior to investing in a capability. The JRC continues to operate effectively, benefiting DHS by:

- Providing comprehensive analytical assessment of operational needs and gaps across Components and the DHS enterprise, thereby improving field operational effectiveness and efficiency;
- Addressing capability gaps and prioritizing operational requirements;
- Driving collaboration and integration across DHS;
- Informing enterprise investment processes, such as Program and Budget Reviews (PBRs), Resource Allocation Plans (RAP) and Decisions (RAD), Resource Planning Priorities (RPP), and Acquisition Review Boards (ARBs) regarding capability gaps, needs, concepts of operation, and operational requirements;
- Ensuring traceability between DHS and Component strategic priorities and operational capability;
- Working throughout the Department on the development of requirements policy and training; and
- Solidifying leadership support through regular JRC updates with Deputy Secretary, DHS Chief of Staff, and Deputy Under Secretary for Management.

Established in 2014, the JRC has made sufficient and sustained progress to meet a Fully Addressed rating. Accomplishments include:

¹ GAO, *Joint Requirements Council’s Initial Approach Is Generally Sound and It Is Developing a Process to Inform Investment Priorities*, GAO-17-171 (Washington, D.C.: October 24, 2016).

CURRENT STATUS

- Analyzing and validating over 290 requirements documents.
- Identifying over 280 capability gaps, along with mission needs and operational requirements to inform capability development and Research and Development (R&D) investments (as of January 2020).
- Training 1385 users in four operational requirements concepts: Overview; Core Concepts; Developing and Managing DHS Requirements; and Knowledge Management/Decision Support (KM/DS) (as of January 2020).
- Maturing operational requirements development and management Department-wide by:
 - Continuing a requirements workforce assessment to inform a structure for DHS Component requirements organizations;
 - Working with Immigration and Customs Enforcement to establish their requirements organization.
 - Continuing to work closely with the recently established Cybersecurity and Infrastructure Security Agency (CISA) and Countering Weapons of Mass Destruction (CWMD) Office on requirements development and the maturation of their requirements workforce; and
 - Continuing to mature the partnership with the Transportation Security Administration (TSA), U.S. Customs and Border Protection (CBP), and the U.S. Coast Guard's (USCG) requirements organizations.
- Assisting Components in conducting requirements workforce assessments and establishing internal requirements policies, independent requirements offices, and training. For example, the JRC collaborated with the Homeland Security Operational Analysis Center to provide analytic support to develop requirements specifications and documentation for the Federal Emergency Management Agency.
- Establishing the DHS Requirements Management (RM) Specialization within the Technology Manager Acquisition Certification. This specialization is designed to improve and standardize requirements training across the Department.
- Developing an extensive new course, *Developing and Managing DHS Requirements*, as part of the RM curriculum. The course provides a comprehensive understanding of how to define, analyze, and manage requirements within DHS starting from capability analysis through solution. Through this course, acquisition professionals receive in-depth insight into the DHS requirements process and its relationship to overall acquisition management. First piloted through the Homeland Security Acquisition Institute in February 2019, five offerings have been held thus far (as of February 2020) with two more to be held in the remainder of FY 2020.
- Establishing the DHS Capability Gap Register (CGR) to provide a dataset of validated capability gaps to inform R&D investments. Analysis and prioritization of CGR Gaps will inform FY22-26 budget submissions.
- Assisting S&T in obtaining funding for multiple joint requirements development efforts: DOMEX (document and media exploitation), Counter Unmanned Aerial Systems (C-UAS), Immigration Data Integration Initiative, DHS Readiness Reporting, National Vetting Center, and Next Generation Vertical Lift.
- Establishing JRC Director membership on the DHS C-UAS executive steering committee (ESC).

CURRENT STATUS

- Chartering a working group to build enterprise-wide C-UAS requirements. The work group became a sub-group of the Secretary's C-UAS ESC and developed a Capability Analysis Report (CAR) that captures enterprise C-UAS capability gaps and will guide requirements development at specific covered facilities and assets.
- Implementing requirements guidance into Fiscal Year (FY) 2021–2025 Resource Allocation Plan processes and informed DHS enterprise processes as a key stakeholder in PBR, R&D, ARBs, and strategy implementation.
- Recognizing commonality in biometrics requirements across the Department leading to the formation of a Biometrics ESC to ensure the Department's efforts are coordinated and the enterprise solution for biometrics can meet component operational requirements.
- Informing USCG and CBP efforts to arrive at a common integrated user interface solution for Maritime Aircraft Mission Systems, known as Minotaur Mission Management System, through the JRC-led Joint Operational Requirements Document (ORD). The ORD is currently being updated to reflect continued program evolution (as of February 2020).
 - Operational demos were promising. During STORM FORCE 2018, both CBP and USCG aircraft shared real time data with CBP's Air and Marine Operations Center, USCG's Maritime Intelligence Fusion Center, and DoD, reflecting unprecedented levels of interoperability and commonality.
- Forming a working group and securing funding for a study to build common USCG/CBP medium vertical lift (i.e., H-60) requirements called Next Generation Vertical Lift (NGVL).
 - CBP is a member of DoD's Future Vertical Lift (FVL) leadership forum along with USCG. This effort takes the long-term view to jointness (platform replacements anticipated in mid-2030s), and sets the stage for a major, truly joint DHS aviation program.
 - A joint NGVL CAR has been drafted and is expected to go through the JRIMS process in Spring of 2020.
- Analyzing national interest-level requirements, harnessing operator expertise from across DHS, and enabling end users to obtain enterprise capabilities to perform the mission:
 - Immigration Data Integration Initiative: JRC, through the Immigration Data Integration Initiative (IDII) ESC, ensured Unified Immigration Portal (UIP) requirements were integrated into the Immigration Data Integration CAR which was submitted for Department wide comments in February 2020.
 - CBP Wall System/Border Security Operational Requirements: Defined the scope and improved measures of mission success of physical barriers, enforcement zones, and detection assets to maximize operational outcomes and mission success through effective capability in the field.
 - CBP Biometrics Entry-Exit: Strengthened entry-exit analysis and requirements development through early collaboration between TSA, CBP, and the Office of Biometric Identity Management to identify common capability gaps and needs for biometric activities. Biometrics collaboration shaped requirements allowing for a broader range of solutions and enhanced the possibility of further integration with DHS systems.
 - U.S. Immigration and Customs Enforcement Immigration Data Modernization: Led a robust requirements development approach for DHS-wide interconnectivity and open IT architecture.
 - DHS Maritime Patrol Aircraft Mission System Capability: Spearheaded a joint operating document (J-ORD) mandating the first DHS joint capability between USCG and CBP.

CURRENT STATUS

The J-ORD enables interoperability, information sharing, and communications among DHS aircraft performing national security and emergency response missions. Standardizing capability through the J-ORD will position DHS to leverage significant opportunities for efficiencies in lifecycle costs (e.g., acquisition, procurement, operator training, and mission support).

OUTCOME ACTION PLAN

Actions	Projected Date	Actual/ Adjusted Date(s)	Reason for Change/Notes
Sustain effective operation of the JRC by fully implementing a process where operational requirements are integrated into processes for prioritizing investments.	September 2018	June 2020	Targeting a Fully Addressed rating. The adjusted date is to allow GAO time to conduct any necessary follow up to substantiate a Fully Addressed rating. DHS has fully integrated JRC participation into PBR (to include RAP/RAD and Strategic Review), ARB, and RPP development processes. The JRC actively informs DHS leadership prioritized investment decisions through integration with these processes.

Conduct training – JRIMS Overview, Core Concepts, Developing and Managing DHS Requirements and KM/DS.	Ongoing	Ongoing	As of January 2020, trained 1385 users in operational requirements JRIMS Overview, Core Concepts, Developing and Managing DHS Requirements, and KM/DS.
Validate Mission Need Statement and Operational Requirements Document for all Level 1 and 2 Master Acquisition Oversight List programs and submit recommendations to the DMAG.	Ongoing	Ongoing	All operational requirements are validated before acquisition decision events. As of January 2020, JRC analyzed and validated more than 290 requirements documents.
Fully implemented a process to ensure operational requirements are the foundation for R&D.	September 2018	July 2018	The DHS CGR provides senior leadership with a comprehensive view across DHS capabilities gaps and a dataset of validated requirements to inform R&D investments. Additionally, analysis and prioritization of CGR Gaps will inform FY22-26 budget submissions.
Fully implemented the KM/DS Tool.	September 2016	June 2017	Complete.
Incorporated decisions from the JRC process to inform the FY 2018 RAD.	September 2016	May 2017	The FY 2018 RAD links capability investments to operational requirements. Therefore, the JRC is impacting resource decisions.

Achieved full operating capability.	June 2016	September 2016	Achieved a Mostly Addressed Rating. The JRC has achieved full operating capability and is executing the JRIMS process. GAO advanced the rating for this outcome to Mostly Addressed in the 2017 <i>High-Risk Series</i> .
Delivered the KM/DS Tool.	May 2016	September 2016	Complete.
Approved JRIMS directives and instruction manual.	January 2016	March and April 2016	The JRC/JRIMS directive was signed on March 9, 2016 and the manual on April 21, 2016. The first JRIMS manual update has been completed and will be implemented FY 2019.
Incorporated decisions from the JRC process to inform the FY 2017 RAD.	September 2015	September 2015	The JRC informed the FY 2017 RAD.
Achieved initial operating capability.	July–August 2015	August 2015	The JRC has achieved initial operating capability, which is evidenced by the JRIMS process execution.
Approved JRC charter.	November 2014	November 2014	The charter was approved and signed by the DHS Deputy Secretary on November 16, 2014.

Acquisition Program Management Outcome #4

Outcome Lead: John Wells

Outcome Executive: Debra Cox

GAO Outcome: Trained Acquisition Personnel – Assess and address that sufficient numbers of trained acquisition personnel are in place at the Department and Component levels. Lack of adequate staff, both in terms of skills and staffing levels, increases the risk of insufficient program planning and contractor oversight, and has been associated with negative cost and schedule outcomes in major acquisition programs. These findings emphasize the importance of sufficient and experienced staff for successful acquisition outcomes.

GAO 2020 Outcome Rating



CURRENT STATUS

The Department continues to make progress toward a Fully Addressed rating, as evidenced by the following actions:

- Provided quarterly summary of critical staffing gap status to Component Acquisition Executive (CAE) Council.
- Implemented the new staffing plan format and requirements with Components. The Office of Program Accountability and Risk Management (PARM) works directly with CAE staffs and programs to develop plans and reviews them before they are finalized and submitted. Through this process, PARM has:
 - Conducted analysis of FY 2019 staffing plans to determine whether sufficient numbers of trained acquisition personnel were in place to execute programs;
 - Conducted Component- and Department-level analysis of staffing data to determine common or systemic Component and Department staffing issues to be addressed.
 - Delivered a comprehensive staffing analysis report to the Deputy Under Secretary for Management (DUSM) and provided recommendations to programs on efforts to mitigate critical staffing gaps;
 - Worked with Components to ensure all identified critical staffing gaps are being addressed and tracked through a quarterly critical staffing gap tracker. For example, the FY 2019 critical staffing gaps summaries showed that 68% of the critical gaps in FY 2019 had been addressed;
 - Met with CAEs to discuss identified staffing gaps to determine root causes and ways for the Department to assist in addressing gaps; and
 - Released an implementation memorandum establishing the format and schedule for annual staffing plan updates.
- Developed a plan to assist in addressing staffing gaps based on Component and Department level analyses and discussions with CAEs.
- Increased program manager certification compliance across all Level 1 and 2 programs from 69% to 98% since January 2013.
- Continued reviewing staffing levels at all Acquisition Review Boards. If the Acquisition Decision Authority determines there is a need, an independent staffing assessment will be required as an Acquisition Decision Memorandum action item.
- Coordinated the annual Program Management Awards. The seventh annual Program Management Awards ceremony was hosted by the Deputy Under Secretary for

CURRENT STATUS

Management on July 9, 2019. The Program Management Awards recognize outstanding performance in acquisition activities across the Department.

- Conducted the third annual Acquisition Professionals Training Symposium on July 9, 2019 to conduct training, exchange information, and facilitate senior leadership engagement with PMs and other acquisition professionals within the Department.
- Continued participation in each DHS Acquisition Program Management 350B Capstone program management certification course by providing instruction on the Department's acquisition processes and oversight responsibilities. PARM ensures representatives are available at key points throughout the course to ensure students have access to acquisition experts.
- Provided the Program Management Improvement Accountability Act Implementation Plan to the Office of Management and Budget. The plan addresses how the Department intends to improve program management capabilities in accordance with the law.
- Developed an Acquisition Program Management Professional Career Path Guide to provide career planning guidance and a preview of typical experiences, responsibilities, and duties associated with acquisition program management. It also provides strategies for developing and advancing professional development.
- Initiated a pilot Acquisition Program Management Mentoring and Coaching Program as a subset to the DHS Mentoring Program. Nine pairs of junior and senior acquisition program management professionals have been matched and are participating in the pilot. In addition to DHS Mentoring Program activities, participants will participate in additional activities specifically designed for the acquisition program management professional pairs.
- Initiated a pilot Acquisition Program Management Leadership Development Challenge Program in coordination with the ICE CAE, four participants from ICE, and two participants from PARM. The program is designed to cultivate acquisition program management professionals and prepare them for increasing responsibilities in the DHS acquisition program management discipline by providing awareness of leadership goals and objectives, while building an understanding of how the various acquisition entities work together to successfully field capability.
- Continued the focus on integrating human capital planning into acquisition program management, the Chief Procurement Officer (CPO) published the DHS FY 2018–2020 Acquisition Workforce Strategic Human Capital Plan (AW Strategy) in May 2018 to build on the many accomplishments achieved through the previous AW Strategy (FY 2013 – 2017). The FY 2018-2020 AW Strategy represents a collaborative effort across the DHS acquisition community that identifies the goals and objectives that will guide the Department's acquisition workforce efforts over the next three years. A one-year addendum is planned to extend the AW Strategy through FY 2021 to align with the CPO Strategy.
- Issued approximately 2,700 certifications annually across ten disciplines with over 43,000 issued since the certification program began. There are currently 13,926 acquisition certifications held within DHS as of the end of FY 2019.
- Graduated 46 participants from the CPO's expanded Education, Development, Growth, and Excellence (EDGE) Mentor Program for mid-level Contracting and Contracting Officer Representative acquisition professionals in March of 2019. Fifty-nine personnel are currently participating the program's fifth cohort.

CURRENT STATUS

- Continued to improve the competitive, DHS-wide Executive Development Program for Acquisition Leaders by expanding training and mentoring opportunities. The program includes shadowing, mentoring, and group projects to provide opportunities for collaboration and teamwork. As of January 2020, 188 have graduated from this popular program and 21 are participating in 2020.

OUTCOME ACTION PLAN

Actions	Projected Date	Actual/Adjusted Date(s)	Reason for change/notes
Demonstrate that repeatable processes are identifying staffing gaps and issues; staffing analyses identify root causes and common issues across the Department; actions to address gaps and issues are identified and communicated; and staffing gaps and issues are being addressed.	December 2020		Targeting a Fully Addressed rating. This sustained effort will demonstrate that the repeatable processes are helping the Department to address staffing issues and gaps.
Conduct higher-level, Component- and Department-wide staffing analysis.	Ongoing (in conjunction with annual staffing analysis cycle)		This is a new analytical effort that will bring greater visibility to near- and long-term staffing issues, with the intent of enabling DHS to better mitigate projected staffing shortfalls.
Assess annual program staffing plan updates and quarterly critical staffing gap reports.	Ongoing	Ongoing	Through regular, standardized processes, PARM will continue to monitor critical staffing gaps, identify staffing issues, and provide assistance to programs in addressing staffing issues and gaps.
Implement standardized processes to assess staffing plans, monitor critical staffing gaps and issues, and provide assistance to programs in addressing staffing issues and gaps.	April 2018	March 2018	This action implements a repeatable process to assess and assist in addressing staffing issues and critical staffing gaps.
Implement staffing Instruction to obtain program staffing plans and track changes in critical staffing gaps in DHS major acquisition programs to ensure critical staffing gaps are identified and are being addressed.	August 2017	October 2017	DHS Instruction 102-01-006, Acquisition Program Management Staffing, was promulgated on December 2, 2016 and new requirements piloted in 2017.
Analyzed staffing gaps and mitigation strategies identified in the FY 2015 staffing plans and assessed effectiveness of mitigation strategies and progress in filling staffing gaps.	August 2016	December 2016	Complete.

OUTCOME ACTION PLAN			
Actions	Projected Date	Actual/Adjusted Date(s)	Reason for change/notes
Reviewed Component staffing plans and assessed completeness and accuracy.	January 2016–February 2016	May 2016	In October 2015, PARM requested FY 2015 staffing plans with a January 2016 deadline. PARM received and reviewed all staffing plans.
Analyzed staffing gaps and mitigation strategies identified in the staffing plans, which addressed insufficient numbers of trained acquisition personnel.	April 2015	July 2015	Staffing plans and workforce planning data were submitted and analyzed for all Components, except one. PARM delivered the reports to leadership summarizing identified deficiencies and gaps.
Reviewed Component staffing plans and assessed completeness and accuracy.	May 2014–February 2015	February 2015	Achieved a Mostly Addressed rating. PARM reviewed all plans. Some staffing plan waivers were approved due to specific program characteristics.

Acquisition Program Management Outcome #5

Outcome Lead: Kenneth Marien

Outcome Executive: Debra Cox

GAO Outcome: Acquisition Process Compliance – Establish and demonstrate measurable progress in achieving goals that improve program compliance with the Department’s established processes and policies. This includes specific metrics for tracking conformance with the Department’s established methodologies as well as metrics for cost, schedule, and performance measured against DHS-approved baselines. For major acquisitions, demonstrate that actual cost and schedule performance for major acquisitions is within established threshold baselines, and that baselined system capabilities/requirements and associated mission benefits have been achieved. Program cost, schedule, and performance, as well as changes in these factors over time, can provide useful indicators of the health of acquisition programs. When assessed regularly for changes and the reasons for the changes, such indicators can be valuable tools for improving insight and oversight of individual programs and total portfolios of major acquisitions.

GAO 2020 Outcome Rating



CURRENT STATUS

The Department acknowledges that achieving a Fully Addressed rating on this outcome is a multiyear effort but continues to seek additional clarity from GAO whenever feasible on the specific steps remaining to achieve this outcome.

The Department, through the Office of Program Accountability and Risk Management (PARM), continues to implement GAO’s recommendations and demonstrate progress on this outcome, as evidenced by the following actions:

- The Department is working with Components to not only reduce the number of level 1 and 2 programs in breach of their approved Acquisition Program Baseline (APB), but the duration that programs remain in breach.
 - As of March 2020, there were a total of six programs in breach of their approved APB.
 - It should be noted that the existence of program breaches alone is not necessarily an indicator of portfolio health. While the Department’s goal is to minimize breaches and their potential impacts to cost and schedule, unforeseen events or external factors occasionally materialize and affect program performance.
- Sustained progress made on related GAO outcomes by, in part, ensuring that program documentation is approved for Acquisition Decision Events (ADEs).
 - Since December 2015, all programs are required to obtain approval for all MD-102 required documentation. If a document is not submitted and approved, either Acquisition Reviews Boards (ARBs) are postponed, or a rationale is provided in the related Acquisition Decision Memoranda (ADM).
 - A policy memorandum that the DHS Chief Financial Officer issued in February 2016 requires major programs to have a certification of acquisition funds memorandum signed by the Component Senior Financial Officials at ADE-2A. PARM tracks funding certifications for DHS major programs jointly with the Program Analysis & Evaluation Division in the Office of the Chief Financial Officer.

CURRENT STATUS

- Since FY 2017, the Cost Analysis Division (CAD) has required annual updates to Life Cycle Cost Estimates to provide comparative data on planned and executed funds.
- Continued quarterly assessments using the improved Acquisition Program Health Assessment (APHA) report, which provides a more accurate picture of program performance.
 - The APHA is conducted quarterly to allow for changes to be monitored over time and risks to be identified and mitigated before they lead to breaches.
 - The APHA 2.0 has been operational since the October 2016 cycle. DHS stakeholders leveraged lessons learned from the first year of APHA collection and refined the ratings and weighted scores. Significant expansion was made in a new category for requirements and adding five technology factors to the framework. The tool was updated in 2019 and APHA Automation Release 2.10 provides real-time access to previous APHA reports, online notifications, commenting and adjudication actions within the tool. These improvements enhance data quality, simplify and integrate audit trail actions, and increase visibility of the assessments tracked and provided by raters. As a result, the cycle time to generate the final APHA report was reduced.
 - Collaboration continues between the Office of the Chief Information Officer (OCIO) and PARM to mature the data collection process by integrating the APHA and the IT Health Assessment. DHS and GAO met in July 2018 to discuss the approach and gain GAO's concurrence to move forward with the integration. Following that discussion, the Department has continued moving toward an integrated approach.
 - PARM is embarking on an effort to reengineer the existing APHA process, laying the foundation for a new APHA NextGen business framework. The initial focus is solely on business processes and the health assessment methodology with the goal of transitioning from descriptive to a predictive analytic model using evidence-based metrics.
- Established an interagency agreement with the Department of Commerce National Technical Information Service on data and innovation services to drive enhancements that increase standardization, value, insights, and the use of the data within APHA tools, the Digital Review and Adjudication Workflow (DRAW), and Unified View of Investments (UVI). This effort supports accelerating leadership's journey from raw information to data-driven decisions. PARM continues to optimize the exchange of data with UVI, which provides a unified, common operational "one-pager" to the essential management data guiding decisions and actions on major acquisitions. The one-pager's integrated view optimizes the cross-connected line of sight on the management records, audit, programmatic, staffing, contract, cost, budget planning, and financial execution data critical to leadership decision making.
- PARM continues to provide monthly high visibility program slide decks to ensure that senior leaders, including the Deputy Under Secretary for Management as Chief Acquisition Officer and DHS ARB members have a common understanding of acquisition programs' status and key issues. In addition, PARM continues to have in-person high-visibility meetings on a quarterly basis.
- Facilitated acquisition oversight through Acquisition Review Boards (ARBs):
 - In FY 2019, 32 ARBs were held; 20 were ADEs or re-baseline decisions and 12 were program reviews. Thirty-six acquisition review team meetings were held to assess program readiness to conduct an ARB and 49 ADMs were signed by the CAO. Seven programs achieved full operational capability.

CURRENT STATUS

- Thus far in FY 2020, eight ARBs were held; five were ADEs or re-baseline decisions and three were program reviews. Ten acquisition review team meetings were held to assess program readiness to conduct an ARB and 14 ADMs were signed by the CAO.
- Participated in annual CAE oversight reviews and individual program reviews for all Level 3 programs on the Master Acquisition Oversight List (MAOL). PARM began participating in portfolio reviews conducted by Component CAEs in FY 2017. PARM's participation in such reviews fulfills annual CAE oversight and Level 3 program review requirements stipulated by DHS Directive 102-01-010, Level 3 Acquisition Management. PARM is on track to complete all FY 2020 CAE oversight and Level 3 program reviews on time.
- Coordinated with Components to ensure all Level 3 programs were appropriately baselined with approved APBs. Components were also required to maintain updated APB information in INVEST to allow PARM to track all Level 3 programs against approved cost, schedule, and performance parameters. Each quarter, PARM reports APB status of all Level 3 programs on the MAOL to DHS leadership, including cost, schedule, and/or performance breaches.
- Continued close coordination with OCIO and ARB members, on agile programs by—
 - Creating core development and delivery metrics. These core agile development metrics were first collected in January 2016 in the Agile pilot and are currently being expanded to additional programs. These metrics are part of how OCIO determines whether programs are developing software using agile methodologies and are included in the Agile ARB program review template.
 - Working with the agile programs to define business value metrics used to measure progress toward meeting the requirements. The agile programs are now asked to report progress toward meeting these metrics at each ARB.
- Developed streamlined templates for Acquisition Program Baselines (APB), Capability Development Plans (CDP), Integrated Logistics Support Plans (ISLP), and Systems Engineering Life Cycle Tailoring Plans (SELC-TP). Developed training aids for Logistics and Risk Management. PARM is currently drafting a guide for Integrated Master Schedules and updating the Systems Engineering Guide.
- Established an independent cost assessment (ICA) functionality, under the leadership of the DHS Chief Financial Officer, within the CAD. The ICA process has improved program cost estimates and provides the ARB with additional data when assessing them.
- Stood up a technical assessment (TA) capability within the Science and Technology Directorate's Office of Systems Engineering & Standards Division (DOSES) that is required prior to all ADE-2As. The TAs focus on identifying programmatic technical risks that programs should manage. For IT programs, TAs are jointly signed by DOSES and the DHS CIO. TAs have led to improved risk management and better outcomes.
- Initiated development of a cybersecurity policy designed to coordinate cyber activities and support programs in ensuring cyber is appropriately addressed.
- Supported the Chief Technology Officer with maturing the Enterprise Architecture Board (EAB) review process to ensure investments align with DHS Enterprise Architecture (EA) Principles and DHS architectural standards prior to entering an ADE. Updated policy to ensure EAB reviews are included as entrance criteria for all ADEs.

OUTCOME ACTION PLAN			
Actions	Projected Date	Actual/Adjusted Date(s)	Reason for change/notes
Continue to demonstrate that DHS acquisition policies and processes are contributing to improved acquisition program performance.	December 2022		Targeting a Fully Addressed rating. This action includes monitoring and tracking programs using the APHA report.
Demonstrate that DHS acquisition policies and processes are contributing to improved acquisition program performance.	December 2020	December 2019	Achieved a Mostly Addressed rating.
Demonstrated that all major programs are in compliance with policy documentation requirements.	December 2015	December 2015	All outstanding program documentation was completed as of December 2015. This is an ongoing action to ensure that programs approved for an ADE have program documents.
Began tracking program office health metrics.	August 2015	August 2015	This action included metrics to demonstrate compliance related to staffing.
Began tracking Department-level metrics.	August 2015	August 2015	This action included metrics to demonstrate Component Acquisition Executives' compliance with the Department's processes and policies.
Established program health metrics.	June 2015	June 2015	PARM also developed staffing metrics.
Established Department-level metrics to demonstrate compliance with processes and policies.	June 2015	June 2015	Complete.
Began tracking program metrics (i.e., cost, schedule, and performance).	May 2015	May 2015	This action included metrics related to the APB.
Reviewed and updated Directive 102-01-001, "Acquisition Management Instruction" to ensure that language is updated to include the Joint Requirements Council (JRC).	April 2015	April 2015	PARM incorporated elements from the Unity of Effort initiative, such as the JRC. This Instruction was updated to include touch points to the JRC.
Reviewed and updated Directive 102-01 to ensure language is updated to include the JRC.	March 2015	March 2015	This action was taken to incorporate new entities and processes being developed under the Unity of Effort initiative, such as the JRC.
Established cost, schedule, and performance metrics.	October 2014	February 2015	Established process to produce a quarterly Acquisition Metrics report.

Management Integration Outcome #1

Outcome Lead: Andrew Clayton

Outcome Executive: Janene Corrado

GAO Outcome: Management Integration Implementation – Implement the actions and outcomes specified within each management area (acquisition, information technology, financial, and human capital management) to develop consistent or consolidated processes and systems within and across its management functional areas.

GAO 2020 Outcome Rating

Initiated	Partially Addressed	Mostly Addressed	Fully Addressed
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CURRENT STATUS

The Department will advance the rating for this outcome by demonstrating sustainable progress on the remaining GAO outcomes in other functional areas (i.e., FM, HCM, ITM, and APM).

The Department continues to make substantial progress on broader Department-wide management integration efforts. As DHS continues to mature, the Management Directorate's integration efforts have evolved to meet the growing requirements to support the operators in the field. This is evidenced by the horizontal and vertical integration achieved through the evolution of the Management Directorate Integrated Priorities (IPs) framework, which has incorporated alignments to the President's Management Agenda (PMA), GAO High-Risk List issues, and other important efforts.

The initial set of IPs were established in 2015 to address a key question – *What are the top cross-cutting management priorities for DHS?* Since then, as oversight mechanisms for certain efforts monitored through the IPs have matured, related activities have been removed from the framework. Removal of items from the IP framework represents a milestone in the maturity and sustainability of such efforts and eliminates the administrative burden caused by overlapping and duplicative reporting and leadership engagements. Specific examples include the following:

- *Financial System Modernization (FSM).* The establishment of a Joint Program Management Office (JPMO) enables DHS to provide centralized oversight and program management to all FSM efforts across the Department. The vertical alignment of Component FSM efforts under the JPMO allows DHS to address issues cohesively, apply best practices, and ensure Component efforts are consistent with DHS priorities. The JPMO enables the application of rigorous requirements management to promote clear evaluation of system performance and testing, incremental delivery of capabilities with well-defined acceptance criteria, and direct oversight of contractors with regular cost and schedule reviews. Programmatic updates are provided at least weekly to the Acting CFO, Chief Procurement Officer (CPO), and Deputy Chief Information Officer. In addition, the JPMO provides bi-weekly written updates and monthly in-person briefings to the Deputy Under Secretary for Management (DUSM) enabling seamless top leadership oversight of FSM.
- *Employee Engagement.* The establishment of key headquarters leadership roles, most notably the Chief Learning and Engagement Officer and Director of Employee Engagement, demonstrate the Department's commitment to directing resources to address key management challenges. Furthermore, the Employee Engagement Steering Committee, which meets regularly and is chaired by the DUSM, continues to provide top leadership oversight of Department-wide efforts to improve employee engagement.

CURRENT STATUS

- *Acquisition Program Staffing.* The implementation of DHS Instruction 102-01-006, *Acquisition Program Management Staffing*, established the acquisition program staffing plan format and annual process for identifying program staffing needs and gaps. Staffing plan review and analysis identifies staffing concerns, provides recommendations, and supports review of program staffing levels as part of all Acquisition Review Boards. Staffing data analyses also support efforts to illuminate common or systemic staffing issues and ways the Department can assist Components in addressing gaps. The status of all identified critical staffing gaps are tracked through quarterly status updates to ensure critical staffing gaps are being addressed. Critical staffing gap status summaries and results from staffing analyses and are provided to the DUSM and other leadership during the quarterly Component Acquisition Executive Council meetings.
- *Joint Requirements Council (JRC).* The JRC Director is a direct report to the Deputy Secretary and a consistent and active participant in key leadership forums, notably the Deputy's Management Action Group (DMAG). The JRC functions as the Secretary and Deputy Secretary's analytical arm for operational capability and serves a key role in departmental Planning, Programming, Budgeting, and Execution (PPBE) processes—a role that is codified in DHS policy. In its role, and by administering and overseeing the Joint Requirements Integration and Management System (JRIMS), the JRC focuses on operational priorities, validates capability gaps and associated operational requirements, and proposed solution approaches to mitigate any identified deficiencies. The JRC is also charged with driving rigorous capability analysis across the Department to identify areas where DHS can reduce unnecessary duplication and redundancy.

In support of the Department's integration efforts, the following accomplishments provide an overview of progress on advancing this Outcome to Mostly Addressed:

- As of March 2020, GAO rated 77% (23 of 30) of outcomes as either Fully Addressed or Mostly Addressed,¹ a significant improvement compared to 47% (14 of 30) in 2015 and in 26% (8 of 31) in 2013.² Furthermore, since 2017 DHS has advanced four GAO outcomes to Fully Addressed.
- As of March 2019, *Strengthening Department of Homeland Security Management Functions* is the only High-Risk area to have met the majority of GAO's criteria for removal from the High-Risk List.³
- The DUSM convenes regular leadership meetings with Management Directorate leaders and Chief Executive Officers (CXOs) to maintain oversight of top priorities. Regular leadership engagement improves accountability and allows leaders to identify critical links between programs, determine capacity needs, better allocate resources, and share best practices.
- The Management Council, chaired by the DUSM and comprised of Components' chief management officials, convenes quarterly to provide a forum for discussion on key, cross-cutting issues with the goal of identifying enterprise approaches to address key mission support challenges.

¹ Subsequent to the release of the 2019 *High-Risk Series* report (GAO-19-157SP), GAO notified DHS that two additional outcomes – APM 5 and HCM 6 – had advanced from Partially Addressed to Mostly Addressed.

² GAO reduced the total number of outcomes from 31 to 30 in March 2014, between the 2013 and 2015 *High-Risk Series* reports.

³ GAO, *High-Risk Series: Substantial Efforts Needed to Achieve Greater Progress on High-Risk Areas*, GAO-19-157SP (Washington, D.C.: March 6, 2019), page 28.

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- DHS sustained management reform initiatives, with leadership participation in the Senior Leaders Council (SLC), DMAG, and the JRC and through strengthened resource allocation and acquisition oversight and management processes.
 - For example, in June 2019, DHS issued a PPBE directive that further solidifies and integrates key functions, such as the Joint Requirements Integration and Management System, into departmental decision-making. Directive 101-01 emphasizes the pivotal roles played by the USM, CXOs (e.g., Chief Financial Officer, Chief Information Officer), and Chairperson of the JRC, among others, in support of resource allocation decisions made by the Secretary through deliberation with the SLC.

OUTCOME ACTION PLAN

Actions	Projected Date	Actual/Adjusted Date(s)	Reason for change/notes
Continue to monitor GAO outcomes and publish the biannual <i>Integrated Strategy</i> .	March and September 2023		DHS will publish two <i>Integrated Strategy</i> updates in 2023. DHS will transmit the final 2023 <i>Integrated Strategy</i> to GAO by September 2023.
Engage GAO on the status of this Outcome upon transmission of the March 2021 <i>Integrated Strategy</i> .	December 2022		Targeting a Fully Addressed rating. GAO reported that for DHS to achieve this Outcome, the Department needs to continue demonstrating sustainable progress in addressing the remaining outcomes that have yet to achieve a Fully Addressed rating. ⁴
Continue to monitor GAO outcomes and publish the biannual <i>Integrated Strategy</i> .	March and September 2022		DHS will publish two <i>Integrated Strategy</i> updates in 2022.
Continue to monitor GAO outcomes and publish the biannual <i>Integrated Strategy</i> .	March and September 2021		DHS will publish two <i>Integrated Strategy</i> updates in 2021.
Engage GAO on the status of this Outcome upon transmission of the March 2020 <i>Integrated Strategy</i> .	December 2020		Targeting a Mostly Addressed rating. DHS will continue to demonstrate substantial and sustainable progress on GAO outcomes to justify a Mostly Addressed in the 2021 GAO High-Risk Series update.
Continue to monitor GAO outcomes and publish the biannual <i>Integrated Strategy</i> .	March and September 2020	March and TBD 2020	This is the first report of 2020. The second <i>Integrated Strategy</i> update is targeted for September 2020, in accordance with statutory requirements and in order to inform the 2021 GAO <i>High-Risk Series</i> report.

⁴ GAO, *High-Risk Series: Progress on Many High-Risk Areas, While Substantial Efforts Needed on Others*, GAO-17-317 (Washington, D.C.: February 15, 2017), page 371.

OUTCOME ACTION PLAN

Actions	Projected Date	Actual/Adjusted Date(s)	Reason for change/notes
Continued to monitor GAO outcomes and publish the biannual <i>Integrated Strategy</i> .	March and September 2019	April and September 2019	This report is the second <i>Integrated Strategy</i> update for 2019. The first update was released on April 1, 2019.
Continued to monitor GAO outcomes and publish the biannual <i>Integrated Strategy</i> .	March and September 2018	March and September 2018	Reports were transmitted to GAO in March 2018 and September 2018 respectively.
Continued to monitor GAO outcomes and publish the biannual <i>Integrated Strategy</i> .	March and September 2017	April and September 2017	Reports were transmitted to GAO in April 2017 and September 2017 respectively.
Fully Addressed or Mostly Addressed 70% of GAO outcomes (21 of 30).	February 2017	February 2017	GAO published its biannual <i>High-Risk Series</i> and rated DHS as having Fully Addressed or Mostly Addressed 21 of 30 GAO outcomes.
Continued to monitor GAO outcomes and publish the biannual <i>Integrated Strategy</i> .	January and August 2016	January and August 2016	DHS published the January and August 2016 updates to the <i>Integrated Strategy</i> .

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GAO High-Risk Ratings Summary

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GAO High-Risk Ratings Summary



Functional Area	GAO Outcome	2017 GAO Ratings ¹	2020 GAO Ratings
FM 1	Clean opinion on all financial statements	Fully Addressed	Fully Addressed
FM 2	Clean opinion on internal controls	Partially Addressed	Partially Addressed
FM 3	Clean opinions for two years	Fully Addressed	Fully Addressed
FM 4	Clean opinions for two years on internal controls	Initiated	Initiated
FM 5	Compliance with FFMIA	Partially Addressed	Partially Addressed
FM 6	USCG Financial Systems Modernization	Partially Addressed	Partially Addressed
FM 7	FEMA Financial Systems Modernization	Initiated	Initiated
FM 8	ICE Financial Systems Modernization	Initiated	Initiated
HCM 1	Implement Human Capital Plan	Fully Addressed	Fully Addressed
HCM 2	Link workforce planning to other Department planning efforts	Fully Addressed	Fully Addressed
HCM 3	Enhance recruiting to meet current and long-term needs	Fully Addressed	Fully Addressed
HCM 4	Base human capital decisions on competencies and performance	Mostly Addressed	Fully Addressed
HCM 5	Seek employee input to strengthen human capital approaches	Mostly Addressed	Fully Addressed
HCM 6	Improve Federal Employee Viewpoint Survey Scores	Partially Addressed	Mostly Addressed
HCM 7	Assess and improve training, education & development programs	Mostly Addressed	Mostly Addressed
ITM 1	Achieve EAMFF Stage 4	Fully Addressed	Fully Addressed
ITM 2	Achieve ITIMF Stage 3	Fully Addressed	Fully Addressed
ITM 3	Achieve CMMI Level 2	Fully Addressed	Fully Addressed
ITM 4	Implement IT Human Capital Plan	Mostly Addressed	Fully Addressed
ITM 5	Adhere to IT Program Baselines	Mostly Addressed	Fully Addressed
ITM 6	Enhance IT Security	Mostly Addressed	Mostly Addressed
APM 1	Timely validate required acquisition documents	Fully Addressed	Fully Addressed
APM 2	Improve Component acquisition capabilities	Fully Addressed	Fully Addressed
APM 3	Establish and effectively operate the Joint Requirements Council	Mostly Addressed	Mostly Addressed
APM 4	Assess acquisition program staffing	Mostly Addressed	Mostly Addressed
APM 5	Establish oversight mechanisms to validate that acquisition programs are achieving goals and comply with Department policies	Partially Addressed	Mostly Addressed
MI 1	Implement actions / outcomes in each LOB	Partially Addressed	Partially Addressed
MI 2	Revise MI strategy to address previous recommendations	Fully Addressed	Fully Addressed
MI 3	Establish performance measures to assess ongoing progress	Fully Addressed	Fully Addressed
MI 4	Promote department-wide accountability through performance management system	Fully Addressed	Fully Addressed
Fully Addressed GAO Outcomes (out of 30)		13 (43%)	17 (57%)
Fully Addressed and Mostly Addressed GAO Outcomes (out of 30)		21 (70%)	23 (77%)

GAO Criteria	Definition	GAO Ratings as of March 2019 ²
Leadership Commitment	Demonstrated strong commitment and top leadership support.	Met
Capacity	Agency has the capacity (i.e., people and resources) to resolve the risk(s).	Partially Met
Action Plan	A corrective action plan exists that defines the root cause, solutions, and provides for substantially completing corrective measures, including steps necessary to implement solutions [GAO] recommended.	Met
Monitoring	A program has been instituted to monitor and independently validate the effectiveness and sustainability of corrective measures.	Met
Demonstrated Progress	Ability to demonstrate progress in implementing corrective measures and in resolving the high-risk area.	Partially Met

Met or Fully Addressed **Mostly Addressed**

¹Outcomes: GAO rates DHS progress using the following scale: **Fully Addressed** – Outcome is fully addressed; **Mostly Addressed** – Progress is significant and a small amount of work remains; **Partially Addressed** – Progress is measurable, but significant work remains; **Initiated** – Activities have been initiated to address the outcome, but it is too early to report progress (GAO-17-317, page 366).

²Criteria: GAO rates criteria using the following scale: **Met** – Actions have been taken that meet the criterion. There are no significant actions that need to be taken to further address this criterion; **Partially Met** – Some, but not all, actions necessary to meet the criterion have been taken; **Not Met** – Few, if any, actions towards meeting the criterion have been taken (GAO-17-317, page 52).