



U.S. Department of Homeland Security

FY 2019-2021 Annual Performance Report

*With honor and integrity, we will safeguard the American people,
our homeland, and our values.*



About this Report

The U.S. Department of Homeland Security Annual Performance Report (APR) for Fiscal Years (FY) 2019-2021 presents the Department's mission programs, progress summaries, performance measure results and FY 2020 and FY 2021 targets. It also summarizes information on other key initiatives in the DHS Performance Management Framework related to the Strategic Review and our Agency Priority Goals (APG). This report presents information on other key management initiatives, and a summary of our performance challenges and high-risk areas identified by the DHS Office of the Inspector General (OIG) and the Government Accountability Office (GAO). The report is consolidated to incorporate our annual performance plan and annual performance report.

For FY 2019, the Department's Performance and Accountability Reports consist of the following three reports:

- DHS Agency Financial Report | Publication date: November 15, 2019
- DHS Annual Performance Report | Publication date: February 10, 2020
- DHS Report to our Citizens (Summary of Performance and Financial Information) | Publication date: February 15, 2020

When published, all three reports will be located on our public website at:

<http://www.dhs.gov/performance-accountability>.



Contact Information

For more information, contact:

Department of Homeland Security
Office of the Chief Financial Officer
Office of Program Analysis and Evaluation
245 Murray Lane, SW
Mailstop 200
Washington, DC 20528

Table of Contents

Section 1: Overview	2
Introduction	3
Organization	3
DHS Organizational Performance Management Framework	4
Departmental Summary of Results	11
Section 2: Performance Results and Plan	13
Operational Components.....	14
Support Components	63
Performance Measure Tables	71
Section 3: Other Information.....	96
Agency Priority Goals (APG)	97
<i>Agency Priority Goal 1: Enhance Southern Border Security.....</i>	<i>97</i>
<i>Agency Priority Goal 2: Strengthen Federal Cyber Security.....</i>	<i>99</i>
Management Initiatives	102
<i>Customer Experience</i>	<i>102</i>
<i>Regulatory Reform.....</i>	<i>112</i>
<i>Human Capital Operating Plan (HCOP)</i>	<i>114</i>
<i>Program Management Improvement and Accountability Act</i>	<i>121</i>
<i>Evidence-Building Activities</i>	<i>122</i>
Major Management and Performance Challenges and High-Risk Areas– Summary of Progress.....	125
Low-Priority Program Activities	156
Acronyms	157

Appendix A: Measure Descriptions, Data Collection Methodologies, and Verification and Validation Information

Appendix B: Relevant GAO and OIG Reports

List of Figures

<i>Figure 1: DHS Operational and Support Components</i>	<i>3</i>
<i>Figure 2: DHS Performance Management Framework.....</i>	<i>4</i>
<i>Figure 3: DHS Organizational Performance Community</i>	<i>5</i>
<i>Figure 4: DHS Annual Measure Improvement Process</i>	<i>6</i>
<i>Figure 5: FY 2019 Strategic Review Ratings for Each Mission Program</i>	<i>11</i>
<i>Figure 6: Percent of Measures Meeting Target and Improving over Prior Year</i>	<i>12</i>

Section 1: Overview



The **Overview** section includes a brief review of the Department's organizational structure followed by a description of the DHS Organizational Performance Management Framework and a brief summary of Departmental results.

Introduction

This report provides a representation of our performance results for FY 2019, along with those planned for FY 2020-2021, aligned to our organizational structure. It satisfies the requirement to publish the Department’s FY 2019-2021 Annual Performance Report (APR) and Annual Performance Plan. DHS uses our strategic set of measures contained in this report as a means to communicate our progress and the value the Department provides to our stakeholders. Additional performance measure information is provided in the Overview chapter of each Component’s Congressional Budget Justification, which contains both our strategic and management measures. This APR can be found on our public web site at [Performance & Financial Reports \(https://www.dhs.gov/performance-financial-reports\)](https://www.dhs.gov/performance-financial-reports), and the Congressional Budget Justification is located at [DHS Budget \(https://www.dhs.gov/dhs-budget\)](https://www.dhs.gov/dhs-budget).

Organization

DHS’s Operational Components (shaded in blue) lead the Department’s operational activities to protect our Nation. The remaining DHS Components (shaded in green) provide mission support and business support activities to ensure the operational organizations have what they need to accomplish the DHS mission. For the most up to date information on the Department’s structure, visit our web site at <http://www.dhs.gov/organization>.



Figure 1: DHS Operational and Support Components

DHS Organizational Performance Management Framework

DHS has a performance management framework that describes the various initiatives to assess program implementation progress, measure results, and drive the delivery of value to external stakeholders. The graphic below shows these initiatives that come from the Government Performance and Results Act (GPRA) of 1993, and its companion legislation, the GPRA Modernization Act of 2010 (GPRAMA).



Figure 2: DHS Performance Management Framework

Performance Community

The DHS performance community is led by the Chief Operating Officer (COO), the Performance Improvement Officer (PIO), the Deputy PIO (DPIO), and the Assistant Director for Performance Management, who are supported by performance analysts in the Office of Program Analysis and Evaluation (PA&E) located under the DHS Chief Financial Officer (CFO). The PIO, DPIO, and PA&E performance analysts are the liaison among internal and external stakeholders on performance matters, managing the implementation of the framework outlined above, and ensuring the Department meets its responsibilities. PA&E brings together this community, shown in the following diagram, to accomplish the many activities associated with the performance management framework.

The DHS performance community also includes Component PIOs and Agency Priority Goal (APG) Leads—the senior leaders driving performance management efforts in their respective Components. Component Performance Analysts are the critical liaison between PA&E and

Component leadership and program managers. They communicate guidance and initiatives, provide advice on measure development concepts, collect and review measure results, and coordinate with Component leadership on performance management initiatives.

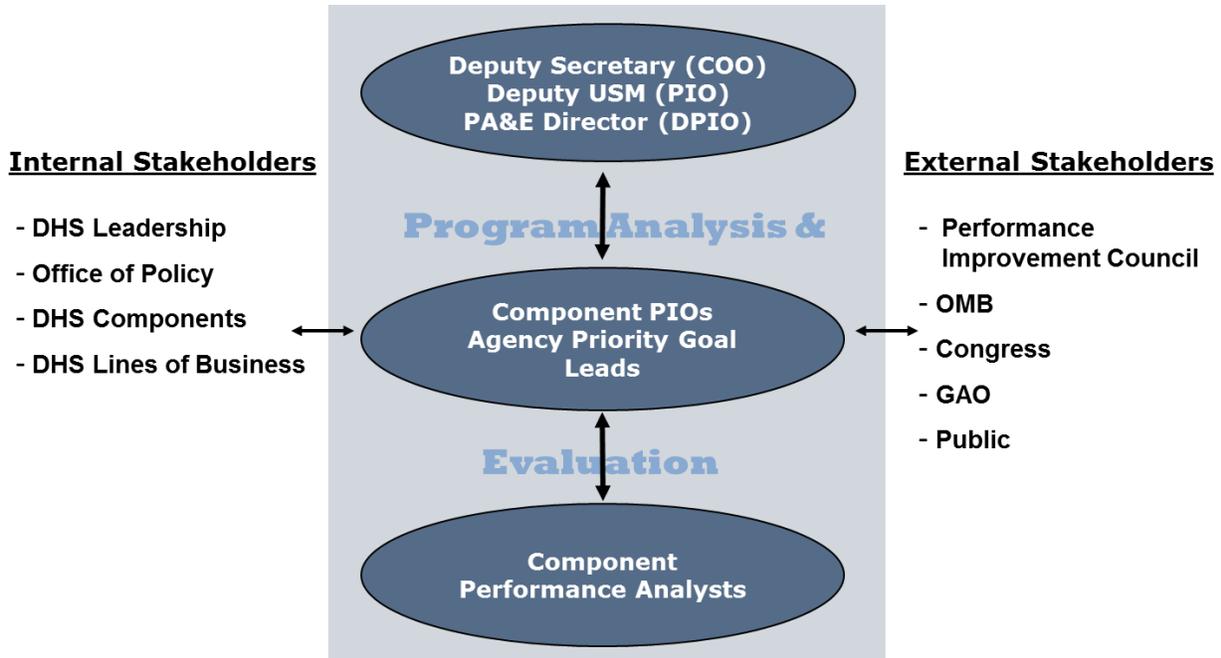


Figure 3: DHS Organizational Performance Community

Improving our Measures

With the support of leadership, PA&E initiates the annual measure improvement process to enhance our set of publicly reported measures to more effectively convey the results delivered to stakeholders. Improvement ideas are derived from several sources:

- Feedback provided by senior leadership to mature our ability to describe the value delivered by DHS;
- Component leadership and program managers desire to implement measures that are meaningful to current operations and goals;
- Suggestions from PA&E performance analysts working to fill gaps and improve quality;
- Suggestions from the Office of Management and Budget (OMB) to achieve greater visibility into program performance and connections to program resources; and
- Recommendations from other external stakeholders such as the Government Accountability Office (GAO) and Congress.

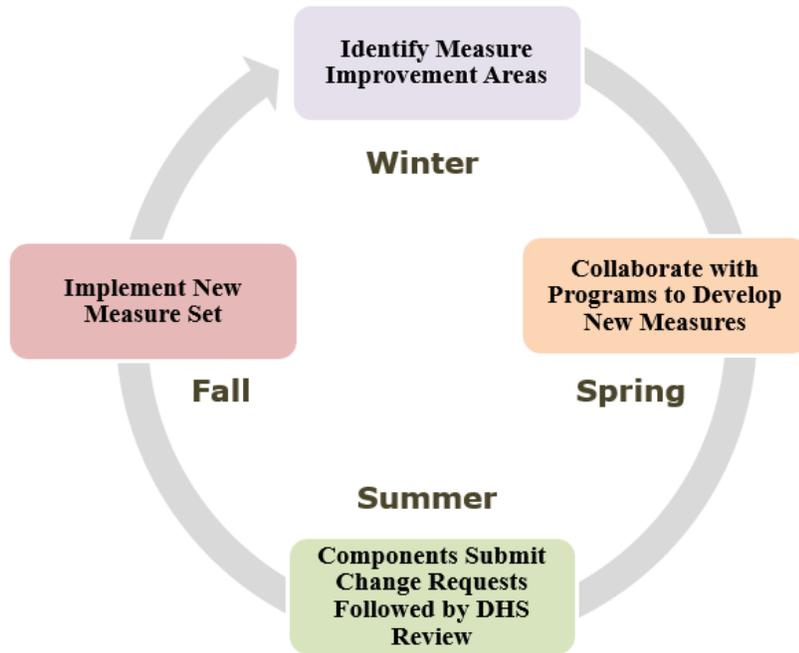


Figure 4: DHS Annual Measure Improvement Process

While measure improvement is iterative, we use an annual process to mature the breadth and scope of our publicly reported set of measures, as shown in the figure above. The process begins in the winter after implementing the new measures in the agency performance plan, to identify gaps that were not filled along with areas where improved measures are desired. This early start is ideal for it typically can take six to nine months to develop a measure depending on its complexity and scope of data collection.

To support the measure change process, DHS employs a tool known as the Performance Measure Definition Form (PMDF) that provides a structured format to operationally describe measures reported in the Department’s performance deliverables. The PMDF provides instructions on completing the data fields and includes elements such as the measure name, description, scope of data collected, where the data is stored, a summary of the data collection and computation process, and what processes exist to double-check the accuracy of the data to ensure reliability. These data fields on the form reflect GAO’s recommended elements regarding data quality. The PMDF is our change management tool to propose and review new measures, make changes to existing measures, and to retire measures planned for removal from our strategic and management measure sets.

New measure proposals, or modifications to existing measures, are developed by program managers, reviewed by Component leadership and performance offices, and submitted to DHS by June 30th each year. PA&E performance analysts work in concert with leadership to review and approve changes, which are then submitted to OMB for their review and approval. The results of this process constitute our publicly reported measures associated with our performance budget deliverables, namely our strategic and management sets of measures. These measures are published in the Department’s APR, the Overview Chapters of the Congressional Justification, and the FYHSP Report to Congress.

Verification and Validation

The Department recognizes the importance of collecting complete, accurate, and reliable performance data that is shared with leadership and external stakeholders. Performance data are considered reliable if transactions and other data that support reported performance measures are properly recorded, processed, and summarized to permit the preparation of performance information in accordance with criteria stated by management. OMB Circular A-136, *Financial Reporting Requirements*, OMB Circular A-11, *Preparation, Submission, and Execution of the Budget*, and the *Reports Consolidation Act of 2000* (P.L. No. 106-531) further delineate this responsibility by requiring agencies to ensure completeness and reliability of the performance data they report by putting management assurance procedures in place.

DHS has implemented a multi-pronged approach to effectively mitigate risks and reinforce processes that enhance the Department's ability to report complete and reliable data for performance measure reporting. This approach consists of: 1) an annual measure improvement and change control process described in the previous section using the PMDF; 2) a central information technology repository for performance measure information; 3) a Performance Measure Checklist for Completeness and Reliability; and 4) annual assessments of the completeness and reliability of a sample of our performance measures by an independent review team.

Central Information Technology (IT) Repository for Performance Measure Information

All of DHS's approved measures are maintained in the Future Years Homeland Security Program (FYHSP) System, which is a Department-wide IT system accessible to all relevant parties in DHS. The system is a modular database, with specific access controls, which allows for the management of the Department's performance plan and the capturing of performance results on a quarterly basis. The FYHSP System stores all historical information about each measure including specific details regarding: scope; data source; data collection methodology; and explanation of data reliability check. The data in the system are then used as the source for quarterly and annual Performance and Accountability Reporting. Finally, the performance data in the FYHSP System are used to populate the Department's business intelligence tools to provide real-time information to interested parties.

Performance Measure Checklist for Completeness and Reliability

The Performance Measure Checklist for Completeness and Reliability is a means for Component PIOs to attest to the quality of the information they are providing in our performance and accountability reports. Using the Checklist, Components self-evaluate key controls over strategic measure planning and reporting actions at the end of each fiscal year. Components describe their control activities and provide a rating regarding their level of compliance and actions taken for each key control. Components also factor the results of any internal or independent measure assessments into their rating. The Checklist supports the Component Head assurance statements attesting to the completeness and reliability of performance data.

Independent Assessment of the Completeness and Reliability of Performance Measure Data

PA&E conducts an assessment of performance measure data for completeness and reliability on a small number of its performance measures annually using an independent review team. This independent review team assesses selected strategic measures using the methodology prescribed in the *DHS Performance Measure Verification and Validation Handbook*, documents its findings, and makes recommendations for improvement. Corrective actions are required for performance measures that rate low on the scoring factors. The Handbook is made available to all Components to encourage the development and maturation of internal data verification and validation capabilities, increase transparency, and facilitate the review process. The results obtained from the independent assessments are also used to support Component leadership assertions over the reliability of their performance information reported in the Performance Measure Checklist and Component Head Assurance Statement.

Management Assurance Process for GPRAMA Performance Measure Information

The Management Assurance Process requires all Component Heads in DHS to assert that performance measure data reported in the Department's Performance and Accountability Reports are complete and reliable. If a measure is considered unreliable, the Component is directed to report the measure on the Performance Measure Checklist for Completeness and Reliability along with the corrective actions the Component is taking to correct the measure's reliability.

The DHS Office of Risk Management and Assurance, within the Office of the CFO, oversees the management of internal controls and the compilation of many sources of information to consolidate into the Component Head and the Agency Assurance Statements. The [Agency Financial Report](#) contains statements in the Management Assurance section attesting to the completeness and reliability of performance measure information in our Performance and Accountability Reports and that any unreliable measures and corrective actions are specifically reported in the APR.

Based on the process described above, all performance information is deemed complete and reliable except for the following measures:

- *Average number of hours to notify agency of an incident on their network from earliest detection of potentially malicious activity (CISA)*
 - Corrective Action: This measure had system and process challenges with providing valid results. This measure is being retired and replaced with the measure: *Percent of potential malicious cyber activity notifications where impacted agencies were alerted within the specified timeframe.*
- *Percent of cargo conveyances that pass through radiation portal monitors upon entering the nation via land, border, and international rail ports of entry (CWMD)*
 - Corrective Action: This measure is being retired due to a change in organizational reporting requirements. Efforts are underway to develop indicators of this activity for FY 2021 implementation.

- *Percent of containerized cargo conveyances that pass through radiation portal monitors at sea ports of entry (CWMD)*
 - Corrective Action: This measure is being retired due to a change in organizational reporting requirements. Efforts are underway to develop indicators of this activity for FY 2021 implementation.

Quarterly Performance Reporting

Quarterly reporting of the Department’s strategic and management measures is provided by Component program managers, reviewed by Component managers and performance staff, entered into the FYHSP system, and then reviewed by PA&E performance staff. Components use the information to keep their leadership abreast of measure results and progress. PA&E also prepares a Quarterly Performance Report that has visualizations of select measure results over time, along with a trend report for all measures in the strategic and management sets. These reports are shared quarterly with the DHS PIO and DPIO, posted on a DHS intranet site, and available to all DHS senior leaders and program managers to support their on-going program management activities.

Performance and Accountability Reporting

The Department follows the OMB Circular A-11 and A-136 requirements to produce the following reports to communicate key financial and performance information to stakeholders:

- DHS Agency Financial Report;
- DHS APR; and
- DHS Summary of Performance and Financial Information.

Combined, these reports comprise our annual performance and accountability reporting requirements. When published, all three reports are located on our public website at [Performance & Financial Reports](#).

Agency Priority Goals

Agency Priority Goals (APGs) are one of the tenets of GPRAMA and provide a tool for senior leadership to drive the delivery of results on key initiatives over a two-year period. Quarterly reports of progress are provided to interested parties through the OMB web site performance.gov. More detailed information on the DHS APGs is presented in [Section 3: Other Information](#).

Performance Reviews

DHS has implemented Performance Reviews as a means for senior leadership to be engaged in the management of efforts to deliver performance results relevant to stakeholders. Quarterly meetings are held with APG Goal Leads, senior leaders, subject matter experts, and performance leadership and staff to discuss current results, progress, and challenges being faced by these complex issues.

Strategic Review

DHS conducted its sixth annual review of progress in the spring of FY 2019 to coincide with the schedule agreed upon by OMB. The review serves multiple purposes for the Components, DHS leadership, and OMB: 1) it assesses progress of our implementation efforts as a means for improvement; 2) it advances the use of risk and program management practices; 3) it facilitates best practices of a learning organization by reflecting annually on where we have been and where we are going; 4) it makes key findings available to Component and DHS senior leaders to inform management and decision making; and 5) it provides feedback from Execution to Planning, Programming, and Budgeting activities.

During this past assessment, Component Assessment Teams assessed progress of the DHS mission programs using a variety of evidence to inform their conclusions. Also, DHS integrated the *Program Management Improvement Accountability Act* requirement within the Strategic Review by evaluating the level of impact major acquisitions had on program performance and their capability to support future improvements in program execution. Senior Assessment Team leaders provided written findings and met with the DHS Headquarters Review Team, led by the PIO and DPIO, to discuss their assessment. The Headquarters Review Team conducted a more detailed cross-cutting review of the assessment results, and progress ratings were discussed and agreed upon in concert with the PIO, DPIO, and senior mission program leadership. The summary of progress findings from this review are integrated in Section 2.

Progress Ratings in FY 2019

DHS used the following criteria to determine progress ratings:

- Noteworthy Progress
 - Mission programs are working effectively
 - Notable impact was delivered to stakeholders
 - Performance measures gauge relevant activities and value
 - Risks are known and managed
- Focus Area
 - Mission programs face challenges in execution
 - Strategies and actions lack impact of significant magnitude
 - Significant performance measurement gaps exist
 - Risk environment has excessive uncertainty and/or known risks exceed current mitigation strategies

If a program was neither a Focus Area nor a Noteworthy progress, its progress rating was Satisfactory. The following graph provides the progress rating for each mission program along with the programs FY 2018 enacted budget.

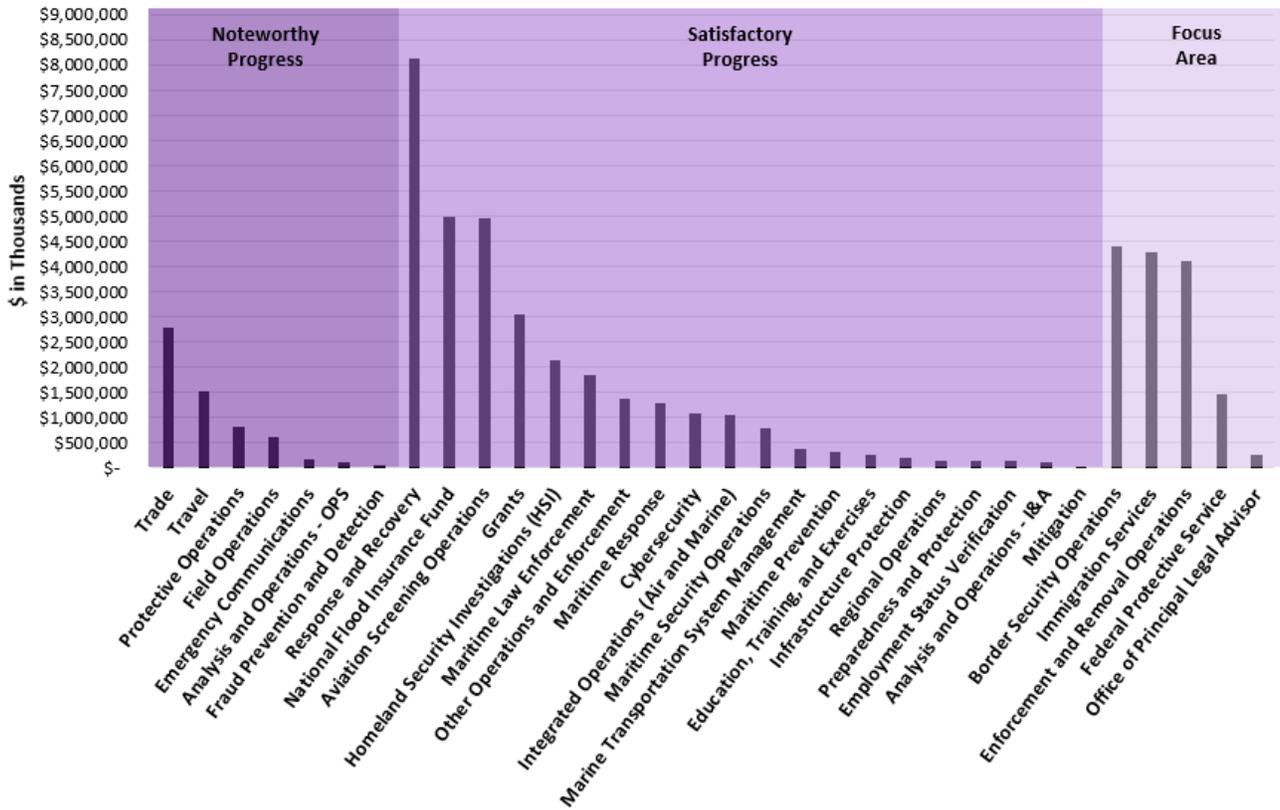


Figure 5: FY 2019 Strategic Review Ratings for Each Mission Program

Departmental Summary of Results

A review of the results at the close of FY 2019 demonstrates that 58 percent of the Department’s strategic measures met their targets as shown in the table on the next page. Upon further review, 70 percent of measures sustained or improved performance from FY 2018. The FY 2020-2021 performance plan includes a total of 98 measures, representing 25 measures that were retired from our previous performance plan and the introduction of 25 new measures.

The following chart shows that the measures meeting their target on an annual basis varied between 58 to 68 percent from FY 2011 through FY 2019. Likewise, the percent of measures that maintained or improved over the prior year ranged from 66 to 78 percent. These results are consistent with programs that set ambitious and challenging performance targets and reflect DHS’s ongoing effort to develop new measures to communicate the value delivered to stakeholders.

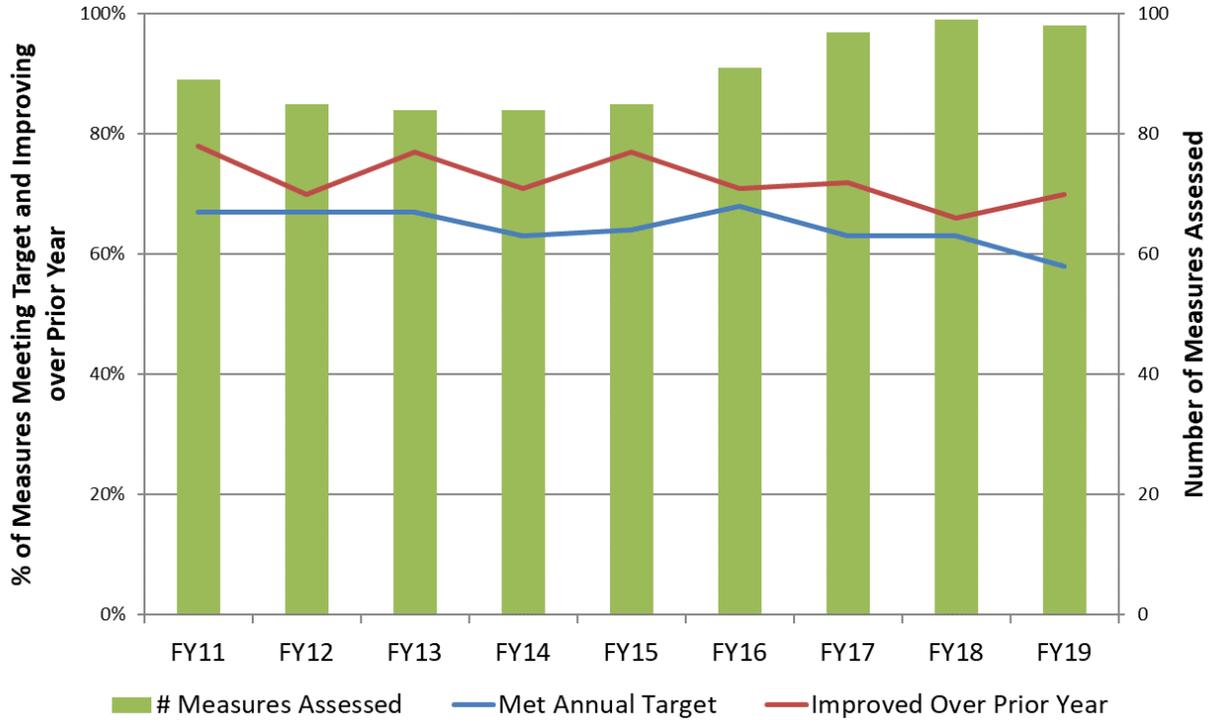


Figure 6: Percent of Measures Meeting Target and Improving over Prior Year

Section 2: Performance Report and Plan



The **Performance Report and Plan** section summarizes both the results delivered and those planned for each of our Components. Each Component section starts with an overview narrative. Next, for each mission program, a program description and a summary from the most recent strategic review are provided. Performance highlights showcase program activities and results. At the end of this section, a full accounting of all our strategic measures are provided by Component.

Operational Components

U.S. Customs and Border Protection

Overview

[U.S. Customs and Border Protection \(CBP\)](#) is one of DHS’s largest and most complex components, with a priority mission of keeping terrorists and their weapons out of the U.S. It also has a responsibility for securing and facilitating trade and travel while enforcing hundreds of U.S. regulations, including immigration and drug laws.

For each CBP mission program, a description of the mission program is provided along with its most recent summary of findings. For a full listing of CBP’s performance measure results and plan, see the “[Performance Measure Tables – Report and Plan](#)” chapter in this section.

Border Security Operations

Mission Program Goal

Secure the U.S. Border between the ports of entry.

Mission Program Description

The Border Security Operations program is charged with securing America’s Southwest, Northern, and certain Coastal borders. Through the coordinated use of the Department’s operational capabilities and assets of the U.S. Border Patrol, CBP improves operational effectiveness by working across the Department to prevent terrorists and terrorist weapons, illegal aliens, smugglers, narcotics, and other contraband from moving across the U.S. border.



The border wall provides impedance and denial capability and has been an operational requirement for the U.S. Border Patrol for many years. Today, CBP is constructing a border wall system, which includes a

combination of various types of infrastructure such as an internally hardened steel-bollard wall, new and improved roads, lighting, enforcement cameras, and other related technology.

Summary of Findings

Strategic Review Progress Rating: Focus Area

Program Execution

- Three key processes: impedance and denial; situational awareness; and law enforcement response and resolution
- The humanitarian crisis on the Southwest Border has required changes in operations with Border Patrol agents needing to engage in both traditional law enforcement activities and those associated with caring for and processing of Family Units and Unaccompanied Children
- Multiple investments are intended to enhance capabilities for situational awareness and impedance and denial, including Remote and Mobile Video Surveillance, Integrated Fixed Towers, and systems of physical barriers

Impact

- The interdiction effectiveness rate is higher than historical results; however, the rate does not differentiate between those who voluntarily surrender and those who attempt to evade interdiction
- Leveraging other agency support (e.g., National Guard) has assisted in securing the border, but it is a temporary remedy
- Additional measures to augment sector-specific Operational Control (OPCON) measures are needed

Did you know?

When constructing border wall, CBP works closely with impacted stakeholders to mitigate impacts to the greatest extent practicable. While the operational requirement dictates the alignment, it is in Department’s best interest to work closely with the communities our agents serve.

Challenges and Risks

- Gaps in enforcement capabilities create opportunities for exploitation by nefarious actors and make improvements in OPCON difficult
- Border Patrol detention facilities were not designed for families/young children, and many migrants require medical care that incurs costs and occupies agent hours
- Agent staffing shortages present ongoing challenges
- Risks are the needed improvements to physical barriers along the Southern Border, the required humanitarian duties outside the Border Patrol’s statutory law-enforcement mission, and how the diversion of already limited resources to nontraditional duties negatively impact OPCON

Key Measure

Prior Results				FY 2019		Performance Plan	
FY 2015	FY 2016	FY 2017	FY 2018	Target	Result	FY 2020	FY 2021
Rate of interdiction effectiveness along the Southwest Border between ports of entry							
81.0%	82.7%	78.9%	79.7%	81%	86.3%	81%	81%

Additional Information: The Border Patrol uses this measure as an important indicator of the effectiveness of law enforcement and response efforts at apprehending detected illegal border crossers and is a key indicator of the status of having OPCON over the U.S. border.

Integrated Operations

Mission Program Goal

Sustain domain awareness through command and control, coordination, information and situational awareness, and occupational health and safety operations.

Mission Program Description

The Integrated Operations Program provides: Air and Marine Operations support to the Border Patrol’s detection and interdiction roles; International Affairs cooperation across all missions;

Intelligence and information sharing for operations and investigations; and overall operations support for systems, training, firearms, and credentialing.

Summary of Findings

Strategic Review Progress Rating:
Satisfactory

Program Execution

- Four key processes: domain awareness; interdiction; contingency operations; and national taskings
- The program operates the Air and Marine Operations Center in Riverside, California to track suspect airborne and maritime activity at, beyond, and within U.S. borders, and coordinates federal law-enforcement responses to these activities
- The program has historically been appropriated for between 92,000 and 95,000 flight hours/year (dependent on varying operating costs such as fuel prices) for operations in partnership with U.S. Border Patrol, Joint Interagency Task Force–South, and other federal, state, and local law enforcement and emergency response agencies
- The Tethered Aerostat Radar System deployed along the southwestern border provides radar surveillance capability
- Acquisitions to improve integrated capabilities include the Multi-role Enforcement Aircraft, Unmanned Aircraft Systems and their Ground Control Systems

Impact

- Completed approximately 50,000 flight hours annually in partnership with Border Patrol conducting border security activities
- Completed nearly 5,000 flight hours in collaboration with U.S. Southern Command's Joint Interagency Task Force—South, which provides unified command and control of drug interdiction in the Western Hemisphere
- Provided air support for hurricane search, rescue, and humanitarian assistance

Challenges and Risks

- Demands for domain awareness exceed resources yet no risk-based approach for determining how to best meet customer needs currently exists
- Rising fuel prices constrain annual flight-hours
- The lack of performance measure data to inform the results delivered by the programs are also a challenge
- Risks focus on the ability to recruit and retain high-quality front-line and support personnel; and modernizing the program's aircraft/vessels, information sharing systems, infrastructure, and domain awareness capabilities



CBP's Air and Marine Operations (AMO), Caribbean Air and Marine Branch (CAMB), has seen a substantial uptick in currency seizures in their AOR. Agents from the CAMB, working in coordination with taskforces, Puerto Rican law enforcement, and inter-agency partners seized \$17,595,809 in illicit currency in FY 2019. This is a 1,223% increase in seized currency from FY 2018, when they seized \$1,329,463. Seven incidents resulted in individual seizures totaling more than one million dollars, with the largest seizure topping out at \$3.8M in seized currency.

Key Measure

Prior Results				FY 2019		Performance Plan	
FY 2015	FY 2016	FY 2017	FY 2018	Target	Result	FY 2020	FY 2021
Percent of detected conventional aircraft incursions resolved along all borders of the United States							
99.3%	99.7%	97.9%	100%	98.5%	99.1%	98.5%	98.5%

Additional Information: The measure represents the percent of conventional aircraft suspected of illegal cross border activity based on visual or sensor data available to the program which are then apprehended or turned back successfully. Detecting aircraft incursions contributes to the operational control of the U.S. border.

Trade Operations

Mission Program Goal

Enhance the security of trade by intercepting potential threats at or before the border.

Mission Program Description

U.S. Customs and Border Protection has direct responsibility for enhancing U.S. economic competitiveness. By reducing costs for industry and enforcing trade laws against counterfeit, unsafe, and fraudulently entered goods, CBP is working to enable legitimate trade, contribute to American economic prosperity, and protect against risks to public health and safety.



CBP oversees and processes more than 33 million declared imports through automated systems each year, averaging more than one shipment per second every day. Leveraging partnerships and legal authorities and emphasizing legitimate trade, revenue collection and advanced enforcement capabilities enable 98% compliance with U.S. trade laws. CBP operations significantly impact the U.S. economy—for every dollar invested in regulatory compliance, technology transformation and enforcement of import laws, an estimated \$96 is gained in the American economy—benefiting producers, manufactures and government.

Summary of Findings

Strategic Review Progress Rating: Noteworthy Progress

Program Execution

- Five key processes: process imports; scan cargo; collect fees, duties and fines; reviews, audits, and inspections; and foster partnerships
- Built a risk-based/multi-layered security approach through partnerships with other Federal agencies and industry
- Coordinated the processing of thousands of new item exclusions with the Department of Commerce and the Office of the U.S. Trade Representative resulting from Administration trade policy priorities
- Acquisition enhancements to the Automated Commercial Environment system supported capabilities required by the Trade Facilitation and Trade Enforcement Act and automated all phases of cargo processing

Impact

- Collected more than \$80 billion in duties, taxes, and other fees while processing more than \$2.5 trillion in imports
- For every dollar invested in Trade enforcement and facilitation, nearly \$96 is returned to the U.S. economy
- Effectively used non-intrusive inspection technologies and risk-based detection to process cargo, commercial conveyance, and vehicle inspections at points of entry, resulting in significant cost avoidance for the program and industry
- Seized tens of thousands of shipments with Intellectual Property violations

Did you know?

CBP is pursuing a legal and operational framework that embraces a 21st Century Customs Framework trade environment. This new framework seeks to develop emerging technologies to enhance trade flows, ensure national economic security, and reduce financial constraints and administrative burdens in customs transactions.

Challenges and Risks

- Challenges consist of the ability to rapidly respond to changes in U.S. Trade policy
- The growth in e-commerce and mail consignment necessitates continually adapting fraud and dangerous goods detection and collection strategies
- Risks are focused on enhancing intelligent trade enforcement capabilities to disrupt illicit commercial networks and enforce trade laws; and adopting simplified processes, automation enhancements, and innovative policies and operations

Key Measure

Prior Results				FY 2019		Performance Plan	
FY 2015	FY 2016	FY 2017	FY 2018	Target	Result	FY 2020	FY 2021
Percent of imports compliant with U.S. trade laws							
98.89%	99.18%	99.38%	98.72%	97.50%	98.37%	97.50%	97.50%

Additional Information: Ensuring all imports’ legal compliance with all trade regulations, and that their entry records contain no major discrepancies, facilitates lawful trade into the United States.

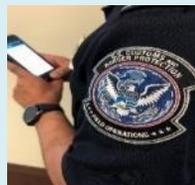
Travel Operations

Mission Program Goal

Enhance the security of travel by intercepting potential threats at or before the border.

Mission Program Description

CBP officers welcome international travelers into the U.S. In screening both foreign visitors and returning U.S. citizens, CBP uses a variety of techniques to assure



CBP continues to leverage technology to enhance communication and streamline the inspection process at ports of entries. The Officer Mobility Pilot has deployed approximately 1,000 smartphones to several international border crossings and airports around the country where CBP Officers will have an opportunity to test new applications loaded on the device and incorporate mobile devices into their daily workflow.

that global travel and tourism remain safe and strong. Descriptions of CBP processes and programs are available for first-time and frequent travelers.

Summary of Findings

Strategic Review Progress Rating: Noteworthy Progress

Program Execution

- Three key processes: screening of crew members, passengers, and vehicles; enforcing immigration laws; and creating and maintaining partnerships
- Leveraged partnerships, technology, and innovation to drive improvements in non-intrusive screening
- Maintained wait times at ports of entry by implementing Business Transformation Initiatives and expanding deployment of biometric identification systems
- Established the National Vetting Center to process biographic, biometric, and contextual information using intelligence and law-enforcement information
- Acquisitions for Land Border Integration leverage and integrate License Plate and RFID readers, tablets, and data to significantly decrease vehicle and pedestrian processing times and reduce secondary referrals

Impact

- Facilitated movement of more than one million travelers/day at 328 ports of entry while executing hundreds of enforcement actions/day against inadmissible travelers
- Global Entry enrollment has increased, supporting a corresponding reduction in wait times
- Ready Lane usage continues to increase, reducing staffing hours and improving wait times
- Implemented Advanced Electronic Data Targeting with the U.S. Postal Service to improve fentanyl interdiction by mail

Did you know?

A new agreement between CBP and Ireland facilitates additional services for increased travel between the U.S. and Ireland and improves safety measures for CBP officers in country. Preclearance operations have become the gateway to economic prosperity between Ireland and the United States, with Ireland becoming the trans-Atlantic hub of Europe.

Challenges and Risks

- Challenges exist in keeping up with the changing demographics of immigration flows that are significantly impacting land ports of entry
- The rapidly changing and ever-increasing level of travel presents ongoing challenges to ensuring security while delivering service expected by partners/customers
- Risks focused on effectiveness of staffing activities to address growing volume of travel demands, and the ability to mitigate physical space constraints needed for operations using technologies, expansions, or other efforts at air and land ports of entry

Key Measure

Prior Results				FY 2019		Performance Plan	
FY 2015	FY 2016	FY 2017	FY 2018	Target	Result	FY 2020	FY 2021
Percent of international air passengers compliant with all federal, state, and local laws and regulations*							
98.1%	98.3%	99.5%	98.5%	98%	98.4%	98%	98%

* This measure was moved from the Department’s Management Set to be included in the FY 2020 to FY 2021 Performance Plan.

Results Explanation: This measure shows success at maintaining a high level of security in the international air environment through passengers' compliance with all federal, state, and municipal laws and regulations.

Cybersecurity and Infrastructure Security Agency

Overview

[Cybersecurity and Infrastructure Security Agency](#) (CISA) leads the national effort to defend critical infrastructure against the threats of today, while working with partners across all levels of government and in the private sector to secure against the evolving risks of tomorrow.

For each CISA mission program, a description of the mission program is provided along with its most recent summary of findings. For a full listing of CISA’s performance measure results and plan, see the “[Performance Measure Tables – Report and Plan](#)” chapter in this section.

Cybersecurity

Mission Program Goal

Improve the security of federal civilian government and private sector Information Technology networks.

Mission Program Description

The Cybersecurity program advances computer security preparedness and the response to cyberattacks and incidents. The program includes activities to secure the federal network, respond to incidents, disseminate actionable information, and collaborate with private-sector partners to secure critical infrastructure. This program supports the implementation of government-wide deployment of hardware and software systems to prevent and detect incidents, response to incidents at federal and private entities, and collaboration with the private-sector to increase the security and resiliency of critical networks. The program also coordinates cybersecurity education for the federal workforce.



For months prior to the 2018 midterm elections, DHS provided risk & vulnerability assessments to state and local governments to help them harden their election registration and reporting systems against cyber-attacks. Leading up to the election day, DHS worked with state and local officials to provide them with the necessary information to make security enhancements to their election infrastructure. The DHS-provided risk and vulnerability assessments helped election officials to better understand vulnerabilities to their systems to prioritize actions and investments to make the election more secure.

Summary of Findings

Strategic Review Progress Rating: Satisfactory

Program Execution

- Three key processes: delivering material solutions; performing operations; and executing governance
- Binding Operational Directives (BOD) were issued to guide the response, management, and prioritization of risks to agency systems
- Nineteen cybersecurity training exercises were conducted for federal entities to improve federal network protection
- The Continuous Diagnostics and Mitigation (CDM) and National Cybersecurity Protection System (NCPS) Programs continue to provide key detection and mitigation capabilities in the federal .gov domain

Impact

- CDM increased at targeted agencies with more than 30 agencies exchanging data with the Federal Dashboard
- Asset management tools were deployed to nearly two million federal accounts to strengthen account management risk identification
- CISA facilitated the mitigation of more than 100,000 vulnerabilities reported through cyber hygiene vulnerability scans

Did you **know?**

The DHS National Cybersecurity Assessments and Technical Services (NCATS) team provides free cybersecurity assessments to facilitate the identification of risk for the purpose of protecting the Nation’s election cyber infrastructure.

Challenges and Risks

- Challenges include the lack of agency structures and capabilities to provide adequate defense at the pace of cyber, and the ability of mission support processes (contracting, human resources, clearance/suitability) to keep pace with demands
- Inadequate governance and enforcement mechanisms to manage federal enterprise risk
- Major risks are associated with the need to conduct integrated management of the .gov enterprise and the ability to operationalize information capabilities to enable a defensive cyber posture across the .gov enterprise

Key Measure

Prior Results				FY 2019		Performance Plan	
FY 2015	FY 2016	FY 2017	FY 2018	Target	Result	FY 2020	FY 2021
Percent of critical and high vulnerabilities identified through cyber hygiene scanning mitigated within the designated timeline*							
---	---	---	52%	70%	59%	70%**	75%

* Measure name changed from: Percent of significant (critical and high) vulnerabilities identified by DHS cyber hygiene scanning of federal networks that are mitigated within the designated timeline

** Target previously published at 75% in last year’s APR. Targets revised to be in line with historical results.

Additional Information: DHS provides cyber hygiene scanning to agencies to identify vulnerabilities. Identifying and mitigating vulnerabilities on a network in a timely manner is a critical component of an effective cybersecurity program.

Explanation and Corrective Action: During the first half of the year, BOD 15-01 was still in place, and the mitigation timelines were not aligned with the standards for this measure. The issuance of BOD 19-02 on April 29, 2019, formally established updated mitigation timelines of 15 days for critical vulnerabilities and 30 days for high vulnerabilities. Since BOD 19-02 implementation, the compliance rate has increased substantially, and DHS expects performance to continue to improve in FY 2020.

Emergency Communications

Mission Program Goal

Advance federal, state, local, and tribal government interoperable emergency communications.

Mission Program Description

The Emergency Communications program is responsible for ensuring the Nation's interoperable emergency communications capabilities to enable first responders and government officials to communicate during steady state and emergency operations.



CISA partnered with the National Council of Statewide Interoperability Coordinators to develop 25 State Interoperability Markers. States and territories use these markers to conduct a self-assessment, resulting in a national view of communications interoperability. This information will help states and territories identify gaps to inform strategic and financial planning. In addition, the data enables CISA to tailor technical communications assistance to states and territories.

Summary of Findings

Strategic Review Progress Rating: Noteworthy Progress

Program Execution

- One key process: providing priority telecommunications services to the public safety and national security and emergency preparedness community
- Effectively managed complex technical evolution from legacy circuit-switched to packet-switched technology
- Focused on expanding the program's capabilities to support more emergency preparedness users, including public safety users
- Managed the Next Generation Network-Priority Services (NGN-PS) acquisition that will ensure priority of national security and emergency calls over the carriers' upgraded networks

Impact

- Annual growth rate of subscribers continues to grow across federal, state, local, territorial, tribal, and critical private sector National Security and Emergency Preparedness (NS/EP) personnel
- Provided priority services for hundreds of thousands of national security and emergency calls

Challenges and Risks

- Challenges experienced were related to maintaining the legacy circuit-switched technology while evolving to packet-switched technology and addressing contractual and testing issues of next-generation capabilities
- Risks include significant service gaps and/or degradation if carriers transition from circuit-switched to Internet-protocol packet-switched networking technologies faster than NGN-PS services are deployed, potential interoperability issues from operating in a hybrid environment, and inadequate project staff to support expanded user community

Key Measure

Prior Results				FY 2019		Performance Plan	
FY 2015	FY 2016	FY 2017	FY 2018	Target	Result	FY 2020	FY 2021
Percent of calls by National Security/Emergency Preparedness users that DHS ensured were connected*							
99.3%	99.0%	99.3%	99.1%	99%	99.5%	99%	99%

* Measure name changed from: *Percent of calls made by National Security/Emergency Preparedness users during emergency situations that DHS ensured were connected.*

Additional Information: By ensuring the connection of calls for first responders and government officials during a disaster, DHS contributes to a national effective emergency response effort.

Federal Protective Service¹

Mission Program Goal

Mitigate risk to federal facilities and their occupants.

Mission Program Description

The Federal Protective Service protects federal facilities, their occupants, and visitors by providing law enforcement and protective security services. The program provides uniformed law enforcement and armed contract security guard presence, conducts facility security assessments, and designs countermeasures for tenant agencies in order to reduce risks to federal facilities and occupants.



The Federal Protective Service (FPS) provides integrated security and law enforcement services to more than 9,500 federal facilities nationwide. These services include: conducting facility security assessments; responding to crimes and other incidents to protect life and property; and detecting, investigating, and mitigating threats.

Summary of Findings

Strategic Review Progress Rating: Focus Area

Program Execution

- Two key processes: Facility Security Assessments (FSAs) and facility protection which includes dispatch and communications

¹ FPS moved to the Under Secretary for Management on October 1, 2019. The Department is reporting FPS under CISA since they were active under CISA for FY 2019.

- Nation-wide mission supported by Law Enforcement Officers (LEOs), Protective Security Officers, and FPS’ four MegaCenters
- Met standards set by the Interagency Security Committee (ISC) to complete FSAs

Impact

- The program physically tested countermeasures and verified security procedures for the highest risk facilities as planned
- Deployed the Rapid Protection Force and provided security during protests, building of border wall prototypes, high profile trials, and at southern border ports of entry

Challenges and Risks

- Reliance on manual reporting and case management processes and lack of continuous monitoring capabilities at federal facilities presents operational challenges
- Risks focus on the lack of networked technical countermeasures at federal facilities to provide real-time situational awareness and the lack of an adequate police dispatching capability to respond adequately to emergencies

Key Measure

Prior Results				FY 2019		Performance Plan	
FY 2015	FY 2016	FY 2017	FY 2018	Target	Result	FY 2020	FY 2021
Percent of Facility Security Committee Chairs (or designated officials) satisfied with the level of security provided at federal facilities							
---	---	77%	80%	80%	84%	81%	82%

* This measure is being moved from the strategic set to the management set of measures.

Additional Information: This measure assessed the effectiveness of protection and security services provided by the FPS at federal buildings and other locations through surveying overall customer satisfaction. This helped FPS to make better informed decisions to enhance the services it provided to its tenants.

Infrastructure Security

Mission Program Goal

Increase our partners’ capability and capacity to strengthen and secure the Nation’s critical infrastructure.

Mission Program Description

The Infrastructure Security program leads and coordinates both regulatory and voluntary national programs and policies on critical infrastructure security and resilience and develops strong partnerships across government and the private sector. The program conducts and facilitates vulnerability and consequence assessments to help critical infrastructure owners and operators and state, local,



In June 2019, the Cybersecurity and Infrastructure Security Agency (CISA) National Risk Management Center (NRMC) hosted “Tabletop the Vote,” a three-day exercise to assist stakeholders in identifying election security best practices and improving cyber-incident preparedness, response, and recovery. Former DHS Acting Secretary Kevin McAleenan, CISA Director Chris Krebs, interagency representatives, and 47 states, the District of Columbia, and the U.S. Virgin Islands participated in the virtual event.

tribal, and territorial (SLTT) partners to understand and address risks to critical infrastructure. Additionally, it sets standards, and issues guidance and best practices for federal facility security and offers soft targets and crowded places tools and training to help build capacity to manage risks.

Summary of Findings

Strategic Review Progress Rating: Satisfactory

Program Execution

- Three key processes: federal facility security; infrastructure security and resilience assessments; soft targets and crowded places preparedness; and information sharing
- The ISC updated documentation on threats facing federal facilities and executed a limited rollout of its Compliance System to 11 Departments and Agencies
- CISA Active Shooter Preparedness Program prepared organizations for active shooter incidents while the Office for Bombing Prevention updated and expanded its products
- Improved infrastructure vulnerability and consequence knowledge of infrastructure assessment participants, improving their ability to manage risks through security and resilience investments
- Merged watch operations enabling an all-source “situation room” during the 2018 mid-term elections

Did you know?

The Federal School Safety Clearinghouse is a DHS-led initiative with two elements launched in 2019: 1) A SchoolSafety.gov website with school security resources and programs; and 2) A new method for the Federal Government to assess, identify, share, and facilitate the development and use of best practices, technologies, innovations, guidance, and training on school security.

Impact

- Hundreds of trainees participated in one or more of the thousands of online courses to increase federal facility security
- Performed hundreds of security and resilience assessments on critical infrastructure assets, systems, and regional networks while continuing to mature and expand its service offerings
- Dozens of active shooter preparedness workshops were conducted with thousands of participants to inform decision-making and enhance resilience
- Bombing prevention courses offered are now certified and recognized by the International Association of Emergency Managers
- Multiple high-profile events mitigated their risks

Challenges and Risks

- ISC’s personnel vacancy levels pose challenges to publishing guidance, producing in-depth training, and enhancing information sharing
- The demand for assistance related to bombing prevention and soft targets/crowded places is larger than can be supported
- Data center integration fusing information during incident response is needed
- Risks focus on addressing threats and countermeasures related to soft targets and crowded places to ensure stakeholders are better prepared and improving the timeliness and transparency of hiring practices to address manpower shortfalls

Did you know?

The NRMCM completed a far-reaching partnership effort in 2019 with the critical infrastructure community to finalize the initial set of 55 National Critical Functions that are so vital to the United States that their disruption would have a debilitating effect on security, national economic security, national public health or safety. The impact of this effort will evolve the nations risk management efforts to better address system-wide and functional risks building upon the legacy focus on critical infrastructure assets and organizations.

Key Measure

Prior Results				FY 2019		Performance Plan	
FY 2015	FY 2016	FY 2017	FY 2018	Target	Result	FY 2020	FY 2021
Percent of facilities that are likely to integrate vulnerability assessment or survey information into security and resilience enhancements							
---	---	92%	87%	85%	88%	85%	85%

Additional Information: This measure demonstrates the percent of facilities that are likely to enhance their security and resilience by integrating Infrastructure Security vulnerability assessment or survey information. Providing facilities with vulnerability information allows them to understand and reduce risk of the Nation's critical infrastructure.

Federal Emergency Management Agency

Overview

The [Federal Emergency Management Agency](#) (FEMA) supports our citizens and first responders to ensure that as a Nation, we work together to build, sustain, and improve our capability to prepare for, protect against, respond to, recover from, and mitigate all hazards.

For each FEMA mission program, a description of the mission program is provided along with its most recent summary of findings. For a full listing of FEMA’s performance measure results and plan, see the “[Performance Measure Tables – Report and Plan](#)” chapter in this section.

Education, Training, and Exercises

Mission Program Goal

Improve the knowledge, skills, and abilities of emergency management personnel to prepare, respond, and recover from disasters of all kinds.

Mission Program Description

The Education, Training, and Exercises program comprises the National Exercise Program and the National Training and Education Division, which include the Emergency Management Institute, the Center for Domestic Preparedness, and the U.S. Fire Administration. These entities provide emergency management, response and recovery training, and exercise coordination to improve the knowledge, skills, and abilities of federal and state, local, tribal, and territorial emergency management personnel.

Summary of Findings

Strategic Review Progress Rating: Satisfactory

Program Execution

- Two key processes: provide training and conduct exercises for the emergency management community
- Led the biennial National Level Exercise (NLE) which is the principal mechanism for validating core capabilities for preparedness
- Began efforts to integrate the Community Lifelines concept into all program operations to improve the way community stabilization is assessed after a disaster
- Developed a consolidated training evaluation and feedback form to standardize evaluation of training delivered to over 2 million students annually



In June of 2019, FEMA's Center for Domestic Preparedness (CDP) trained more than 700 healthcare professionals from across Puerto Rico over the course of two weeks. The CDP conducted

the training at the request of the government of Puerto Rico to improve the ability of healthcare administrators and workers to respond to disasters. It was the second time the CDP conducted training in Puerto Rico since it was struck by hurricanes Irma and Maria in 2017.

Did you know?

In FY 2019, students completed over two million courses through the Emergency Management Institute's Independent Study Program.

Impact

- Executed the National Level Exercise that involved thousands of participants from federal, state, local, and private sector organizations which led to over 30,000 people downloading the FEMA App, over 100,000 clicks to hurricane preparedness resources, and over 400,000 individuals participating in personal preparedness activities and accountability drills
- Requests for training and exercises increased from SLTT partners with more than 30 exercises supported
- Fire Academy training was delivered to more than 100,000 students and rated exemplary based on feedback by attendees' supervisors

Challenges and Risks

- Private sector coordination identified as challenge on After Action Report for NLE specifically on: 1) housing needs; 2) assessing potential impacts to critical infrastructure; and 3) risk mitigation and stabilization
- Risks include correctly aligning identified capability gaps in the most recent Threat Hazard Identification and Risk Assessment with training exercises, and effectively integrating the Community Lifelines work across education, training, and exercises to SLTT partners

Key Measure

Prior Results				FY 2019		Performance Plan	
FY 2015	FY 2016	FY 2017	FY 2018	Target	Result	FY 2020	FY 2021
Percent of supervisors of students trained who believe their staff are better prepared as a result of National Fire Academy training*							
90.0%	90.9%	85.2%	90.9%	87%	89.4%	87%	87%

* This measure was moved from the Department’s Management Set to be included in the FY 2020 to FY 2021 Performance Plan.

Additional Information: This measure assesses the increase in the capability of students trained as reported by each individual’s first-line supervisor.

Grants

Mission Program Goal

Enhance the Nation's preparedness by increasing the capability of states, territories, and local jurisdictions to prepare, respond, and recover from disasters of all kinds.

Mission Program Description

FEMA’s Grants program leads the Federal Government’s financial assistance to state and local jurisdictions and regional authorities as they prepare, respond to, and recover from all hazards. The program provides grants to enhance jurisdictions’ resiliency to man-made and other major disasters, to support communities and individuals respond to and recover from disasters and enhance their homeland security strategies.



The Grants Management Modernization (GMM) investment effort, led by the Grants Programs Directorate (GPD), successfully completed the “Panel Reviews” process in the FEMA Grants Outcomes (GO) module. GMM supported Panel Reviews for the Assistance to Firefighters Grants and deployed a new capability that streamlined the panel review processes in the new grants system, FEMA GO. Reviews included the Staffing for Adequate Fire and Emergency Response grants and the Fire Prevention & Safety grants.

Summary of Findings

Strategic Review Progress Rating: Satisfactory

Program Execution

- Three key processes: provide guidance/technical assistance/funding for preparedness and response grants

- Established the Grants Management Executive Steering Group oversight body to help remediate audit findings
- Streamlined the approach to the issuance of funding notices and working to integrate another layer of oversight
- Issued the Grants Management Manual as the single source for disaster and non-disaster grants management and created the Grants Roadmap project management tool
- GMM will consolidate nine systems to a single grants management solution, but contract protests and new data standards impacted the development schedule

Did you **know?**

Fire Prevention and Safety Research and Development Grants provide funding to research institutions and fire service partners to support projects that reduce injuries and improve firefighter safety, health, and wellness. Over \$100 million in R&D grants have been awarded since 2005.

Impact

- Hundreds of thousands of Individual Assistance Customer Payments were made within designated timeframe from application submission with nearly a 90% accuracy rate
- Developed a Grants Accountability Measures Dashboard to gauge effectiveness of various grants processes and better manage and prioritize grants processes

Challenges and Risks

- Challenges exist, as noted by the OIG and the GAO, in Disaster Relief Fund’s (DRF) oversight and accountability by grant recipients, and ensuring that those grant recipients provide adequate monitoring or technical assistance to sub-grantees
- Additionally, auditors identified multiple internal control weaknesses related to grant management
- Risks focus on GMM's ability to meet cost and schedule milestones and the ability to implement proper grant management financial internal controls with adequate technical assistance to grantees

Key Measure

Prior Results				FY 2019		Performance Plan	
FY 2015	FY 2016	FY 2017	FY 2018	Target	Result	FY 2020	FY 2021
Percent of funds provided to state, local, tribal, territorial, and other federal agencies for which data sets have been made publicly available and machine readable*							
---	---	---	---	72%	76%	78%	84%

* This measure was moved from the Department’s Management Set to be included in the FY 2020 to FY 2021 Performance Plan.

Additional Information: This measure tracks the grant data sets that have been made publicly available and are machine readable to ensure full public transparency on public websites such as USA Spending.

Mitigation

Mission Program Goal

Strengthen mitigation nationwide to reduce the Nation's vulnerability from disasters of all kinds.

Mission Program Description

The Mitigation program works to strengthen investments in mitigation nationwide to reduce the Nation's vulnerability to natural disasters or other emergencies, and to facilitate adoption and enforcement of up-to-date design and construction practices through state and local building codes. Developing resilient capacity in communities prior to a disaster supports the development of a culture of preparedness. The program supports activities that result in sound risk management decisions by individuals, the private sector, and public-sector entities by promoting three core activities: risk analysis, risk reduction, and insurance against flood risk. These areas work together to reduce the loss of life and property, to enable individuals to recover more rapidly from floods and other disasters, and to lessen the financial burden on taxpayers. These activities are implemented at the Headquarters and Regional levels to support communities in mitigation efforts.



On August 13, 2019 FEMA and its federal partners released the National Mitigation Investment Strategy. The Investment

Strategy provides a national approach to investments in mitigation activities and risk management across all government, private, and non-profit sectors.

Recommendations proposed in the Investment Strategy will reduce loss of life and injuries, damage to property, and negative impacts to the economy and the environment, as we lead the community in building a more resilient future.

Summary of Findings

Strategic Review Progress Rating: Satisfactory

Program Execution

- Three key processes: provide guidance/technical assistance/funding for the Pre-Disaster Mitigation program and the Hazard Mitigation Grant Program
- Provided classroom and online training sessions on benefit-cost analysis to improve mitigation plans
- Designing the Building Resilient Infrastructures Communities program to incorporate effective evaluation and reporting tied to the DRF
- Continued collaboration with SLTT partners to adopt building codes in areas that are more disaster prone
- Grants Management Modernization will provide a single grants management solution that is compliant with Data Act governance requirements

Impact

- Mitigation investment increased due to more communities being qualified for grants through the adoption of hazard mitigation plans
- Updated the Puerto Rico Building Code to strengthen hazard-resistant provisions and require storm shelters in critical facilities as they rebuild following Hurricane Maria

- Developed a simplified tool to assist applicants with conducting a benefit-cost analysis to validate mitigation projects

Challenges and Risks

- Applicants must have approved mitigation plans to be eligible to apply for either of these grant programs which can be challenging due to the complexity of the benefit-cost analysis
- Challenges also exist when there are shortened timeframes for SLTT partners to prepare funding proposals due to funding uncertainties, along with satisfying the local cost share requirement
- States also often feel challenged when required to develop project applications post-disaster while recovery efforts are also underway
- Risks focus on the need to prioritize pre-disaster mitigation investments to reduce rebuilding efforts and fostering the adoption of disaster-resistant building codes

Key Measure

Prior Results				FY 2019		Performance Plan	
FY 2015	FY 2016	FY 2017	FY 2018	Target	Result	FY 2020	FY 2021
Percent of U.S. population (excluding territories) covered by planned mitigation strategies							
80.8%	81%	82.1%	87.3%	85%	87.0%	85%	85%

Additional Information: Mitigation planning helps communities reduce risk through sound land-use planning principles, floodplain management practices, and financial assistance.

National Flood Insurance Fund

Mission Program Goal

Reduce the Nation's vulnerability to flood hazards, accelerate recovery from floods, and mitigate future flood losses.

Mission Program Description

The National Flood Insurance Fund aims to reduce the impact of flooding on privately owned property by mapping areas of flood risk, providing flood insurance, encouraging communities to adopt and enforce sound floodplain management regulations, and paying claims. The program also provides technical assistance and monitors communities for compliance with the minimum National Flood Insurance Plan (NFIP) criteria. These actions reduce risk from flooding, accelerate recovery efforts, and mitigate future flood losses.



FEMA's reinsurance program transferred \$2.12 billion of the NFIP's flood risk ahead of the 2019 hurricane season to the private sector. If a catastrophic flood event triggers the reinsurance payments, the NFIP will have additional ways to fund payment of flood claims.

Summary of Findings

Strategic Review Progress Rating: Satisfactory

Program Execution

- Three key processes: processing claims; paying insured survivors; and evaluating services

FY 2019-2021 Annual Performance Report

- Implemented a robust risk management program and appointed a Chief Risk Officer for better alignment of strategy, goals, risks, and performance
- Transferred some solvency risks through securing reinsurance coverage, diversifying its reinsurance partners, and expanding its flood insurance products to consumers
- Continuously engaged with Write-Your-Own (WYO) companies, adjuster workforces, as well as independent agents, to ensure a customer-focused response and the ability to accept and process more claims
- Improving the customer experience through a new system (PIVOT) that will greatly enhance transaction turnaround times and include data analytics capabilities

Impact

- Improved the customer experience to ensure that insured survivors received payments faster while processing tens of thousands of claims resulting in more than \$1 billion in payments
- Initiated efforts to raise public awareness about the risks of flooding and the advantages of having insurance coverage

Challenges and Risks

- Challenges include the long-term solvency of the program and the lack of a long-term program authorization that creates instability within the program and with partners that help administer the policies
- Risks identified include the ability to handle losses from catastrophic flood events and selling more flood insurance policies to cover potential hazards and enable rapid recovery

Key Measure

Prior Results				FY 2019		Performance Plan	
FY 2015	FY 2016	FY 2017	FY 2018	Target	Result	FY 2020	FY 2021
Number of properties covered with flood insurance (in millions)							
---	---	---	---	4.5	4.3	5.0	5.5

Additional Information: The National Flood Insurance Program (NFIP) fosters public understanding of flood risks while proactively encouraging homeowners to purchase private “write-your-own” insurance to reduce losses from all hazards. History has shown that insured survivors recover faster and more fully from a flood.

Explanation and Corrective Action: The lower than projected insurance uptake could be attributed to a slower housing market for a majority of FY 2019. The program will continue to push national marketing campaigns and changes to the NFIP policy forms to better meet customer’s needs. Another key priority will be the transformation of flood insurance products and ratings to provide substantial opportunities to grow the policy base.

Preparedness and Protection

Mission Program Goal

Improve the Nation’s ability to prepare for disasters of all kinds while ensuring the survival of an enduring constitutional government if a disaster were to occur.

Mission Program Description

The Preparedness program works to prepare the Nation for disasters of all kinds. Preparedness helps people and communities become more resilient by developing the capabilities needed to prevent, protect against, respond to, recover from, and mitigate against all threats and hazards. The program provides guidance, strategies, and processes to empower people and the communities they live in to be prepared for any hazard. Protection carries out a mandated mission to provide executive agent leadership to guarantee the survival of an enduring constitutional government by ensuring continuity of government, continuity of operations, and national contingency programs.



Miami/Dade County, FL used their Complex Coordinated Terrorist Attack (CCTA) Grant to fund a series of four exercises based on a terrorist attack during Superbowl 54. This exercise was a massive, integrated planning and preparation effort funded by the CCTA grant program and supplemented with support from the National Exercise Division (NED). Over 50 agencies and 2,300 emergency management personnel participated. Participants included officials and volunteers from statewide, local-level, and international organizations.

Summary of Findings

Strategic Review Progress Rating: Satisfactory

Program Execution

- Three key processes: preparedness outreach; partnership building; and preparedness planning/reporting with SLTT partners
- Podcasts and PrepTalks added to FEMA.gov to provide enduring emergency management information
- Partnership interactions included Red Cross Youth Preparedness Council Summit focused on children and Operation Hope regarding financial preparedness
- Worked to address feedback regarding Threat, Hazard, Identification, and Assessment (THIRA) process limitations
- Integrated Public Alert Warning System (IPAWS) working to adapt to new industry platforms for disseminating alerts

Did you know?

IPAWS provides alert and warning capabilities for the President and SLTT authorities to provide the public with life-saving information before and during disasters. Alerts are delivered through cell phones, radios, and TVs and serve as a critical emergency lifeline.

Impact

- Continued digital and social media campaigns to promote financial awareness to reach people with financial tips and resources
- Developed standardized language for each capability target associated with THIRA reporting that will be realized with subsequent SLTT submissions

Challenges and Risks

- Challenges include ensuring the continuity of communications capabilities during a disaster when the commercial communications infrastructure is lost
- Finding effective new and innovative ways to instill the importance of financial preparedness so individuals will be better prepared if disaster strikes is another challenge
- Integration of THIRA with Community Lifelines construct
- Risks include the ability to effectively communicate the individual responsibility expectations for catastrophic preparedness, and having resilient communications in order to coordinate assets needed to respond and recover

Key Measure

Prior Results				FY 2019		Performance Plan	
FY 2015	FY 2016	FY 2017	FY 2018	Target	Result	FY 2020	FY 2021
Percent of adults that took multiple preparedness actions at their workplace, school, home, or other community location in the past year							
---	---	---	---	48%	62%	49%	50%

Additional Information: This measure indicates how many Americans have taken action to prepare for an emergency and provides feedback regarding the effectiveness of efforts to encourage this activity.

Regional Operations

Mission Program Goal

Increase the capability of states, territories, and local jurisdictions to prevent, respond to, and recover from Stafford Act emergencies and disasters.

Mission Program Description

The Regional Operations program includes the leadership, management, and mission support functions of the 10 FEMA regions across the Nation. The program works with communities to help reduce the impacts of natural disasters, prepare families and individuals for all possible hazards, and support SLTT partners with technical assistance and grants for projects that aim to reduce risks, improve public safety, and protect the environment.



The Partners in Emergency Management (EM) Workshop brought more than 425 federal, state, and tribal officials together with non-profit and private sector partners to exchange names and solutions. Reducing risk was a key topic as the southeast United States has 46% of the nation’s flood insurance policies. Recovery roundtables and breakout sessions created an environment where ideas became strategies. While the EM profession is about helping people, it’s powered by people forming partnerships to reinforce lifelines.

Summary of Findings

Strategic Review Progress Rating: Satisfactory

Program Execution

- Three key processes: provide technical assistance to 10 Regions through training and exercises; emergency planning; and response and recovery activities

- Solicited input from stakeholders as to how to best meet their needs and used as a basis to determine FEMA Integration Team (FIT) program co-location with SLTT partners
- Tailored FIT support through Memorandums of Agreement with States to identify key projects requiring assistance
- Supported response activities to declared disasters and emergencies while also managing ongoing activities for previous declarations

Impact

- FIT was able to provide planning guidance and assist with preparations for Hurricanes prior to the arrival of regional/national teams
- Region III coordinated multi-state resource requests while also testing and validating the region’s implementation and execution plans during hurricanes
- Region VII met with federally-recognized tribes to discuss mitigation and opportunities and encouraged tribes to apply for mitigation grant funding

Challenges and Risks

- Challenges exist due to recent elections where some states are transitioning leadership to include the State Emergency Management Offices, potentially delaying FIT rollout as the Regional Administrators engage new leadership where prior agreements had been made
- Challenges exist with the lack of measures to assess the value of Regional Operations efforts
- Risks include increasing SLTT capabilities to stabilize Community Lifelines when disaster strikes
- Balancing multiple response and recovery operations simultaneously is both a near-term challenge and a longer-term risk

Key Measure

Prior Results				FY 2019		Performance Plan	
FY 2015	FY 2016	FY 2017	FY 2018	Target	Result	FY 2020	FY 2021
Average annual percentage of administrative costs for major disaster field operations, as compared to total program costs*							
---	23.2%	19.7%	26.3%	≤ 17.9%	29.2%	≤ 17.9%	≤ 17.9%

* This measure was moved from the Department’s Management Set to be included in the FY 2020 to FY 2021 Performance Plan.

Additional Information: This measure gauges FEMA’s efficiency in providing disaster assistance by indicating what share of its disaster expenditures are administrative costs compared to the share disseminated as grants to survivors as assistance.

Explanation and Corrective Action: While the program’s administrative costs have increased for events under \$50 million, when this data is viewed at a disaggregated level by quarter of reporting, the higher end data points are from the fourth quarter – potentially reflecting a slowdown in time to obligation of disaster assistance, rather than an increase in the ratio of administrative costs to disaster assistance. The program continues to reevaluate the approach to assessing administrative costs. The program is analyzing historical data to gain a better understanding of the key cost drivers and will take corrective action to manage costs within a controllable range.

Response and Recovery

Mission Program Goal

Improve the response and recovery capability of communities who have been overwhelmed by a disaster.

Mission Program Description

The Response and Recovery program helps to ready the Nation for catastrophic disasters leveraging resources from various sources including the DRF. This includes

efforts to coordinate the core federal response capabilities used to save lives and protect critical infrastructure in communities throughout the Nation that have been overwhelmed by the impact of a major disaster or an emergency. The program also takes the lead among federal agencies, state and local governments, and representatives of non-governmental organizations to support individuals and communities with the goal of reducing losses, improving recovery operations, and promoting resilience. This program works with residents, emergency management practitioners, organizational and community leaders, and government officials to mature the National Disaster Recovery Framework, enhance logistics and disaster communications, and improve the overall disaster survivor and grantee experience.



The Disaster Recovery Reform Act provides separate maximum grant amounts under the Individual and Households Program for Other Needs Assistance and Housing (excluding accessibility-related items and rental assistance) retroactive to August 1, 2017. Since March 2019 more than \$74 million has been provided to over 11,200 applicants in retroactive assistance. Retroactive payments will continue until all eligible cases have been reviewed.

Summary of Findings

Strategic Review Progress Rating: Satisfactory

Program Execution

- Three key processes: logistics; response operations; and recovery assistance
- Implemented a logistics/private sector information sharing strategy to enable supply chain restoration
- Deployed Community Lifelines enabling real-time decisions on resource allocations during response operations
- Targeted improvements to the housing inspections process so as to reduce the administrative burden on survivors
- Logistics Supply Chain Management System (LSCMS) acquisition is on schedule and budget to provide visibility and user access to all stakeholders on end-to-end supply chain management

Impact

- Coordinated federal response to major disasters and emergency declarations to stabilize lifelines
- Obligated billions of dollars for Public and Individual Assistance to help communities and individuals recover from disasters

Did you know?

FEMA's National Watch Center maintains uninterrupted, all-hazards situational awareness. Working closely with regional & interagency partners, the men & women of the Watch Center provide national-level reporting, and 24/7 capability to immediately initiate a coordinated national disaster response.

- Supply chain management improved by enhancements to the Distribution Centers, logistics staff curriculum, and capabilities delivered by the LSCMS
- Partnered with local /regional subject matter experts to improve communication plans

Challenges and Risks

- Ripple effects tied to a hurricane season are felt beyond the fiscal year in which they occur
- The logistics process continues to face challenges that could impact operational readiness due to the difficulty of estimating the exact needs of a future disaster, including assessing the right amount of distribution center storage capacity needed and mobile vehicle capacity
- Risks include getting the right resources to the right places and the availability of communications systems during disasters

Key Measure

Prior Results				FY 2019		Performance Plan	
FY 2015	FY 2016	FY 2017	FY 2018	Target	Result	FY 2020	FY 2021
Percent of applicants satisfied with simplicity of the Individuals and Households Program							
---	---	---	---	82%	78.1%	84%	88%

Additional Information: This measure gauges the simplicity of applying for individual assistance from the Individuals and Households Program and the information is used to make procedural improvements to ensure disaster survivors have clear information and high-quality service.

Explanation and Corrective Action: In FY 2019, applicant’s satisfaction with the simplicity of the Individual Households Program slightly increased throughout the year. Applicant’s satisfaction with overall inspection experience, timeliness of financial assistance, and financial assistance helping to meet disaster need increased. After completing an analysis into this measure, initial findings show that the simplicity with the application process was moderately correlated to disaster assistance information being easy to understand. This suggests that if the process was made simpler and easier to understand, the applicant’s satisfaction would improve. Based on the analysis, the program is revising the customer satisfaction surveys to obtain more specific answers in understanding the customer’s experience. Putting the surveys into place will take time as the program needs to adhere to the requirements of the Paperwork Reduction Act. In the meantime, the program will be working with other High Impact Service Providers in the Federal Government to identify additional ways to improve the customer experience.

Immigration and Customs Enforcement

Overview

[U.S. Immigration and Customs Enforcement \(ICE\)](#) is the principal investigative arm of DHS and the second largest investigative agency in the Federal Government. ICE’s primary mission is to promote homeland security and public safety through the criminal and civil enforcement of federal laws governing border control, customs, trade, and immigration.

For each ICE mission program, a description of the mission program is provided along with its most recent summary of findings. For a full listing of ICE's performance measure results and plan, see the "[Performance Measure Tables – Report and Plan](#)" chapter in this section.

Enforcement and Removal Operations (ERO)

Mission Program Goal

Improve the ability of the Department to identify, arrest, detain, and remove those who enter the country illegally.

Mission Program Description

ERO enforces the Nation's immigration laws by identifying and apprehending illegal immigrants, detaining those individuals pending final determination of removability, and removing them from the United States. ERO prioritizes the apprehension, arrest, and removal of convicted criminals, those who pose a threat to national security, fugitives, recent border entrants, and those who thwart immigration controls. ERO manages all logistical aspects of the removal process, including domestic transportation, detention, alternatives to detention programs, bond management, and supervised release. In addition, ERO repatriates those ordered removed from the United States to more than 170 countries around the world.



In June 2019, the National Criminal Analysis and Targeting Center (NCATC) received information regarding Zhang, Xuyue from U.S. Citizenship and Immigration Services (USCIS), as an Egregious Public Safety Referral. Zhang had an Interpol Red Notice for Defrauding Loans in China. Utilizing various databases, the NCATC was quickly able to locate an address and generate data leading to the arrest by ERO at his residence in Sierra Madre, CA in June 2019. Information that led to the arrest of Zhang was developed by the NCATC through an in-depth search of DHS indices, which resulted in the discovery of residential information.

Summary of Findings

Strategic Review Progress Rating: Focus Area

Program Execution

- Three key processes: enforcement; custody; and removal
- Execution of program operations are strained due to the numbers of people in detention and those needing to be processed for removal
- Managing the average length of stay (ALOS) in detention is impacted by a variety of factors difficult to control
- The lack of detention space resulted in the drop-off of groups of asylum-seeking aliens into local communities
- IT modernization is designed to deliver enhanced data governance and reporting

Impact

- Total arrests and detainees increased, but a lack of compliance and cooperation from other law enforcement and governments impacts enforcement and custody
- Total removals increased, and criminal removals increased, while the number of foreign countries cooperating with repatriation flights remained steady

- Program ensured detention consistent with Administration priorities, however the average daily population exceeds the authorized numbers of detainees for bed space

Did you know?

The 287(g) Jail Enforcement Model Program is one of ICE’s safest and most efficient methods for identifying, arresting, and removing immigration law violators through partnerships with state and local law enforcement agencies.

Challenges and Risks

- Challenges include detaining and transporting family units from the U.S.-Mexico border to Family Residential Centers, reunifying separated minors from parents, and the ability of the underlying infrastructure to sustain the volume of those needing to be processed
- Additionally, the Non-Detained Docket includes nearly 3 million aliens and the caseload continues to grow while there are challenges in meeting LEO and non-LEO hiring
- The increase in the number of family and unaccompanied children apprehensions impact the ability of detention facilities to meet required health and other standards
- Risks focus on declining public perception leading to sanctuary policies and litigation; and prioritized staffing deployment along the U.S. Southern Border impacting the ability to apprehend, detain, and remove illegal aliens from the interior

Key Measure

Prior Results				FY 2019		Performance Plan	
FY 2015	FY 2016	FY 2017	FY 2018	Target	Result	FY 2020	FY 2021
Total number of illegal immigrants who were returned or removed from the United States							
---	---	---	256,085	238,000	267,258	238,000	238,000

Additional Information: This measure provides a comprehensive picture of all returns and removals accomplished by the program to ensure illegal immigrants do not remain in the United States.

Homeland Security Investigations (HSI)

Mission Program Goal

Prevent the exploitation of systemic vulnerabilities in trade and immigration that allow foreign terrorists, other criminals, and their organizations to endanger the American people, property, and infrastructure.

Mission Program Description

The HSI program conducts criminal investigations to protect the United States against terrorism and criminal organizations that threaten public safety and national security. HSI combats transnational criminal enterprises that seek to exploit America's legitimate trade, travel, and financial systems. This program upholds and enforces America's customs and immigration laws at and beyond our Nation's borders.



On July 17, 2019, as a result of a joint HSI, DEA and FBI investigation, Joaquín Guzmán Loera (El Chapo) was sentenced in the Eastern District of New York to life without parole, plus an additional 30 years in prison, for his role as a principal leader of the Sinaloa Cartel. After a 12-week trial, Guzman was found guilty of importing and distributing tens of thousands of tons of narcotics from Central and South America into the United States over a 25-year period. Guzman was also ordered by the court to pay \$12.6 billion in forfeiture.

Summary of Findings

Strategic Review Progress Rating: Satisfactory

Program Execution

- Two key processes: investigations of Transnational Organized Crime (TOC) and counterterrorism investigations
- Leveraged strategic partnerships with other DHS components, federal agencies, international partners, and private sector stakeholders
- Second-largest national participant in Joint Terrorism Task Forces engaged in counterterrorism investigations
- Led designation of 11 Homeland Criminal Organization Target (HOMECORT) investigations that will target TOC networks engaged in narcotics trafficking, human smuggling, and money laundering
- Enhanced immigration worksite enforcement by dramatically increasing the number of I-9 inspections, which resulted in an increased number of criminal and administrative arrests and related cases filed

Impact

- Logged record numbers of criminal arrests and forfeitures
- Investigations produced hundreds of operations resulting in the arrest of priority targets, large-scale seizures, and thousands of intelligence/investigative referrals
- Built relationships with private sector foreign mail forwarders to combat illicit drug and contraband flows through Memphis and Detroit hubs
- Increased Fentanyl seizures and Mara Salvatrucha (MS-13) gang member arrests

Challenges and Risks

- Lack of a synchronized national strategy for joint efforts and information sharing hampers synergies across DHS Components and deters from a unified TOC approach
- Challenges also exist with cross-agency coordination and collaboration to combat TOC with the lack of government-wide policy and rules of engagement

- Risks focus on the increasing need to support ancillary events (e.g., National Security Special Events) and its impact on investigation manpower and resources, and the need to synchronize strategies and de-conflict efforts through a national framework for cooperation across Components

Key Measure

Prior Results				FY 2019		Performance Plan	
FY 2015	FY 2016	FY 2017	FY 2018	Target	Result	FY 2020	FY 2021
Percent of significant Homeland Security Investigations cases that result in a disruption or dismantlement							
---	---	22.9%	18.0%	15.9%	15.1%	16.1%	16.2%

Additional Information: This measure indicates how frequently the program’s investigations effectively degrade high-threat transnational criminal organizations engaged in illicit trade, travel, or finance (both drug-related or non-drug-related); counter-terrorism, threats to national security, violations of immigration-related employment law, or child exploitation.

Explanation and Corrective Action: Target missed due to necessity to realign resources in support of unplanned initiatives which depleted resources and indirectly contributed to a decline in disruptions and dismantlements. The government shutdown during FY 2019 necessitated a furlough of support employees which caused special agents to have to perform administrative duties, and delayed manpower to critical areas. Finally, there was a 22% increase in the number of approved significant investigations causing a lag between the approval of a significant investigation. Due to additional 1811 positions provided by Congress, HSI will have additional resources needed to respond to unplanned initiatives and expects to reach its FY 2020 performance measure.

Office of the Principal Legal Advisor (OPLA)

Mission Program Goal

Provide timely and accurate legal advice and conduct litigation activities to advance the ICE mission.

Mission Program Description

OPLA provides a full-range of legal services to ICE, including advice and counsel to ICE personnel on their law enforcement authorities and potential liabilities. The program represents ICE before multiple administrative venues and supports the Department of Justice in the prosecution of ICE cases and in the defense of civil cases against ICE. OPLA attorneys serve as the exclusive DHS representatives in removal proceedings before U.S. Department of Justice, Executive Office for Immigration Review.

Summary of Findings

Strategic Review Progress Rating: Focus Area

Program Execution

- Three key processes: provide legal guidance to the agency; litigate matters before administrative tribunals; and support the Department of Justice (DOJ) litigators in civil and criminal matters before the federal courts that impact agency equities
- While the program executed a higher number of cases, there has been an increase in the immigration court dockets, including addition of new immigration judges, which has created more requests for legal advice and civil discovery document review

Did you know?

OPLA attorneys handle more than one million Executive Office for Immigration Review cases annually and obtain more than 180,000 removal orders in a fiscal year.

Impact

- Supported criminal convictions in U.S. District Court under the Special Assistant United States Attorney program
- Secured an increase in removal orders and reviewed over 140,000 notices to appear
- Defended a greater number of complex federal lawsuits to protect enforcement authority for family detention, post order bond eligibility, and removal authority to include discovery and document review of nearly 800,000 documents
- Due to an increase in pending removal cases and post removal order litigation, current strategies are unlikely to meet the demand

Challenges and Risks

- Challenges include the lack of sufficient legal and administrative staff to provide timely, on-site, and thorough legal advice to internal stakeholders and fully perform litigation activities
- Seasoned program attorneys are being hired as immigration judges by Department of Justice (DOJ), compounding staffing and management shortages
- Impact more difficult to gauge due to the lack of performance measures
- DOJ immigration judges may commit legal errors, and privileged agency documents may be improperly disclosed, if program cannot respond to exponential increase in workload
- Risks identified include the ability to recruit, hire, and train attorneys skilled at complex federal litigation, immigration law, and other areas of agency legal practice

Key Measure

Prior Results				FY 2019		Performance Plan	
FY 2015	FY 2016	FY 2017	FY 2018	Target	Result	FY 2020	FY 2021
Percent of final administrative orders that result in orders of removal from the United States							
---	---	---	---	65%	76%	67%	67%

Additional Information: Attorneys in the Office of the Principal Legal Advisor play an integral role in enforcing the Nation's immigration laws by litigating cases in immigration court and securing orders of removal against those found to be in violation of immigration laws. FY 2020 target was previously published at 65% in last year's APR. The revised target is more in-line with current performance.

Transportation Security Administration

Overview

[Transportation Security Administration \(TSA\)](#) protects the Nation’s transportation systems to ensure freedom of movement for people and commerce.

For each TSA mission program, a description of the mission program is provided along with its most recent summary of findings. For a full listing of TSA’s performance measures results and plan, see the “[Performance Measure Tables – Report and Plan](#)” chapter in this section.

Aviation Screening Operations

Mission Program Goal

Enhance aviation security by using intelligence-driven, risk-based, layered passenger and baggage screening procedures and technology to increase aviation security while managing the passenger experience.

Mission Program Description

The Aviation Screening Operations program applies intelligence-driven, risk-based, layered passenger and baggage screening procedures and technology to increase aviation security to prevent terrorism and criminal activity. The program implements processes that allow personnel at security checkpoints to focus on high- risk and unknown travelers while managing the passenger experience. The program also ensures the 100-percent screening of checked baggage for prohibited items. Other activities include training the screener workforce, vetting airline passengers, and canine operations.



TSA uses Advanced Technology-2 (AT-2) X-ray systems at airport checkpoints to screen carry-on bags for explosives and prohibited items. As threats emerge and technical capabilities improve, enhancement to the AT-2 X-ray systems at airports are necessary. TSA began fielding an improved detection capability using the Tier II algorithm on Smiths 6040 aTiX AT X-ray systems in June 2019. This deployment effort is a leading example of improving security and safeguarding the transportation system.

Summary of Findings

Strategic Review Progress Rating: Satisfactory

Program Execution

- Two key processes: checkpoint passenger screening and screening checked baggage
- Risk-based security operations used at 440 airports at both passenger checkpoints and checked baggage screening
- Updates to procedures and enhancements to Headquarters and field communications
- Transportation Security Officer (TSO) retention plans include additional technical and leadership training and work to implement the TSO Career Progression program
- Two major acquisition programs designed to advance threat detection capabilities (Passenger Screening Program and Electronic Baggage Screening Program) with upgrades currently being deployed

Impact

- Maintained wait times while volume increased for passenger screening and checked baggage
- Enhanced threat detection capabilities through continued use of innovative screening technology
- TSOs confiscated a record number of prohibited items and supported special security events
- Increased use of social media and industry outreach to enhance the passenger experience at the checkpoint

Challenges and Risks

- Challenges exist in maintaining staffing particularly in large cities where other opportunities are more prevalent
- The loss of institutional knowledge due to turnover and managing employee morale are also recognized as challenges
- Logistical and space constraints at airports can cause delays in deployment of equipment
- Risks focus on the need for aviation screening security procedures to adapt to match emerging threats, and the ability to detect and/or prevent an insider threat

Key Measure

Prior Results				FY 2019		Performance Plan	
FY 2015	FY 2016	FY 2017	FY 2018	Target	Result	FY 2020	FY 2021
Percent of passenger data submissions that successfully undergo Secure Flight watch list matching							
---	---	100%	100%	100%	100%	100%	100%

Additional Information: This measure ensures the traveling public that all domestic air passengers have undergone checking against watch lists as one means of vetting.

Other Operations and Enforcement

Mission Program Goal

Strengthen the security regulation and enforcement presence in the Nation’s commercial transportation sectors.

Mission Program Description

The Other Operations and Enforcement program encompasses security reviews, assessment, and enforcement activities in the various modes of commercial transportation. The program includes intelligence and analysis, domestic and international inspectors, reviews and assessments, Federal Air Marshals, deputizing airline pilots, and training crew members in self-defense. This program ensures compliance with transportation-related regulations and standards, providing credentialing services for



TSA’s Sensitive Security Information (SSI) Program successfully launched the SSI App in April 2019. The App is a cloud-based platform for the secure submission, review, and processing of sensitive records. This cooperative, agile programming effort was completed in under seven months, accelerating the schedule by eight months. As of December 1st, 2019, the team has accepted, reviewed, and provided SSI responses to 859 review requests submitted by customers throughout TSA and on behalf of DHS representatives and TSA stakeholders.

transportation-sector, and the vetting of the transportation workforce to prevent terrorism and criminal activity.

Summary of Findings

Strategic Review Progress Rating: Satisfactory

Program Execution

- Six key processes: regulatory compliance; vetting/credentialing; in-flight security; intelligence/information sharing; surface transportation security; and air cargo operations
- Vetting of aviation, surface and maritime transportation populations continues
- Intelligence dissemination was expanded through the Aviation Domain Intelligence and Analysis Cell
- Surface transportation provided awareness training materials to federal, state, and local security partners
- Relevant acquisitions are focused on delivering vetting enhancements and improving identity verification at checkpoints

Impact

- Conducted thousands of multi-modal transportation operations and augmented security at National Special Security Events (NSSE)
- Domestic and international cargo audits ensured all air cargo was screened
- Implemented revised risk-based concept of operations to better align Federal Air Marshal flights and staff
- Vetted millions of persons and increased the vetting population to keep the Nation's Transportation Network safe
- Intelligence products increased and improved identity verification

Challenges and Risks

- Challenges exist with encouraging compliance with security standards and understanding root causes
- Balancing the need for new regulatory guidance for emerging threats in the current environment is a challenge
- Surface transportation challenges on many fronts are being actively worked to address GAO concerns
- Air Cargo must balance security with economic flow which can be a challenge
- Risks include ensuring identity verification is complete and up to date, lack of regulatory authority in airport public areas, and possible exploitation of known vulnerabilities at commercial airports

Key Measure

Prior Results				FY 2019		Performance Plan	
FY 2015	FY 2016	FY 2017	FY 2018	Target	Result	FY 2020	FY 2021
Percent of air carriers operating from domestic airports in compliance with standard security programs*							
98.0%	98.0%	97.7%	87.0%	100%	89.0%	90%**	90%

* Measure name changed from: Percent of air carriers operating from domestic airports in compliance with leading security indicators to more clearly reflect the source for the compliance checks.

** Target previously published at 100% in last year’s APR. Targets revised to be more realistic with historical results.

Additional Information: This measure indicates the level of compliance by domestic air carriers designed to enhance the safety of the Nation’s transportation systems and infrastructure.

Explanation and Corrective Action: Current performance is in-line with previous results. Due to the nature of the standards, there will inherently be violations for several issues ranging from comprehension and compliance of screening requirements to willful disregard of program procedures. The Security Operations Compliance program continuously engages with air carriers to identify and correct security deficiencies and vulnerabilities to improve compliance with security rules and regulations. The program carries out a broad range of statutory, regulatory, and program security requirements utilizing outreach and progressive enforcement on a quarterly basis to assist air carriers in maintaining compliance.

U.S. Citizenship and Immigration Services

Overview

[U.S. Citizenship and Immigration Services \(USCIS\)](#) oversees lawful immigration to the United States and is responsible for adjudicating immigration benefit requests and naturalization applications, promoting an awareness and understanding of citizenship, and ensuring the integrity of our immigration system.

For each USCIS mission program, a description of the mission program is provided along with its most recent summary of findings. For a full listing of USCIS’s performance measure results and plan, see the [“Performance Measure Tables – Report and Plan”](#) chapter in this section.

Employment Status Verification

Mission Program Goal

Ensure lawful employment and the protection of American workers by providing efficient and accurate confirmation of employment eligibility information.

Mission Program Description

The electronic employment eligibility verification E-Verify program enables enrolled employers to confirm the work authorization of



USCIS enhanced E-Verify, the USCIS web-based system that allows enrolled employers to confirm the eligibility of their employees to work in the United States, to significantly expand its ability to validate state identity documents. USCIS partnered with the National Law Enforcement Telecommunications System, the query service used by law enforcement agencies that interfaces with Department of Motor Vehicle data sources from U.S. states, the District of Columbia, and Puerto Rico.

their newly hired employees quickly and easily. E-Verify is an Internet-based system that compares information from an employee's Form I-9, Employment Eligibility Verification, to records available to DHS to confirm employment eligibility within seconds.

Summary of Findings

Strategic Review Progress Rating: Satisfactory

Program Execution

- One key process: E-Verify, a primarily voluntary program allowing employers to confirm their employees’ identity and eligibility to work in the U.S. by comparing Form I-9 information against records available to DHS
- USCIS began partnering with the National Law Enforcement Telecommunications System, the query service used by law enforcement agencies that interfaces with Department of Motor Vehicle sources from U.S. states, the District of Columbia, and Puerto Rico
- Verification Modernization (VER MOD) reached full operating capability in FY 2019, which provides improved architecture, system performance, case processing and data integrity for E-Verify and Systematic Alien Verification for Entitlements (SAVE) programs

Impact

- The program grew and is serving more than 800,000 participating employers and responding to nearly 40 million requests for employment eligibility verification
- Manual intervention in case processing decreased due to improved system logic and algorithms
- Significantly increased small business enrollments in E-Verify through outreach efforts
- Continue to earn above average satisfaction score based on the American Customer Satisfaction Index
- System availability nearly 100% and the number of concurrent users nearly doubled

Challenges and Risks

- Challenges exist with data availability from other agency systems, but this has been mitigated by a queueing feature that allows the system to temporarily hold pending cases when partner systems are nonresponsive and retry them once systems again become available
- Risks focus on the potential that mandatory E-Verify is enacted prior to the program realizing identified business process improvements, and service disruptions if key data providers experience significant operational or infrastructure issues

Key Measure

Prior Results				FY 2019		Performance Plan	
FY 2015	FY 2016	FY 2017	FY 2018	Target	Result	FY 2020	FY 2021
Percent of workers determined to be "Employment Authorized" after an initial mismatch							
0.17%	0.16%	0.15%	0.16%	≤ 0.50%	0.21%	≤ 0.40%	≤ 0.30%

Additional Information: This measure provides a feedback mechanism to indicate the accuracy of E-Verify system reporting the number of cases in which adjudicating officials in the program find a person

“employment authorized” after an initial automated mis-match decision. Ensuring the accuracy of E-Verify processing reflects the program’s intent to minimize negative impacts imposed upon those entitled to employment in the U.S. while ensuring the integrity of immigration benefits by effectively detecting and preventing unauthorized employment.

Fraud Prevention and Detection

Mission Program Goal

Enhance the security and integrity of the legal immigration system by eliminating systemic vulnerabilities.

Mission Program Description

The Fraud Prevention and Detection program supports activities related to preventing and detecting immigration benefit fraud. The program leads efforts to identify threats to national security and public safety, deter, detect, and combat immigration benefit fraud, and remove systemic and other vulnerabilities. This is part of the Fraud Prevention and Detection Fee Account.



On May 9, 2019 following a joint ICE-USCIS investigation, an attorney of an immigration law firm in New York City was sentenced in the Southern

District of New York for perpetuating an asylum fraud scheme involving more than 900 fraudulent asylum filings for Romanian nationals. The defendant was sentenced to five years in prison and one-year supervised release, ordered to forfeit \$157,000, and barred from practicing law. This guilty verdict and sentencing helps to send a strong message of deterrence to others involved in or considering asylum fraud schemes.

Summary of Findings

Strategic Review Progress Rating: Noteworthy Progress

Program Execution

- Four key processes: fraud detection; responding to national security threats; information gathering; and worksite enforcement
- Implemented a risk-based targeted approach to operations and site visits in particular for fraud detection
- Forward-deployed officers to the field to conduct administrative investigations on cases flagged for possible fraud, public safety, and national security issues
- Enhanced partnerships with ICE, FBI, state/local, and other law-enforcement initiatives

Impact

- Responded to Administration priorities for more robust vetting to prevent granting benefits to fraudulent applicants
- Enhanced the Targeted Site Visit and Verification Program using a data-driven modeling strategy to identify fraudulent H-1B Visa employment cases
- Implementing new capability for the Asylum Vetting Center to consolidate work from field offices (fully operational in FY 2021)

Did you know?

USCIS’ Fraud Tip Unit works exclusively on processing immigration benefit fraud tips. These tips are received through online submissions, e-mail, phone, and hard copy correspondence. The Tip Unit sends actionable leads to officers in the field for action.

- Expanded social-media vetting of refugee and asylum populations and established the fraud tip unit
- Reduced timeframes for completing Threat Summary reports and providing assistance to law enforcement

Challenges and Risks

- Challenges include establishing operational flexibility and oversight review to implement social media screening and vetting effectively
- Rapid shift in site-visit priorities created challenges in developing in-depth knowledge of eligibility criteria for targeted visa classification
- Sustained workload increases in the asylum program impact the ability to address the affirmative asylum application backlog; to mitigate, shifting tasks from field offices to Asylum Vetting Centers and embedding additional personnel in asylum offices
- Risks focus on maintaining a reputation for integrity and the ability to recruit, train, and retain a qualified workforce to detect threats to national security and benefit fraud



In FY 2019, USCIS developed an online Fee Calculator to assist the public in calculating the correct fee to submit when filing an application or petition with USCIS. Over the years, data revealed that the submission of an incorrect fee was consistently one of the leading reasons for a form to be rejected. The Fee Calculator was developed to assist applicants and petitioners and to reduce the number of forms that are rejected due to an incorrect fee submission.

Key Measure

Prior Results				FY 2019		Performance Plan	
FY 2015	FY 2016	FY 2017	FY 2018	Target	Result	FY 2020	FY 2021
Percent of applications for citizenship and immigration benefits not approved following a potential finding of fraud							
---	91.3%	91.7%	92.2%	90%	90.5%	Retired Measure*	

* This measure is being retired from the DHS Performance Plan. For FY 2020, USCIS is implementing new targeted measures on specific high-priority fraud and national security work to safeguard the U.S. immigration system. See the [“Performance Measure Tables – Report and Plan”](#) chapter in this section.

Additional Information: This measure was designed to reflect the program’s capacity to prevent fraud, abuse, and exploitation of the immigration system, and address systemic vulnerabilities that threaten its integrity.

Immigration Services

Mission Program Goal

Ensure immigration benefit and services are processed in a timely and accurate manner.

Mission Program Description

The Immigration Services program supports and promotes lawful immigration by processing benefit requests, so that only those eligible for immigration benefits are approved. This includes processing refugee and asylum applications as well as providing assimilation services for lawful

immigrants. This is part of the Immigration Examinations Fee Account and the H-1B Nonimmigrant Petitioner Fee Account.

Summary of Findings

Strategic Review Progress Rating: Focus Area

Program Execution

- One key process: adjudicating immigration benefits, naturalization applications, and asylum petitions/applications
- Managing Administration-driven process modifications while simultaneously trying to address the backlog
- The timeframe and complexity of adjudicating immigration applications is increasing due to Administration decisions emphasizing enhanced vetting and fraud prevention
- OMB's Reduce the Footprint real property strategy impacts the provision of office space for needed adjudicators despite the use of telework and other schedule flexibilities
- The Transformation acquisition program will deliver web-based case management integrating intake, biometric and background checks, notifications, and document issuances

Impact

- Annually adjudicate approximately eight million benefit applications and petitions; however, the time to process naturalization applications and permanent resident applications continue to increase
- Processed refugee applications from more than 60 nations
- Annually process approximately 20 million immigration status queries from public benefit-granting agencies

Did you know?

USCIS is transitioning from paper-based to electronic processing of applications and petitions for immigration benefits. As of the end of FY 2019, approximately 45% of new receipts and immigration fee payments for new green cards are processed digitally.

Challenges and Risks

- Backlog of applications continue to grow due to multiple factors, including limitations to staffing and facilities; new immigration policies and form complexity; and increased vetting requirements
- Lack of priority placement for required training at FLETC for desperately needed adjudicators presents another challenge
- The program does not currently have resources in place to complete the volume of cases received
- Risks focus on enacted and potential immigration policies that require new and more complex adjudication processes and the timeliness and effectiveness of the modernization of processing immigration benefits

Key Measure

Prior Results				FY 2019		Performance Plan	
FY 2015	FY 2016	FY 2017	FY 2018	Target	Result	FY 2020	FY 2021
Percent of respondents satisfied with the citizenship and immigration-related support received from the U.S. Citizenship and Immigration Services Contact Center							
88%	85%	84%	83%	85%	71%	Retired Measure*	

* This measure is being retired from the DHS Performance Plan. For FY 2020, USCIS is implementing new targeted measures on specific high-priority fraud and national security work to safeguard the U.S. immigration system. See the [“Performance Measure Tables – Report and Plan”](#) chapter in this section.

Additional Information: This measure gauged the overall applicant rating of the support received from the U.S. Citizenship and Immigration Services Contact Center, a nationwide call center based on accuracy of information, responsiveness to respondent inquiries, accessibility to information, and respondent satisfaction.

Explanation and Corrective Action: In 2018, the USCIS Contact Center transitioned from two vendors to one vendor. The current vendor continues to aggressively recruit, but the security clearance process coupled with on-going attrition is making it difficult to reach the target staffing number. Currently, Tier 1 is short approximately 130 staff members. The next Tier 1 contract will transition back to a two-vendor model to resolve this issue. The contract is scheduled for a FY 2020 award. Additionally, analysis of the current satisfaction data indicates that one driver for the decreased score is the Interactive Voice Response (IVR) System. Data reflects dissatisfaction with the IVR system components such as the automated main menu that callers interact with when calling. The program is in the process of developing a new IVR to address concerns with the current system.

U.S. Coast Guard

Overview

U.S. Coast Guard is one of the five armed forces of the United States and the only military organization within DHS. The Coast Guard protects the maritime economy and the environment, defends our maritime borders, and saves those in peril.

For each U.S. Coast Guard mission program, a description of the mission program is provided along with its most recent summary of findings. For a full listing of U.S. Coast Guard’s performance measure results and plan, see the [“Performance Measure Tables – Report and Plan”](#) chapter in this section.

Maritime Law Enforcement

Mission Program Goal

Ensure effective maritime law enforcement and border control.

Mission Program Description

The Maritime Law Enforcement program preserves America's jurisdictional rights within our maritime borders. The U.S. Coast Guard is the lead federal maritime law enforcement agency for enforcing national and international law on the high seas, outer continental shelf, and inward from the U.S. Exclusive Economic Zone (EEZ) to inland navigable waters, including the Great Lakes. The following statutory missions contribute to the U.S. Coast Guard's Maritime Law Enforcement program: Drug Interdiction; Migrant Interdiction; Living Marine Resources; and Other Law Enforcement.



In August 2019, the U.S. Coast Guard Cutter WILLIAM TRUMP interdicted 146 Haitian migrants off Haiti, embarking them from an overloaded 40-foot vessel

due to safety of life at sea concerns. This is the second largest U.S. Coast Guard migrant interdiction in 2019, and the largest migrant interdiction by a Fast Response Cutter (FRC) to-date. This highlights the use of the FRC in this mission set in the Caribbean.

Summary of Findings

Strategic Review Progress Rating: Satisfactory

Program Execution

- Four key processes: drug interdiction; migrant interdiction; domestic fisheries enforcement; and responses to foreign vessels fishing illegally in U.S. waters
- The program works in conjunction with a variety of international, federal, state, and tribal partners through information sharing and collaboration in the execution of its maritime law enforcement missions
- Enhanced data analysis has refined strategic resource decisions, enabling the program to deploy the most ideal mix of long-range assets to meet law enforcement needs
- Acquisition programs that will deliver additional interdiction capabilities include National Security Cutters, Offshore Patrol Cutters, Fast Response Cutters, Medium Range Surveillance Aircraft, and Unmanned Aircraft Systems

Impact

- Drug-interdiction activities included the removal of cocaine, marijuana, heroin and other opiates, and methamphetamines with an estimated value annually of more than \$6 billion, and the arrest of suspected narco smugglers who are part of broader transnational criminal organizations
- Boarded thousands of vessels to verify fisheries compliance resulting in more than 100 fishery violations annually
- Strengthened partnerships with the Bahamas, Dominican Republic, and Haiti to enhance maritime interdiction efforts

Challenges and Risks

- Challenges include responding effectively to shifting migrant flows, foreign state conflicts, and shifting concealment and transport tactics of drug traffickers
- Maintaining an optimal balance of assets and skills to detect fisheries violations in U.S. waters and remotely, where illegal fishing directly threatens sovereignty and resource security in strategically key areas
- Risks focus on leveraging new and existing technologies to keep pace with adversaries, and the maintenance and improvement of international partnerships targeted at eliminating Transnational Criminal Organizations

Key Measure

Prior Results				FY 2019		Performance Plan	
FY 2015	FY 2016	FY 2017	FY 2018	Target	Result	FY 2020	FY 2021
Migrant interdiction effectiveness in the maritime environment							
74.8%	79.3%	83.0%	72.0%	75%	86.1%*	75%	75%

* Previously reported in the FY 2019 DHS Agency Financial Report as 84.8%. Result revised based on additional data provided by USCG partners.

Additional Information: This measure communicates the effectiveness of the maritime law enforcement program to interdict migrants attempting to enter the U.S. through maritime borders not protected by the Border Patrol.

Maritime Prevention

Mission Program Goal

Ensure marine safety and environmental protection and minimize security vulnerability of vessels and marine facilities.

Mission Program Description

The Maritime Prevention program mitigates the risk of human casualties and property losses, minimizes security risks, and protects the marine environment. The following statutory missions contribute to U.S. Coast Guard’s Maritime Prevention Program: Ports, Waterways, and Coastal Security; Marine Safety; and Marine Environmental Protection.

Summary of Findings

Strategic Review Progress Rating:
Satisfactory



The U.S. Coast Guard’s Office of Design and Engineering Standards reviewed a passenger vessel plans for, WATER-GO-ROUND, which has zero-emissions drive technology using hydrogen as fuel, and the integration of fuel cells and lithium-ion batteries. None of these features are in current regulations so a framework was established based on international codes and standards to address major risks posed. This allowed passengers to be carried at a level of safety at least equivalent to traditional fuels.

Program Execution

- Four key processes: Marine Safety; Ports Waterways Coastal Security (PWCS); Marine Environmental Protection; and Commercial Regulations and Standards
- Lack of Transportation Security Incidents indicates the effectiveness of Maritime Transportation Security Act commercial vessel/waterfront facility inspections along with port security assessments
- Prevention follows a continuum of developing standards, enforcing compliance, and incorporating investigation lessons learned back into standards for all activities
- Conducted oversight of vessel compliance activities completed by third parties
- Implemented towing vessel rules addressing electrical and machinery requirements

Impact

- Annually conduct around 20,000 U.S. flagged and nearly 10,000 foreign vessel commercial inspections for safety resulting in dozens of International Maritime Organization reportable detentions
- Thousands of waterfront facility inspections and over 100 port facility assessments in dozens of countries are conducted annually resulting in increased compliance
- Typically execute more than 20,000 shipping container inspections for structural and hazardous materials compliance annually
- Thousands of violations of marine safety laws and regulations are identified annually, with dozens of environmental crime cases referred to the Department of Justice

Challenges and Risks

- Challenges to managing the rapidly changing marine industry include insufficient personnel, training proficiency gaps, and inadequate data systems
- Transfer of implementation/enforcement responsibilities from the Environmental Protection Agency for incidental discharge of marine pollutants presents expertise and regulatory challenges
- Risks focus on the ability to provide effective long-term oversight of aging U.S. flagged deep draft vessels and keeping pace with evolving and complex changes to technologies in maritime engineering, materials, fuels, and cargo

Key Measure

Prior Results				FY 2019		Performance Plan	
FY 2015	FY 2016	FY 2017	FY 2018	Target	Result	FY 2020	FY 2021
Three-year average number of serious marine incidents							
696	688	684	705	≤ 689	748	≤ 644	≤ 686

Additional Information: This measure assesses the impact of the program’s efforts to reduce the number of serious marine incidents through outreach, training, and inspections.

Explanation and Corrective Action: While the three-year average went up, the annual number of total Serious Marine Incidents (SMIs) decreased 3.5%. Passenger vessel SMIs increased 8% and made up just 50% of total SMIs. The majority of those incidents were classified as an SMI because of a

passenger/crewmember injury beyond first aid. In FY 2020, the program will implement a process to identify risk factors for passenger vessels, with the goal of decreasing the number of passenger vessels involved in an SMI. In addition, the U.S. Coast Guard will increase the number of inspected towing vessels and expects to see fewer SMIs related to towing vessels.

Maritime Response

Mission Program Goal

Rescue persons in distress and mitigate the impacts of maritime disaster events. Ensure maritime incident response and recovery preparedness.

Mission Program Description

The Maritime Response program mitigates the consequences of marine casualties and disastrous events. The U.S. Coast Guard preparedness efforts ensure incident response and recovery resources are fully ready and capable to minimize impact of disasters to people, the environment, and the economy. The following statutory missions contribute to the U.S. Coast Guard’s Maritime Response program: Search and Rescue and Marine Environmental Protection.



On May, 16, 2019 the U.S. Coast Guard Rescue Coordination Center (RCC) Miami received notification from the Motor Vessel JUICE EXPRESS that the Pleasure Craft STEALING TIME was taking on water east of

Puerto Cabezas, Nicaragua. RCC Miami contacted international and domestic partners and developed a search plan while leveraging the global merchant vessel volunteer network. A Customs and Border Protection P-3 aircraft located the vessel which was towed to a safe haven in Nicaragua, saving five lives.

Summary of Findings

Strategic Review Progress Rating: Satisfactory

Program Execution

- Four key processes: search and rescue; marine environmental response and emergency management; contingency planning; and exercises
- Leveraged partnerships and agreements with industry on spills and other governments on response activities
- Pursuing the development of an E-Learning program as a force multiplier for search and rescue training
- Acquisitions of search and rescue assets to enhance situational awareness (Long-Range Surveillance Aircraft) and ensure the ability to respond in heavy seas (47’ Motor Lifeboat extension)

Impact

- Responded to thousands of pollution incident reports; numerous significant oil and hazardous substance incidents; while managing hundreds of marine environmental

Did you know?

Founded in 1958, the U.S. Coast Guard Automated Mutual Assistance Vessel Rescue System (AMVER) uses ships at sea to render assistance to persons in distress anywhere in the world. An average of 7,699 ships worldwide report their positions to AMVER daily and AMVER membership makes up approximately 32% of the world’s merchant vessel fleet. AMVER has saved more than 4,000 lives in the last 10 years!

response cleanups federalized under the *Federal Water Pollution Control Act* and the *Comprehensive Environmental Response, Compensation, and Liability Act (CERCLA)*

- Responded to thousands of maritime search and rescue requests and assisted over 40,000 people
- The results for arriving on scene within two hours of notification were consistent with previous years

Challenges and Risks

- Challenges include the ability to address personnel training and equipment maintenance requirements due to the increased frequency of storms and disasters and corresponding length of deployments
- Risks include the ability to respond to potential marine accidents and/or major spills in the arctic region

Key Measure

Prior Results				FY 2019		Performance Plan	
FY 2015	FY 2016	FY 2017	FY 2018	Target	Result	FY 2020	FY 2021
Percent of people in imminent danger saved in the maritime environment							
80.0%	79.4%	78.8%	78.0%	80%	78%	80%	80%

Additional Information: This measure reports the percent of people who were in imminent danger on the oceans and other waterways and whose lives were saved by U.S Coast Guard. While the program aspires to save all lives, due to distance, weather, and other challenges the results reflect the reality of the complexities faced in meeting this goal.

Explanation and Corrective Action: The U.S. Coast Guard search and rescue (CG-SAR) mission did not meet its performance target of 80% in FY 2019; however, results are consistent with prior year results. Several factors hinder successful response including untimely distress notification to the U.S Coast Guard, incorrect distress site location reporting, severe weather conditions at the distress site, and distance to the scene. The program continues to improve its search and rescue planning and execution technologies.

Maritime Security Operations

Mission Program Goal

Detect, deter, prevent, disrupt, and recover from terrorism in the maritime domain.

Mission Program Description

The Maritime Security Operations program encompasses activities to detect, deter, prevent, disrupt, and recover from terrorist attacks and other criminal acts in the maritime domain. It includes the execution of antiterrorism, response, and select recovery operations. This program conducts the operational element of the U.S. Coast Guard’s



Numerous maritime soft targets exist such as cruise ships, ferries, and terminals. Working with experts from the Advanced Law Enforcement Rapid Response Training Center at Texas State University, the U.S. Coast Guard developed a marine specific active shooter/active threat (AS/AT) response curriculum. In August 2019, it was delivered in a train-the-trainer format, creating 45 instructors. Further efforts to expedite AS/AT training to the U.S. Coast Guard’s law enforcement personnel are underway.

Ports, Waterways, and Coastal Security mission and complements the other two elements: the establishment and oversight of maritime security regimes and maritime domain awareness.

Summary of Findings

Strategic Review Progress Rating: Satisfactory

Program Execution

- Four key processes: patrols of maritime critical infrastructure/Key resources (MCI/KR); fixed security zone enforcement around MCI/KR; security boardings of small/high-interest foreign/suspect vessels; and escorts of high capacity navy and hazardous cargo vessels
- Utilizes the Risk Based Maritime Security Response Operations tool to do robust risk-based tactical planning, execution, and reporting to quantify risk reduction impacts and evaluate alternatives
- Designated Captains of the Port were granted greater authority to align large and small vessel security boardings
- Partnering in government-wide efforts to counter unmanned aircraft systems
- Coordinated to resolve high-risk maritime breaches
- Ensured maritime facilities comply with worker credentialing

Impact

- Coordinated with dozens of Sectors to roll out the enhanced patrol activity approach, increasing the scope of patrols from single to multiple maritime targets resulting in eight times the risk reduction impact while increasing efficiency
- Conducted thousands of waterside patrols, security boardings, escorts, and enforced security zones that collectively contributed to an overall risk reduction

Challenges and Risks

- Challenges include the lack of sufficient boat assets and crews to perform operations and inability to counter threats from Unmanned Aircraft Systems (UAS) and unmanned underwater vehicles
- Low frequency but high consequence terrorist threats and attacks tend to foster complacency and undermines support for program
- Risks focus on guidance and training to respond to an active shooter/active threat situation, and the lack of small UAS capability at the Sectors to counter threats from adversaries

Key Measure

Prior Results				FY 2019		Performance Plan	
FY 2015	FY 2016	FY 2017	FY 2018	Target	Result	FY 2020	FY 2021
Percent risk reduction of coordinated anti-terrorism activities throughout the maritime transportation system							
---	---	---	---	---	---	42%	43%

Additional Information: This measure reflects the risk reduction impact of maritime security and response operations conducted in and around ports in the 37 Captain of the Port zones by the U.S. Coast Guard or federal, state, and local partners. This is a new measure for the FY 2020 to FY 2021 Performance Plan.

Maritime Transportation System Management

Mission Program Goal

Safeguard and expedite lawful trade and travel and mitigate hazards and vulnerabilities.

Mission Program Description

The Marine Transportation System Management program ensures a safe, secure, efficient, and environmentally sound waterways system. The U.S. Coast Guard minimizes disruptions to maritime commerce by assessing and mitigating risks to safe navigation and by providing waterways restoration capabilities after extreme weather events, marine accidents, or terrorist incidents. The U.S. Coast Guard works in concert with other Federal agencies, state and local governments, marine industries, maritime associations, and the international community to optimize balanced use of the Nation's marine transportation system. The following statutory missions contribute to the U.S. Coast Guard's Marine Transportation System Management program: Aids to Navigation and Ice Operations.



The 2019 Arctic Strategic Outlook reaffirms the U.S. Coast Guard's commitment to U.S. leadership in the region through partnership, unity of effort, and continuous innovation with

three lines of effort: enhance Arctic capability; strengthen the rules-based order; and innovate and adapt to promote resilience and prosperity. Key is the holistic perspective on Arctic national security imperatives. This requires collaboration across the joint service and other federal, state, local, tribal, and international partners to uphold sovereignty, improve safety, and enhance stewardship of the environment.

Summary of Findings

Strategic Review Progress Rating: Satisfactory

Program Execution

- Four key processes: Aids to Navigation (ATON); Ice Operations; Waterways Management; and Bridge Program
- Collaboration with other federal agencies, harbor safety committees, port authorities and industry to support \$5.4 trillion of economic activity through safe waterways
- Championed the Maritime Commerce Strategic Outlook to sustain America's maritime economic security
- Acquisition of Polar Security Cutters will provide access to any icebound waters and the assertion of sovereign control over the U.S. EEZ
- Acquisition of the Waterways Commerce Cutter will ensure the continued maintenance of aids to navigation critical to the movement of goods and services on the nation's waterways

Impact

- Typically perform maintenance on more than 10,000 buoys/beacons and correct thousands of ATON discrepancies annually
- Annually address hundreds of waterways disruptions related to vessel breakaways, groundings, and bridge/lock malfunctions, determined impacts of hundreds of dredging and port infrastructure projects, and conducted hundreds of partnership engagements
- Issue dozens of permits to begin bridge construction

- ATON has facilitated a substantial decrease in navigational accidents and timely opening of waterways post-hurricanes
- Typically conduct thousands of hours of ice breaking annually to support movement of dry bulk and liquid cargoes

Did you know?

The U.S. Coast Guard ensures that over 20,000 bridges and causeways spanning the navigable waters of the U.S. do not unreasonably obstruct navigation.

Challenges and Risks

- Challenges focus on determining the optimal mix of emerging technologies, legacy systems for aids to navigation, and permitting of offshore energy projects
- Lack of integrated information technology capabilities to share data between the program’s regulatory and management responsibilities also presents challenges
- Risks focus on the limited ability of the sole heavy polar ice breaker to address all statutory and security requirements and the impacts on effectiveness and efficiency caused by operating disparate IT systems

Key Measure

Prior Results				FY 2019		Performance Plan	
FY 2015	FY 2016	FY 2017	FY 2018	Target	Result	FY 2020	FY 2021
Availability of maritime navigation aids							
97.7%	97.7%	97.5%	97.1%	97.5%	96.8%	97.5%	97.5%

Additional Information: This measure assesses the program’s ability to manage short-range federal Aids to Navigation availability that promotes safe navigation on the waterway.

Explanation and Corrective Action: The availability of maritime navigation aids remains slightly below target. A number of factors continue to contribute to below target lag of this metric including ongoing repairs in the Mid-Atlantic, Florida/Puerto Rico, and the Gulf Coast aids to navigation due to 2017 storm damage from Hurricanes Harvey, Irma, and Maria as well as late-2018 aid damage due to Hurricane Florence. The U.S. Coast Guard will continue with their risk-based prioritization of navigation aid repairs.

U.S. Secret Service

Overview

[U.S. Secret Service \(USSS\)](#) safeguards the Nation’s financial infrastructure and payment systems to preserve the integrity of the economy, and protects national leaders, visiting heads of state and government, designated sites, and NSSEs.

For each USSS mission program, a description of the mission program is provided along with its most recent summary of findings. For a full listing of USSS’ performance measure results and plan, see the [“Performance Measure Tables – Report and Plan”](#) chapter in this section.

Protective Operations

Mission Program Goal

Protect our Nation's leaders and candidates, other designated individuals and facilities, the White House Complex, and NSSEs.

Mission Program Description

The Protective Operations program protects the President and Vice President and their families, former Presidents and their spouses, visiting heads of state and government, and other designated individuals. It also secures the White House Complex, Vice President's Residence, and other designated places; and designs, coordinates, and implements operational security plans for designated NSSEs. The program investigates, evaluates, disseminates, and maintains information concerning known, potential, or perceived threats to protectees, locations, and NSSEs. The program is staffed by Special Agents, Uniformed Division Officers, Technical Law Enforcement, and administrative, professional, and technical personnel that work closely with the military and with federal, state, county, local, and international law enforcement organizations to ensure mission success. This enables the Department to facilitate continuity of government and overall homeland security.

Summary of Findings

Strategic Review Progress Rating: Noteworthy

Program Execution

- Four key processes: protecting leaders; protecting facilities; security for NSSEs; and protective intelligence investigations
- Exceeded hiring goals and reduced overtime slightly but still above 10-year average
- Enhanced defensive capabilities via weapons modernization and technology to counter unmanned aircraft systems
- Implemented Information Integration and Technology Transformation system updates to enhance information sharing, protective and intelligence threat management, and HSPD-12 credential verification across issuing sources

Impact

- Annually provide 100% incident-free protection during thousands of domestic and foreign visits
- Protect special events such as the United Nations General Assembly and Presidential Address to Congress



The USSS secured the Salute to America Independence Day celebration on July 4th, 2019, coordinating with many agencies across the National Capital Region. The event occurred at the Lincoln Memorial in Washington, DC, and required extensive planning to keep the public and USSS protectees safe, including the development of a comprehensive and strategic operational security and safety plan that addressed the current threat environment and vulnerabilities posed in today's world.

Did you know?

As a result of the assassination of President William McKinley on September 14, 1901, Congress requested USSS Protection of U.S. Presidents.

- Information sharing with federal, state, and local law enforcement partners continues to increase
- Annually conduct joint training exercises and table top exercises with internal and external partners using real-world scenarios
- National Threat Assessment Center published and distributed a guide against targeted violence to tens of thousands of schools and continues to deliver training to more than 100 law enforcement partners

Challenges and Risks

- Challenges include maintaining the operational tempo due to the increased number of permanent protectees—this affects special agents’ quality of life and the complexity of logistical coordination needed
- Risks include the ability to adapt countermeasures to new adversarial capabilities and addressing security gaps for multi-stage or multi-actor attacks to individuals, places, and events

Key Measure

Prior Results				FY 2019		Performance Plan	
FY 2015	FY 2016	FY 2017	FY 2018	Target	Result	FY 2020	FY 2021
Percent of protectees that arrive and depart safely							
100%	100%	100%	100%	100%	100%	100%	100%

Additional Information: This measure reflects the effectiveness of efforts to ensure safe travels (arrive and depart safely) for the President and Vice President of the United States and their immediate families, former presidents, their spouses, and their minor children under the age of 16, major presidential and vice-presidential candidates and their spouses, and foreign heads of state.

Field Operations

Mission Program Goal

Protect the Nation’s financial infrastructure by conducting criminal investigations of financial crimes, cybercrimes, counterfeit currency, and protective intelligence.

Mission Program Description

The Field Operations program supports the daily operations of the domestic and international field offices. The program is staffed by Special Agents, Uniformed Division Officers, Technical Law Enforcement, and administrative, professional, and technical personnel. Program personnel divide their time between conducting criminal investigations of financial crimes, cybercrimes, counterfeit currency, protective intelligence, and performing physical protection responsibilities. This enables the Department to protect the U.S. economy and continuity of government by investigating threats to financial payment systems, threats to leadership and locations, and events with symbolic and practical significance to U.S. citizens in physical space and cyberspace.

Summary of Findings

Strategic Review Progress Rating: Noteworthy

Program Execution

- Two key processes: investigate financial crimes and support protective investigations and physical security operations
- Established the Global Investigative Operations Center to expand analytical & investigative support to act as a force multiplier to field offices & state/local law enforcement partners
- Expanded coordination with task force partners to enhance investigative and technical skills related to disrupting and dismantling criminal networks
- Established Counterfeit Currency Processing Facility within the Bureau of Engraving and Printing to handle counterfeit processing and reduce field office burden
- The Information Integration and Technology Transformation IT system provided new and improved functionality to support investigative activities



During FY 2019, a USSS trained and equipped officer on the Miami Electronic Crimes Task Force examined a phone and other electronic devices left by Nikolas Cruz, a gunman who killed 17 students and staff members at Marjory Stoneman Douglas High School. The officer's findings will be used in the upcoming trial of the alleged shooter, exemplifying how the USSS National Computer Forensics Institute graduates and partnerships are critical to achieving the Administration's priority to strengthen law enforcement to thwart homeland security threats.

Impact

- Increased arrests and achieved a near 100% conviction rate for financial crime-related cases
- Prevented billions of financial losses by focusing on fewer but more consequential cases
- Seized millions in counterfeit notes
- Disrupted efforts by malicious actors to steal credit card information by recovering hundreds of skimming devices at frequently visited locations such as ATMs and gas stations
- Law enforcement partners trained in electronic crimes and forensics at the National Computer Forensics Institute conducted tens of thousands of forensic exams and were instrumental in several high-profile cases

Did you know?

The U.S. Secret Service Division was formed on July 5, 1865 and was originally founded to combat the then-widespread counterfeiting of U.S. currency.

Challenges and Risks

- Challenges include the increased and continued demand for Protective Operations which impacts investigations as agents are pulled into protective duties
- New technology and training for agents and partners is necessary to meet the demand on protective operations
- Risks were identified as the ability to adapt to adversaries cyber and technology capabilities, and allocating sufficient staffing and training resources to allow time for training

Key Measure

Prior Results				FY 2019		Performance Plan	
FY 2015	FY 2016	FY 2017	FY 2018	Target	Result	FY 2020	FY 2021
Amount of cyber-financial crime loss prevented (in billions)							
---	---	---	---	\$4.50	\$7.10	\$5.00*	\$6.00

* Target previously published in last year’s Annual Performance report as \$3.50. The program’s rationale for raising the target is the expectation that the number of cases closed will continue to influence the loss prevented.

Additional Information: This measure reflects the program’s efforts to reduce financial losses to the public attributable to cyber financial crimes.

Support Components

Countering Weapons of Mass Destruction Office

Overview

Countering Weapons of Mass Destruction Office (CWMD) was created in December of 2017 to elevate and focus the CWMD missions within DHS and to provide a focal point for the interagency. The danger from hostile state and non-state actors who are trying to acquire nuclear, chemical, radiological, and biological weapons is increasing. CWMD’s objective is to support the President’s National Security Strategy and lead the Department’s efforts to develop and enhance CWMD programs and capabilities that defend against weapons of mass destruction (WMD), and combat bio-threats and pandemics. CWMD will give our frontline defenders—including homeland security, law enforcement, and intelligence professionals—the tools and resources to stop WMD terrorist acts before they take place. CWMD serves as the Department’s representative at domestic, interagency, and international venues related to CWMD strategy, policy, planning, investment, acquisition, and joint operational matters. The programs that deliver performance results for CWMD are: Capability and Operational Support and Capability Building.

For a full listing of CWMD’s performance measure results and plan, see the [“Performance Measure Tables – Report and Plan”](#) chapter in this section.

Progress Update

Program Execution

- Two key processes: provide capability and operational support



CWMD’s Mobile Detection Deployment (MDD) Program helps equip and train the Nation’s law enforcement partners to detect radiological and nuclear threats. The goal is to build and sustain a national capability to detect, interdict, and prevent WMD threats along the Nation’s highways and byways as well as borders, airports, and other transit hubs. CWMD works with federal, state, and local law enforcement agencies to identify high risk pathways and sends technical experts and equipment for “detection surges” in the targeted areas. This effort combines enhanced threat detection with the opportunity to build operators’ skills using the equipment. By the end of FY 2019, CWMD will have exceeded 120 surge deployments of the MDD Program, enhancing interdiction efforts and expanding our law enforcement partners’ ability to protect the Nation from the threat of WMD terrorism.

and build capability through support of chemical, biological, radiological, nuclear, and medical support projects and activities

- Developed strategies and policies for the Department to plan for, detect, and protect against a WMD attack or public health incident in the United States
- Refined and implemented an operational requirements process to align spending with the needs of DHS operators

Impact

- Procured and deployed equipment to DHS operators and first responders to enhance the Nation’s WMD defense posture
- Integrated biosurveillance operations within the CBP National Targeting Center to enhance ability to identify and target WMD and public health threat agents
- Launched a rapid effort to develop a biodetection system replacement that will reduce the timeline to detect an attack
- Supported medical surge operations at the Southwest Border

Did you know?

CWMD partners with DHS Operational Components to support federal, state, and local coordination to combat terrorism. In FY 2019, CWMD supported counter-terrorism training with USCG Maritime Response Team West and the FBI as part of the statewide Alaska Shield exercise.

Challenges and Risks

- CWMD continues to address the challenge of realigning staff and resources from two legacy components to ensure CWMD support to operators is ongoing and CWMD staff are engaged
- Staffing shortages present ongoing challenges

Key Measure

Prior Results				FY 2019		Performance Plan	
FY 2015	FY 2016	FY 2017	FY 2018	Target	Result	FY 2020	FY 2021
Percent of top 25 special events integrating biodetection monitoring							
FOUO	FOUO	FOUO	FOUO	FOUO	FOUO	FOUO	FOUO

Additional Information: The results for this measure reflect efforts to use biodetection monitoring tools to counter attempts by terrorists and other threat actors at special security events such as the Super Bowl and United Nations. Due to the sensitivity of the information, the results are FOUO.

Federal Law Enforcement Training Centers

Overview

The [Federal Law Enforcement Training Centers \(FLETC\)](#) provides career-long training to law enforcement professionals to help them fulfill their responsibilities safely and proficiently.

For a full listing of FLETC’s performance measure results and plan, see the “[Performance Measure Tables – Report and Plan](#)” chapter in this section.

Progress Update

Program Execution

- Two key processes: produce training materials and conduct training
- FLETC produces training and training materials utilizing a systems approach, a methodical process for developing and revising training that generally consists of six phases: analysis, design, development, implementation, evaluation, and revision/review
- FLETC develops training curriculum through an instructional systems design process that allows flexibility and feedback from participating organizations
- FLETC’s Training Management Operations Directorate manages the instructional systems design process, with executive oversight and extensive participation and engagement from FLETC’s more than 95 participating organizations
- Training is conducted across four domestic training delivery points, with executive oversight over each location utilizing an instructional model that includes both permanent FLETC staff and participating organization personnel detailed from the operating environment



FLETC training for new public safety personnel and for ongoing public safety skills will now continue if a future lapse in appropriations occurs, a reversal from previous government

shutdowns, when all FLETC training was postponed. FLETC quickly devised a plan during the 35-day government shutdown in FY 2019 that ensured the uninterrupted flow of training, enabling its participating organizations to deploy 1,812 law enforcement officers and agents to the field to execute their agencies’ missions to protect our homeland.

Impact

- Participating Organization Satisfaction Survey scores from respondents indicate they were satisfied with the overall training experience
- Participating Organization Satisfaction Survey scores from respondents indicated they were satisfied with the training provided

Challenges and Risks

- There is a shortage of on-site student lodging facilities to meet rising student throughput, which has financial and student quality of life impacts, as FLETC must sometimes house students in off-site lodging facilities in excess of 70 miles away. To mitigate this, FLETC will be increasing its on-site student lodging capacity with the construction of pre-fabricated modular dormitory facilities.
- FLETC’s capacity is limited by available training venues, the demands on which evolve and grow with increases and changes to participating organizations’ operational requirements and associated training needs. FLETC is mitigating this risk by requesting resources based on

Did you know?

FLETC trains federal law enforcement personnel from more than 95 federal agencies from every Cabinet-level department. Additionally, FLETC provides training and training resources to state, local, tribal, and international law enforcement.

emerging requirements, making modifications to existing facilities, designing flexible and easily adaptable training venues, and/or purchasing modular facilities as applicable.

Key Measure

Prior Results				FY 2019		Performance Plan	
FY 2015	FY 2016	FY 2017	FY 2018	Target	Result	FY 2020	FY 2021
Percent of Partner Organizations that agree the Federal Law Enforcement Training Centers' training programs address the right skills (e.g., critical knowledge, key skills and techniques, attitudes/behaviors) needed for their officers/agents to perform their law enforcement duties							
98%	95%	97%	98%	90%	98%	90%	90%

Additional Information: This measure reports customers feedback on the skills training provided to law enforcement officers and others who attend Federal Law Enforcement training along with providing on-going feedback and ideas for improvements that are incorporated into FLETC training curricula, processes, and procedures.

Office of Intelligence and Analysis

Overview

The Office of Intelligence and Analysis, a program within the Analysis and Operation Component, equips the Homeland Security Enterprise (HSE) with the timely intelligence and information it needs to keep the homeland safe, secure, and resilient.

For a full listing of all performance measures with their results and plan, see the [“Performance Measure Tables – Report and Plan”](#) chapter in this section.

Summary of Findings

Strategic Review Progress Rating:
Satisfactory

Program Execution

- Three key processes: intelligence gathering; analysis; and reporting
- Made considerable progress in developing an Intelligence Enterprise that drives intelligence integration, analysis, and the sharing of unique intelligence
- Reorganized into mission centers to make this progress (e.g., Emerging Threats; Counterterrorism; Economic Security; Counterintelligence; Homeland Identities Targeting and Exploitation Center)



In support of the 2018 mid-term elections, I&A increased 2018 Intelligence Information Reports (IIR) reporting 2.5 times over a similar timeframe in 2017. There were 267 IIRs aligned to election security (57% of the total IIR production). Open Source Intelligence Reports (OSIR) nearly doubled over a similar timeframe in 2017, with 314 OSIRs aligned to election security (54% of the total OSIR production). The 12 election-security related finished intelligence products published during this time were accessed via web portals almost 1,000 times. I&A’s collaboration successfully provided reporting awareness of efforts by malicious actors to influence the mid-term elections.

- Rapidly provided actionable intelligence derived from unique data discovered on digital devices acquired during Component law enforcement missions

Impact

- Organically collected information from publicly available sources resulting in hundreds of open source intelligence reports while working with DHS and interagency partners
- Processed a backlog of thousands of collections resulting in thousands of serialized Homeland Exploitation Lead cables disseminated broadly to the Intelligence Community
- Made more than a thousand nominations or enhancements to terrorist identities watchlists
- Collected human sources information resulting in hundreds of raw intelligence information reports, and hundreds of tips, leads, and field intelligence reports while meeting civil rights and privacy requirements

Did you know?

Over the course of FY 2019, I&A restructured toward a Mission Center framework organized by threat portfolios—Counterintelligence, Counterterrorism, Cyber, Economic Security, and Transnational Organized Crime.

Challenges and Risks

- Challenge exists to establish a more formal governance structure in DHS that works to coordinate, align, and de-conflict intelligence activities across the enterprise
- Maintaining a balanced workforce and addressing retention issues remains an issue as junior personnel seeking greater responsibility and compensation have many opportunities outside of the program
- Risks focus on effectively meeting intelligence capability demands to support new Departmental operational capacities

Key Measure

Prior Results				FY 2019		Performance Plan	
FY 2015	FY 2016	FY 2017	FY 2018	Target	Result	FY 2020	FY 2021
Percent of intelligence reports rated "satisfactory" or higher in customer feedback that enable customers to understand the threat							
95%	95%	94%	99%	95%	96%	95%	95%

Additional Information: This measure gauges the extent to which the DHS Intelligence Enterprise is satisfying their customers' needs related to anticipating emerging threats.

Office of Operations Coordination

Overview

The Office of Operations Coordination, a program within the Analysis and Operation Component, provides information daily to the Secretary of Homeland Security, senior leaders, and the homeland security enterprise to enable decision-making; oversees the National Operations Center; and leads the Department’s Continuity of Operations and Government Programs to enable

continuation of primary mission essential functions in the event of a degraded or crisis operating environment.

For a full listing of all performance measures with their results and plan, see the [“Performance Measure Tables – Report and Plan”](#) chapter in this section.

Summary of Findings

Strategic Review Progress Rating:
Satisfactory

Program Execution

- Two key processes: assessing risk for domestic special events and coordinating security requirements for major domestic and international events
- Assigned Special Event Assessment Rating (SEAR) levels for all requests received to determine the relative risk of terrorism
- Updated the SEAR Methodology and criteria that was then approved by the Special Events Working Group (SEWG) Co-Chairs
- Engaged in ongoing Counter UAS strategy and policy discussions within DHS



The DHS Office of Operations Coordination, Special Events Program (SEP) is the sole federal entity that coordinates the identification, risk assessment, information sharing, and support for special events. SEP engages in direct outreach to local, state, and federal event planners and manages the National Special Events Data Call which resulted in the submission of over 17,000 events for 2019.

Impact

- Supported several National Security Special Events, high risk SEAR events, and Federal Coordination Teams
- Received and adjudicated thousands of special event requests while completing nearly 100% timeliness of assessments within five days
- Accomplishments met through full implementation of the National Special Events Database, hosted on the Homeland Security Information Network, which automated event submissions, reduced processing time, and provided greater historical data visibility

Challenges and Risks

- Challenges include staff attrition which poses a challenge regarding reviewing and assessing events, coordinating support to the highest risk events, and impacts our ability to support Federal Coordinators
- Risk focused on the increasing number of event submissions to request special events support which may delay the adjudication timeline to conduct assessments and determine SEAR scores

Key Measure

Prior Results				FY 2019		Performance Plan	
FY 2015	FY 2016	FY 2017	FY 2018	Target	Result	FY 2020	FY 2021
Percent of risk assessments for federal security support of large public/community special events completed within the targeted time frame							
---	---	99.4%	100%	98%	99.5%	99%	99%

Additional Information: The measure indicates the timeliness of risk assessments that are used by federal agencies as criteria to determine their level of support to state and local events and is the primary federal awareness mechanism for special events occurring across the Nation.

Science and Technology Directorate

Overview

Science and Technology Directorate (S&T)

is the primary research and development arm of the Department. It provides federal, state, and local officials with the technology and capabilities to protect the homeland. The programs that deliver performance results for S&T are: Acquisition and Operations Analysis; Laboratory Facilities; Research, Development, and Innovation; and University Programs.

For a full listing of S&T’s performance measure results and plan, see the “[Performance Measure Tables – Report and Plan](#)” chapter in this section.



The Biometric Technology Rally is an event that challenges industry to provide intuitive biometric systems that meet specific DHS use cases. In May 2019, S&T hosted the second Biometric Technology Rally and put 15 companies to the test in a scientifically controlled, high-throughput environment on their capability to process 430 volunteers through simulated checkpoint environments. Results will help industry improve biometric systems as well as enable DHS and partners to evaluate and access top performing available technologies.

Progress Update

Program Execution

- Key process: research and development
- S&T matured its approach to its research and development (R&D) mission with a new organizational structure to improve its ability to more rapidly transition technology capabilities into operations
- The revitalized S&T structure set the foundation for S&T to be more agile and responsive to changes in the threat environment, and to make use of existing technologies that can be adapted and leveraged to expedite the development of vital capabilities

Did you **know?**

The S&T Detection Canine Program working across the HSE is the federal focal point for detection canine research and development. The detection canine is the most versatile mobile detection tool available for protecting the Homeland from threats.

Impact

- S&T made significant progress on improving technology and processes to make the nation safer such as:
 - Wireless emergency alert improvements to thermal sensor warning for fire safety to mitigate threats from Vehicle Improvised Explosive Devices
 - Advanced technologies, knowledge products, technical analyses, laboratories, and university-led research contribute to the effectiveness and efficiency of DHS operations
- S&T has contributed to the success of CBP and other DHS Components by:
 - Developing and evaluating alternative technologies

FY 2019-2021 Annual Performance Report

- Developing Concepts of Operation for Biometric Entry/Exit, Global Entry, and Modified Egress
- Enhancing the performance of core Face Recognition capabilities

Challenges and Risks

- The greatest challenge in the results and outcomes of research and development programs is the uncertainty of the practicality of the results that will be delivered
- In addition, challenges persist in retaining top-level expertise and talent

Key Measure

Prior Results				FY 2019		Performance Plan	
FY 2015	FY 2016	FY 2017	FY 2018	Target	Result	FY 2020	FY 2021
Percent of technology or knowledge products transitioned to customers for planned improvements in the Homeland Security Enterprise*							
---	---	---	---	---	---	75%	75%

* S&T’s key measure is a new one for FY 2020 to better capture the value being delivered to customers.

Additional Information: This measure reflects the percent at which S&T meets its planned fiscal year transitions of technology or knowledge products for research and development funded programs/projects. A successful transition is the ownership and operation of a technology or knowledge product by a customer within the HSE.

Performance Measure Tables

This section of the report provides a full accounting of the Department’s FY 2019 measures, their FY 2019 results and up to four additional years of historical results to allow for trend analysis. In addition, to show DHS’s Performance Plan, the FY 2020 and FY 2021 targets are provided for measures which will be used moving forward. For each measure, a short description is provided to communicate the benefits each measure delivers. For those measures that did not meet their current year targets, explanations with a corrective action are provided. In addition, changes to measure names and targets from the previous year’s report are identified. Finally, the Department continually improves our set of performance measures. As such, new measures are introduced and measures are retired each year and are identified, if applicable, in the measure tables. The following tables are provided in alphabetical order by DHS Component.

Customs and Border Protection

Border Security Operations								
Performance Measure		FY 2015	FY 2016	FY 2017	FY 2018	FY 2019	FY 2020	FY 2021
Percent of people apprehended multiple times along the Southwest Border	Target	≤ 17%	≤ 17%	≤ 17%	≤ 17%	≤ 15%	≤ 15%	≤ 15%
	Result	14.0%	12.3%	10.5%	10.8%	6.7%		
<i>Additional Information:</i> This measure reflects the effect the consequence delivery program is having on efforts to reduce illegal entries between ports of entry and is a feedback mechanism to inform operational control over the U.S. border.								
Performance Measure		FY 2015	FY 2016	FY 2017	FY 2018	FY 2019	FY 2020	FY 2021
Percent of recurring border surveillance implemented in remote low risk areas between ports of entry	Target	---	---	70%	93%	96%	100%	100%
	Result	---	---	90.4%	99.0%	99.0%		
<i>Additional Information:</i> This measure describes the scope of the Border Patrol’s risk-based deployment of surveillance capabilities in areas determined to be low risk and is key to achieving situational awareness to ensure operational control over the U.S. border.								
Performance Measure		FY 2015	FY 2016	FY 2017	FY 2018	FY 2019	FY 2020	FY 2021
Percent of time the U.S. Border Patrol reaches a detection site in a timely manner to assess the nature of detected activity in remote, low-risk areas of the Southwest and Northern Borders	Target	---	---	95%	96%	95%	95%	95%
	Result	---	---	96.4%	92.2%	95.6%		
<i>Additional Information:</i> This measure gauges Border Patrol’s ability to travel to and diagnose potential illegal activity in remote areas before the evidence vanishes to enhance situational awareness. Measure name changed from: <i>Percent of time the U.S. Border Patrol meets its goal of responding to potential illegal activity in remote, low-risk areas.</i>								
Performance Measure		FY 2015	FY 2016	FY 2017	FY 2018	FY 2019	FY 2020	FY 2021
Rate of interdiction effectiveness along the Southwest Border between ports of entry	Target	80%	81%	81%	81%	81%	81%	81%
	Result	81.0%	82.7%	78.9%	79.7%	86.3%		
<i>Additional Information:</i> The Border Patrol uses this measure as an important indicator of the effectiveness of law enforcement and response efforts at apprehending detected illegal border crossers and is a key indicator of the status of having operational control over the U.S. border.								

Integrated Operations								
Performance Measure		FY 2015	FY 2016	FY 2017	FY 2018	FY 2019	FY 2020	FY 2021
Percent of detected conventional aircraft incursions resolved along all borders of the United States	Target	100%	100%	98.5%	98.5%	98.5%	98.5%	98.5%
	Result	99.3%	99.7%	97.9%	100.0%	99.1%		
<i>Additional Information:</i> The measure represents the percent of conventional aircraft suspected of illegal cross border activity based on visual or sensor data available to the program which are then resolved successfully. Detecting aircraft incursions contributes to the operational control of the U.S. border.								

Trade and Travel Operations								
Performance Measure		FY 2015	FY 2016	FY 2017	FY 2018	FY 2019	FY 2020	FY 2021
Amount of smuggled outbound currency seized at the ports of entry (in millions)	Target	\$30	\$30	\$30	\$30	\$30	\$30	\$30
	Result	\$37.6	\$28.9	\$39	\$38.7	\$32.4		
<i>Additional Information:</i> This measure estimated the amount of currency smuggled out of the country and assisted in planning detection efforts. This measure is being moved from the strategic set to the management set of measures.								

Performance Measure		FY 2015	FY 2016	FY 2017	FY 2018	FY 2019	FY 2020	FY 2021
Number of smuggled outbound weapons seized at the ports of entry	Target	400	400	400	400	400	400	400
	Result	505	661	421	686	1,095		
<i>Additional Information:</i> This measure estimated the number of weapons smuggled out of the country and assisted in planning detection efforts. This measure is being moved from the strategic set to the management set of measures.								

Performance Measure		FY 2015	FY 2016	FY 2017	FY 2018	FY 2019	FY 2020	FY 2021
Percent of cargo by value imported to the United States by participants in CBP trade partnership programs	Target	54%	53%	53%	53%	53%	53%	53%
	Result	52.2%	53.0%	53.1%	53.3%	53.0%		
<i>Additional Information:</i> CBP works with the trade community through voluntary public-private partnership programs to expand the trade community's adoption of tighter supply chain security measures in return for efficiencies when using these programs. Measure name changed from: <i>Percent of cargo by value imported to the U.S. by participants in CBP trade partnership programs.</i>								

Performance Measure		FY 2015	FY 2016	FY 2017	FY 2018	FY 2019	FY 2020	FY 2021
Percent of Global Entry members with no security-related violations	Target	---	---	99.5%	99.5%	99.5%	99.5%	99.5%
	Result	---	---	99.9%	99.8%	99.9%		
<i>Additional Information:</i> This measure demonstrates the effectiveness of the Global Entry trusted-traveler program to correctly identify low-risk travelers and quickly incorporate changes in travelers' risk status. This measure was moved from the Department's Management Set to be included in the FY 2020 to FY 2021 Performance Plan.								

Performance Measure		FY 2015	FY 2016	FY 2017	FY 2018	FY 2019	FY 2020	FY 2021
Percent of import revenue successfully collected	Target	100%	100%	100%	100%	99%	99%	99%
	Result	98.61%	99.06%	99.05%	99.44%	99.11%		
<i>Additional Information:</i> This measure tracks collected duties, taxes, and fees from commercial imports to the U.S. as directed by trade laws, regulations, and agreements. The enforcement of U.S. trade laws protects national economic security, facilitates fair trade, supports the health and safety of the American people, and ensures a level playing field for U.S. industry; all while providing more than \$50 billion to the Treasury Department.								

Performance Measure		FY 2015	FY 2016	FY 2017	FY 2018	FY 2019	FY 2020	FY 2021
Percent of imports compliant with U.S. trade laws	Target	97.50%	97.50%	97.50%	97.50%	97.50%	97.50%	97.50%
	Result	98.89%	99.18%	99.38%	98.72%	98.37%		
<i>Additional Information:</i> This measure ensure all imports are legally compliant with all trade regulations, and that their entry records contain no major discrepancies, facilitates lawful trade into the United States.								

Performance Measure		FY 2015	FY 2016	FY 2017	FY 2018	FY 2019	FY 2020	FY 2021
Percent of inbound cargo identified as potentially high-risk that is assessed or scanned prior to departure or at arrival at a U.S. port of entry	Target	100%	100%	100%	100%	100%	100%	100%
	Result	99.76%	99.28%	99.50%	97.88%	98.2%		

Additional Information: Assessing, resolving, and scanning high-risk cargo prior to departure from or upon arrival at ports of entry ensures the U.S. public's safety by extending our border-security efforts. Measure name changed from: Percent of inbound cargo identified by CBP as potentially high-risk that is assessed or scanned prior to departure or at arrival at a U.S. port of entry.
Explanation and Corrective Action: The program's approach to scanning potentially high-risk shipments balances security efforts with facilitating volumes and speeds of trade critical to the U.S. economy. To improve performance, the program will remain engaged with: 1) the Targeting & Analysis Systems Program Directorate, to resolve status tracking problems and information processing errors; and 2) with shippers and carriers, to rectify logistical and scheduling issues that impede appropriate review of identified shipments.

Performance Measure		FY 2015	FY 2016	FY 2017	FY 2018	FY 2019	FY 2020	FY 2021
Percent of international air passengers compliant with all federal, state, and local laws and regulations	Target	98%	98%	98%	98%	98%	98%	98%
	Result	98.1%	98.3%	99.5%	98.5%	98.4%		

Additional Information: This measure shows success at maintaining a high level of security in the international air environment through passengers' compliance with all federal, state, and municipal laws and regulations. This measure was moved from the Department's Management Set to be included in the FY 2020 to FY 2021 Performance Plan.

Performance Measure		FY 2015	FY 2016	FY 2017	FY 2018	FY 2019	FY 2020	FY 2021
Percent of privately owned vehicle passengers compliant with all federal, state, and local laws and regulations	Target	99.5%	99.5%	99.5%	99.5%	99.5%	99.5%	99.5%
	Result	99.7%	99.7%	99.3%	99.4%	99.4%		

Additional Information: This measure shows success at maintaining a high level of security at land-border ports of entry through passengers' compliance with federal agriculture, immigration, and customs laws and regulations and any other state and local laws and regulations that are enforced at land-border ports of entry. This measure was moved from the Department's Management Set to be included in the FY 2020 to FY 2021 Performance Plan.

Explanation and Corrective Action: One large port had a low compliance rate which affected the overall figure. The program continued to maintain a high degree of compliance at all other ports. The program is working with Field Office management to review the findings in the primary and secondary inspections to seek out the underlying reasons and identify operational adjustments and mitigation procedures to reverse this decline where possible. Nationally, the program will continue to familiarize travelers with changing U.S. laws and processing requirements and improve passenger outreach efforts.

Countering Weapons of Mass Destruction Office

Capability and Operations Support

Performance Measure		FY 2015	FY 2016	FY 2017	FY 2018	FY 2019	FY 2020	FY 2021
Percent of top 25 special events integrating biodetection monitoring	Target	FOUO						
	Result	FOUO	FOUO	FOUO	FOUO	FOUO		

Additional Information: The results for this measure reflect efforts to use biodetection monitoring tools to counter attempts by terrorists and other threat actors at special security events such as the Super Bowl and United Nations. Due to the sensitivity of the information, the results are FOUO.

Performance Measure		FY 2015	FY 2016	FY 2017	FY 2018	FY 2019	FY 2020	FY 2021
Percent of cargo conveyances that pass through radiation portal monitors upon entering the nation via land border and international rail ports of entry	Target	FOUO	FOUO	FOUO	FOUO	FOUO	Retired Measure	
	Result	FOUO	FOUO	FOUO	FOUO	FOUO		

Additional Information: Results of this measure showed the Department's capacity to prevent nuclear and other radioactive materials that are out of regulatory control from entering the country via land border and international rail ports of entry. This measure is being retired due to a change in organizational reporting requirements. Efforts are underway to develop indicators of this activity for FY 2021 implementation.

FY 2019-2021 Annual Performance Report

Performance Measure		FY 2015	FY 2016	FY 2017	FY 2018	FY 2019	FY 2020	FY 2021
Percent of containerized cargo conveyances that pass through radiation portal monitors at sea ports of entry	Target	FOUO	FOUO	FOUO	FOUO	FOUO	Retired Measure	
	Result	FOUO	FOUO	FOUO	FOUO	FOUO		
<i>Additional Information:</i> Results of this measure showed the Department’s capacity to prevent nuclear and other radioactive materials that are out of regulatory control from entering the country via sea ports of entry. This measure is being retired due to a change in organizational reporting requirements. Efforts are underway to develop indicators of this activity for FY 2021 implementation.								

Cybersecurity and Infrastructure Security Agency

Cybersecurity								
Performance Measure		FY 2015	FY 2016	FY 2017	FY 2018	FY 2019	FY 2020	FY 2021
Average number of hours to notify agency of an incident on their network from earliest detection of potentially malicious activity	Target	---	---	---	---	24	Retired Measure	
	Result	---	---	---	---	N/A		
<i>Additional Information:</i> This measure was intended to provide insight into the efficiency and effectiveness of the National Cybersecurity Protection System program by assessing average time to notify agency of an incident on their network. This measure is being retired as challenges were faced with providing valid results. This measure is being replaced by the measure below.								
Performance Measure		FY 2015	FY 2016	FY 2017	FY 2018	FY 2019	FY 2020	FY 2021
Percent of potential malicious cyber activity notifications where impacted agencies were alerted within the specified timeframe	Target	---	---	---	---	---	75%	75%
	Result	---	---	---	---	---		
<i>Additional Information:</i> This measure tracks the percent of potential malicious cyber activity notifications identified as credible where the affected agency is alerted within a specified timeframe (18 hours for FY 2020 and 12 hours for FY 2021). Identifying and mitigating vulnerabilities on a network in a timely manner is a critical component of an effective cybersecurity program. This is a new measure for the FY 2020 to FY 2021 Performance Plan.								
Performance Measure		FY 2015	FY 2016	FY 2017	FY 2018	FY 2019	FY 2020	FY 2021
Percent of critical and high vulnerabilities identified through cyber hygiene scanning mitigated within the designated timeline	Target	---	---	---	80%	70%	70%	75%
	Result	---	---	---	52%	59%		
<i>Additional Information:</i> DHS provides cyber hygiene scanning to agencies to aid in identifying and prioritizing vulnerabilities based on their severity for agencies to make risk-based decisions regarding their network security. Identifying and mitigating vulnerabilities on a network in a timely manner is a critical component of an effective cybersecurity program. FY 2020 target was previously published as 75% in the FY 2018-2020 APR. The program updated targets to be consistent with current trends. Measure name changed from: Percent of significant (critical and high) vulnerabilities identified by DHS cyber hygiene scanning of federal networks that are mitigated within the designated timeline.								
<i>Explanation and Corrective Action:</i> During the first half of the year, BOD 15-01 was still in place, and the mitigation timelines were not aligned with the standards for this measure. The issuance of BOD 19-02 on April 29, 2019, formally established updated mitigation timelines of 15 days for critical vulnerabilities and 30 days for high vulnerabilities. Since BOD 19-02 implementation, the compliance rate has increased substantially, and DHS expects performance to continue to improve in FY 2020.								
Performance Measure		FY 2015	FY 2016	FY 2017	FY 2018	FY 2019	FY 2020	FY 2021
Percent of incidents detected or blocked by EINSTEIN intrusion detection and prevention systems that are attributed to Nation State activity	Target	---	---	---	20%	21%	Retired Measure	
	Result	---	---	---	29%	17%		

FY 2019-2021 Annual Performance Report

<p><i>Additional Information:</i> This measure demonstrated the EINSTEIN intrusion detection and prevention systems' ability to detect and block the most significant malicious cyber-activity by Nation States on federal civilian networks. This measure is being retired since the program has limited control over the activity of Nation States, but this activity will continue to be monitored.</p> <p><i>Explanation and Corrective Action:</i> Throughout FY 2019, DHS worked consistently to improve the ability to detect incidents with the EINSTEIN system through capability development, intelligence, and analysis; however, detection is a bigger challenge than attribution and the program did not achieve its targeted results. The program will focus more on timeliness and accuracy of information to identify issues as quickly as possible, regardless of originating source.</p>								
Performance Measure		FY 2015	FY 2016	FY 2017	FY 2018	FY 2019	FY 2020	FY 2021
Percent of participating federal, civilian executive branch agencies for which Continuous Diagnostics and Mitigation (CDM) capabilities to manage user access and privileges to their networks are being monitored on the DHS managed Federal Dashboard	Target	---	---	---	---	42%	Retired Measure	
	Result	---	---	---	---	23%		
<p><i>Additional Information:</i> This measure provided the percent of participating federal agencies whose user access data is visible on the Federal Dashboard. Monitoring "Who is on the Network" on the Federal Dashboard demonstrates the successful deployment, integration, display, and exchange of data focused on restricting network privileges to those individuals who need access to perform their duties. This measure is being retired but will continue as an FY 2020-2021 Agency Priority Goal measure with a revised name of "Percent of agencies who have established a data connection and begun providing user access data to the Federal Dashboard."</p> <p><i>Explanation and Corrective Action:</i> As of end of FY 2019, 5 of 23 civilian CFO Act agencies and 29 of 40 non-CFO Act agencies have established data exchanges for user access data with the Federal Dashboard. CISA is working to replace the currently-deployed CDM dashboard. As the new dashboard comes online over the next year, establishment of information exchanges will resume for the remaining agencies.</p>								
Performance Measure		FY 2015	FY 2016	FY 2017	FY 2018	FY 2019	FY 2020	FY 2021
Percent of respondents indicating that operational cybersecurity information products provided by DHS are helpful	Target	---	---	78%	90%	90%	Retired Measure	
	Result	---	---	92%	93%	93%		
<p><i>Additional Information:</i> This measure assessed whether the products that the DHS National Cybersecurity and Communications Integration Center (NCCIC) provided were helpful for its customers and allowed NCCIC to make continuous improvements to provided products. This measure is being retired as it does not capture the full range of products offered by the NCCIC.</p>								
Performance Measure		FY 2015	FY 2016	FY 2017	FY 2018	FY 2019	FY 2020	FY 2021
Percent of significant (critical and high) vulnerabilities identified through a DHS assessment of a federal agency high value asset that are mitigated within 30 days	Target	---	---	---	---	45%	Retired Measure	
	Result	---	---	---	---	30%		
<p><i>Additional Information:</i> High value asset assessments identify critical vulnerabilities associated with the Federal Government's most sensitive IT systems and data that must be mitigated within 30 days. This measure is being retired and replaced with the measure below to address the need to measure and track separately configuration-based vulnerabilities and risks.</p> <p><i>Explanation and Corrective Action:</i> Some agencies did not mitigate all vulnerabilities within 30 days because they elected to implement DHS's recommended mitigation approach across their entire enterprise, rather than apply it only to the High Value Asset (HVA). While DHS supports this more widespread application, it recommends that an agency prioritize the mitigation of the issue within the HVA first, as an enterprise implementation can delay the overall mitigation effort.</p>								
Performance Measure		FY 2015	FY 2016	FY 2017	FY 2018	FY 2019	FY 2020	FY 2021
Percent of critical and high configuration-based vulnerabilities identified through high value asset assessments mitigated within 30 days	Target	---	---	---	---	---	70%	75%
	Result	---	---	---	---	---		
<p><i>Additional Information:</i> Configuration-based vulnerabilities can be more quickly mitigated by agencies through such actions as changing security settings, software or configuration changes, patching software vulnerabilities, and adjusting user account privileges. These configuration-based vulnerabilities are identified through high value asset assessments to strengthen the defense against cyber-attacks. This is a new measure for the FY 2020 to FY 2021 Performance Plan.</p>								

FY 2019-2021 Annual Performance Report

Performance Measure		FY 2015	FY 2016	FY 2017	FY 2018	FY 2019	FY 2020	FY 2021
Percent of survey respondents that were satisfied or very satisfied with the timeliness and relevance of cyber and infrastructure analysis based products	Target	---	80%	90%	92%	94%	Retired Measure	
	Result	---	93%	93%	96%	98%		
<i>Additional Information:</i> Survey comments provide the program with feedback that are used to improve future products. This measure is being retired due to a decrease in volume of information products as this activity moved to the National Risk Management Center.								

Emergency Communications								
Performance Measure		FY 2015	FY 2016	FY 2017	FY 2018	FY 2019	FY 2020	FY 2021
Percent of all state and territory emergency communications interoperability components operating at the highest levels	Target	---	---	---	---	---	50%	55%
	Result	---	---	---	---	---		
<i>Additional Information:</i> This measure identifies the current level of emergency communications interoperability maturity across 56 states and territories. Interoperable emergency communications capabilities enable first responders and government officials to continue to communicate in the event of disasters. This is a new measure for the FY 2020 to FY 2021 Performance Plan.								
Performance Measure		FY 2015	FY 2016	FY 2017	FY 2018	FY 2019	FY 2020	FY 2021
Percent of calls by National Security/Emergency Preparedness users that DHS ensured were connected	Target	97.0%	97.5%	98.0%	98.5%	99.0%	99.0%	99.0%
	Result	99.3%	99%	99.3%	99.1%	99.5%		
<i>Additional Information:</i> By ensuring the connection of calls for first responders and government officials during a disaster, DHS contributes to a national effective emergency response effort. Measure name changed from: <i>Percent of calls made by National Security/Emergency Preparedness users during emergency situations that DHS ensured were connected.</i>								

Federal Protective Service								
Performance Measure		FY 2015	FY 2016	FY 2017	FY 2018	FY 2019	FY 2020	FY 2021
Percent of Facility Security Committee Chairs (or designated officials) satisfied with the level of security provided at federal facilities	Target	---	---	78%	79%	80%	81%	82%
	Result	---	---	77%	80%	84%		
<i>Additional Information:</i> This measure assessed the effectiveness of protection and security services provided by the Federal Protective Service (FPS) at federal buildings and other locations through surveying overall customer satisfaction. This helped FPS to make better informed decisions to enhance the services it provided to its tenants. This measure is being moved from the strategic set to the management set of measures.								
Performance Measure		FY 2015	FY 2016	FY 2017	FY 2018	FY 2019	FY 2020	FY 2021
Percent of high-risk facilities found to have no countermeasure-related deficiencies	Target	---	---	---	---	70%	71%	72%
	Result	---	---	---	---	FOUO		
<i>Additional Information:</i> This measure uses contract security force evaluations and covert testing of security infrastructure to test countermeasures deployed at high-risk facilities. This measure is being moved from the strategic set to the management set of measures.								
Performance Measure		FY 2015	FY 2016	FY 2017	FY 2018	FY 2019	FY 2020	FY 2021
Percent of high-risk facilities that receive a facility security assessment in compliance with the Interagency Security Committee (ISC) schedule	Target	100%	100%	100%	100%	100%	100%	100%
	Result	100%	96%	100%	100%	100%		
<i>Additional Information:</i> Requirements for the frequency of federal building security assessments are driven by the ISC standards with high-risk facility assessments occurring on a three-year cycle. This measure is being moved from the strategic set to the management set of measures.								

Infrastructure Security								
Performance Measure		FY 2015	FY 2016	FY 2017	FY 2018	FY 2019	FY 2020	FY 2021
Average score of approved Site Security Plans (SSPs)	Target	FOUO	FOUO	FOUO	FOUO	FOUO	FOUO	FOUO
	Result	FOUO	FOUO	FOUO	FOUO	FOUO		
<p><i>Additional Information:</i> This measure supported the process for facilities to become fully compliant with Chemical Facility Anti-Terrorism Standards. This measure is being moved from the strategic set to the management set of measures.</p> <p><i>Explanation and Corrective Action:</i> This measure did not meet its target. The approved security score benchmark is an estimate based on previously-approved security plans; however, each plan is evaluated on a qualitative basis in order to determine approval. As such, DHS will continue to review each plan to ensure the facility meets the risk-based performance standards but will not use the quantitative scoring to make this determination.</p>								
Performance Measure		FY 2015	FY 2016	FY 2017	FY 2018	FY 2019	FY 2020	FY 2021
Average score of initial Site Security Plans (SSPs)	Target	FOUO	FOUO	FOUO	FOUO	FOUO	FOUO	FOUO
	Result	FOUO	FOUO	FOUO	FOUO	FOUO		
<p><i>Additional Information:</i> This measure supported the initial steps for facilities to become fully compliant with Chemical Facility Anti-Terrorism Standards. This measure is being moved from the strategic set to the management set of measures.</p>								
Performance Measure		FY 2015	FY 2016	FY 2017	FY 2018	FY 2019	FY 2020	FY 2021
Percent of Critical Infrastructure customers reporting implementation of at least one recommendation following a DHS cybersecurity assessment	Target	60%	100%	100%	85%	85%	Retired Measure	
	Result	100%	100%	91%	85%	95%		
<p><i>Additional Information:</i> This measure addressed the extent to which critical infrastructure owners and operators used the results of cybersecurity vulnerability and resiliency assessments to improve their cybersecurity posture. This measure is being retired due to the challenges of encouraging improvements in a voluntary compliance framework.</p>								
Performance Measure		FY 2015	FY 2016	FY 2017	FY 2018	FY 2019	FY 2020	FY 2021
Percent of facilities that are likely to integrate vulnerability assessment or survey information into security and resilience enhancements	Target	80%	80%	80%	80%	85%	85%	85%
	Result	90%	90%	92%	87%	88%		
<p><i>Additional Information:</i> This measure demonstrates the percent of facilities that are likely to enhance their security and resilience by integrating Infrastructure Protection vulnerability assessment or survey information. Providing facilities with vulnerability information allows them to understand and reduce risk of the Nation's critical infrastructure.</p>								
Performance Measure		FY 2015	FY 2016	FY 2017	FY 2018	FY 2019	FY 2020	FY 2021
Percent of respondents reporting that DHS critical infrastructure information will inform their decision making on risk mitigation and resilience enhancements	Target	---	71%	74%	77%	82%	Retired Measure	
	Result	---	92%	95%	94%	94%		
<p><i>Additional Information:</i> This measure gauged if the information sharing activities developed or coordinated by the Infrastructure Security Division were useful for informing critical infrastructure risk-informed decision-making. This measure is being retired as it has not been particularly informative to CISA leadership.</p>								

Federal Emergency Management Agency

Education, Training, and Exercises								
Performance Measure		FY 2015	FY 2016	FY 2017	FY 2018	FY 2019	FY 2020	FY 2021
Percent of supervisors of students trained who believe their staff are better prepared as a result of National Fire Academy training	Target	86.0%	86.5%	87.0%	87.0%	87.0%	87.0%	87.0%
	Result	90.0%	90.9%	85.2%	90.9%	89.4%		
<p><i>Additional Information:</i> This measure assesses the increase in the capability of students trained as reported by each individual's first-line supervisor. This measure was moved from the Department's Management Set to be included in the FY 2020 to FY 2021 Performance Plan.</p>								

FY 2019-2021 Annual Performance Report

Grants								
Performance Measure		FY 2015	FY 2016	FY 2017	FY 2018	FY 2019	FY 2020	FY 2021
Benefit to cost ratio of the hazard mitigation grants	Target	---	1.3	1.4	1.5	1.6	1.6	1.6
	Result	---	1.6	1.6	1.6	1.7		
<p><i>Additional Information:</i> The FEMA Hazard Mitigation Assistance program works with state, tribal, territorial, and local (STTL) governments to identify natural hazards and develop mitigation plans to reduce losses. These plans are the basis for grant requests that are subsequently evaluated to determine the benefit-to-cost ratio of the plan to ensure that taxpayer dollars are spent effectively.</p>								
Performance Measure		FY 2015	FY 2016	FY 2017	FY 2018	FY 2019	FY 2020	FY 2021
Percent of funds provided to state, local, tribal, territorial, and other federal agencies for which data sets have been made publicly available and machine readable	Target	---	---	---	---	72%	78%	84%
	Result	---	---	---	---	76%		
<p><i>Additional Information:</i> This measure tracks the grant data sets that have been made publicly available and are machine readable to ensure full public transparency on public websites such as USA Spending. This measure was moved from the Department's Management Set to be included in the FY 2020 to FY 2021 Performance Plan.</p>								

Mitigation								
Performance Measure		FY 2015	FY 2016	FY 2017	FY 2018	FY 2019	FY 2020	FY 2021
Percent of communities in high earthquake, flood, and wind-prone areas adopting disaster-resistant building codes	Target	61%	62%	63%	64%	65%	34%	38%
	Result	63%	68%	67%	67%	56%		
<p><i>Additional Information:</i> This measure reflects actions to adopt building codes that are intended to decrease future costs and reduce the Nation's vulnerability from natural disasters. FY 2020 target was previously published as 66% in the FY 2018-2020 APR and has been decreased due to new, more stringent standards and more closely aligns with new the Disaster Recovery Reform Act. The two most recent building code editions, covering a time frame of six years of code development, are used to determine if a community has adopted disaster-resistant codes.</p> <p><i>Explanation and Corrective Action:</i> During FY 2019, the 2009 codes were dropped from the baseline standards thereby decreasing the measure's performance. In addition, Puerto Rico and the US Virgin Islands adopted the 2018 International Codes with additional strengthening amendments. FEMA also maintained an advocacy role in the "No Code No Confidence" public campaign and initiated a Building Codes Work Group to develop a coordinated FEMA Building Codes Strategy and Implementation Plan. The program will continue to work with the Building Codes Work Group to incorporate and incentivize strong model codes across programs, ideally making current and future FEMA assistance contingent upon the adoption of strong building codes. The program will also continue the messaging campaign that investment in mitigation is critical to long-term achievement.</p>								
Performance Measure		FY 2015	FY 2016	FY 2017	FY 2018	FY 2019	FY 2020	FY 2021
Percent of U.S. population (excluding territories) covered by planned mitigation strategies	Target	78.0%	79.0%	79.0%	85.0%	85.0%	85.0%	85.0%
	Result	80.8%	81%	82.1%	87.3%	87.0%		
<p><i>Additional Information:</i> Mitigation planning helps communities reduce risk through sound land-use planning principles, floodplain management practices, and financial assistance.</p>								
Performance Measure		FY 2015	FY 2016	FY 2017	FY 2018	FY 2019	FY 2020	FY 2021
Total national investment in mitigation (in billions)	Target	---	---	---	---	\$1.66	\$2.00	\$2.40
	Result	---	---	---	---	\$1.23		
<p><i>Additional Information:</i> This measure provides a gauge of the amount of money being obligated across ten mitigation programs so as to increase pre-disaster mitigation investments to reduce future disaster costs on a national level. Well-planned and prioritized expenditures of mitigation resources help avoid property damage, reduce the loss of life, or transfer natural-hazard risks in advance of a disaster.</p> <p><i>Explanation and Corrective Action:</i> In FY 2019 FEMA obligated \$1.23 billion across the ten mitigation programs, missing the annual target. The contributing factor to this year's performance was the significant decreased investment through FEMA's Public</p>								

Assistance program. FEMA will focus on Mitigation investments by leveraging partnerships between FIMA and the Recovery directorate to encourage more applicants to pursue mitigation activities by identifying quality projects for implementation and funding. In addition, FEMA will utilize the state mitigation ranking results of the State Preparedness Report to target state, local, tribal, and territory partners for increased technical assistance on recording consistent expenditures.

National Flood Insurance Fund								
Performance Measure		FY 2015	FY 2016	FY 2017	FY 2018	FY 2019	FY 2020	FY 2021
Number of properties covered with flood insurance (in millions)	Target	---	---	---	---	4.5	5.0	5.5
	Result	---	---	---	---	4.3		
<p><i>Additional Information:</i> The NFIP fosters public understanding of flood risks while proactively encouraging homeowners to purchase private “write-your-own” insurance to reduce losses from all hazards. History has shown that insured survivors recover faster and more fully from a flood.</p> <p><i>Explanation and Corrective Action:</i> The lower than projected insurance uptake could be attributed to a slower housing market for a majority of FY 2019. The program will continue to push national marketing campaigns and changes to better meet customer’s needs. Another key priority will be the transformation of flood insurance products and ratings to provide substantial opportunities to grow the number of flood insurance policies as homeowners understand the true risk to their property.</p>								

Preparedness and Protection								
Performance Measure		FY 2015	FY 2016	FY 2017	FY 2018	FY 2019	FY 2020	FY 2021
Percent of adults that have set aside money for emergencies	Target	---	---	---	---	71%	75%	79%
	Result	---	---	---	---	69%		
<p><i>Additional Information:</i> This measure gauges through a national survey whether American’s have set aside money for use in case of emergencies to be better prepared for emergencies. Research indicates that access to financial resources has proven a strong predictor of how well someone can cope in the aftermath of a disaster.</p> <p><i>Explanation and Corrective Action:</i> The 2019 National Household Survey determined more people are saving for disasters than in 2018 and the program narrowly missed the target for this measure. The program will continue to promote a culture of preparedness through current programs, initiatives, and messaging. By aggressively pursuing interagency coordination, conducting evidence-based financial preparedness training, and developing innovating partnerships with institutions to encourage savings, the program expects more individuals will set aside financial resources that can be used during a disaster.</p>								
Percent of adults that took multiple preparedness actions at their workplace, school, home, or other community location in the past year	Target	---	---	---	---	48%	49%	50%
	Result	---	---	---	---	62%		
<p><i>Additional Information:</i> This measure indicates how many Americans have taken action to prepare for an emergency and provides feedback regarding the effectiveness of efforts to encourage this activity.</p>								
Percent of time the Integrated Public Alert and Warning System (IPAWS) infrastructure is operating and available for use by federal, state, and local officials for the dissemination of emergency alerts	Target	99.9%	99.9%	99.9%	99.9%	99.9%	99.9%	99.9%
	Result	99.7%	99.8%	99.9%	99.8%	99.5%		
<p><i>Additional Information:</i> This measure reflects the extent to which the IPAWS infrastructure provides alert and warning message collection and dissemination so that United States residents will receive authenticated emergency alert messages over as many communications paths as possible.</p> <p><i>Explanation and Corrective Action:</i> A primary outage occurred in April 2019 that lasted 33 hours due to a system outage in one of the supporting data centers. The program is currently in the process of migrating IPAWS to a commercially hosted cloud infrastructure and is on schedule for Final Operating Capability in the second quarter of FY 2020. The migration will improve overall IPAWS system operational availability by reducing the risk of data center outages.</p>								

FY 2019-2021 Annual Performance Report

Performance Measure		FY 2015	FY 2016	FY 2017	FY 2018	FY 2019	FY 2020	FY 2021
Percent of U.S. population covered by FEMA-connected radio stations with electromagnetic-pulse resilience	Target	---	---	---	---	50.00%	62.00%	70.10%
	Result	---	---	---	---	39.45%		

Additional Information: This measure indicates the coverage achieved through supplementary equipment in voluntary partnership with private radio station owners to ensure that the President and state- and local-level authorities maintain a resilient capability to communicate with the public in all hazard conditions.

Explanation and Corrective Action: During FY 2019, FEMA modernized two stations with electromagnetic pulse protection thereby increasing the population covered with the enhanced capability to 39.45%. Although FEMA was on-track to achieve the FY 2019 target, an unplanned loss of a previously-improved station affected the achievement of the annual target. All participating PEP stations are privately owned facilities that enter into voluntary agreements with FEMA. A recurring risk to the program is that participants can withdraw from this agreement. The program began modernizing six additional Primary Entry Point stations during FY 2019 to be completed during FY 2020, which will support meeting the FY 2020 performance target. FEMA will use a risk-based project management approach to increase the likeliness of achieving project milestones that will contribute to an on-time delivery of the modernization effort.

Performance Measure		FY 2015	FY 2016	FY 2017	FY 2018	FY 2019	FY 2020	FY 2021
Percent of U.S. population that is covered by a local-level authority authorized and registered to send alerts and warnings to the public using the Integrated Public Alert and Warning System (IPAWS)	Target	---	---	---	---	69.00%	71.00%	73.00%
	Result	---	---	---	---	76.90%		

Additional Information: This measure tracks the share of the U.S. population under the jurisdiction of local authorities to which state governments have granted authorized access to the Integrated Public Alert & Warning System (IPAWS) to send alerts and warnings to the public during emergencies

Regional Operations

Performance Measure		FY 2015	FY 2016	FY 2017	FY 2018	FY 2019	FY 2020	FY 2021
Average annual percentage of administrative costs for major disaster field operations, as compared to total program costs	Target	---	≤ 22.4%	≤ 20.4%	≤ 18.4%	≤ 17.9%	≤ 17.9%	≤ 17.9%
	Result	---	23.2%	19.7%	26.3%	29.2%		

Additional Information: This measure gauges FEMA’s efficiency in providing disaster assistance by indicating what share of its disaster expenditures are administrative costs compared to the share disseminated as grants to survivors as assistance. This measure was moved from the Department’s Management Set to be included in the FY 2020 to FY 2021 Performance Plan.

Explanation and Corrective Action: While the program’s administrative costs have increased for events under \$50 million, there appears to be a slowdown in time to obligation of disaster assistance, contributing to an increase in the ratio of administrative costs to disaster assistance. The program continues to reevaluate the approach to assessing administrative costs. The program is analyzing historical data to gain a better understanding of the key cost drivers and will take corrective action to manage costs within a controllable range.

Response and Recovery

Performance Measure		FY 2015	FY 2016	FY 2017	FY 2018	FY 2019	FY 2020	FY 2021
Average number of the incident staff to support small federally-declared disasters	Target	---	---	---	---	≤ 93	≤ 93	≤ 93
	Result	---	---	---	---	84		

Additional Information: This measure reports a five-year average number of incident staff deployed to support small federally-declared disasters. The program uses this data to develop new approaches to address and support these types of disasters.

FY 2019-2021 Annual Performance Report

Performance Measure		FY 2015	FY 2016	FY 2017	FY 2018	FY 2019	FY 2020	FY 2021
Average timeliness of the individual assistance awards of the Individuals and Households program (in days)	Target	---	---	---	---	≤ 11.0	≤ 9.0	≤ 8.0
	Result	---	---	---	---	78.5		
<p><i>Additional Information:</i> By measuring the timeliness of individual assistance awards the program from submission to the first receipt of an award, the program can assess the effectiveness of its critical disaster response efforts to customers.</p> <p><i>Explanation and Corrective Action:</i> In FY 2019, 104,310 applicants received their first Individual Assistance (IA) award with the average time to receive the assistance at 78.5 days with the escalated average primarily due to providing housing assistance to disasters declared prior to FY 2019. For disasters declared in FY 2019, the average time of award was 18.69 days with 64.3% of applicants receiving assistance within 11 days. Disasters in non-contiguous territories and states (Alaska and Northern Mariana Islands) had the biggest impact on the results for disasters declared in FY 2019. To reverse the current performance trend of this measure, FEMA will be conducting a 360-degree review of the Individuals and Households Program to develop recommendations to policy, regulatory, and legislative options for a more efficient and effective program.</p>								
Performance Measure		FY 2015	FY 2016	FY 2017	FY 2018	FY 2019	FY 2020	FY 2021
Operational readiness rating of FEMA's specialized incident workforce cadres	Target	---	69%	74%	80%	68%	Retired Measure	
	Result	---	61%	60%	62%	69%		
<p><i>Additional Information:</i> This measure gauged the operational readiness of personnel to support disaster management activities and provided feedback to regarding of the workforce was qualified and equipped to respond to a disaster. This measure is retiring due to changes in its underlying criteria and is being replaced by the measure below.</p>								
Performance Measure		FY 2015	FY 2016	FY 2017	FY 2018	FY 2019	FY 2020	FY 2021
Percent achieved of Incident Management Workforce readiness targets	Target	---	---	---	---	---	67%	78%
	Result	---	---	---	---	---		
<p><i>Additional Information:</i> Using several factors, this measure more effectively gauges the Incident Management workforce readiness from its predecessor listed above to ensure expected disaster activity across the Nation can be met. This is a new measure for the FY 2020 to FY 2021 Performance Plan.</p>								
Performance Measure		FY 2015	FY 2016	FY 2017	FY 2018	FY 2019	FY 2020	FY 2021
Percent of applicants satisfied with simplicity of the Individuals and Households Program	Target	---	---	---	---	81.0%	83.0%	85.0%
	Result	---	---	---	---	78.1%		
<p><i>Additional Information:</i> This measure gauges the simplicity of applying for individual assistance from the Individuals and Households Program and the information is used to make procedural improvements to ensure disaster survivors have clear information and high-quality service.</p> <p><i>Explanation and Corrective Action:</i> In FY 2019, applicant's satisfaction with the simplicity of the Individual Households Program slightly increased throughout the year. Applicant's satisfaction with overall inspection experience, timeliness of financial assistance, and financial assistance helping to meet disaster need increased. After completing an analysis into this measure, initial findings show that the simplicity with the application process was moderately correlated to disaster assistance information being easy to understand. This suggests that if the process was made simpler and easier to understand, the applicant's satisfaction would improve. Based on the analysis, the program is revising the customer satisfaction surveys to obtain more specific answers in understanding the customer's experience. Putting the surveys into place will take time as the program needs to adhere to the requirements of the Paperwork Reduction Act. In the meantime, the program will be working with other High Impact Service Providers in the Federal Government to identify additional ways to improve the customer experience.</p>								
Performance Measure		FY 2015	FY 2016	FY 2017	FY 2018	FY 2019	FY 2020	FY 2021
Percent of applicants satisfied with simplicity of the Public Assistance process	Target	---	---	---	---	82.0%	84.0%	88.0%
	Result	---	---	---	---	77.6%		
<p><i>Additional Information:</i> This measure gauges the simplicity of applying for Public Assistance and helps to identify areas for improvement and ensure that the program provides clear information and high-quality service.</p> <p><i>Explanation and Corrective Action:</i> In FY 2019, the program did not reach the overall target for this performance measure. Positive results included customer satisfaction with the helpfulness of staff (87%) along with the overall satisfaction with FEMA (79%). Respondents attributed the lower satisfaction scores to the difficulty with document requirements and communication. The program is examining ways to improve the collection of feedback through the development of real-time customer service monitoring. In addition, the program is examining documentation requirements in order to identify ways to reduce the complexity</p>								

FY 2019-2021 Annual Performance Report

of reporting documentation. Through streamlining the process as well as documentation requirements, the program expects to see a positive change in this measure.

Performance Measure		FY 2015	FY 2016	FY 2017	FY 2018	FY 2019	FY 2020	FY 2021
Percent of critical federal response teams supported by voice, video, and data connectivity using a fully-capable mobile emergency office vehicle	Target	---	---	---	---	81%	84%	88%
	Result	---	---	---	---	75%		

Additional Information: On-scene availability of a mobile platform for voice, video, and data connectivity is a critical capability for federal teams managing response and recovery operations.

Explanation and Corrective Action: In FY 2019, the program planned to increase its capacity of Mobile Emergency Office Vehicles (MEOV) by 2 to 26 of the 32 planned MEOVs. Resource availability precluded the procurement of additional platforms and the equipment for platform outfitting. The current resources allocation plan allows for the purchase of six MEOVs in the upcoming year. In addition, the program continues to work with state and local partners to help build redundant and resilient communications that FEMA can access during an incident response.

Performance Measure		FY 2015	FY 2016	FY 2017	FY 2018	FY 2019	FY 2020	FY 2021
Percent of incident management and support actions taken that are necessary to stabilize an incident that are performed within 72 hours or by the agreed upon time	Target	100%	100%	100%	100%	100%	100%	100%
	Result	100%	100%	100%	100%	100%		

Additional Information: This measure reflects FEMA’s role in effectively responding to any threat or hazard, within a 72-hour timeframe which is a critical window when responding to a disaster. By continuing to communicate the need to meet this target, it communicates emphasis on saving and sustaining lives in support of state, local, tribal, and territorial governments.

Performance Measure		FY 2015	FY 2016	FY 2017	FY 2018	FY 2019	FY 2020	FY 2021
Percent of Public Assistance project obligations completed within targeted timeframes	Target	---	---	---	---	68%	72%	74%
	Result	---	---	---	---	28%		

Additional Information: This measure indicates the timeliness of the delivery of initial awards under FEMA’s Public Assistance program, which provides federal disaster relief to government organizations and certain private non-profit organizations following a Presidential disaster declaration.

Explanation and Corrective Action: The main challenges to the timely delivery of initial awards were the speed in which state and local applicants submitted required documentation within the prescribed timelines, and delays in scheduling site inspections (both FEMA and Applicant), especially in large disasters with complex projects. To improve the performance of this measure, the program will be examining policy changes that will enable greater enforcement of regulatory and statutory deadlines, greater communication with applicants about upcoming deadlines, and increasing staff hiring for field positions to enable additional capacity. In addition, the Public Assistance program is proposing a risk-based model of project formulation, which should accelerate small, low-risk project obligations.

Performance Measure		FY 2015	FY 2016	FY 2017	FY 2018	FY 2019	FY 2020	FY 2021
Percent of shipments for required life-sustaining commodities (meals, water, tarps, plastic sheeting, cots, blankets, and generators) and key initial response resources delivered by the agreed upon date	Target	---	95.0%	95.0%	95.0%	95.0%	95.0%	95.0%
	Result	---	99%	N/A	95.0%	95.0%		

Additional Information: This measure indicates whether life-sustaining commodities were delivered in a timely fashion to impacted communities prior to and during a disaster with the goal to save lives.

Federal Law Enforcement Training Centers

Law Enforcement Training								
Performance Measure		FY 2015	FY 2016	FY 2017	FY 2018	FY 2019	FY 2020	FY 2021
Percent of Partner Organizations that agree the Federal Law Enforcement Training Centers training programs address the right skills (e.g., critical knowledge, key skills and techniques, attitudes/behaviors) needed for their officers/agents to perform their law enforcement duties	Target	94%	95%	95%	90%	90%	90%	90%
	Result	98%	95%	97%	98%	98%		
<i>Additional Information:</i> This measure reports customers feedback on the skills training provided to law enforcement officers and others who attend Federal Law Enforcement training along with providing on-going feedback and ideas for improvements that are incorporated into FLETC training curricula, processes, and procedures.								

Immigration and Customs Enforcement

Enforcement and Removal Operations								
Performance Measure		FY 2015	FY 2016	FY 2017	FY 2018	FY 2019	FY 2020	FY 2021
Average length of stay in detention of all convicted criminal aliens prior to removal from the United States (in days)	Target	≤ 34.5	≤ 37.5	≤ 44.0	≤ 44.0	≤ 44.0	≤ 44.0	≤ 53.3
	Result	40.3	43.9	48.8	47.4	46.1		
<i>Additional Information:</i> This measure provides an indicator of efficiencies achieved in driving down the ALOS for convicted criminals in ICE detention facilities. Decreases in the ALOS can significantly reduce the overall costs associated with maintaining an alien population prior to removal. <i>Explanation and Corrective Action:</i> While improvements were seen over FY 2018 results, the target was not met primarily due to being overwhelmed by the flow across the U.S. Border. This measure is impacted by factors that are mostly external to ICE including the Executive Office for Immigration Review (EOIR) and Citizenship and Immigration Services (CIS) case processing times; willingness of other countries to receive back their own citizens; and unprecedented growth in the detention population in FY 2019, mostly non-criminals, in response to the surge of illegal immigration at the Southwest border, which overwhelmed the immigration system. Under current operating conditions, reducing criminal ALOS may be difficult, but ICE will continue efforts to obtain increased levels of cooperation from foreign countries through channels such as the Removal Cooperation Initiative (RCI) between ICE and the State Department to achieve efficiencies in the removal process.								
Performance Measure		FY 2015	FY 2016	FY 2017	FY 2018	FY 2019	FY 2020	FY 2021
Number of convicted criminal illegal immigrants who were returned or were removed from the U.S.	Target	198,000	158,664	140,000	126,000	151,000	151,000	151,000
	Result	139,368	138,669	127,699	145,262	150,141		
<i>Additional Information:</i> This measure reflects the program's efforts to ensure convicted criminal illegal immigrants do not remain in the United States, contributing to public safety and national security. <i>Explanation and Corrective Action:</i> The program removed 150,141 criminal aliens, a 3% increase over FY 2018, and narrowly missing the annual target by less than 1%. These results are potentially due to ERO detailing over 900 personnel to respond to the crisis at the Southwest Border, and ERO shifting focus to handle the 54% increase in apprehensions/book-ins originating from CBP as a result of the surge. Another contributing factor to the decrease in interior criminal removals is the impact of sanctuary city policies and non-cooperation of local law enforcement agencies. ICE will take every action possible to mitigate factors that detract from increasing criminal removals to include: continuing efforts to obtain increased levels of cooperation from foreign countries via the RCI; expanding efforts to increase state and local government cooperation through the 287(g) Warrant Service Officer Program; and building on efforts to improve non-detained docket management with the resources Congress provided in FY 2019.								

FY 2019-2021 Annual Performance Report

Performance Measure		FY 2015	FY 2016	FY 2017	FY 2018	FY 2019	FY 2020	FY 2021
Percent of detention facilities found in compliance with the national detention standards by receiving a final acceptable inspection rating	Target	100%	100%	100%	100%	100%	100%	100%
	Result	100%	100%	100%	100%	95%		
<p><i>Additional Information:</i> Through a robust inspections program, the program ensures facilities utilized to detain aliens in immigration proceedings or awaiting removal to their countries do so in accordance with the Performance Based National Detention Standards.</p> <p><i>Explanation and Corrective Action:</i> Six facilities received a negative rating, four of which have subsequently resolved issues and are now compliant. The other two have action plans in place, and if executed, will be compliant. During FY 2019, the program increased its detention oversight functions by creating Quality Assurance Teams (QATs) that provide enhanced oversight through review of detention contractor performance, interviewing detainees, reviewing grievances and complaints, evaluating use of force and segregation practices, and observing conditions of detention. ERO also developed a Technical Assessment Review (TAR) process to assist facilities that have areas in which they need to improve and directed enhanced field office involvement in detention oversight.</p>								
Performance Measure		FY 2015	FY 2016	FY 2017	FY 2018	FY 2019	FY 2020	FY 2021
Total number of illegal immigrants who were returned or removed from the United States	Target	---	---	---	210,000	238,000	238,000	257,174
	Result	---	---	---	256,085	267,258		
<p><i>Additional Information:</i> This measure provides a comprehensive picture of all returns and removals accomplished by the program to ensure illegal immigrants do not remain in the United States.</p>								

Homeland Security Investigations								
Performance Measure		FY 2015	FY 2016	FY 2017	FY 2018	FY 2019	FY 2020	FY 2021
Number of enforcement-related actions against employers that violate immigration-related employment laws	Target	1,854	1,854	1,854	1,854	1,854	3,000	3,000
	Result	1,928	1,880	1,730	6,398	6,921		
<p><i>Additional Information:</i> This measure demonstrates the impact of worksite enforcement operations to ensure that employers do not violate immigration-related employment laws. FY 2020 target was previously published at 1,854 in last year's APR. The target was revised to be more in-line with current performance.</p>								
Performance Measure		FY 2015	FY 2016	FY 2017	FY 2018	FY 2019	FY 2020	FY 2021
Percent of significant Homeland Security Investigations cases that result in a disruption or dismantlement	Target	---	---	15.8%	15.8%	15.9%	16.1%	16.2%
	Result	---	---	22.9%	18.0%	15.1%		
<p><i>Additional Information:</i> This measure indicates how frequently the program's investigations effectively degrade high-threat transnational criminal organizations engaged in illicit trade, travel, or finance (both drug-related or non-drug-related); counter-terrorism, threats to national security, violations of immigration-related employment law, or child exploitation.</p> <p><i>Explanation and Corrective Action:</i> Target missed due to necessity to realign resources in support of unplanned initiatives which depleted resources and indirectly contributed to a decline in disruptions and dismantlements. The government shutdown during FY 2019 necessitated a furlough of support employees which caused special agents to have to perform administrative duties, and delayed manpower to critical areas. Finally, there was a 22% increase in the number of approved significant investigations causing a lag between the approval of a significant investigation. Due to additional 1811 positions provided by Congress, HSI will have additional resources needed to respond to unplanned initiatives and expects to reach its FY 2020 performance measure.</p>								

Office of the Principal Legal Advisor								
Performance Measure		FY 2015	FY 2016	FY 2017	FY 2018	FY 2019	FY 2020	FY 2021
Percent of final administrative orders that result in orders of removal from the United States	Target	---	---	---	---	65%	67%	67%
	Result	---	---	---	---	76%		

Additional Information: Attorneys in the Office of the Principal Legal Advisor play an integral role in enforcing the Nation's immigration laws by litigating cases in immigration court and securing orders of removal against those found to be in violation. FY 2020 target was previously published at 65% in last year's APR. The target revised to be more in-line with current performance.

Office of Intelligence and Analysis

Office of Intelligence and Analysis								
Performance Measure		FY 2015	FY 2016	FY 2017	FY 2018	FY 2019	FY 2020	FY 2021
Number of intelligence reports shared with the intelligence community	Target	---	---	2,680	2,730	2,784	2,839	2,897
	Result	---	---	3,602	5,270	3,044		
<i>Additional Information:</i> This measure reflects the DHS contribution of raw, unevaluated intelligence to the U.S. Intelligence Community and the Federal Government that were aligned to relevant homeland security intelligence priorities and contains unique information obtained from intelligence officers in the field.								
Performance Measure		FY 2015	FY 2016	FY 2017	FY 2018	FY 2019	FY 2020	FY 2021
Percent of Intelligence and Analysis finished intelligence reports incorporating DHS and state/local originated data	Target	---	---	80%	80%	60%	60%	60%
	Result	---	---	62%	60%	49%		
<i>Additional Information:</i> The measure provides an indication of the value that DHS Intelligence is providing to the larger intelligence community through its ability to collect and leverage unique data to support analytical judgements and reduce potential overlap with analysis from other agencies. <i>Explanation and Corrective Action:</i> In FY 2019, 49% of DHS I&A finished intelligence cited DHS-originated data, well below the projected target. The program monitors and discusses these results as part of a quarterly meeting with analysts, ensuring Mission Managers are aware of the importance of incorporating DHS-originated data in analytic products.								
Performance Measure		FY 2015	FY 2016	FY 2017	FY 2018	FY 2019	FY 2020	FY 2021
Percent of intelligence reports rated "satisfactory" or higher in customer feedback that enable customers to manage risks to cyberspace	Target	95%	94%	95%	95%	95%	95%	95%
	Result	93%	84%	90%	95%	98%		
<i>Additional Information:</i> This measure gauges the extent to which the DHS Intelligence Enterprise is satisfying their customers' needs related to managing risks to cyberspace.								
Performance Measure		FY 2015	FY 2016	FY 2017	FY 2018	FY 2019	FY 2020	FY 2021
Percent of intelligence reports rated "satisfactory" or higher in customer feedback that enable customers to understand the threat	Target	94%	94%	95%	95%	95%	95%	95%
	Result	95%	95%	94%	99%	96%		
<i>Additional Information:</i> This measure gauges the extent to which the DHS Intelligence Enterprise is satisfying their customers' needs related to anticipating emerging threats.								

Office of Operations Coordination

Office of Operations Coordination								
Performance Measure		FY 2015	FY 2016	FY 2017	FY 2018	FY 2019	FY 2020	FY 2021
Percent of National Operations Center incident reports and situational awareness products produced and disseminated to the homeland security enterprise within targeted timeframes	Target	---	---	90%	90%	90%	90%	90%
	Result	---	---	98%	99%	100%		
<i>Additional Information:</i> The measure indicates the timeliness of the dissemination of reports and products that provide situational awareness for senior leader decision-making and across the HSE								

FY 2019-2021 Annual Performance Report

Performance Measure		FY 2015	FY 2016	FY 2017	FY 2018	FY 2019	FY 2020	FY 2021
Percent of risk assessments for federal security support of large public/community special events completed within the targeted time frame	Target	---	---	98.0%	98.0%	98.0%	99.0%	99.0%
	Result	---	---	99.4%	100%	99.5%		
<i>Additional Information:</i> The measure indicates the timeliness of risk assessments that are used by federal agencies as criteria to determine their level of support to state and local events and is the primary federal awareness mechanism for special events occurring across the Nation.								

Science and Technology Directorate

Research, Development, and Innovation								
Performance Measure		FY 2015	FY 2016	FY 2017	FY 2018	FY 2019	FY 2020	FY 2021
Percent of Apex technologies or knowledge products transitioned to customers for planned improvements in the Homeland Security Enterprise	Target	80%	80%	80%	80%	80%	Retired Measure	
	Result	82%	100%	83%	67%	70%		
<i>Additional Information:</i> This measure tracks transitions of high priority and high value research and development (R&D) projects known as Apex programs. A successful transition is the ownership and operation of a technology or knowledge product by a customer within the HSE. This measure is being retired and replaced with the measure below to include a broader scope of products in the measure.								
<i>Explanation and Corrective Action:</i> In FY 2019, S&T was unable to meet its planned goal of completing ten transitions for Apex programs. Three planned transitions were not completed due to delays caused by the lapses in appropriation and Other Transaction Authority, and processing related to the Paperwork Reduction Act to survey the public. S&T plans to continue engagement with its customers and stakeholders, including Congress and the Office of Management and Budget, to ensure the processes and regulations required to execute R&D programs and projects are in place.								
Performance Measure		FY 2015	FY 2016	FY 2017	FY 2018	FY 2019	FY 2020	FY 2021
Percent of technology or knowledge products transitioned to customers for planned improvements in the homeland security enterprise	Target	---	---	---	---	---	75%	75%
	Result	---	---	---	---	---		
<i>Additional Information:</i> This measure reflects the percent at which the Science and Technology Directorate (S&T) meets its planned fiscal year transitions of technology or knowledge products for research and development funded programs/projects. A successful transition is the ownership and operation of a technology or knowledge product by a customer within the HSE. This is a new measure for the FY 2020 to FY 2021 Performance Plan.								

Transportation Security Administration

Aviation Screening Operations								
Performance Measure		FY 2015	FY 2016	FY 2017	FY 2018	FY 2019	FY 2020	FY 2021
Average number of days for DHS Traveler Redress Inquiry Program (TRIP) redress requests to be closed	Target	< 70	< 60	< 55	< 55	< 55	< 55	< 55
	Result	50	44	50	37	42		
<i>Additional Information:</i> This measure indicates how quickly the program is providing redress to individuals who have inquiries or seek resolution regarding difficulties they experienced during their travel screening at transportation hubs or crossing U.S. borders.								

FY 2019-2021 Annual Performance Report

Performance Measure		FY 2015	FY 2016	FY 2017	FY 2018	FY 2019	FY 2020	FY 2021
Percent of canine teams that pass operational training assessments within 90 days of completing basic course at the Canine Training Center	Target	---	---	---	---	---	80%	80%
	Result	---	---	---	---	---		
<i>Additional Information:</i> The measure is an indicator of the Canine Training Center training program success. This is a new measure for the FY 2020 to FY 2021 Performance Plan.								
Performance Measure		FY 2015	FY 2016	FY 2017	FY 2018	FY 2019	FY 2020	FY 2021
Percent of daily passengers receiving expedited physical screening based on assessed low risk	Target	---	50%	50%	50%	50%	50%	50%
	Result	---	46%	55%	54%	46%		
<i>Additional Information:</i> This measure indicates the percent of domestic air passengers who receive expedited screening due to their being determined to be low risk so as to allow Transportation Security Officers to focus on those passengers who are potentially high-risk to the aviation system.								
<i>Explanation and Corrective Action:</i> In December 2018, the program released Operational Directive 400-50-1-29: Canine Enhanced Screening, which significantly altered Canine and Checkpoint Screening procedures to include the removal of shoes and laptops from bags during screening to increase detection and improve efficiency. Also, during FY 2019, to come into compliance with H.R.302-FAA Reauthorization Act of 2018, the program began turning off Secure Flight rules for passengers receiving PreCheck designation, further decreasing the total population eligible for Expedited Screening. Finally, the system was recently enhanced to identify true PreCheck passengers receiving PreCheck screening at airports without dedicated PreCheck lanes. Steps are also being taken to identify and breakout the entire Expedited Screening population as it is entered in the system, not just those receiving PreCheck screening, for an improved evaluation across the enterprise with Secure Flight vetted lists.								
Performance Measure		FY 2015	FY 2016	FY 2017	FY 2018	FY 2019	FY 2020	FY 2021
Percent of passenger data submissions that successfully undergo Secure Flight watch list matching	Target	---	---	100%	100%	100%	100%	100%
	Result	---	---	100%	100%	100%		
<i>Additional Information:</i> This measure ensures the traveling public that all domestic air passengers have undergone checking against watch lists as one means Vetting individuals against high risk watch lists strengthens the security of the transportation system.								
Performance Measure		FY 2015	FY 2016	FY 2017	FY 2018	FY 2019	FY 2020	FY 2021
Percent of Transportation Security Officers that achieve a first-time pass rate on the Image Interpretation Test	Target	---	---	---	---	---	90%	90%
	Result	---	---	---	---	---		
<i>Additional Information:</i> This measure gauges the ability of Transportation Security Officers to identify prohibited items such as guns, knives, and improvised explosive devices through X-ray screening and serves as feedback for the effectiveness of training programs and experiences. This is a new measure for the FY 2020 to FY 2021 Performance Plan.								

Other Operations and Enforcement

Performance Measure		FY 2015	FY 2016	FY 2017	FY 2018	FY 2019	FY 2020	FY 2021
Percent of air carriers operating from domestic airports in compliance with standard security programs	Target	100%	100%	100%	100%	100%	90%	90%
	Result	98.0%	98%	97.7%	87.0%	89.0%		
<i>Additional Information:</i> This measure indicates the level of compliance by domestic air carriers designed to enhance the safety of the Nation's transportation systems and infrastructure. The FY 2020 target was previously published at 100% in last year's APR. Target revised to be more in-line with current performance. Measure name changed from: <i>Percent of air carriers operating from domestic airports in compliance with leading security indicators</i> to more clearly reflect the source for the compliance checks.								
<i>Explanation and Corrective Action:</i> Current performance is in-line with previous results. Due to the nature of the standards, there will inherently be violations for several issues ranging from comprehension and compliance of screening requirements to willful disregard of program procedures. The Security Operations Compliance program continuously engages with air carriers to identify and correct security deficiencies and vulnerabilities to improve compliance with security rules and regulations. The program carries out a broad range of statutory, regulatory, and program security requirements utilizing outreach and progressive enforcement on a quarterly basis to assist air carriers in maintaining compliance.								

FY 2019-2021 Annual Performance Report

Performance Measure		FY 2015	FY 2016	FY 2017	FY 2018	FY 2019	FY 2020	FY 2021
Percent of attended interchanges of rail cars containing rail security sensitive materials transiting into or through high-threat urban areas	Target	---	---	---	95%	95%	95%	95%
	Result	---	---	---	99%	97%		
<p><i>Additional Information:</i> This measure indicates the extent to which TSA personnel observe the transit of freight rail containers carrying materials that could be used by terrorists or those with malintent to harm property and people. These observations, or attended interchanges, occur in high-threat urban areas where the impact of malicious use of these materials could be devastating.</p>								
Performance Measure		FY 2015	FY 2016	FY 2017	FY 2018	FY 2019	FY 2020	FY 2021
Percent of domestic cargo audits that meet screening standards	Target	---	95%	96%	97%	98%	98%	98%
	Result	---	98.0%	97.7%	95.0%	95.0%		
<p><i>Additional Information:</i> This measure reports the compliance of domestic air cargo carriers with cargo screening standards so as to indicate shortfalls to be addressed and enhance the safety and efficiency of air commerce.</p> <p><i>Explanation and Corrective Action:</i> Current performance is in-line with previous results. Similar to the air carriers measure listed above, there will inherently be violations for several issues ranging from comprehension and compliance of screening requirements to willful disregard of program procedures. Through progressive enforcement, the Security Operations Compliance program consistently works with regulated entities on security deficiencies and vulnerabilities to ensure that they achieve compliance with the security rules and regulations. The program will continue to provide outreach and best practices to ensure compliance with the security standards are met.</p>								
Performance Measure		FY 2015	FY 2016	FY 2017	FY 2018	FY 2019	FY 2020	FY 2021
Percent of foreign last point of departure (LPD) airports that take action to address identified vulnerabilities	Target	---	---	---	70%	70%	Retired Measure	
	Result	---	---	---	57%	57%		
<p><i>Additional Information:</i> This measure to reported if certain airports that had flights directly to the U.S. implemented action to address vulnerabilities identified by the program. Due to the lack of authority to directly impact change, this measure is being retired and replaced with the following measure which gauges activities that the program can directly impact.</p> <p><i>Explanation and Corrective Action:</i> LPD airports took action on 482 of the 844 open findings. TSA engaged with LPD airports to ensure a timely and appropriate response is implemented to address all vulnerabilities identified. Where needed, TSA took a progressive approach towards getting issues resolved by utilizing additional authorities given to TSA and coordinating with other U.S. government agencies to leverage relationships as needed.</p>								
Performance Measure		FY 2015	FY 2016	FY 2017	FY 2018	FY 2019	FY 2020	FY 2021
Percent of identified vulnerabilities at last point departure airports addressed through stakeholder engagement and partnerships	Target	---	---	---	---	---	70%	75%
	Result	---	---	---	---	---		
<p><i>Additional Information:</i> This measure will indicate the percent of vulnerabilities identified through the programs inspection activities that have been communicated and deliberated upon through stakeholder engagement and partnerships in an effort to encourage action to close these gaps by foreign airports. By working to mitigate aviation security risks at foreign last point of departure airports the program strives to improve aviation security. This is a new measure for the FY 2020 to FY 2021 Performance Plan.</p>								
Performance Measure		FY 2015	FY 2016	FY 2017	FY 2018	FY 2019	FY 2020	FY 2021
Percent of international cargo audits that meet screening standards	Target	---	95%	96%	97%	98%	98%	98%
	Result	---	97.0%	97.6%	88.0%	91.0%		
<p><i>Additional Information:</i> This measure indicates the level of compliance by international air carriers designed to enhance the safety of the Nation’s transportation systems and infrastructure. Compliance with international cargo screening standards enhances the safety and efficiency of air commerce and also reduces the risk of criminal and terrorist misuse of the supply chain.</p> <p><i>Explanation and Corrective Action:</i> Regulated entities are required to meet the cargo screening standards set forth in their security program under TSA authority. The Security Operations Compliance program consistently works with international air carriers on security deficiencies and vulnerabilities to ensure that they are in compliance with security rules and regulations that they follow. The Security Operations Compliance program will continue to provide outreach and best practices to ensure compliance with the security standards are met.</p>								

FY 2019-2021 Annual Performance Report

Performance Measure		FY 2015	FY 2016	FY 2017	FY 2018	FY 2019	FY 2020	FY 2021
Percent of overall compliance of domestic airports with established aviation security indicators	Target	100%	100.0%	100.0%	100.0%	100.0%	100.0%	100.0%
	Result	95.0%	93.0%	93.9%	91.0%	92.0%		
<p><i>Additional Information:</i> This measure reports the extent to which domestic airports are complying with security indicators designed to assesses airport vulnerabilities and provide an overall security posture of our domestic aviation system.</p> <p><i>Explanation and Corrective Action:</i> Based on the diversity of airport risks, such as human factors, insider threat and the airport security posture, aviation security indicators are an ever-evolving challenge to the aviation industry. The Security Operations Compliance program continues to partner with domestic airports to address security indicators by implementing an enhanced risk-based security strategy that encompasses the entire network. The program carries out a broad range of statutory, regulatory, and program security requirements utilizing outreach and progressive enforcement on a quarterly basis to assist domestic airports in maintaining compliance.</p>								
Performance Measure		FY 2015	FY 2016	FY 2017	FY 2018	FY 2019	FY 2020	FY 2021
Percent of overall level of implementation of industry agreed upon Security and Emergency Management action items by mass transit and passenger rail agencies	Target	82%	86%	75%	77%	79%	70%	70%
	Result	80%	71%	74%	67%	67%		
<p><i>Additional Information:</i> This measure communicates the extent to which mass transit and passenger rail agencies have implemented agreed upon industry best practices to safeguard the rail mass transit system. Since the program works in an advisory capacity, rail agency owners and operations fully own the decision to implement these best practices, but the program works to affect forward movement to address gaps. FY 2020 target was previously published at 81% in last year's APR. Target revised to be more in-line with current performance.</p> <p><i>Explanation and Corrective Action:</i> Currently, 36 of 54 of required Mass Transit Systems have implemented industry agreed upon Security and Emergency Management action items. Fiscal constraints have limited the ability of the transit systems to maintain or improve their security postures. TSA field personnel will continue to work with the transit systems by providing them best practices and other guidance material to help them improve their respective security postures.</p>								
Performance Measure		FY 2015	FY 2016	FY 2017	FY 2018	FY 2019	FY 2020	FY 2021
Percent of TSA regulated entities inspected per fiscal year by transportation security inspectors	Target	---	---	---	90%	90%	90%	90%
	Result	---	---	---	98%	99%		
<p><i>Additional Information:</i> This measure reflects that level of oversight provided the program to inspect regulated entities to identify vulnerabilities and facilitate their closure and provides assurance of the program's ongoing efforts to ensure the overall security posture of air carrier, indirect air carrier, airports, and certified cargo screening facilities.</p>								

U.S. Citizenship and Immigration Services

Employment Status Verification								
Performance Measure		FY 2015	FY 2016	FY 2017	FY 2018	FY 2019	FY 2020	FY 2021
Percent of workers determined to be "Employment Authorized" after an initial mismatch	Target	≤ 0.90%	≤ 0.80%	≤ 0.70%	≤ 0.60%	≤ 0.50%	≤ 0.40%	≤ 0.30%
	Result	0.17%	0.16%	0.15%	0.16%	0.21%		
<p><i>Additional Information:</i> This measure provides a feedback mechanism to indicate the accuracy of E-Verify by reporting the number of cases in which adjudicating officials in the program find a person "employment authorized" after an initial automated mis-match decision. Ensuring the accuracy of E-Verify processing reflects the program's intent to minimize negative impacts imposed upon those entitled to employment in the U.S. while ensuring the integrity of immigration benefits by effectively detecting and preventing unauthorized employment.</p>								

Fraud Prevention and Detection								
Performance Measure		FY 2015	FY 2016	FY 2017	FY 2018	FY 2019	FY 2020	FY 2021
Percent of applications for citizenship and immigration benefits not approved following a potential finding of fraud	Target	---	90.0%	90.0%	90.0%	90.0%	Retired Measure	
	Result	---	91.3%	91.7%	92.2%	90.5%		
<p><i>Additional Information:</i> This measure was designed to reflect the program’s capacity to prevent fraud, abuse, and exploitation of the immigration system, and address systemic vulnerabilities that threaten its integrity. This measure is being retired and replaced with the following three measures as noted in the rows below. For FY 2020, USCIS is implementing these new targeted measures on specific high-priority fraud and national security work to safeguard the U.S. immigration system.</p>								
Performance Measure		FY 2015	FY 2016	FY 2017	FY 2018	FY 2019	FY 2020	FY 2021
Percent of fraud referrals from adjudicative directorates that are closed or converted into fraud cases within 60 working days	Target	---	---	---	---	---	95%	95%
	Result	---	---	---	---	---		
<p><i>Additional Information:</i> This measure indicates the program’s ability to review and adjudicate fraud referrals in a timely manner so as to safeguard the integrity of the nation's lawful immigration system while fostering timely and accurate adjudication of applications. This is a new measure for the FY 2020 to FY 2021 Performance Plan.</p>								
Performance Measure		FY 2015	FY 2016	FY 2017	FY 2018	FY 2019	FY 2020	FY 2021
Percent of Immigration Services Officers, Asylum Officers, and Refugee Officers who receive advanced fraud detection or interview skills enhancement training	Target	---	---	---	---	---	95%	95%
	Result	---	---	---	---	---		
<p><i>Additional Information:</i> This measure indicates the extent to which key personnel, who are involved in the process to assess immigration benefit applications, receive advanced training to improve their ability to detect fraudulent applications and/or to assess the completeness and truthfulness of responses from applicants. Increasing the officer’s ability to detect fraud helps mitigate the risk of applicants receiving fraudulent benefits. This is a new measure for the FY 2020 to FY 2021 Performance Plan.</p>								
Performance Measure		FY 2015	FY 2016	FY 2017	FY 2018	FY 2019	FY 2020	FY 2021
Percent of system generated biometric notifications related to multiple identities triaged within 60 working days	Target	---	---	---	---	---	85%	85%
	Result	---	---	---	---	---		
<p><i>Additional Information:</i> Biometric notifications include derogatory information related to historical fingerprint enrollment records and other biometric type information. Continuous vetting of biometric information helps safeguard the integrity of the nation's lawful immigration system. This is a new measure for the FY 2020 to FY 2021 Performance Plan.</p>								

Immigration Services								
Performance Measure		FY 2015	FY 2016	FY 2017	FY 2018	FY 2019	FY 2020	FY 2021
Average of processing cycle time (in months) for adjustment of status to permanent resident applications (I-485)	Target	≤ 4.0	≤ 4.0	≤ 4.0	≤ 4.0	≤ 4.0	Retired Measure	
	Result	6.4	6.9	9.3	11.5	10.8		
<p><i>Additional Information:</i> This measure assessed the program’s ability to meet its published processing time goals by reporting on the volume of pending applications and petitions by Service Center or Field Office. USCIS is retiring this measure and is implementing new targeted measures in FY 2020 on the core business functions of USCIS to effectively administer and safeguard the Nation’s lawful immigration system.</p> <p><i>Explanation and Corrective Action:</i> Although the cycle time is above the target, FY19Q4 cycle time indicates a 6.1% improvement over FY18Q4. Additionally, USCIS ended FY 2019 with a decrease of nearly 13% in total pending applications compared to FY 2018. The I-485 interview expansion over recent years has added more work to the queue, making decreasing processing time more challenging. While USCIS continues to develop process efficiencies and identify new capacity by realigning other work, the agency must continually also seek to find ways to enhance the security and integrity of our work, which may have impacts on cycle times. USCIS will continue to balance workloads, seek process changes that result in new capacity, and leverage overtime and other</p>								

FY 2019-2021 Annual Performance Report

scheduling options to improve cycle times. USCIS will execute new hiring strategies and implement additional workplace flexibilities to mitigate hiring and retention issues which have negatively impacted cycle time.								
Performance Measure		FY 2015	FY 2016	FY 2017	FY 2018	FY 2019	FY 2020	FY 2021
Average of processing cycle time (in months) for naturalization applications (N-400)	Target	≤ 5.0	≤ 5.0	≤ 5.0	≤ 5.0	≤ 5.0	Retired Measure	
	Result	5.0	5.8	8.6	10.4	9.6		
<p><i>Additional Information:</i> This measure assessed the program's ability to meet its published processing time goals by reporting on the volume of pending applications and petitions by Service Center or Field Office. USCIS is retiring this measure and is implementing new targeted measures in FY 2020 on the core business functions of USCIS to effectively administer and safeguard the Nation's lawful immigration system.</p> <p><i>Explanation and Corrective Action:</i> Although the cycle time remains above the target, recent improvements implemented across USCIS have been producing higher completions. As a result, FY19Q4 cycle times are showing a 7.7% improvement over FY18Q4. Additionally, USCIS ended FY 2019 with a decrease of nearly 13% in total pending count compared to FY 2018. While USCIS continues to develop process efficiencies and identify new capacity by realigning other work, the agency must continually also seek to find ways to enhance the security and integrity of our work, which may have impacts on cycle times. USCIS will continue to balance workloads, seek process changes that result in new capacity, and leverage overtime and other scheduling options to improve cycle times. USCIS will execute new hiring strategies and implement additional workplace flexibilities to mitigate hiring and retention issues which have negatively impacted cycle time.</p>								
Performance Measure		FY 2015	FY 2016	FY 2017	FY 2018	FY 2019	FY 2020	FY 2021
Percent of appealed decisions that are dismissed by the Administrative Appeals Office	Target	---	---	---	---	---	98%	98%
	Result	---	---	---	---	---		
<p><i>Additional Information:</i> This measure reflects a confirmation by the Administrative Appeals Office of the thoroughness and accuracy of the program's decisions regarding immigration benefits. Decisions not overturned by the Administrative Appeals Office validate the accuracy of the adjudicative decisions. This is a new measure for the FY 2020 to FY 2021 Performance Plan.</p>								
Performance Measure		FY 2015	FY 2016	FY 2017	FY 2018	FY 2019	FY 2020	FY 2021
Percent of approved applications for naturalization that were appropriately decided	Target	99%	99%	99%	99%	99%	99%	99%
	Result	99%	99%	99%	99%	99%		
<p><i>Additional Information:</i> This measure assesses the program's ability to process the N-400 to provide immigration benefit services accurately and with full traceability. Additionally, the program uses results of this quality review process to improve the training of adjudicators and the processes used in conducting adjudications. This measure was moved from the Department's Management Set to be included in the FY 2020 to FY 2021 Performance Plan.</p>								
Performance Measure		FY 2015	FY 2016	FY 2017	FY 2018	FY 2019	FY 2020	FY 2021
Percent of approved applications for permanent residence that were appropriately decided	Target	99%	99%	99%	99%	99%	99%	99%
	Result	99%	99%	99%	99%	99%		
<p><i>Additional Information:</i> This measure assesses the program's ability to process the I-485 to provide immigration benefit services accurately and with full traceability. Additionally, the program uses results of this quality review process to improve the training of adjudicators and the processes used in conducting adjudications. This measure was moved from the Department's Management Set to be included in the FY 2020 to FY 2021 Performance Plan.</p>								
Performance Measure		FY 2015	FY 2016	FY 2017	FY 2018	FY 2019	FY 2020	FY 2021
Percent of approved refugee and asylum applications that were appropriately decided	Target	---	---	---	---	---	99%	99%
	Result	---	---	---	---	---		
<p><i>Additional Information:</i> This measure assesses the program's ability to process applications for Asylum and Refugee status to provide immigration benefit services accurately and with full traceability. This is a new measure for the FY 2020 to FY 2021 Performance Plan.</p>								
Performance Measure		FY 2015	FY 2016	FY 2017	FY 2018	FY 2019	FY 2020	FY 2021
Percent of Immigration, Fraud, and Asylum and Refugee Officers who are trained to perform their duties within six months of entry on duty	Target	---	---	---	---	---	90%	90%
	Result	---	---	---	---	---		

FY 2019-2021 Annual Performance Report

Additional Information: This measure will report on the challenge of quickly getting relevant officers trained so they have the skills they need to perform their duties. Ensuring officers are adequately trained and certified before performing their job duties protects the integrity of the immigration system. This is a new measure for the FY 2020 to FY 2021 Performance Plan.

Performance Measure		FY 2015	FY 2016	FY 2017	FY 2018	FY 2019	FY 2020	FY 2021
Percent of naturalized individuals where derogatory information was identified and resolved prior to taking the oath of allegiance	Target	---	---	---	---	---	100%	100%
	Result	---	---	---	---	---		

Additional Information: This measure will confirm that all avenues have been pursued to resolve information that influence the decision to grant naturalization to individuals prior to their engaging in the formal process of the taking the oath of allegiance to the U.S. information considered derogatory includes criminal activity, national security issues, or public safety concerns. This is a new measure for the FY 2020 to FY 2021 Performance Plan.

Performance Measure		FY 2015	FY 2016	FY 2017	FY 2018	FY 2019	FY 2020	FY 2021
Percent of respondents satisfied with the citizenship and immigration-related support received from the U.S. Citizenship and Immigration Services Contact Center	Target	85%	85%	85%	85%	85%	Retired Measure	
	Result	88%	85%	84%	83%	71%		

Additional Information: This measure gauged the overall applicant rating of the support received from the U.S. Citizenship and Immigration Services Contact Center, a nationwide call center based on accuracy of information, responsiveness to respondent inquiries, accessibility to information, and respondent satisfaction. USCIS is retiring this measure and is implementing new targeted measures in FY 2020 on the core business functions of USCIS to effectively administer and safeguard the Nation’s lawful immigration system.

Explanation and Corrective Action: In 2018, the USCIS Contact Center transitioned from two vendors to one vendor. The current vendor continues to aggressively recruit, but the security clearance process coupled with on-going attrition is making it difficult to reach the target staffing number. Currently, Tier 1 is short approximately 130 staff members. The next Tier 1 contract will transition back to a two-vendor model to resolve this issue. The contract is scheduled for a FY 2020 award. Additionally, analysis of the current satisfaction data indicates that one driver for the decreased score is the Interactive Voice Response (IVR) System. Data reflects dissatisfaction with the IVR system components such as the automated main menu that callers interact with when calling. The program is in the process of developing a new IVR to address concerns with the current system.

Performance Measure		FY 2015	FY 2016	FY 2017	FY 2018	FY 2019	FY 2020	FY 2021
Percent of students enrolled in classes under the Citizenship and Integration Grant Program that show educational gains	Target	80%	80%	80%	80.0%	80.0%	Retired Measure	
	Result	75.0%	75.0%	75.0%	80.0%	78.7%		

Additional Information: This measure reported on the success of grant recipients to increase knowledge of English necessary for students receiving services under the program to pass the naturalization test. USCIS is retiring this measure and is implementing new targeted measures in FY 2020 on the core business functions of USCIS to effectively administer and safeguard the Nation’s lawful immigration system.

Explanation and Corrective Action: Current results are in line with historical results. USCIS is continuing to work to increase educational gains in a number of ways, to include: considering past performance related to educational gains when making funding recommendations; and enhanced monitoring of individual grant recipient program performance, and the provision of technical assistance as needed.

Performance Measure		FY 2015	FY 2016	FY 2017	FY 2018	FY 2019	FY 2020	FY 2021
Percent of time U.S. Citizenship and Immigration Services responds within four calendar days to U.S. Customs and Border Patrol screening requests under the Migrant Protection Protocols	Target	---	---	---	---	---	95%	95%
	Result	---	---	---	---	---		

Additional Information: This measure reflects the responsiveness of the program to screening requests from the Border Patrol to ensure an orderly immigration process while ensuring that vulnerable populations receive the protections they need. This is a new measure for the FY 2020 to FY 2021 Performance Plan.

U.S. Coast Guard

Maritime Law Enforcement								
Performance Measure		FY 2015	FY 2016	FY 2017	FY 2018	FY 2019	FY 2020	FY 2021
Fishing regulation compliance rate	Target	96.5%	96.5%	97.0%	97.0%	97.0%	97.0%	97.0%
	Result	97.1%	96.8%	97.1%	97.8%	98.0%		
<p><i>Additional Information:</i> This measure reflects the percent of boardings at sea by the U.S. Coast Guard during which no significant violations of domestic fisheries regulations are detected. This effort helps ensure the health and well-being of U.S. fisheries and marine protected species.</p>								
Performance Measure		FY 2015	FY 2016	FY 2017	FY 2018	FY 2019	FY 2020	FY 2021
Interdiction rate of foreign fishing vessels violating U.S. waters	Target	---	---	---	18.0%	18.0%	35.0%	35.0%
	Result	---	---	---	31.3%	46.0%		
<p><i>Additional Information:</i> This measure reflects efforts to prevent illegal foreign fishing vessels from encroaching on the EEZ is a priority to protect the integrity of the Nation's maritime borders and ensuring the health of U.S. fisheries. FY 2020 target was previously published at 18.0% in last year's APR. Target revised to be more in-line with current performance due to the utilization of targeted intelligence and continued focus of operations in high-threat areas.</p>								
Performance Measure		FY 2015	FY 2016	FY 2017	FY 2018	FY 2019	FY 2020	FY 2021
Migrant interdiction effectiveness in the maritime environment	Target	73.0%	74.0%	74.5%	75.0%	75.0%	75.0%	75.0%
	Result	74.8%	79.3%	83.0%	72.0%	86.1%*		
<p><i>Additional Information:</i> This measure communicates the effectiveness of the maritime law enforcement program to interdict migrants attempting to enter the U.S. through maritime borders not protected by the Border Patrol. * Previously reported in the FY 2019 DHS Agency Financial Report as 84.8%. Result revised based on additional data provided by USCG partners.</p>								

Maritime Prevention								
Performance Measure		FY 2015	FY 2016	FY 2017	FY 2018	FY 2019	FY 2020	FY 2021
Number of breaches at high-risk maritime facilities	Target	---	---	---	≤ 235	≤ 307	≤ 307	≤ 306
	Result	---	---	---	320	331		
<p><i>Additional Information:</i> This measure assesses the extent that high-risk maritime facilities are breached where security measures have been circumvented, eluded, or violated but no official incident occurred. <i>Explanation and Corrective Action:</i> In FY 2019, there was a less than a one percent increase from FY 2018. Based on historical data, the numbers have started to normalize based on a policy change implemented in FY 2016. The U.S. Coast Guard is in the process of improving data collection methods in order to determine why a security breach occurred, and whether there was nefarious activity associated with the breach.</p>								
Performance Measure		FY 2015	FY 2016	FY 2017	FY 2018	FY 2019	FY 2020	FY 2021
Three-year average number of serious marine incidents	Target	≤ 693	≤ 701	≤ 698	≤ 698	≤ 689	≤ 644	≤ 686
	Result	696	688	684	705	748		
<p><i>Additional Information:</i> This measure assesses the impact of the program's efforts to reduce the number of serious marine incidents through outreach, training, and inspections. <i>Explanation and Corrective Action:</i> While the three-year average went up, the annual number of total Serious Marine Incidents (SMIs) decreased 3.5%. Passenger vessel SMIs increased 8% and made up just 50% of total SMIs. The majority of those incidents were classified as an SMI because of a passenger/crewmember injury beyond first aid. In FY 2020, the program will implement a process to identify risk factors for passenger vessels, with the goal of decreasing the number of passenger vessels involved in an SMI. In addition, the U.S. Coast Guard will increase the number of inspected towing vessels and expects to see fewer SMIs related to towing vessels.</p>								

Maritime Response								
Performance Measure		FY 2015	FY 2016	FY 2017	FY 2018	FY 2019	FY 2020	FY 2021
Percent of people in imminent danger saved in the maritime environment	Target	100.0%	100.0%	100.0%	80.0%	80.0%	80.0%	80.0%
	Result	80.0%	79.4%	78.8%	78.0%	78.0%		

FY 2019-2021 Annual Performance Report

Additional Information: This measure reports the percent of people who were in imminent danger on the oceans and other waterways and whose lives were saved by U.S Coast Guard. While the program aspires to save all lives, due to distance, weather, and other challenges the results reflect the reality of the complexities faced in meeting this goal.

Explanation and Corrective Action: The U.S. Coast Guard search and rescue (SAR) mission did not meet its performance target of 80% in FY 2019; however, results are consistent with prior year results. Several factors hinder successful response including untimely distress notification to the U.S Coast Guard, incorrect distress site location reporting, severe weather conditions at the distress site, and distance to the scene. The U.S. Coast Guard continues to improve its search and rescue planning and execution technologies.

Maritime Security Operations

Performance Measure		FY 2015	FY 2016	FY 2017	FY 2018	FY 2019	FY 2020	FY 2021
Percent risk reduction of coordinated anti-terrorism activities throughout the maritime transportation system	Target	---	---	---	---	---	42%	43%
	Result	---	---	---	---	---		

Additional Information: This measure reflects the risk reduction impact of maritime security and response operations conducted in and around ports in the 37 Captain of the Port zones by the U.S. Coast Guard or federal, state, and local partners. This is a new measure for the FY 2020 to FY 2021 Performance Plan.

Maritime Transportation Systems Management

Performance Measure		FY 2015	FY 2016	FY 2017	FY 2018	FY 2019	FY 2020	FY 2021
Availability of maritime navigation aids	Target	97.5%	97.5%	97.5%	97.5%	97.5%	97.5%	97.5%
	Result	97.7%	97.7%	97.5%	97.1%	96.8%		

Additional Information: This measure assesses the program's ability to manage short-range federal Aids to Navigation availability with promote safe navigation on the waterway.

Explanation and Corrective Action: The availability of maritime navigation aids remains slightly below target. A number of factors continue to contribute to below target lag of this metric including ongoing repairs in the Mid-Atlantic, Florida/Puerto Rico, and the Gulf Coast aids to navigation due to 2017 storm damage from Hurricanes Harvey, Irma, and Maria as well as late-2018 aid damage due to Hurricane Florence. The U.S. Coast Guard will continue with their risk-based prioritization of navigation aid repairs.

U.S. Secret Service

Field Operations

Performance Measure		FY 2015	FY 2016	FY 2017	FY 2018	FY 2019	FY 2020	FY 2021
Amount of cyber-financial crime loss prevented (in billions)	Target	---	---	---	---	\$4.50	\$5.00	\$6.00
	Result	---	---	---	---	\$7.10		

Additional Information: This measure reflects the program's efforts to reduce financial losses to the public attributable to cyber financial crimes. FY 2020 target was previously published at \$3.50 in last year's APR. Target revised to meet the expectation that the number of cases closed will continue to influence the loss prevented.

Performance Measure		FY 2015	FY 2016	FY 2017	FY 2018	FY 2019	FY 2020	FY 2021
Number of cyber mitigation responses	Target	---	410	250	390	225	240	275
	Result	---	157	253	271	416		

Additional Information: The program responds to organizations that suspect a malicious network intrusion has occurred and implements mitigation responses to secure the network(s). Each cyber mitigation response involves one or more of the following activities: identifying potential victims/subjects, notifying victims/subjects, interviewing victims/subjects, confirming network intrusion, supporting mitigation of breach activity, and retrieving and analyzing forensic evidence.

Performance Measure		FY 2015	FY 2016	FY 2017	FY 2018	FY 2019	FY 2020	FY 2021
Number of financial accounts recovered (in millions)	Target	0.40	0.40	0.40	0.50	0.50	0.50	0.50
	Result	0.93	0.51	27.18	5.70	1.39		

FY 2019-2021 Annual Performance Report

<i>Additional Information:</i> This measure represents the number of financial accounts recovered during cyber investigations including: bank accounts, credit card accounts, PayPal, and other online money transfer accounts.								
Performance Measure		FY 2015	FY 2016	FY 2017	FY 2018	FY 2019	FY 2020	FY 2021
Number of law enforcement individuals trained in cybercrime and cyberforensics both domestically and overseas	Target	1,300	1,800	1,900	2,000	2,500	2,800	2,900
	Result	2,070	1,906	1,968	2,773	3,375		
<i>Additional Information:</i> This measure communicates the number of law enforcement individuals trained by the program to facilitate investigations and resolution of financial cybercrimes.								
Performance Measure		FY 2015	FY 2016	FY 2017	FY 2018	FY 2019	FY 2020	FY 2021
Percent of currency identified as counterfeit	Target	< 0.0088%	< 0.0090%	< 0.0088%	< 0.0088%	< 0.0088%	< 0.0090%	< 0.0088%
	Result	0.0058%	0.0057%	0.0093%	0.0064%	0.0060%		
<i>Additional Information:</i> This measure is an indicator of the proportion of counterfeit currency relative to the amount of genuine U.S. Currency in circulation and reflects the program's efforts to reduce financial losses to the public attributable to counterfeit currency.								
Performance Measure		FY 2015	FY 2016	FY 2017	FY 2018	FY 2019	FY 2020	FY 2021
Percent of National Center for Missing and Exploited Children examinations requested that are conducted	Target	100%	100%	100%	100%	100%	100%	100%
	Result	100%	100%	100%	100%	100%		
<i>Additional Information:</i> This measure represents the prioritized efforts of the program in conducting computer and polygraph forensic exams conducted in support of any investigation involving missing or exploited children in relation to the number of computer and polygraph forensic exams requested.								
Performance Measure		FY 2015	FY 2016	FY 2017	FY 2018	FY 2019	FY 2020	FY 2021
Terabytes of data forensically analyzed for criminal investigations	Target	3,500	6,000	7,000	5,000	5,100	8,000	8,500
	Result	6,052	3,334	5,019	8,862	11,632		
<i>Additional Information:</i> This measure represents the amount of data, in terabytes, seized and forensically analyzed via investigations and those conducted by partners trained at the National Computer Forensics Institute (NCFI). Training law enforcement partners substantially enhances law enforcement efforts to suppress the continually evolving and increasing number of cyber and electronic crime cases affecting communities nationwide. FY 2020 target previously published at 5,600 in last year's APR. Target increased due to the growing number of NCFI-trained students who then play a role in analyzing data (the terabytes of data analyzed by partners trained at NCFI increased 28% between FY 2018 and FY 2019).								

Protective Operations								
Performance Measure		FY 2015	FY 2016	FY 2017	FY 2018	FY 2019	FY 2020	FY 2021
Percent of days with incident-free protection at the White House Complex and Vice President's Residence	Target	100%	100%	100%	100%	100%	100%	100%
	Result	100%	100%	100%	100%	100%		
<i>Additional Information:</i> This measure reflects the program's effectiveness in protecting the White House Complex and Vice President's Residence.								
Performance Measure		FY 2015	FY 2016	FY 2017	FY 2018	FY 2019	FY 2020	FY 2021
Percent of National Special Security Events that were successfully completed	Target	100%	100%	100%	100%	100%	100%	100%
	Result	100%	100%	100%	100%	100%		
<i>Additional Information:</i> This measure reflects the percent of successfully completed NSSEs where once the event has commenced, a security incident inside the USSS-protected venue did not preclude the event's agenda from proceeding to its scheduled conclusion.								
Performance Measure		FY 2015	FY 2016	FY 2017	FY 2018	FY 2019	FY 2020	FY 2021
Percent of protectees that arrive and depart safely	Target	100%	100%	100%	100%	100%	100%	100%
	Result	100%	100%	100%	100%	100%		
<i>Additional Information:</i> This measure reflects the effectiveness of efforts to ensure safe travels (arrive and depart safely) for the President and Vice President of the United States and their immediate families, former presidents, their spouses, and their minor children under the age of 16, major presidential and vice-presidential candidates and their spouses, and foreign heads of state.								

Section 3: Other Information



The ***Other Information*** section contains a presentation of our: Agency Priority Goals; a presentation of key management initiatives; and a summary of High-Risk Areas.

Agency Priority Goals (APG)

DHS’s APGs are a set of focused initiatives that support the Agency’s achievement of key priorities and are one of the tenets of GPRAMA. APGs are defined for a two-year implementation period which provides opportunities for leadership to significantly drive improvement in near-term performance. This year is a transition year where the Agency closes out the FY 2018-2019 APGs and introduces the FY 2020-2021 APGs. For more information on the measure descriptions and methodologies, see Appendix A. For additional information on DHS’s APGs, please visit [Performance.gov](https://www.performance.gov).

Agency Priority Goal 1: Enhance Southern Border Security

Closing out the FY 2018-2019 Agency Priority Goal

Goal Statement: Improve security along the southwest border of the U.S. between ports of entry. By September 30, 2019, DHS was to implement the Operational Control (OPCON) framework between ports of entry in 100% of U.S. Border Patrol Sectors along the southwest border as the means to enhance security

Summary:

Key Measure

Performance Measure		FY 2018	FY 2019
Percent of Southern Border sectors that have implemented the operational control framework	Target	N/A	100%
	Result	N/A	100%
<i>Additional Information:</i> With the submission of FY 2019 Master Concepts of Operations (CONOPs) from each sector in October 2018, and subsequent approval by Headquarters in December 2018, this measure target is fully achieved. Sector CONOPs establish plans to improve the three elements of OPCON. By developing the FY 2019 CONOPs, Border Patrol acclimated sector staff to writing yearly plans with the intent of improving OPCON. This familiarization will be critical for FY 2020 CONOPs, when sector plans will reference the OPCON baseline scores, and will use measures in the OPCON framework to discern measurable impacts from their efforts during FY 2020. The CONOPs establish traceability for how operations in the field impact OPCON.			

Other Supporting Measures

- Sector coordination to determine application of OPCON standards (FY 2019 Target 100%, Result 100%)
- Percent of time the U.S. Border Patrol reaches a detection site in a timely manner to assess the nature of detected activity in remote, low-risk areas of the southern border (FY 2019 Target 95%, Result 94.9%)
- Rate of interdiction effectiveness along the southwest border between ports of entry (FY 2019 Target 81%, Result 86.3%)
- Percent of U.S. Border Patrol agent workforce who are trained and certified to perform enforcement actions (FY 2019 Target 94%, Result 94%)

- Number of miles of pedestrian wall replaced (FY 2019 Target 40, Result: 44)
- Miles of Southern Border with additional pedestrian wall (FY 2019 Target 14 miles, Result 0 miles)

Introducing the FY 2020-2021 Agency Priority Goal

Goal Statement: Improve security along the U.S. borders between ports of entry with emphasis on the Southwest Border. By September 30, 2021, 90% of Southwest Border sector strategies associated with the Operational Control framework will have been completed.

Challenge

- Implementing a new framework across the many Southwest Border sectors and stations while faced with dynamic and unpredictable flow of illegal immigration
- Near-term demands caused by changes in the level and type of people illegally crossing the border compete with the focus needed to implement the OPCON framework
- Ongoing challenges with recruiting and retaining Border Patrol agents
- Advancing operational effectiveness using measures and data to inform planning activities and evaluate their impact

Opportunity

- Ensure a consistent approach to developing and gauging sector strategy effectiveness on both the Southern and Northern borders
- Apply lessons learned from OPCON implementation along the Southern Border so as to expand and customize it to the Northern Border
- Provide a framework and data to enable the Border Patrol to better articulate operational success and concurrently demonstrate quantifiable improvement
- Enhance communication with stakeholders to heighten public awareness of the Border Patrol’s efforts to improve security between ports of entry

Key Measure

Performance Measure		FY 2020	FY 2021
Percent of Southwest Border sector planned strategies associated with the Operational Control framework that are completed	Target	60%	90%

Other Supporting Measures

Strategy 1: Implement the OPCON framework to the field

- 1.1: Percent of Southwest Border sector planned strategies associated with the Operational Control framework that are completed (APG Key Measure, see table above for information)
- 1.2: Percent of milestones met for establishing Northern Border measures that will integrate the Operational Control framework (FY 2020 Target, 100%)

Strategy 2: Situational Awareness

- 2.1: Percent of time the U.S. Border Patrol reaches a detection site in a timely manner to assess the nature of detected activity in remote, low-risk areas of the Southwest and Northern Borders (FY 2020 Target, 95%)
- 2.2: Percent improvement in the surveillance capability score on the Southwest Border (Reporting will begin in FY 2021)

Strategy 3: Response and Law Enforcement Resolution

- 3.1: Rate of interdiction effectiveness along the southwest border between ports of entry (FY 2020 Target, 81%)
- 3.2: Percent of U.S. Border Patrol agents who are trained and certified to perform enforcement actions (FY 2020 Target, 94%)

Strategy 4: Impedance and Denial

- 4.1: Number of known illegal entries between the ports of entry on the Southwest Border (FY 2020 Target, 790,000)
- 4.2: Percent of illegal entrants apprehended by the U.S. Border Patrol in the Containment Zone along the Southwest Border between ports of entry (FY 2020 Target, 70%)

Agency Priority Goal 2: Strengthen Federal Cyber Security

Closing out the FY 2018-2019 Agency Priority Goal

Goal Statement: Strengthen the defense of the federal network through the increased dissemination of cyber threat and vulnerability information in near-real time to federal agencies. By September 30, 2019, federal agencies will mitigate 70% of significant (critical and high) vulnerabilities identified through DHS scanning of their networks within a designated timeline.

Summary:

Key Measure

Performance Measure		FY 2018	FY 2019
Percent of significant (critical and high) vulnerabilities identified by DHS cyber hygiene scanning of federal networks that are mitigated within the designated timeline	Target	80%	70%
	Result	52%	59%
<i>Additional Information:</i> During the first half of the year, BOD 15-01 was still in place, and the mitigation timelines were not aligned with the standards for this measure. The issuance of BOD 19-02 on April 29 formally established updated mitigation timelines of 15 days for critical vulnerabilities and 30 days for high vulnerabilities. Since BOD 19-02's implementation, the compliance rate has increased substantially, and DHS expects performance to continue to improve in FY 2020.			

Other Supporting Measures

- Percent of DHS endpoints identified with vulnerabilities patched within 30 days (FY 2019 Target 90%, Result 79%)

- Percent of participating federal agencies with an active CDM data feed into the Federal Dashboard (FY 2019 Target 100%, Result 99%)
- Percent of participating federal agencies for which CDM capabilities to manage user access and privileges are monitored on the Federal Dashboard (FY 2019 Target 42%, Result 23%)
- Percent of participating federal agencies for which CDM tools have been made available to monitor what is happening on their networks (FY 2019 Target 100%, Result 96%)
- Percent of incidents detected or blocked by EINSTEIN that are attributed to nation state activity (FY 2019 Target 21%, Result 17%)
- Percent of significant vulnerabilities identified through a high value asset assessment that are mitigated within 30 days (FY 2019 Target 45%, Result 30%)

Introducing the FY 2020-2021 Agency Priority Goal

Goal Statement: Protect federal networks by defending against threats and assisting agencies in managing risk. By September 30, 2021, 75% of critical and high configuration-based vulnerabilities identified through high value asset assessments will be mitigated within 30 days.

Challenge

- Variable agency capabilities and network architectures
- Network visibility limitations due to encryption and cloud computing
- Constantly evolving threat landscape and rapid pace of change in the cyber domain compared to the pace of Federal Government policy generation and implementation

Opportunity

- Empower DHS with additional authority to gain visibility into the federal enterprise and take action to safeguard systems
- Bring a unity of purpose to managing cybersecurity risks and protecting federal networks between DHS and agency network defense operators
- Ramp up use of coordinated tools and services to make federal networks more defensible and secure
- Synthesize risk posture data and assessments to reduce exposure to threats

Key Measure

Performance Measure		FY 2020	FY 2021
Percent of critical and high configuration-based vulnerabilities identified through high value asset assessments mitigated within 30 days	Target	70%	75%

Other Supporting Measures

Strategy 1: Increase Enterprise Risk Posture Awareness

- 1.1: Percent of agencies for which a reliable Agency-Wide Adaptive Risk Enumeration score can be calculated for assets reporting to the federal dashboard (FY 2020 Target, 100%)

- 1.2: Percent of agencies who have established a data connection and begun providing user access data to the federal dashboard (FY 2020 Target, 100%)
- 1.3: Percent of agencies where IT hardware devices reported in the federal dashboard is within ten percent of agency self-reported numbers for Federal Information Security Management Act devices (Reporting will begin in FY 2021)
- 1.4: Percent of agencies where the number of active users in the Federal Dashboard is within ten percent of agency self-reported numbers for Federal Information Security Management Act users (Reporting will begin in FY 2021)

Strategy 2: Mitigate Known Vulnerabilities

- 2.1: Percent of critical and high vulnerabilities identified through cyber hygiene scanning mitigated within the designated timeline (FY 2020 Target, 70%)
- 2.2: Percent of mitigation activities for critical and high structural-based vulnerabilities identified through high value asset (HVA) assessments that are on schedule (FY 2020 Target, 60%)
- 2.3: Percent of critical and high configuration-based vulnerabilities identified through high value asset assessments mitigated within 30 days (APG Key Measure, see table above for information)

Strategy 3: Manage Malicious Incidents

- 3.1: Percent of potential malicious cyber activity notifications where impacted agencies were alerted within the specified timeframe (FY 2020 Target, 75%)
- 3.2: Percent of potential malicious cyber activity notifications where the notified agency acknowledges receipt (FY 2020 Target, 75%)
- 3.3: Percent of potential malicious cyber activity notifications confirmed by agencies as not malicious (FY 2020 Target, 15%)

Management Initiatives

Customer Experience

The President's Management Agenda includes a focus on improving the customer experience with federal services. Below are DHS's major high impact service provider organizations efforts and successes in FY 2019 and next steps and challenges moving forward.

International Travel (CBP)

Progress

CBP's Office of Field Operations (OFO), Traveler Communications Center (TCC), serves as a 24/7 customer-facing communications center available to help travelers navigate CBP's major passenger programs. The TCC strives to improve customer experience (CX) by providing travelers with accurate information about OFO traveler programs, timely responses to traveler inquiries, application assistance, troubleshooting, and general guidance for travelers. Over the past year, OFO developed and refined TCC long-term mission goals of providing accurate, helpful information that is easily accessible, increasing traveler compliance, and reducing bad actors to reflect CX best practices across five focus areas:

- **Governance:** OFO matured its governance approach to align its long-term strategy to CX best practices and developed a case for expanding CX across the agency.
- **Organization & Culture:** OFO integrated CX skills into Customs and Border Protection Officers' (CBPO) roles and responsibilities and familiarized officers with common personas of travelers who frequently call the TCC for assistance.
- **Customer Research:** OFO analyzed traveler contact information and created more than 30 targeted solutions based on personas of travelers that frequently contact the TCC.
- **Service Design:** OFO advanced CBP's omni-channel service delivery by optimizing the user experience on the Electronic System for Travel Authorization (ESTA) website.
- **Measurement:** The TCC developed an implementation plan for voice of customer data collection using the General Services Administration's (GSA) Touchpoints Tool to measure progress towards its CX milestones.

Governance

OFO developed a long-term implementation strategy and impact assessment that aligns the TCC on its goals, focus areas, capabilities, governance approach, and operational impact.

Organization & Culture

OFO identified CBPO roles and responsibilities that integrate CX skills into officer's mission-related work. OFO also adopted common personas to familiarize Customs Officers with the type of travelers that frequently contact the TCC for assistance. These responsibilities included analyzing CX data to synthesize customer insights for CX improvement.

Customer Research

The TCC conducted more than 50 customer interviews, developed seven personas for travelers who frequently contact the TCC, and made CX materials readily available on a central platform to help officers better understand travelers' needs and behaviors. Based on the identified personas, the TCC generated more than 30 targeted solutions to help customers solve issues on their own, decrease their need to contact the TCC, and improve CBP's ability to quickly and efficiently clarify and resolve traveler questions and concerns.

Service Design

The TCC held recurring weekly and monthly meetings with stakeholders, including OFO travel program offices and the CBP Office of Information Technology (OIT), to address customer-focused website functionality. One of the TCC's key website initiatives included developing 37 CX recommendations for the ESTA website using a human-centered approach to address travel pain points.

Measurement

The TCC used the information gathered to define 49 customer relationships, voice of customer, and web analytics metrics; and established a strategy to collect, analyze, report, and act upon the data. To mature this data strategy, OFO established a set of Key Performance Indicators to be used to assess the impact of TCC operations using quantifiable measures.

Challenges and Next Steps

CBP faces continuing challenges in the following areas:

- **Customer Research:** Constraints in executing a formal process for customer research and analysis to include delays in customer data collection.
- **Service Design:** Lack of interoperability and ownership of the travel programs it supports, together with their respective systems, limits the TCC's ability to implement solutions and improvements across relevant websites, applications, and processes.
- **Measurement:** Technical difficulties amid its upgrade to a new Customer Relationship Management system has slowed the progress of improvements.

While CBP will be continuing efforts across all five CX functions, it plans to focus on Governance and Measurement and accomplish the following by September 30, 2021:

- **Governance:** Develop a strategy and associated governance that promotes broad improvements in CX, including self-service, to improve the public's travel experience as well as law enforcement outcomes. Critical actions and milestones include:
 - Create a CX vision as the foundation for a CX strategy;
 - Develop a CX strategy by defining goals, focus areas, measures of success, capabilities, and a governance structure;
 - Identify, clarify, and align processes and operations to execute the CX strategy; and
 - Assess execution of the CX strategy against the CX vision.
- **Measurement:** Develop regular collection of the defined metrics and create reporting capabilities that can be used to analyze trends and predictively impact how the TCC enables

traveler compliance and deters bad actors entering the U.S. Critical actions and milestones include:

- Establish and refine on-going baselines to increase efficiencies;
- Determine trends on customer needs/values through GSA's Touchpoints survey tool, including additional CBP-wide focused questions;
- Integrate maturing capabilities to automate TCC analytical procedures and evaluate results; and
- Promote TCC best practices through its steering committee.

Emergency and Disaster Relief (FEMA)

Progress

FEMA continues to focus on improving the survivor experience and the effective delivery of federal assistance by conducting customer experience surveys that capture information about how survivors navigate through the Individual Assistance process. During FY 2019, results demonstrate that FEMA performed the best in applicant satisfaction with Financial Assistance Arriving in a Reasonable Amount of Time, 79% of respondents rated this experience a 4 or 5, and Information Provided Online, 75% of respondents rated this experience a 4 or 5. FEMA's lowest performance areas were in Meeting Customer Expectations, 60% of respondents rated this experience a 4 or 5, and Meeting Disaster Related Needs, 64% of respondents rated this experience a 4 or 5. Although the scores in these areas were low, they have improved since FY 2018.

FEMA will work to understand the factors that are contributing to low scores in these areas and develop plans to continue improvement in FY 2020. In addition, FEMA is working to clarify and simplify the disaster assistance process to improve scores in all areas and will continue implementing strategies to provide more timely financial assistance. FEMA is also streamlining the assistance process by providing timely inspections to survivors most likely to receive housing assistance in places where it is needed most. This effort is intended to provide better service to survivors by prioritizing the available inspection resources to applicants who are displaced from their primary residence.

Governance

Objective 3.1 of FEMA's [FY 2018-2022 Strategic Plan](#) focuses on improving the survivor experience. To meet this objective, FEMA utilizes interagency working groups to discuss customer feedback and develop strategies to improve cross-agency recovery efforts for survivors. In FY 2020, FEMA will establish a team focused on developing and integrating consistent customer service practices across the Agency's Individual Assistance program. The team will also be responsible for implementing annual OMB customer service governance goals and priorities, using data analytics and research to streamline processes, and increasing the timeliness and accuracy of the assistance provided to disaster survivors. FEMA maintains a robust review process to integrate customer feedback into policy solutions. Survey results are also shared with Recovery leadership on a quarterly basis to help influence both operational and strategic priorities. The Disaster Assistance Improvement Plan captures efforts being taken across federal agencies to support survivors.

Organization & Culture

There are approximately 2,500 members of FEMA's Individual Assistance Incident Management Cadre who receive training on a regular basis determined by the requirements set forth in their position task books. Customer service training is provided to personnel who have direct contact with survivors in person and on the phone. FEMA is also developing tools to help states better serve disaster survivors.

FEMA continually updates training requirements based on feedback received from survivors and data-based program changes to improve the survivor experience. Call center staff across the Agency are evaluated on a regular basis to ensure FEMA's programs are executed consistently and accurately. Annually, FEMA holds the Administrator's Awards to recognize staff for their excellent customer service. Categories for this customer service award include: Outstanding Survivor Service, Exceptional Service, and Excellence in Supporting the Mission.

Customer Research

FEMA conducts surveys and periodic interviews with survivors on a consistent basis to gather feedback about current processes and how they can be improved. Using data analytics, FEMA identifies service gaps from state level capability data to identify the services that survivors will need and to develop program strategies to meet the identified needs holistically from all Recovery providers. Understanding the customer experience helps FEMA develop, implement, and improve innovative and effective solutions. FEMA identified the top 10 survivor inquiries and is expanding the ways these issues can be resolved in order to provide more streamlined services to survivors.

Service Design

To mature FEMA's processes for assistance to survivors, FEMA plans to develop a customer journey map of the Recovery process to identify additional touchpoints where customer experience data can be used to inform programmatic changes. Specifically, FEMA is implementing two projects to improve how feedback is obtained from survivors. The first project will build an on-line survey capability, allowing FEMA to gather feedback from survivors in additional communication modes. Second, FEMA is working to build a post-transaction voice response survey into the current telephone platform that will allow FEMA to receive individualized feedback about agents providing service and guidance to survivors.

Measurement

The FEMA Recovery Directorate established a consistent set of customer experience metrics for the Individual Assistance program. These measures make up the Recovery Performance Framework, which are used to assess a survivor's customer satisfaction of the Individuals and Households Program's assistance and services. FEMA conducts three ongoing survey programs to capture experience data at multiple points of a survivor's journey: initial survey, contact survey, and assessment survey.

Challenges and Next Steps

FEMA has faced challenges in meeting expectations in the following two areas on the customer satisfaction survey: "Explaining Next Steps" and "Providing Helpful Information." FEMA will continue to work towards simplifying the application process and effectively providing necessary information to applicants. Changes to Individual Assistance program strategies resulted in the need to adjust customer experience survey questions and develop new questions to address the

changes in order to gather the most accurate information. In addition, FEMA does not currently have a customer experience framework that can be used across programs, resulting in inconsistent application of practices across the Agency. To mitigate challenges and continue improving customer experience, FEMA will take the following next steps:

- Develop a customer journey map of the Recovery process to identify additional touchpoints where customer experience data can be used to inform programmatic changes. Target date: December 30, 2020.
- Develop Agency-wide training on behavioral health and wellness. The target date will need to be determined following conversations with other components of FEMA who would implement the training.
- Integrate applicant information with data from the Census database to analyze and understand the populations of individuals in high-risk natural disaster areas. Target date: September 30, 2021.
- Initiate a longitudinal survey to better understand FEMA's and other federal programs' effects on the survivor experience. The survey is under development and will be submitted to OMB later in 2019. FEMA will incorporate these results into the Recovery Performance Framework. Target date: 2021.

Domestic Aviation Travel (TSA)

Progress

The Transportation Security Administration (TSA) performs domestic security operations at the Nation's airports, screening over two million domestic travelers each day. TSA has taken several steps to improve the travelers' experience while maintaining a strong security posture.

Governance

TSA established the Customer Experience Advisory Council (CEAC), which is responsible for providing governance to the TSA customer experience strategy and implementation. The primary functions of the CEAC are to assist TSA leadership and the Customer Service Manager in oversight of the TSA Customer Experience Strategy through the following responsibilities:

- Setting customer service expectations across the agency;
- Identifying how customer service improvement will drive achievement of program outcome goals;
- Developing customer service standards based on customer responsiveness;
- Reporting progress on customer service goals routinely to TSA leadership and employees; and
- Promoting customer experience strategies and considerations to program offices as new policies and measures are implemented.

Through the CEAC, TSA has been able to identify ongoing or planned Customer Experience activities across the organization.

Organization & Culture

TSA has identified the need to incorporate customer experience requirements into performance plans and job announcements and strengthen the customer experience message in training products for the frontline workforce. A program office within TSA's Human Capital began a pilot where customer experience elements were part of the employees' performance plans. The CEAC will use this model to incorporate customer experience elements into all performance plans to hold employees accountable.

The TSA Pre✓® enrollment vendor, Universal Enrollment Services (UES), and the TSA employees supporting UES, are committed to providing quality customer service. TSA routinely conducts quality assurance activities for the UES call center's Tier 1 services and updates guidance and provides training when necessary. TSA and UES focus on the customer experience for those applying for a security threat assessment, including TSA Pre✓®, Transportation Worker Identification Credential, and HAZMAT Endorsement.

Several airports, including Philadelphia and Atlanta, have incentives and awards for the teams or individuals who receive the most compliments from the traveling public. Airports are encouraged to create award programs surrounding the customer experience. The CEAC works to share best practices like these nationwide.

Customer Research

The TSA Customer Service Branch has received training on creating personas and journey maps to accurately depict our various groups of travelers to ensure we cover all populations. The Customer Service Branch led the CEAC in an exercise to create detailed customer personas in an effort to develop a library of personas to ensure we are properly addressing the needs and concerns of our various customers. For employees, TSA has an open forum—Idea Factory—to collect and solicit employee feedback on various topics.

TSA regularly collects feedback on interactions with the TSA Contact Center, UES call center, UES enrollment sites, and tsa.gov. UES offers customer service surveys to applicants at the end of the in-person enrollment process and during the online renewal process. The survey data allows UES to make changes to address areas of concerns and share best practices among all enrollment centers.

Service Design

The UES team continues to improve customer experience through new technology and IT process enhancements. The most impactful customer service enhancement implemented this year was providing online renewal for members of the TSA Pre✓® Application Program. Prior to the implementation of this capability, customers with an expiring known traveler number were required to visit an in-person enrollment center. The online renewal capability has significantly decreased the burden placed on customers renewing their TSA Pre✓® membership. Over 590,000 customers elected to renew online in FY 2019.

The enrollment vendor is testing a new tablet hardware solution for in-person enrollments. The small size and mobility of a tablet will improve customer service by allowing the UES contractor to deploy in-person enrollment capabilities in locations that were not previously feasible given the space requirements associated with the legacy enrollment workstation hardware. The tablet is

being used at a number of enrollment centers and enrollment events at screening checkpoints and will continue to expand over FY 2020.

As part of the ongoing effort to ensure TSA produces clear and concise written documents, the TSA Plain Language Working Group trained over 140 headquarters and field employees in fiscal year 2019. The Executive Secretariat is also working to revamp the Executive Correspondence Manual & Style Guide and expects to complete this project by the end of the calendar year. Once complete, these documents will serve as important resources to TSA program offices when drafting agency responses to Congress, stakeholders, and the traveling public.

Measurement

Through the CEAC, TSA worked to break down silos and gather organization-wide metrics that have the most impact on the customer experience. TSA found our measurements for data collection are in-line with OMB expectations. TSA has begun to develop a strategy for collection customer experience feedback across our multiple streams of customer interaction. TSA's goal is to develop an organization-wide dashboard of customer experience metrics, in addition to the OMB A-11 requirements, and to share these results publicly.

In late spring, TSA conducted a survey at five airport checkpoints, collecting over 6,000 responses. The survey was based on the OMB A-11 requirement with additional questions surrounding our signature customer experience initiative, TSA Pre✓®. The TSA Pre✓® marketing team was particularly interested in gaining insight to the main drivers of satisfaction with the program and areas of improvement. As a result, TSA Pre✓® is working to improve the enrollment process and conducting in-journey enrollment pilots, as well as implementing procedures to allow TSA Pre✓® passengers to receive TSA Pre✓® screening when a dedicated TSA Pre✓® lane is not open.

Overall, the survey results were extremely positive. Passengers were satisfied with the screening and felt the time to go through screening was reasonable. Most were confident in TSA's ability to keep air travel safe and reported the TSA Officers were professional. TSA has used the results to create action plans for improvement.

The TSA Contact Center, UES call center, and UES enrollment sites (440) are constantly measured and evaluated to ensure they are meeting their acceptable quality levels and providing a high level of customer service to the public. They are evaluated on metrics such as the quality of responses provided, call wait times, proper escalation of complaints/questions, and the professionalism of the agents.

Challenges and Next Steps

Resources necessary to conduct and analyze survey results and focus on customer experience initiative continues to be a challenge. TSA's mission and primary focus continues to be security, we are working to change the culture of the organization to include a balance of security and customer service in a fast-paced, high-volume, dynamic threat environment.

Through the survey, the CEAC was able to create actions plans to improve our external communications to the traveling public to increase their awareness of policies and procedures so they are prepared for screening when they arrive at the TSA checkpoint. The public is not fully aware of the information sources we have available. Our goal is to meet customers on the

channels they use most (text, chat, social media, videos) in an effort to reach as many travelers as possible using our limited resources. Target Completion: Q4 FY 2021.

TSA's second action plan focuses on the organization and culture of the frontline workforce. TSA aims to improve communication and advisements that the TSA Officers provide prior to conducting additional screening. TSA found passengers who required additional screening felt they were not provided a thorough explanation, which made them feel anxious about the process, targeted, and nervous to miss their flight. TSA will review standard operating procedures and make necessary language modifications, then collect feedback from TSA Officers on the changes. TSA will also review the current training curriculum and identify gaps in the communication portions and make improvements. TSA will pilot multiple revisions to the advisements to determine the impact to passengers and collect and analyze feedback prior to full implementation. Target Completion: Q4 FY 2021.

Immigration Benefits (USCIS)

Progress

The focus for efforts to enhance the customer experience as High Impact Service Provider requirements regarding immigration benefits currently fall under the purview of the External Affairs Directorate (EXA), Office of Citizenship and Applicant Information Services (CAIS). CAIS helps the public learn about immigration benefits and assists them with resources and tools through three divisions:

- **Public Services Division** responds to questions by phone, email, live chat, and written correspondence through the USCIS Contact Center. This division also provides language services to USCIS and other DHS components.
- **Digital Services Division** manages the USCIS websites and online self-help tools and builds digital forms and online account services.
- **Office of Citizenship** provides instruction and training on citizenship rights and responsibilities, administers the Citizenship and Assimilation Grant Program, and provides tools and resources to foster immigrant assimilation.

CAIS has been working closely with the OMB to ensure USCIS meets all High Impact Service Provider requirements, including the completion of the self-assessment, corresponding action plan and submission of quarterly survey data. Several initiatives are underway throughout CAIS to improve the experience USCIS provides to the public and address areas of improvement in the action plan. These initiatives are detailed in the sections that follow.

Governance

CAIS recognizes and embraces the importance of CX, as well as its impact on the public and USCIS employees. In fact, CX is at the core of CAIS' strategic priorities, which include the following:

- Centralize the agency's information services and tools to create value for applicants and create capacity within the adjudicative process;
- Unify web presence and create a digital gateway to services that allows applicants to better self-serve and create efficiency and accuracy in our adjudicative processes;

- Reduce barriers through assimilation and education initiatives that enhance awareness of citizenship rights and responsibilities; and
- Foster an engaged workforce that is highly trained, informed and connected to the mission.

All CAIS priorities align with the USCIS Strategic Plan and progress is monitored through working groups assigned to each strategic priority. Additionally, CAIS is a member of the newly established USCIS Contact Center Working Group comprised of representatives from across the agency. The working group's goal is to improve information services while strengthening cross-agency collaboration. To codify these efforts, CAIS is developing a formal CX Strategy Plan in FY 2020.

Organization & Culture

Customer Service is a core competency for USCIS employee performance plans. It includes a requirement to understand and anticipate the needs of those who USCIS supports and uses feedback to improve services. To enhance our training offerings, the USCIS Performance and Learning Management System has an extensive training library focused on CX. Additionally, CAIS offers various awards to employees for exemplary service, to include special recognition, cash, and time off. In FY 2019, CAIS awarded over \$16,000 in cash awards and 2,380 hours of time-off awards. CAIS also established new quarterly awards in the following categories:

- Leadership in Service Delivery;
- Engaged Leader; and
- Leader in Innovation.

Customer Research

CAIS employs various research methods when developing new technologies and processes, including ethnographic research, usability testing and focus groups. CAIS also has a team of CX experts dedicated to research and human-centered design who travel the country to gather insights to inform development projects. Examples of research conducted in FY 2019 include:

- Usability testing at the Houston Field Office with petitioners and representatives filing Form I-130, Petition for Alien Relative.
- User research with law firms in New York and Philadelphia to understand the experience of immigration attorneys and staff who file H-1B petitions. We also conducted a second round of H-1B user research with attorneys and registrants (petitioning companies).
- Volunteer testers in Miami and Los Angeles used to inform the development of a new Interactive Voice Response system for the USCIS Contact Center.

Service Design

CAIS develops new IT and digital investments using human-centered design principles. Additionally, CAIS continues to adopt and institutionalize other best practices in service design, including:

- **Delivering unified and efficient systems:** When developing IT projects CAIS teams seek opportunities to integrate with other systems to create a true end-to-end digital experience for users and optimize efficiencies.
- **Cross collaboration:** All CAIS IT projects reflect collaboration across the agency.
- **Agile development methodology:** USCIS policy requires the use of agile for most IT projects to more quickly deliver new capabilities to market.

- Leverage automation and existing applications:** To create efficiencies in service design, CAIS leverages automation and reuses existing applications, as appropriate.

Measurement

CAIS made significant progress in FY 2019 to improve our measurement of CX activities. First, the agency implemented the OMB High Impact Service Provider survey questions and submitted the quarterly results on time to the performance.gov portal. Second, started the process of transitioning from a single-channel, manual telephone survey to a multi-channel, real-time survey tool (Qualtrics). The new survey tool will include the USCIS Contact Center 1-800 number, e-mail, written correspondence, and live chat, as well as the myUSCIS website (my.uscis.gov) and the virtual assistant “Emma.” Initial implementation will be completed in FY 2020. For the English (uscis.gov) and Spanish (uscis.gov/es) websites, CAIS will continue to provide real-time surveys using the Foresee survey tool.

Challenges and Next Steps

The following table details key challenges and next steps/milestones to address each challenge.

Challenge	Next Step/Milestone	Target Completion Date
Public expectations have increased (public expects an “Amazon-like” experience)	Codify CAIS CX priorities in a formal CX Strategy document that aligns with the USCIS Strategic Plan.	FY 2020, 4 th quarter
Lack of survey data across public facing channels	Deploy Qualtrics survey tool across most CAIS public- facing channels	FY 2020, 4 th quarter
Limited transparency for applicants who file paper applications	Deploy online filling for all major USCIS forms	All forms are currently available as fillable PDFs; enhanced form experience development is ongoing based on agency priorities
Shifting users to electronic forms (versus paper forms)	Marketing campaign promoting online filing Enhance the online account	Ongoing through FY 2020 FY 2020, 4 th quarter
Simplifying a naturally complex immigration process that is easy for the average person to understand.	Unify website’s style and navigation to increase the public’s understanding of move between getting information and using the features available after signing into an account	FY 2020, 3 rd quarter
Limited staff at the USCIS Contact Center are impacting our ability to service the public in a timely manner	Grow staffing to target levels Deploy new Interactive Voice Response system to improve the self-service experience for callers	FY 2020, 4 th quarter FY 2020, 3 rd quarter
Lack of a consolidated knowledge management system	Implement a CAIS knowledge management system to ensure consistency in information and improve effectiveness of content across channels	FY 2021, 4 th quarter

Challenge	Next Step/Milestone	Target Completion Date
Provide unified and interactive experience for Citizenship Resource Center (CRC) website	Improve the digital experience for the CRC by making resources platform agnostic and explore development of more interactive content	FY 2020, 3 rd quarter

Regulatory Reform

Overview

DHS remains committed to regulatory reform as identified in *Executive Order (EO) 13771, Reducing Regulation and Controlling Regulatory Costs*. Regulatory components throughout DHS continue to review their regulatory and related stock, analyze the impacts and costs of that stock, identify possible deregulatory actions, and develop deregulatory actions.

Section 4 of *EO 13777* specifies that agencies should measure their progress in performing regulatory reform tasks. Specifically, the EO states that agencies should incorporate performance indicators into their annual performance plans; those performance indicators should measure progress toward the goals of: 1) improving implementation of regulatory reform initiatives and policies, and 2) identifying regulations for repeal, replacement, or modification. DHS has implemented these requirements.

Progress

DHS’s regulatory reform progress in FY 2019 was notable. DHS issued a total of 11 deregulatory actions with a total annualized cost savings of \$69.9 million (7% discount rate). In FY 2019, DHS issued three significant regulations imposing \$28.1 million in quantified costs. DHS met or exceeded all FY 2019 goals and ended the year with \$41.75 million in net cost savings. DHS hopes to make continued good progress this coming fiscal year in identifying and issuing deregulatory actions.

In accordance with the Office of Management and Budget Memorandum M-17-23: Guidance on Regulatory Reform Accountability under EO 13777: Enforcing the Regulatory Reform Agenda, below is the planned performance targets for FY 2020 and FY 2021 for regulatory reform.

1. Evaluations

Number of evaluations to identify potential EO 13771 deregulatory actions that included opportunity for public input and/or peer review	FY 2020 Target	FY 2021 Target
	4	3

Description and Data Collection Methodology: This indicator represents the number of evaluations DHS will issue in the given FY *and* for which DHS will seek public input or peer review. The evaluations are used to identify potential *EO 13771* deregulatory actions. These evaluations include proposed rules and regulatory impact analyses that publish during the FY, and exclude interim final rules, final rules, and collections of information. DHS has a centralized regulatory clearance process managed by the Office of the General Counsel (OGC). Evaluations will be tracked through the internal DHS regulatory tracking system, through the internal OMB tracking system, as well as based on publication in the Federal Register.

2. Deregulatory Actions Recommended

Number of EO 13771 deregulatory actions recommended by the Regulatory Reform Task Force to the agency head, consistent with applicable law	FY 2020 Target	FY 2021 Target
	11	13

Description and Data Collection Methodology: This indicator represents the number of *EO 13771* deregulatory actions that the Regulatory Reform Task Force recommends to the Secretary in a given fiscal year, consistent with applicable law. These *EO 13771* deregulatory actions include proposed rules, interim final rules, final rules, collections of information, and guidance documents. Through the Regulatory Reform Task Force (and data calls to the Components, if necessary), OGC will track recommendations made to the Secretary.

3. Deregulatory Actions Recommended & Issued

Number of EO 13771 deregulatory actions issued that address recommendations by the Regulatory Reform Task Force	FY 2020 Target	FY 2021 Target
	6	6

Description and Data Collection Methodology: This indicator represents the number of *EO 13771* deregulatory actions that DHS issues in a given fiscal year based on recommendations that the Regulatory Reform Task Force made to the Secretary. These *EO 13771* deregulatory actions include proposed rules, interim final rules, final rules, collections of information, and guidance documents that publish in the given fiscal year. DHS has a centralized regulatory clearance process managed by OGC. All regulatory and deregulatory actions are tracked through the internal DHS regulatory tracking system, through the internal OMB tracking system, as well as based on publication in the Federal Register.

4. Regulatory Actions Issued & Deregulatory Actions Issued

Number of EO 13771 regulatory actions and, separately, EO 13771 deregulatory actions issued	FY 2020 Target	FY 2021 Target
	8 / 6	6/6

Description and Data Collection Methodology: This indicator contains two parts.

- First, this indicator represents the number of final *EO 13771* regulatory actions that DHS publishes in the given fiscal year. These *EO 13771* regulatory actions include interim final rules, final rules, and exclude proposed rules.
- Second, this indicator represents the number of final deregulatory actions that DHS publishes in the given fiscal year. These *EO 13771* deregulatory actions include all the actions based on the recommendations of the Regulatory Reform Task Force in addition to any other actions issued by DHS during the given fiscal year. These *EO 13771* deregulatory actions include interim final rules, final rules, collections of information, and guidance documents that publish in the given fiscal year and exclude proposed rules.

DHS has a centralized regulatory clearance process managed by OGC. All regulatory and deregulatory actions are tracked through the internal DHS regulatory tracking system, through the internal OMB tracking system, as well as based on publication in the Federal Register.

5. Total Incremental Cost

Total incremental cost of all EO 13771 regulatory actions and EO 13771 deregulatory actions (including costs or cost savings carried over from previous fiscal years)	FY 2020 Target	FY 2021 Target
	\$1.9 Billion	\$0

Description and Data Collection Methodology: This indicator represents the total annualized incremental cost of all *EO 13771* regulatory actions and *EO 13771* deregulatory actions at the end of the fiscal year in 2016 dollars annualized over a perpetual time horizon, discounted at 7%.

Challenges and Next Steps

The DHS Regulatory Reform Task Force continues its work in identifying regulations for repeal, replacement, or modification; and in implementing regulatory reform initiatives and policies consistent with the regulatory reform EOs. In addition, DHS regulatory components continue their work in developing and issuing regulatory actions.

The regulations that flow from the following immigration EOs are high-priority items that require the attention and work of DHS regulatory components, especially the immigration components: USCIS, CBP, and ICE.

- EO 13767: Border Security and Immigration Enforcement Improvements;
- EO 13768: Enhancing Public Safety in the Interior of the United States;
- EO 13780: Protecting the Nation from Foreign Terrorist Entry into the United States; and
- EO 13788: Buy American and Hire American.

In addition, DHS continues to work on regulatory actions required by statutes, such as those required by the *Implementing Recommendations of the 9/11 Commission Act of 2007* and the *Sandy Recovery Improvement Act of 2013*.

The need for DHS to prioritize regulatory actions that flow from these immigration EOs and to fulfill existing statutory mandates poses a challenge for DHS regulatory components also concurrently prioritizing regulatory reform.

Human Capital Operating Plan (HCOP)

The Office of the Chief Human Capital Officer (OCHCO) provides thought leadership and guidance to the DHS human capital community to support the mission of the Department. Partnering with the human capital officers from each of the DHS Components through the Human Capital Leadership Council (HCLC), OCHCO articulates the DHS human capital goals and Department-wide programs and initiatives for the fiscal year in the HCOP, which is required in accordance with 5 Code of Federal Regulations §250.205.

As highlighted in the FY 2019 HCOP, the HCLC focused on three key priorities: Employee and Family Readiness, HR Academy, and Human Resources Information Technology. In addition to these priorities, OCHCO made significant progress toward the recruitment, hiring, and retention of mission critical occupations, such as the Department’s cybersecurity workforce. They led the

human capital community toward continued success in leadership and personnel development, as well as employee health and resilience, to ensure workforce readiness. Finally, OCHCO identified opportunities and implemented solutions to improve HR operations and the services provided to its customers.

Promote a culture of leadership and empower employees to execute their missions

Maintaining the momentum of the FY 2018 Leadership Year, the Department's Leader Development Program (LDP) launched a monthly Leader Development Competency Café series, which kicked off in December 2018. Each Café featured seasoned leaders discussing specific competencies identified under the LDP's Continuous Development annual learning requirements. Drawing upwards of 2500 attendees, the Cafés provided real-time mentoring and development to supervisory and non-supervisory leaders from across the Department, including tips on how to develop increased capacity in each of the 12 featured competencies. The Cafés are provided in podcast format following the event, so that they can be further disseminated across Components.

Additionally, in order to address gaps in Component compliance with Capstone tier requirements (specifically onboarding under E90X), the LDP established a cross-Component community of representatives from executive resources and leader development, to drive a culture and practice of shared responsibility and increased compliance and effectiveness of executive development. The community is supported by a SharePoint site, LinkedIn Group, and quarterly meetings to share best practices and discuss organizational activities. Under the LDP model, strategy, policy, and requirements are established centrally, and Components implement through a variety of approaches for their workforce. For instance, in FY 2019 Headquarters developed and delivered the required Senior Executive Service (SES) Orientation, which closed their implementation gaps for executive onboarding.

OCHCO coordinated administration of and communications related to the annual Federal Employee Viewpoint Survey (FEVS), ensuring over 181,000 DHS employees were provided the opportunity to provide input on their leaders, organizations, workgroups, growth opportunities, and other elements of work-life and culture, and to hear about the results of the survey. Data from the survey was provided to DHS leadership and the Employee Engagement Steering Committee, and information about results at all levels is being communicated by component partners.

In 2019, OCHCO continued to refine processes to identify, collect and analyze DHS-wide training and development metrics to help the Department quantify training activities and promote efficiencies.

In 2019, the Department continued a four-year trend of improvement in engagement scores, with the overall Employee Engagement Index (EEI) increasing by two percentage points to 62 percent, and the New IQ index increasing by one percentage point to 54 percent. The EEI also increased significantly across DHS operational Components. The improvements included a seven-percentage point EEI increase at USSS, a three-percentage point increase at USCG, a two-percentage point increase at CISA, and a one percentage point increase at USCIS, CBP, FEMA, and TSA.

OCHCO also worked with TSA and OPM to administer an outcomes evaluation of the DHS Leadership Survey (LS). This survey, which was designed to empower employees to give feedback on the engagement-related leadership behaviors of their first, second, and third-line supervisors,

was piloted in FY 2018. The follow-up was intended to assess whether leaders had taken action on the results they received. Seventy-six percent of respondents in the follow-up survey indicated they participated in at least one developmental activity as a result of their feedback reports. Employees who participated in follow-up focus groups noted that supervisors were more visible and involved than they had been before the DHS LS experience.

The DHS LS pilot was so successful that TSA is now partnering with OCHCO and OPM to administer the survey at two new sites in FY 2020.

Enhance recruiting efforts and streamline personnel hiring practices

The Department is committed to hiring talented individuals from underrepresented groups and filling vacancies in mission critical occupations. Based on a comprehensive data analysis of the Department's current and future hiring requirements and in support of EOs 13767 and 13768, OCHCO led the planning efforts for a number of recruiting and hiring events. Specifically, in FY 2019 DHS had Department-wide participation in several targeted outreach opportunities that included the Bennie Thompson College and Career Fair (Students and Recent Graduates); the Association of the United States Army, Warriors to the Workforce (Veterans); DHS Day at Joint Base Myers/Henderson Hall (Veterans); and the Congressional Black Caucus, Annual Legislative Conference (Candidates from Historically Black Colleges and Universities and other Minority Serving Institutions and professional organizations). These efforts and many others have had a positive impact on the overall Fill Rate (96 percent) for DHS Priority Mission Critical Occupations (PMCOs), which make up nearly 60 percent of the DHS workforce. Ten of the twelve PMCOs had fill rates of 96 percent or higher. FEMA Emergency Management Specialists, TSA Full Time Transportation Security Officer, and CBP Border Patrol Agents each had fill rates of approximately 100 percent.

To continue this success, in FY 2020, OCHCO plans to host a Joint Recruitment and Hiring event focused on Information Technology/Cyber Security positions in the National Capital Region.

DHS continued strategic tracking of how it uses its recruitment, outreach, and marketing resources by relying upon a standardized method of collecting Component data on thousands of recruitment activities. OCHCO's Strategic Marketing, Outreach, and Recruiting Engagement (SMORE) tool, which went live at the start of FY 2020, is a comprehensive recruitment software solution that provides DHS with the automated capability to measure and track activities, track applicants, integrate with agency human resource systems, and utilize database dashboards to produce real-time data analytics and hiring and recruitment forecasts. This tool will serve as a system of record (as an approved Sensitive Personally Identifying Information-allowed platform) and will capture data for six functional areas: (1) Recruiting, Outreach, and Marketing activities (2) Cyber Security recruitment and engagement (3) Joint Hiring Event coordination (4) Veterans Employment Program activities (5) Pathways and Student Programs activities and (6) SES Diversity Outreach. This system eliminates manual data calls and manual tracking via spreadsheets. Ultimately, the SMORE will provide real-time data analytics, hiring and recruitment forecasts, talent workforce gaps, and best practices to allow the Department to hire the workforce of the future. Seven of the nine Operational Components and all MGMT offices will use the system exclusively.

OCHCO also developed the DHS Enhanced Hiring Act, a legislative proposal aimed at bringing hiring into the 21st century, to streamline and simplify the agency's hiring authorities in a manner that ensures the Department can expeditiously hire the best qualified candidates for mission-

critical positions and sustain its record of hiring veterans. This legislative proposal would give veterans expanded and enhanced employment opportunities in the competitive service and DHS greater flexibility to expand targeted recruitment efforts to further diversify its workforce to represent all segments of society. The Office of Management and Budget approved this proposal after inter-agency review and is circulating it on the Hill for a sponsor.

DHS increased its cybersecurity workforce planning and analysis efforts to ensure clear understanding of current cybersecurity bench strength to meet mission needs and statutory reporting requirements, including those associated with the *Cybersecurity Workforce Assessment Act* (P.L. 113-246), and the *Federal Cybersecurity Workforce Assessment Act of 2015* (P.L. 114-113). During FY 2019, DHS continued to focus on accurately identifying and coding its cybersecurity positions and employees according to the National Initiative for Cybersecurity Education, completing a second audit of Component coding efforts, and closing five recommendations from the Government Accountability Office (GAO-18-175). In addition, DHS finalized and reported work roles of critical need and associated action plans for gap closure for the Office of Personnel Management. Lastly, DHS continues to finalize a new cybersecurity-focused personnel system, the Cybersecurity Talent Management System, using authority granted to the Department through P.L. 113-277. In FY 2019, OCHCO continued to refine key elements of the new personnel system, including a proactive recruiting program, innovative hiring assessments, and strategic compensation approaches. DHS also began planning for initial launch, which is scheduled for mid-FY 2020, with priority Components, including the Cybersecurity and Infrastructure Security Agency (CISA).

Improving Personnel Training, Professional Development, and Education Opportunities

OCHCO implemented multiple initiatives to enhance the effectiveness, return on investment, and return on expectation in the training, professional growth, and development of its people.

The LDP also launched the DHS Leadership Bridges strategy as a new element of the DHS LDP Framework, designed to equip and develop employees who want to consider increased levels of leadership responsibility in the future. Leadership Bridges includes tools that help employees better determine if increased levels of leadership are a good fit with their skills, values, and career goals. These include a unique self-development and cohort-style program (delivery in FY 2020) for non-supervisory employees who want to prepare to advance into first-line supervisory positions. In addition, DHS recruited and hired four National Defense University (NDU) faculty members, placing each member in a specific NDU School—National War College, Eisenhower School, College of Cyberspace and Information, and College of International Security Affairs—and negotiated and led drafting of the NDU Memorandum of Agreement.

DHS also created, developed, and led implementation of the Virtual Homeland Security Rotations Program. In addition, OCHCO piloted the Joint Mission Fellows Program, a nine-month developmental experience designed for mid-level leaders that fuses crisis leadership, strategic and operational planning, resiliency, and values, delivered through an exploration of major American historic events and sites. This unique program builds critical analysis and planning skills and will graduate 21 fellows in February 2020. The program expands to a cohort of 25 fellows in FY 2020.

OCHCO's Learning Technology and Innovation Division (LTI) implemented 23 new/revised customized DHS online courses for implementation in Department Learning Management

Systems. New e-learning programs included “Preventing and Addressing Workplace Harassment;” this course had visibility up to the S1 and had very tight deadlines that needed significant program management oversight; additional e-learning programs included “Computer Security Awareness Training 2019” and a version update for “HTSOS HT401: High Threat Security Overseas Seminar Curriculum” for those DHS Travelers needing an E-Country Clearance.”

OCHCO continued to refine standardized processes for approving DHS-wide mandatory training applications and conducting periodic reviews of current mandatory training. OCHCO applied the process to six courses during 2019 to improve training quality, efficiency, and overall effectiveness. OCHCO also successfully reviewed the current and projected future use of mobile learning technology and developed a DHS Mobile Learning Technology Strategy Report to support the Workforce Development Strategy.

Additionally, the DHS Leader Development Program delivered a study that assessed the value of the significant investment that the Department makes in the SES CDP, a targeted executive succession program. OCHCO defined effectiveness as whether graduates perform higher than non-graduate peers. In all categories, supervisors rated graduates’ performance higher than non-graduate peers’ performance. On average, graduates were rated in the 89th percentile of performers compared to the 81st percentile for their peers. In general, supervisors also rated SES-level graduates in the Top 5 percent of all subordinates they have had at that level more often than their peers, of those rated in Top 5 percent, nearly 3 out of 4 (73 percent) were SES-level graduates. Differences were greater in SES positions, including statistically significant differences in overall Job Performance, Leading Change, Leading People, Business Acumen, and Building Coalitions, suggesting that the SES CDP’s benefit is best realized at its intended level. These results indicate that supervisors consider SES CDP graduates among the best performers they supervise much more often than individuals who did not participate in the SES CDP. This study is important not only to assess the viability of the Leader Development Program in meeting its objective, but further indicates DHS will benefit from selecting executives from the graduate pool.

Retain and reward exceptional performers

Performance management and appraisals are critical in the Department’s strategy to create a culture of exceptional organizational performance through successful employee performance. Successful accomplishment of individual employee performance in support of the DHS mission is a result of cascading organizational objectives through executive, manager, and supervisor performance plans down into employee performance goals. Supervisors engage employees by creating plans that start the employee’s period of performance, continue meaningful performance discussions and feedback throughout the year, and conclude the period of performance by evaluating contributions that determine appropriate employee recognition and reward. OCHCO benchmarked both paper-based and electronically supported employee performance management and recognition programs across the Department in preparation for identification of an electronic shared service solution during Q4 FY 2020 that will provide consistent, valid, and reliable enterprise-wide capability. Current enterprise-wide performance program feedback mechanisms include the DHS-wide Employee Performance Management Program Policy, the DHS-wide Employee Performance Management Council, the DHS-wide Employee and Labor Relations Working Group, and the Secretary’s Annual Awards Program.

Retaining DHS high performing workforce is critical as it strives to meet its diverse missions to safeguard our nation. In FY 2019, of the twelve DHS Priority Mission Critical Occupations (PMCOs) two-thirds (66 percent) had low attrition rate (under 10 percent). ICE Criminal Investigators, ICE Deportation Officers, CBP Officers, and CBP Marine Interdiction Agent all had attrition rates of 5 percent or lower. DHS continue to investigate the link that has been shown in the HR literature between individual employees performance, performance management, and performance appraisals.

Enhance career paths and develop greater cross-Component opportunities for career advancement

The Joint Duty Program (JDP) continues to provide the DHS workforce with opportunities to enhance operations and mission execution, support unity of effort, and enhance leadership and professional development opportunities. In this Fiscal Year, the JDP held Component POC on-site strategy sessions, which created significant visibility for the Joint Duty Program to our partners and provided real-time information sharing through presentations and Q&A sessions. In addition, the JDP Office developed the Three-Phase Assignment Progress Plan requiring that participants complete a three-phase Assignment Progress Plan during the duration of the assignment.

DHS is also analyzing and recommending career pathing for law enforcement positions within the 1800 job series. In addition, for the 0201 human resources job series, DHS is analyzing, recommending, and creating career pathing with online resources, assessment tools, and skill-building opportunities. Through the establishment of these career paths, DHS can offer more career mobility options, further retention of personnel, and maximize unity of effort across the Department.

OCHCO continues to build a strong relationship with all the Department of Defense (DOD) Senior Service Schools. Through an inter-agency agreement with DOD, the Department selects 30 employees to attend both in-residence and distance learning graduate degree programs that focus on strategic and operational security planning. This inter-agency partnership, which includes the presence of DHS faculty at the schools, ensures the DHS mission is represented in the curricula at the DOD Senior Service Schools and the Command and Staff programs. Additionally, DHS participates in various strategic leader development programs sponsored by the Departments of State and Defense, the Director of National Intelligence, the Massachusetts National Guard, and the Center for Homeland Defense and Security, providing another 90 development opportunities.

In addition, the OCHCO envisioned, implemented, and successfully executed the first HR Academy Centralized Training Program. The Centralized Training Program provides the opportunity for all DHS Components to receive lower priced classes focused on improving the skills and abilities of their HR personnel. Participants from seven Components opted into the pilot program in FY 2019 completing twenty HR specific courses. All Components will participate in the program in FY 2020 with 40 course offerings.

Develop programs to enhance employee health, fitness, readiness, and resilience

DHS employees stand ready on the front line of the Nation's security. The Department's work is challenging, and many of its employees work long hours in remote locations as they execute the five core homeland security missions. The Department's goal is to support employees and their

families with practical assistance for everyday issues as well as provide support during times of crises and unexpected emergencies.

DHS established the Employee and Family Readiness Program (EFR) in January 2018 and it is one of the Secretary's key priorities. The goal of the EFR Program is to ensure employees and their families have the resources to manage day-to-day stressors while being fully prepared to manage emergency events or unexpected crises.

The governing body is the Employee and Family Readiness Council (EFRC), which is comprised of members from each of the Operational Components. In FY 2019, the EFR Program accomplished activities under each of the five priority areas identified by the EFRC:

- **General Stress:** Delivered 14 Mindfulness-based Stress Reduction and Resiliency trainings to over 400 employees across multiple Components, including train the trainer and piloting the introduction of mindfulness into the curriculum of various training academies.
- **Dependent Care:** Executed a contract for a DHS-wide dependent care feasibility study to identify the actual needs of DHS employees across Components, job functions, and geographical areas.
- **Personal Relationships:** Delivered 6 Strong Bonds trainings across DHS Components with over 85 participants and over 45 DHS facilitators trained.
- **Mental Illness:** Developed and launched a public-facing DHS.gov website with tools and information for employees and families to manage stress, improve mental health and physical well-being, and find professional help. A one stop website for employees and families to access all available DHS resources.
- **Financial Management:** Shared important financial tips and resources with DHS employees monthly through the campaign "Invest in Your Financial Health."

While the efforts in these five areas will continue, FY 2020 priority areas will include:

- **Wellness:** Promote healthy lifestyles through awareness campaigns and activities.
- **Social Connectedness:** Partnering with Components on best practices for interaction with affinity groups and employee resource groups and developing an online course for spouses on the challenges of the law enforcement lifestyle with links to resources.
- **Medical Readiness:** Frontline operator fitness, immunizations, safety and health, deployment medical screening, and physical resilience.

Support HR operational effectiveness using information technology

In support of the Secretary's human capital objectives, the Department continues to strengthen its Human Resources Information Technology (HRIT) program using a cyclical portfolio analysis process and Strategic Improvement Opportunity initiatives to fill gaps in the portfolio. The Human Capital Segment Architecture Blueprint update uses a two-year cycle to review and analyze the DHS HRIT portfolio to identify capability gaps in IT solutions and addresses these gaps by setting technical and business requirements to acquire effective solutions. These initiatives include improving policy, processes, and governance, connecting IT systems DHS currently uses to make the systems more effective, as well as acquiring new automation capabilities. Because of OCHCO's

work, the Human Capital Segment Architecture's Department-wide requirements are more clearly defined and provide the foundation for more efficient and effective human capital operations.

In FY 2019, OCHCO automated the exchange of information to enable IT equipment and network and email accounts for newly hired personnel so they become productive quickly, migrated the first group of CBP employees to the Department's time and attendance solution so DHS can better associate time and salary expenses with mission outcomes, established acquisition approaches for numerous initiatives, streamlined numerous business processes, and made critical updates to existing HRIT solutions. In FY 2020, OCHCO will award contracts for, and implement automation capabilities for, position management, talent development and training, employee performance management, employee relations, and labor relations. Additionally, OCHCO will complete several additional data interchanges, various upgrades to existing solutions, and migrate the second group of employees in CBP to the DHS-wide time and attendance solution.

Program Management Improvement and Accountability Act

Overview

The *Program Management Improvement Accountability Act* (PMIAA), Pub. L. No. 114-264, was signed into law on December 14, 2016. The Act was implemented to improve program and project management practices within the Federal Government, requires government-wide standards and policies for program management, and establishes a new interagency council to improve program and project management practices among agencies. The Act established the Program Management Improvement Officer (PMIO) role with the responsibility to implement agency program management policies and to develop strategies to enhance the role of program management and managers within their agency. In addition, the PMIAA requires that agencies conduct annual portfolio reviews of programs in coordination with OMB to ensure major programs are being managed effectively, and that OMB conduct reviews of areas identified by GAO as "high risk." The Act complements implementation of the Presidents Management Agenda and the broader Administration goal of ensuring taxpayer dollars are providing critical federal services to citizens efficiently and cost-effectively.

Progress

DHS conducted its first portfolio review with OMB in September 2019 focused on DHS Acquisition Portfolio and Strategic Alignment, Program Metrics, DHS Acquisition Certifications, Talent Management, and Acquisition Governance Process. The Office of Program Accountability and Risk Management (PARM) led the review. OMB received the information positively and requested to share the briefing with other federal agencies. PARM also integrated investment portfolio information into the DHS Annual Strategic Review.

DHS participates in the semi-annual Program Management Policy Council and the PMIAA Roundtable. The PMIAA Roundtable is facilitated by the Partnership for Public Service and the Program Management Institute and is attended by all federal agencies that are required to comply with PMIAA. The Roundtable provides an opportunity for interagency information sharing and

engagement with OMB and Office of Personnel Management (OPM) to obtain clarification on PMIAA deliverables. During the September Program Management Policy Council meeting, OMB highlighted DHS's integration of PMIAA activities and information into the DHS Strategic review, sharing best practices that can assist other agencies with future reviews.

PARM and the DHS Homeland Security Acquisition Institute (HSAI) met with OPM on September 24, 2019 in response to an OPM request for assistance with the PMIAA requirement for OPM to issue regulations that identify key skills and competencies necessary for employment as a Program or Project manager in a Federal agency. OPM is developing a PMIAA government-wide Repository Framework to house shared training and professional development opportunities for Program and Project Managers. HSAI provided information that can be contributed to the repository.

As outlined in the DHS Draft PMIAA Implementation Plan under the Talent Management and Enhanced Training for Acquisition Program Management Professionals section, PARM is facilitating a formal mentorship and coaching program targeting DHS Acquisition Program and Project Management Professionals. The Acquisition Program Management Mentorship and Coaching program will be a subset of the annual DHS Mentorship Program sponsored by the DHS Office of Chief Human Capital Officer. In addition, PARM has drafted a DHS Acquisition Program Management Professional Career Path Guide that is currently under formal review.

Challenges and Next Steps

Challenges DHS have encountered implementing PMIAA are the dates in the timeline outlined in the OMB memorandum M-18-19 are impacted by the Government Furlough and there has been no updated schedule of required PMIAA deliverables, the definition of Program Management is not consistent across Federal agencies, which poses challenges for implementing the key tenets of PMIAA, and the amount of resources needed to conduct the competency assessment.

Next steps for implementing PMIAA:

- In response to an OPM memo dated May 31, 2019 titled "Program Management Improvement Accountability Act – Program and Project Management Job Analysis Survey", DHS will assess the competencies of Program and Project managers utilizing the Competency Exploration for Development and Readiness (CEDAR) which is a web-based competency assessment tool being developed by OPM. Work on this task will begin in the 2nd quarter of FY 2020 once CEDAR is available.
- Assess the DHS Acquisition Program Management Mentorship and Coaching program at the completion of the first cohort in September 2020.
- Finalize the DHS Program Management Professional Career Path Guide by November 2019.

Evidence-Building Activities

Overview

The *Foundations for Evidence-Based Policymaking Act of 2018* ("Evidence Act") was signed into law on January 14, 2019. The Evidence Act seeks to enhance evidence-based decision and policy making in the Federal Government through a variety of efforts. The Evidence Act objectives are:

- Increase the governments capacity to build evidence;
- Improve the use of evidence in policymaking;
- Increase reviews and evaluations of policy and programs;
- Expand data access, data sharing, and data protections;
- Coordinate government-wide evidence building; and
- Increase rigor of existing evidence and evaluation efforts.

To accomplish these objectives, the Evidence Act requires the designation of certain key personnel, establishment of committees and creation of certain agency-wide plans. The Evidence Act requires the appointment of three key personnel, the Evaluation Officer (EO), the Chief Statistical Official (CSO) and the Chief Data Officer (CDO).

The DHS EO has authority and responsibility for providing leadership over DHS's evaluation and evidence building activities. The DHS EO is the principal of the DHS EO Council, and a member of the interagency EO Council. The DHS EO is also responsible for the development of the DHS Learning Agenda (evidence-building plan) in conjunction with the DHS Strategic Plan, the DHS Annual Evaluation Plan in conjunction with the DHS Annual Performance Plan, and the Capacity Assessment that is included as part of the DHS Agency Strategic Plan. The Learning Agenda is a cornerstone to the Evidence Act and requires DHS to identify and set priorities for evidence building and identify priority questions to answer. The Learning Agenda will drive the development of the Evaluation Plan, the Capacity Assessment, and identify the data needs to answer the priority questions in the Learning Agenda. The Evaluation Plan will summarize the specific evaluations DHS plans to undertake to address the priority questions. The Capacity Assessment helps the agency to assess their ability and resources to carry out evidence-building activities such as foundational fact finding, performance measurement, policy analysis, and program evaluation.

The CSO is charged with three primary activities to support evidence-building under the Evidence Act. These include supporting the EO in developing the Department's Learning Agenda, supporting the CDO in producing a comprehensive data inventory with associated metadata and in making the Department's data available in a machine-readable format, and lead the Department's statistical reporting and promote compliance with new regulations on such reporting.

The DHS CDO has the authority and responsibility for data governance and lifecycle data management. The CDO ensures data is available, reliable, consistent, accessible, secure, and timely to support the mission and activities of the agency. The DHS CDO also participates in the OMB CDO Council. For the Evidence Act, the DHS CDO is responsible for submitting an annual report to Congress on the progress DHS is making towards implementing data management activities and increasing the availability of data to the public via the Federal Data Catalogue. The DHS CDO must account for all data assets in DHS to provide a clear and comprehensive inventory that details privacy, national security exceptions, and other considerations. The DHS CDO must also develop and maintain an OPEN Data Plan that describes the agency's efforts to make government data open to the public. This should include a Strategic Information Resources Management Plan that describes how information resource management activities are helping accomplish the DHS mission.

Together, the EO, CSO and CDO serve on the Data Governance Council (DGC), which is also a new requirement of the Evidence Act. The DGC is the strategic governance body, authorized and chartered by the Deputy's Management Action Group (DMAG) and the Evidence Act, is chaired by the CDO, and includes senior DHS officials with responsibility for data management and program areas. The DGC identifies the scope of the data that needs to be managed and prioritizes key data-related issues that need to be addressed. The DGC also identifies appropriate policies, standards, and reporting structures to ensure that key information assets are formally and properly managed.

Progress

Through a collaborative effort between the DHS EO, CSO and CDO, along with stakeholders and Component participation, DHS is actively working on developing and implementing the requirements of the Evidence Act while following guidance from OMB and receiving advice and best practices from interagency evidence communities. The DHS EO established a DHS EO Council that includes Component EOs and other related parties from all Components. This council is working to implement the Evidence Act across DHS and will be leveraged to develop the priority questions germane to the Learning Agenda and Evaluation Plan. In addition to establishing the DHS EO Council, the DHS EO has completed an initial Capacity Assessment survey DHS-wide to catalogue all the evidence-based activities and related resources across DHS. The survey results will be used to conduct interviews that will facilitate creating the DHS Capacity Assessment and inform the creation of the DHS Learning Agenda. The DHS CDO has also established the DHS DGC and has initiated a DHS-wide discussion on data governance.

Challenges and Next Steps

The focus from OMB guidance, released in memo M-19-23 "Phase 1 Implementation of the [Evidence Act]: learning Agendas, Personnel, and Planning Guidance" is on the appointment of the EO, CSO and CDO, the establishment of various committees, and the development of the Learning Agenda, Evaluation Plan, conducting a Capacity Assessment, and developing an OPEN Data Plan. DHS has met many of the objectives so far and is diligently working towards meeting objectives within the timelines identified in OMB guidance. Although the breadth of DHS goals, objectives and missions in single Learning Agenda and Evaluation Plan is a monumental undertaking, the collaboration and willing participation across DHS to implement the Evidence Act will facilitate compliance.

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

DHS responds to reports on major management and performance challenges (MMPC), and high-risk areas from the DHS Office of Inspector General (OIG) and the U.S. Government Accountability Office (GAO), respectively. Annually, OIG reports what the Inspector General (IG) considers to be the most serious challenges facing the Department. Every two years, GAO identifies federal programs and operations that are high risk because of their greater vulnerabilities to fraud, waste, abuse, and mismanagement. GAO also includes areas needing broad-based transformations to address major economic, efficiency, or effectiveness challenges.

OIG's Fiscal Year (FY) 2020 MMPC report acknowledges ongoing Departmental efforts to ensure our Nation and its citizens are safe, secure, and resilient against terrorism and other hazards. The IG also identified five challenges:

- Managing Programs and Operations Effectively and Efficiently during times of Changes in Leadership, Vacancies, and Hiring Difficulties;
- Coordinating Efforts to Address the Sharp Increase in Migrants Seeking to Enter the United States through our Southern Border;
- Ensuring Cybersecurity in an Age When Confidentiality, Integrity, and the Availability of Information Technology Are Essential to Mission Operations;
- Ensuring Proper Financial Planning, Payments, and Internal Controls; and
- Improving FEMA's Disaster Response and Recovery Efforts.

The IG stated that overcoming these challenges requires firm leadership; targeted resources; and a commitment to mastering management fundamentals, data collection and dissemination, cost-benefit/risk analysis, and performance measurement. Additional details can be found in the OIG's report "Major Management and Performance Challenges Facing the Department of Homeland Security," OIG-20-02, dated November 13, 2019, located at:

<https://www.oig.dhs.gov/sites/default/files/assets/2019-11/OIG-20-02-Nov19.pdf>

The Department's management response to the draft report noted OIG's efforts to tie this year's MMPC to the DHS Strategic Plan for FY 2020 – 2024. The response also recognized that many of the OIG-identified management and performance challenges generally comport with challenges the Department is already aware of and working to address. A full copy of the Department's response was included in an Appendix to the OIG's final report.

The most recent report, GAO's "High Risk Series: Substantial Efforts Needed to Achieve Greater Progress on High-Risk Areas" (GAO-19-157SP), found at:

<https://www.gao.gov/assets/700/697245.pdf> was published on March 6, 2019. The report included two areas in which DHS is the lead federal agency, and eight government-wide areas with significant DHS equities, seen in the following table.

Scope	Issue Area	Year Issue First Added to GAO’s High Risk List
DHS-specific	Strengthening DHS Management Functions	2003
	National Flood Insurance Program	2006
Government-wide	Ensuring the Cybersecurity of the Nation	1997
	Strategic Human Capital Management	2001
	Managing Federal Real Property	2003
	Ensuring the Effective Protection of Technologies Critical to U.S. National Security Interests	2007
	Improving Federal Oversight of Food Safety	2007
	Limiting the Federal Government’s Fiscal Exposure by Better Managing Climate Change Risks	2013
	Improving the Management of IT Acquisitions and Operations	2015
Government-wide Personnel Security Clearance Process	2018	

Our Nation faces a complex threat landscape with enemies and adversaries who are constantly evolving. Our work with GAO and OIG has helped the Department build on considerable progress made since its formation as we lead homeland security initiatives across this Nation and the globe that meet the threats of today and the future. The Department continually strives to improve the efficiency and effectiveness of all its programs and operations, however, the areas identified above merit a higher level of focus and attention. It is important to note that overcoming challenges in these areas requires long-term strategies for ensuring stable operations, sustained management attention, and resources; which the Department is providing.

The remainder of this section provides a brief summary of the Department’s efforts to address each GAO high-risk area.

GAO High-Risk – Status Update

GAO High-Risk Area: Strengthening DHS Management Functions (DHS-specific)
<p>Overview: In 2003, GAO designated “Implementing and Transforming DHS” as high-risk, due to the significant challenges associated with transforming 22 agencies into one cohesive department. This high-risk area includes challenges related to strengthening and integrating acquisition, information technology, financial, and human capital management. In 2013, GAO acknowledged DHS’s significant maturation and narrowed this high-risk area from “Implementing and Transforming DHS” to “Strengthening DHS Management Functions.” This refocusing by GAO is a reflection of the considerable progress DHS has made in transforming original Component agencies into a single cohesive department.</p> <p>As part of efforts to address this high-risk designation, DHS developed the “Integrated Strategy for High-Risk Management” (Integrated Strategy) in 2011 and has since provided updates to GAO every six months. The Integrated Strategy includes performance information and detailed</p>

corrective action plans used by DHS leadership to monitor and assess progress. Congress codified this practice in FY 2017 in 6 U.S.C. § 341(a) (11).

In order for “Strengthening DHS Management Functions” to be removed from the High-Risk List, DHS must meet GAO’s five removal criteria, in addition to making sustainable progress toward a “Fully Addressed” rating for 30 outcomes (GAO outcomes). The GAO outcomes, agreed to by GAO and DHS in 2010, reflect the level of maturity DHS management functions must reach in order to address the underlying challenges that contributed to GAO’s high-risk designation.

Lead Office and Official: Management Directorate (MGMT), Immediate Office of the Under Secretary for Management (IOUSM), Janene Corrado, Acting Chief of Staff

Progress: Senior leaders from GAO and DHS continue to meet regularly to review the Department’s progress and discuss the steps remaining to resolve the “Strengthening DHS Management Functions” high-risk area. In the 2019 High-Risk Series (GAO-19-157SP), GAO highlighted the continued exemplary commitment and support among top DHS leadership for addressing management challenges. GAO officials have also recognized the DHS Integrated Strategy as a best practice for making progress on high-risk issues and stated that if implemented and sustained, this approach provides a path for removal from the High-Risk List.

On September 26, 2019, DHS published the 17th update to the Integrated Strategy. This report provided updates to corrective action plans for the 13 GAO outcomes not currently rated as Fully Addressed, steps taken to sustain the 17 Fully Addressed outcomes, and actions DHS has taken to address the issues GAO reported in the 2019 High-Risk Series update. The September 2019 Integrated Strategy also emphasized the important progress DHS has made to date, which includes:

- Continuing to meet three of GAO’s five criteria for High-Risk List removal, positioning “Strengthening DHS Management Functions” as the only area on the List to have met the majority of the removal criteria;
- Earning its seventh consecutive clean audit opinion for all five financial statements;
- Increasing scores on the Employee Engagement Index (EEI) of the Federal Employee Viewpoint Survey (FEVS) by two percentage points in 2019 to 62 percent. DHS Components that exhibited substantial increases included the United States Secret Service (USSS) (7 percent), United States Coast Guard (USCG) (3 percent), and Cybersecurity and Infrastructure Security Agency (CISA) (2 percent); and
- Achieving a Fully Addressed or Mostly Addressed rating on 70 percent (21 of 30) of the GAO outcomes, up from 47 percent in 2015 and 26 percent in 2013. Among these outcomes, 17 are Fully Addressed, increasing from 13 in 2017 and nearly doubling the 2015 total.

Planned Actions and Key Milestones: DHS will continue to implement the Integrated Strategy and other efforts that contribute to strong and efficient management functions. The next Integrated Strategy update is planned for March 2020 and will focus on the actions DHS is taking

to Fully Address the remaining 13 GAO outcomes. During FY 2020 DHS expects to accomplish the following:

- Sustain progress on GAO outcomes and the five criteria for High-Risk List removal;
- Implement and monitor action plans to earn a “Fully Addressed” or “Mostly Addressed” rating on additional GAO outcomes;
- Continue positive momentum on increasing employee engagement across the Department by leading employee resiliency initiatives that support employee ability to manage operational challenges and create work/life balance;
- Continue to deploy the multi-year strategy for addressing the two remaining areas of material weakness in financial reporting and information technology controls, and fully remediate any significant deficiencies; and
- Further mature the joint requirements process, continuously sharpen and enhance the repeatability of acquisition program staffing assessment processes, and substantiate the timeliness and effectiveness of oversight mechanisms in enabling major programs to achieve cost, schedule, and performance goals.

GAO High-Risk Area: National Flood Insurance Program (DHS-specific)

Overview: The Federal Emergency Management Agency’s (FEMA) National Flood Insurance Program (NFIP) is a key component of the Federal Government’s efforts to limit the damage, disaster suffering, and financial impact of floods. However, it is not likely to generate sufficient revenues to repay billions of dollars borrowed from the U.S. Department of the Treasury to cover claims starting with the 2005 hurricanes and catastrophic losses. The lack of sufficient revenues highlights structural weaknesses in how the program was designed and is funded. The GAO also found weaknesses in the NFIP management and operations, including financial reporting processes and internal controls, and oversight of contractors that place the program at risk.

In 1968, Congress created the NFIP, which offers flood insurance to homeowners, renters, and business owners in participating communities. Participating communities agree to adopt and enforce ordinances that meet or exceed FEMA requirements to reduce the risk of flooding. Private sector write-your-own (WYO) insurance company partners sell NFIP policies under their own names, with claims and related expenses paid for by the Federal Government. FEMA also sells policies directly through a servicing agent.

Congress reauthorized NFIP for five more years in the “Biggert-Waters Flood Insurance Reform Act of 2012” (BW-12) which, in order to better ensure the fiscal soundness of the program, mandated certain increases for discounted and subsidized rates to begin transitioning them to full actuarial rates. The “Homeowner Flood Insurance Affordability Act of 2014” (HFIAA) repealed certain parts of BW-12, including a provision phasing out grandfathered rates (which maintains a subset of discounted policies); set limits on premium rate increases for certain policyholders; and applied an annual surcharge to all policyholders.

However, the NFIP is not designed to be self-sufficient, as any insurance program that takes all comers without the ability to underwrite for concentration risk, will end up in the financial position that the program currently finds itself. The NFIP is developing a sound financial framework to enhance and bring clarity to the NFIP's financial capability within its statutory limitations. FEMA has begun to address these issues, including implementing legislation, improving contractor oversight, initiating product and policy rating redesign, and obtaining reinsurance. Pivot, the modernized financial system, has become the NFIP's System of Record.

Lead Office and Official: FEMA Federal Insurance and Mitigation Administration (FIMA), David Maurstad, Deputy Associate Administrator for Federal Insurance and Mitigation

Progress: FEMA continued implementing (1) annual premium rate increases in accordance with BW-12 and HFIAA, including (2) applying new surcharges and (3) releasing new rates and mapping standards. Further, FEMA is (4) transforming the NFIP to improve the experience of NFIP policyholders.

- Pivot became the NFIP's System of Record on October 1, 2019, replacing the legacy NFIP system. Pivot provided the Initial Operating Capability (IOC) in March 2018 and is on schedule to deliver the Full Operating Capability (FOC) in FY 2020. FEMA began decommissioning the legacy system and will complete it in 1st quarter (Q1) of FY 2020.
- FEMA published the NFIP Rate Guidance Issue in bulletins to WYO insurers in April and October 2019, allowing the mandated six months required for consultation and notice of changes impacting their information technology (IT) systems and operational processing procedures.
- FEMA integrated the following requirements into its ongoing program and reporting processes:
 - Set 25 percent annual premium rate increases for businesses, mandated under BW-12, which took effect in April 2016;
 - Set the annual premium rate increases, as required by HFIAA, at an average rate between 5-15 percent per risk class, without exceeding the 18 percent cap on annual premium rate increases for any individual policy; and
 - Applied a preferred risk premium rate for the first year to policies on properties that are newly mapped into a special flood hazard area, with increases of 18 percent per year until the rate reaches full risk rate.
- FEMA expedited flood insurance reform and implemented program changes through policy and by leveraging existing processes to release program updates every six months. Specifically, FEMA released mapping standards by publishing them on www.FEMA.gov in May and November 2017, allowing the mandated time required for public comment.

As NFIP integrates critical rate requirements into the program, it will refocus to longer-term initiatives, including program updates and rulemaking initiatives. During the Fall of 2016, new reports and studies provided information critical to shaping NFIP's next steps in meeting the following requirements. During FY 2017, FEMA maintained a brochure on alternative flood mitigation methods for buildings to help communities and policyholders mitigate flood risk and

rates. To fulfill the requirement to clearly communicate risk of policyholders including grandfathered policyholders, NFIP insurers, working with WYO companies, are collecting current flood zone determinations to populate FEMA's HFIAA-mandated clear communication of risk to property owners. FEMA will continue to track and monitor progress on implementation of the concept of operations and how they relate to GAO recommendations for effectiveness.

In addition, not all policyholders pay full-risk rates, nor can the program charge sufficient rates to cover catastrophic events. The 2019 budget proposal highlights the need to provide affordability assistance to certain homeowners as FEMA works to put the NFIP on a more sustainable financial footing by demonstrating to homeowners the true cost associated with the risk of living in a floodplain. This would be accomplished through a targeted, means-tested affordability program that offers premium assistance based on income or ability to pay, rather than location or date of construction, coupled with an effort to deliver rates that are fair and align with risk. In its current structure, the NFIP makes rates "reasonable" by offering discounts and cross-subsidies primarily based on a building's age, map changes at a building's location, or by considering mitigation activities undertaken by the property owner or community. This legislative proposal would end this practice and establish a targeted affordability program for NFIP policyholders. Such a program would shield low-income policyholders who currently receive discounts or subsidies from substantive rate increases, while ensuring those able to pay to do so, despite the age or location of their property. Low-income policyholders would still be subject to standard annual adjustments to all rates, accounting for inflation and actuarial practices.

Reinsurance and similar risk transfer mechanisms allow FEMA to diversify the tools it uses to manage the financial consequences of its catastrophic flood risk. Prior to establishing the Reinsurance program, the NFIP and the U.S. Treasury bore all the policyholders' risk. Investments made through the NFIP Reserve Fund and the purchase of Reinsurance for 2017, 2018, and 2019 helped improve the soundness of the NFIP's financial framework, but they do not allow the NFIP to repay borrowings or service the debt should interest rates rise or to pay future catastrophic losses. The current statutory language enables the NFIP's Reinsurance Program to explore a range of reinsurance and Insurance Linked Securities mechanisms. FEMA continues working to expand the NFIP Reinsurance Program.

In 2017, the NFIP transferred \$1.042 billion of its financial risk to the private reinsurance market for the calendar year (CY) 2017. FEMA recovered \$1.042 billion from the private reinsurers following Hurricane Harvey. Continuing this risk management practice, in January 2018, FEMA secured \$1.46 billion in reinsurance from 28 reinsurance companies to cover qualifying flood losses starting at \$4 billion per event. To complement the NFIP's existing traditional reinsurance coverage, FEMA recently completed an additional reinsurance placement. For the first time, in calendar year 2018, this transaction secured reinsurance coverage from capital market investors. By engaging both the traditional reinsurance market and the capital market through Insurance-Linked Securities (ILS), the NFIP can reduce risk transfer costs, access greater market capacity, and further diversify its reinsurance partners.

Effective August 1, 2018, for a period of three years, this ILS placement transferred \$500 million in NFIP flood risk to capital market investors. The agreement is structured to provide partial reimbursement for any flood event with losses between \$5 and \$10 billion.

In the Q2 of FY 2020, FEMA secured another traditional reinsurance agreement. This agreement enables NFIP to collect up to \$1.33 billion, when losses from an individual flood event reaches \$4 billion up to \$10 billion. For CY 2020, FEMA has transferred a total of \$2.13 billion of NFIP flood risk to the private reinsurance and capital markets so far. The NFIP’s continued reinsurance purchases represent significant steps toward involving the private sector in bearing a meaningful portion of NFIP flood risk.

Planned Actions and Key Milestones: FEMA is redesigning the premium rating structure and is planning to announce new rates to policyholders that will reflect the risk of structures by reflecting the local hazard and the exposure of the structure including the replacement cost. FEMA is also redesigning the insurance product to better meet survivor’s needs and provide choice to policyholders. The rate and product changes are intended to support FEMA’s goal to close the insurance gap and FIMA’s goal to increase flood insurance coverage.

Additionally:

- FEMA is developing a sound financial framework for the NFIP including the National Flood Insurance Fund, the Reserve Fund, repayable borrowing, Reinsurance and catastrophe bonds, and appropriations;
- The NFIP program is currently on track to deliver the FOC for the Pivot system on the approved FOC date of September 30, 2020; and
- FEMA will continue to internally develop new rates for policyholders that will go into effect in October 2021.

GAO High-Risk Area: Ensuring the Cybersecurity of the Nation (Government-wide)

Overview: Federal agencies and our Nation’s critical infrastructure—such as power distribution, water supply, telecommunications, and emergency services—rely extensively on computerized information systems and electronic data to carry out their operations. Safeguarding these systems and data is essential to protecting national and economic security, as well as public health and safety. This safeguarding of federal computer systems and the systems that support critical infrastructure—referred to as cyber Critical Infrastructure Protection (CIP)—is a continuing concern. Federal information security has been on GAO’s list of high risk areas since 1997. In 2003, GAO expanded this high risk area to include cyber CIP. Risks to information systems include continuing insider threats from employees and business partners, escalating and emerging threats from around the globe, the ease of obtaining and using hacking tools, the steady advance in the sophistication of attack technology, and the emergence of new and more destructive attacks. In 2015, GAO added protecting the privacy of personally identifiable information (PII) to this area.

Lead Office and Official: CISA Cybersecurity Division (CSD) Lilian Colon, Senior Cybersecurity Strategist, Strategy Coordination & Management

Progress: The DHS CISA continues to make progress towards ensuring the security of federal information systems and critical infrastructure, specifically to include protecting the privacy of PII. While addressing cybersecurity requires a whole-of-government approach and a robust collaboration with the private sector, DHS continues to lead the Federal Government's efforts to improve civilian cybersecurity. DHS is also committed to advancing its ability to develop and share situational awareness of cyber threats and vulnerabilities while providing a security baseline for federal civilian agencies. Below is a snapshot of the work that is being carried out across CISA to mitigate risks to Federal Information Systems.

CISA Cyber Assessments Team Vulnerability Scanning

The CISA Cyber Assessments team continues to increase its cyber hygiene (CyHy) scanning activities. These activities ensure federal, state, local, tribal, territorial, private sector, critical infrastructure, and elections entities who sign up for the service are aware of vulnerabilities in their internet-facing systems. Throughout FY 2019, CISA detected 24,154 new vulnerabilities on just the networks of the 99 federal civilian executive branch agencies required to abide by Binding Operational Directives (BODs), including 1,254 vulnerabilities rated critical or high. Details and mitigation strategies accompany the weekly vulnerability reports sent to all stakeholders.

Under the "Federal Information Security Modernization Act of 2014," DHS released its first BOD, 15-01, "Critical Vulnerability Mitigation Requirement for Federal Civilian Executive Branch Departments and Agencies' Internet-Accessible Systems," in May 2015, which required agencies to quickly patch their most critical cyber vulnerabilities based on the results of CISA's Cyber Hygiene (CyHy) scans. During the year preceding BOD 15-01's issuance, federal agencies took a median time of 37 days to patch critical vulnerabilities identified in CyHy scans. During the year following BOD 15-01's issuance, the median time to patch criticals was reduced to 16 days.

In April 2019, DHS issued BOD 19-02, "Vulnerability Remediation Requirements for Internet Accessible Systems," which supersedes BOD 15-01. This BOD builds upon the success of BOD 15-01 by advancing federal requirements for high and critical vulnerability remediation to further reduce the attack surface and risk to federal agency information systems. During FY 2019, federal agencies took a median time of 11 days to patch critical vulnerabilities. Non-critical vulnerability patching also reduced in total median time following the issuance of the BOD. Additionally, since release of the BOD the number of open critical and high vulnerabilities has decreased more than 57 percent.

In order to help maximize agencies' ability to meet timelines for remediation of critical and high vulnerabilities per BOD 19-02, CISA sends automated notification emails to federal stakeholders. If any critical or high vulnerabilities were detected on an agency's network for the first time, an email notification is sent to the affected agency within 24 hours. These alerts help bridge the gap between initial detection (when BOD 19-02's clock starts) and agencies' weekly CyHy reports, allowing federal stakeholders required to abide by the remediation timelines set forth in BOD 19-02 to investigate the vulnerabilities sooner and address them appropriately.

Similar notifications to non-federal stakeholders are expected to start sending during Q1 of FY 2020.

High-Value Asset (HVA) Systems

During FY 2019, CISA completed 30 Risk and Vulnerability Assessments (RVAs) at federal agencies on HVAs. RVA services include, among other things, penetration testing, wireless discovery and identification, database scanning, web application scanning and testing, and phishing assessments.

CISA also performed Security Architecture Reviews (SARs) against HVAs to identify risks associated with design, architecture, and operational issues. A SAR includes in-depth document reviews and interviews based on analysis of strengths and weaknesses of security controls supporting network and system architectures and components based on federal requirements, specifications, and risk management strategies. During FY 2019, CISA completed 47 SAR assessments against agency HVAs.

Significantly, DHS currently provides agencies with actionable risk mitigation information based on CyHy scans, RVAs, and SARs focused on high-value assets. Since 2016, agencies have reported the mitigation of more than 275 critical and high vulnerabilities on HVA systems as identified by CISA assessments. Furthermore, HVA vulnerability identification has led to robust improvements in agency patch management, access management, and counter-phishing programs.

Mitigating DNS Infrastructure Tampering

In December 2018, CISA was made aware of a Domain Name System (DNS) infrastructure tampering campaign. The attackers redirected and intercepted web and mail traffic by compromising user credentials, altering DNS records, and redirecting user traffic to the attacker's infrastructure for manipulation and inspection before passing it on to a legitimate service.

To address the significant and imminent risks to agency information and information systems presented by this activity, CISA issued the first ever Emergency Directive (ED) on January 22, 2019, ED 19-01.

ED 19-01 established standards for mitigating risks from undiscovered tampering, preventing illegitimate DNS activity for agency domains, and detecting unauthorized certificates. This included an agency audit of DNS records, changing DNS account passwords, and adding multi-factor authentication to DNS accounts.

Within the weekly CyHy vulnerability reports sent to federal stakeholders, CISA continues to provide information gleaned from Certificate Transparency logs to assist agencies in validating that newly added certificates for known agency domains were purposefully issued, as new certificates issued without a known purpose may indicate DNS infrastructure tampering.

DHS Continuous Diagnostic and Mitigation (CDM) Program

CDM strengthened the effectiveness of its partnerships with the private sector and other federal agencies in securing cyber critical infrastructure. As of December 31, 2016, DHS had

provided CDM Asset Management (formerly Phase 1) and Identity and Access Management (formerly Phase 2) tools to 100 percent of participating agencies. Since then, agencies have deployed tools and their agency-level dashboards to monitor and manage their security. DHS CDM Federal Dashboard 3.0 received its authority to operate in August 2017 and became operational in October 2017. During Q1 FY 2018, DHS successfully established Information Exchanges between several agency dashboards and the Federal Dashboard. Through the end of FY 2019, DHS continued to establish information exchanges for both Asset Management and Identity and Access Management, enrolling 23 of 23 civilian Chief Financial Officers (CFO) Act agencies and 29 of 40 non-CFO Act agencies. CDM has since deployed Agency and Federal Dashboard 5.0 in Q1 FY 2019, which includes the Agency-Wide Adaptive Risk Enumeration (AWARE) 1.0 vulnerability and risk-scoring functionality. AWARE provides agencies with greater situational awareness, enabling them to prioritize and mitigate their highest risks. Establishment of data exchanges for the remaining non-CFO Act agencies will continue throughout FY 2020.

EINSTEIN

CISA also continues to provide EINSTEIN intrusion detection and prevention services to federal agencies. EINSTEIN 3 Accelerated (E3A), which actively blocks known malicious traffic, is currently being deployed through the primary internet service providers serving the Federal Government. As of October 2019, 250 federal, civilian executive branch Department and Agency (D/A) entities were brought on to E3A services, representing approximately 2.125 million users, or 99 percent of the total user population. CISA has improved public-private sector partnerships by improving information sharing so they can block threats before penetrating networks or otherwise detect intrusions sooner. CISA continues its dissemination of alerts, warnings, and bulletins. In addition, it implemented the Automated Indicator Sharing (AIS) capability in accordance with the Cybersecurity Information Sharing Act of 2015. Through October 2019, CISA has shared approximately 7.74 million actionable indicators via the AIS capability. As of October 2019, 256 non-federal entities—including several information sharing and analysis organizations, managed security services providers and commercial threat feeds—are connected to the AIS capability and 95 components across 33 federal agencies are connected. Ten organizations are now actively sharing into the AIS capability, including six non-federal information sharing and analysis organizations or security providers, which share on behalf of their membership.

National Cyber Incident Response Plan

DHS delivered the “National Cyber Incident Response Plan” to the White House on January 18, 2017, as required by the “National Cybersecurity Protection Act of 2014” and Presidential Policy Directive 41. During FY 2019, 35 incident response and recovery team onsite deployments were provided to departments, agencies and stakeholders.

National Cybersecurity Protection System (NCPS)

GAO previously reported that DHS was partially, but not fully, meeting its stated system objectives of detecting intrusions, preventing intrusions, analyzing malicious content, and

sharing information. GAO has also reported that DHS had not developed metrics for measuring the performance of NCPS, recommending DHS take action to enhance NCPS's capabilities, among other things. In October 2018, NCPS transitioned a non-signature-based detection capability from a pilot to an operational ready capability. This capability enhances NCPS's current intrusion detection capability to include functionality that can detect deviations from normal network behavior baselines. There have been instances where the capability and data supported NCCIC Threat Hunting campaigns to determine threats. The NCPS Program Management Office and the Threat Hunting team are continuing to work on incorporating the capability into their operational procedures to enhance analytical processing.

Privacy

DHS creates a culture of compliance by integrating privacy protections into its cybersecurity programs from the outset. With the DHS Privacy Office being the first statutorily mandated privacy office in the Federal Government, it serves a unique role as both an advisor and oversight body for the Department. DHS deploys a layered approach to privacy oversight for the Department's cybersecurity activities, starting with the Chief Privacy Officer, and extending through CISA's Privacy Officer and dedicated privacy staff across the Department. Additionally, as part of its privacy compliance responsibilities, DHS conducts Privacy Impact Assessments (PIAs), which are designed to identify privacy issues early in the program or system development process and build appropriate privacy protections into programs or systems from the beginning. The issue identification and privacy protections specifically related to the Department's EINSTEIN, CDM, and other cybersecurity programs and initiatives are discussed more fully in PIA documentation available on DHS's website. As discussed in these PIAs, DHS has processes in place to implement data minimization to ensure data collection is limited to information determined to be necessary to understanding cyber threats. DHS further facilitates the implementation of appropriate privacy requirements through oversight activities such as Privacy Compliance Reviews and CISA's Privacy Oversight Reviews. These reviews provide structured opportunities to verify that PII is being handled appropriately and that privacy oversight mechanisms are operating effectively.

Planned Actions and Key Milestones: To further protect the Federal Government's information systems and to collaboratively protect non-federal entities, DHS will increase its E3A coverage, in accordance with the "Cybersecurity Act of 2015." DHS is also planning to continue supporting agencies through the procurement and deployment of CDM capabilities, and increase the volume of cyber threat indicators and defensive measures shared through AIS capability while analyzing the relative value of those indicators.

During FY 2020, DHS expects to make important progress in reinforcing DHS's role in protecting the Federal Government's information systems and the Nation's cyber critical infrastructures. Progress in this arena will be tracked through the FY 2020-2021 Agency Priority Goal focused on federal cybersecurity. Noted highlights include DHS plans to:

- Continue to provide agencies with actionable risk mitigation information based on cyber hygiene scans and RVAs focused on high-value assets; and

- Continue to establish and improve active agency CDM data information exchanges with the Federal Dashboard with participating Federal Agencies.

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

Overview: Addressing national challenges requires a high-performing federal workforce able to safeguard the homeland against national threats and emergencies. However, current budget and long-term fiscal pressures, declining levels of federal employee satisfaction, the changing nature of federal work, and a potential increase of employee retirements could produce gaps in leadership and institutional knowledge. Mission-critical skills gaps impede federal agencies from cost-effectively serving the public and achieving results. Additional efforts are needed to coordinate and sustain efforts to close critical skill gaps and better use workforce analytics to predict emerging skills gaps. DHS has taken significant steps during the past year to develop and demonstrate sustained progress in implementing a results-oriented, human capital plan that identifies Departmental human capital goals, objectives, and performance measures, and is also linked to the Department’s overall strategic plan.

Lead Office and Official: MGMT, Office of the Chief Human Capital Officer (OCHCO), Diana Davis, Executive Director, Strategic Workforce Planning and Analysis

Progress: GAO continued to favorably recognize the Department's structured workforce planning for mission critical occupations, enhanced employee engagement activities, improvements in enterprise leader development, leveraging competencies and individual performance in human capital decision-making, and human capital strategic planning activities. Specific progress included:

- In 2019, the Department continued a four-year trend of improvement in EEI scores in the FEVS, with the overall EEI increasing by two percentage points to 62 percent, and the New IQ index increasing by one percentage point to 54 percent. The EEI also increased significantly across DHS operational Components. The improvements included a seven-percentage point EEI increase at USSS, a three-percentage point increase at USCG, a two-percentage point increase at CISA, and a one percentage point increase at U.S. Customs and Border Protection (CBP), FEMA, Transportation Security Administration (TSA), and U.S. Citizenship and Immigration Services (USCIS).
- The launch of Leadership Bridges, a new program that connects employees to resources and developmental programs to enhance their leadership capacity prior to applying for higher-level positions;
- Increased access to mental health information and resources for employees and their families, and is addressing individual and family financial stress through a public-facing DHS.gov website and a campaign that provides tools and resources for better financial health; and
- Continuing to identify and analyze cross-cutting training and development data to assist in defining common problems and identifying best practices, solutions, and tools for effective and efficient training, education, and professional development.

The Department continues to play an important role in Office of Personnel Management (OPM's) efforts to address this government-wide area by identifying and formally documenting human capital requirements for high priority missions. These efforts include utilizing innovative approaches to attract and retain talent to address skills gaps in key disciplines such as those for cybersecurity professionals and border security and immigration officers.

Planned Actions and Key Milestones: Moving forward, DHS will continue to focus on:

- Improving employee morale, as measured by the EEI of the FEVS;
- Leadership engagement at all levels; and
- Providing Components with a blueprint for developing and supporting a culture of innovation and collaboration through the Department’s learning and development communities.

Specifically, DHS will:

- Operational components will submit their annual Engagement Action Plans, signed by component leadership, in April 2020;
- Launch Phase 3 of the DHS Leadership Pilot Survey in February 2020 with two major TSA airport operations; and
- Continue the expansion of the Employee and Family Readiness Program (EFR) as a unified approach to employee wellness and readiness that includes support for the families of DHS employees.
 - FY 2019 initiatives centered on general stress, personal relationships, dependent care, mental health, and financial literacy. As these efforts continue into FY 2020, EFR will also be introducing new initiatives focused on social connectedness, wellness, and medical readiness.

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

Overview: Real property is one of DHS’s larger expenses for FY 2020. Costs for rent, operations and maintenance, construction, alterations, emergencies and natural disasters, and tenant and capital improvements for a portfolio of more than 50,000 buildings, structures, and land assets are expected to be approximately \$5 billion. Of this amount, rent for building space is expected to account for nearly 60 percent of the Department’s annual real property costs.

The DHS real property portfolio has a variety of use types to support the diverse functions of the Department, which includes office, warehouse, family housing, laboratory, shore facilities, and structures such as navigational aids and utility systems.

Within the DHS building portfolio, leases through the U.S. General Services Administration (GSA) account for almost half of the Department’s building square footage, direct-leased building space accounts for about one-tenth of building space, and DHS-owned space accounts for the remaining square footage.

The Department's Office of Real Property (Real Property) is part of the Office of the Chief Readiness Support Officer (OCRSO). The mission of Real Property is to advance integrated real property portfolio management, oversight, and standardization across the Department. These activities are focused on optimizing the Department's real property portfolio by standardizing real property processes, improving space utilization, and managing real property program expenses.

During the last two decades, real estate management practices both in the public and private sectors have shifted and DHS will catch up by adopting best practices from both the public and private sector. Best practices in industry and government are centered around three concepts:

- Centralized oversight with a real estate champion at the Senior Leadership level to set corporate objectives and emphasize the portfolio strategy;
- Analytics to drive decision making and decisions in terms of the best long-term interests of organizations; and
- Governance to ensure there is transparency and to facilitate enterprise decision-making.

The Deputy Under Secretary for Management (DUSM) will chair an Enterprise Steering Committee to add transparency and accountability to real estate management and become the C-suite sponsor for emphasizing portfolio strategy objectives across the enterprise. An organizational diagnosis is underway that will recommend how to centralize oversight and utilize analytics to support prudent real estate decision-making across the Department. DHS has employed several strategies to improve real property management, reduce leasing costs, and reduce excess and underused property that are outlined below.

Lead Office and Official: MGMT, OCRSO, Tom Chaleki, Chief Readiness Support Officer

Progress: DHS continued its real property portfolio efficiency and reduction efforts which aim to achieve the right facility, at the right location, at the right cost. DHS also continued efforts to reduce the real property footprint by focusing on square foot (SF) reduction and cost savings to reduce dependency on leased locations and improve space utilization in both leased and owned locations. The Federal Protective Service (FPS) provided integrated security and law enforcement services to federally owned, leased, or operated buildings, facilities, property, and other assets.

Federal Real Property Management

GAO designated federal real property as a high-risk government operation in 2003, citing numerous reasons, including the retention of excess and underutilized properties, an over-reliance on costly leasing to meet long-term space needs, and the use of unreliable data to support decision-making. Though the high-risk designation remains in effect, the Department is addressing this risk through continuing to strengthen its oversight of lease expirations with an objective to pursue consolidations, collocations, and terminations of leases, where applicable, as well as focusing on asset management and portfolio planning, resilience, financial resource planning, and protection of facilities.

Asset Management and Portfolio Planning

Limited funding to replace expiring leases, construct new facilities, and repair facilities makes it a challenge to optimize government-owned or acquire more efficient, less costly leased space. In such a fiscally constrained environment, implementing, maintaining, and leveraging best management practices is critical for effective portfolio management.

DHS aims to increase the capacity and capability of oversight for assets and other mission support functions at the headquarters level through improved lifecycle management of capital planning, space acquisition policies; lease management practices; and other requirements. For this reason, DHS is examining headquarters staffing levels to align directly with field efficiencies regional coordinators; to transition the working capital fund program to OCRSO direct appropriations; and to support IT systems and a real estate transaction platform.

In FY 2019, DHS focused attention on the largest major market in the country by producing a National Capital Region (NCR) Consolidation Plan. The NCR contains 11.5 million rentable square feet of Department office space. DHS Real Property performed a real estate portfolio diagnostic to identify all the real property in the NCR to establish a baseline. Working with the DHS Components and GSA, the Department established a consolidation plan that improves operational and cultural synergies while reducing the overall footprint and efficiently using the Department's resources. The outcome is a DHS-Headquarters approved plan that centralizes leadership in and around the St. Elizabeths Campus providing high-quality and efficiently planned space. Even though the Department has developed a new NCR Consolidation Plan, the lack of consistent funding at St. Elizabeths throughout its development has greatly impacted the project.

To foster better integration of the Department's planning and operations process outside the NCR, DHS established the Field Efficiencies Program Management Office (FE-PMO). Through this long-term approach to planning, the Department has begun integrating mission support planning across Components to foster opportunities, share best practices, and overcome common mission support challenges.

The FE-PMO, in close coordination with Real Property, is responsible for implementing a unified cross-Component planning process to identify efficiency and effectiveness opportunities for common or similar mission functions with compatible mission support requirements, collocations, or future mission needs. The FE-PMO is currently conducting regional studies to establish integrated real property mission support plans for all major metropolitan regions with a significant concentration of DHS assets and activities by FY 2025. The regional plans will focus on increasing the space effectiveness and utilization of DHS assets with the objective of reducing administrative office space utilization rate while still meeting mission needs. Currently, the FE-PMO is working with the GSA on studies in Seattle, San Diego, and Puerto Rico. These studies will inform the development of regional plans for these regions, which are expected to be completed by the end of FY 2025.

Additionally, the Department is making strides in aligning and standardizing portfolio planning processes through increased oversight of requirements development and application of public and private sector best practices, including modern space standards, space utilization considerations and flexible work practices. Policies such as the DHS Workspace Standard and implementation of planning processes in the areas of capital planning, budgeting,

reconstitution, and strategic planning support and facilitate more prudent requirements development and achieve more mature portfolio planning across the DHS real estate enterprise.

DHS was one of the first Departments to adopt a Workspace Standard for office space in 2014. This standard is consistent with the DHS Real Property Efficiency Plan which requires it to conform with the standard for major reconfigurations and new requirements, subject to available funding. The DHS Workspace Standard for office and related spaces (conference rooms, break rooms, file rooms, etc.) set the DHS standard utilization ceiling at 150 SF/per person.

Resilience

In 2018, the DUSM signed a resilience framework document, which stood up a resilience framework team to formalize a Department-wide process that integrates the activities for incorporating resilience into the Department's critical infrastructure. This effort provides a holistic framework to ensure sustained resilience of mission essential functions and assets and related supporting critical infrastructure assets during all phases of mission operations (normal operations, disruptive event, response, and recovery/reconstitution). This effort is being integrated and coordinated with the Office of Operations/Continuity, FE-PMO, and Real Property and will lead to a more effective understanding of the utilization of DHS assets and associated risks.

Financial Resource Requirements

DHS sought to improve the visibility into resource management, requiring Components to complete an annual Real Property Financial Assessment. This process began in FY 2017, and DHS has now integrated it within the Department's Budget Program Review process. OCRSO's goals are to fully integrate the real property financial data within the Department's new One Number system, an Office of the Chief Financial Officer (OCFO) financial system currently under development.

DHS has made significant progress by delivering the second consecutive DHS real property resource/funding requirements assessment. DHS now has a good understanding of all the costs related to the program at a high level and at a much more granular level. This has allowed DHS to demonstrate that real property is one of the largest single expenses for the Department which has supported increased recognition for real property as a major program area for the Department.

Progress has also been made, in conjunction with OCFO, in distilling the real property budget and funding down to the project level, anticipating alignment of real property strategic plans with the budget in 2021. In addition, DHS is positioning itself to take a much more active role in the management and oversight of Component resources with an emphasis on budgeting and funding to meet the Department's operational mission requirements effectively and efficiently.

Protection of Facilities

The Federal Government also faces ongoing challenges in protecting its facilities. FPS is charged with protecting and delivering integrated law enforcement and protective security services to facilities owned, leased, or operated by GSA.

FPS leads efforts within a complex operating environment to protect and secure federal facilities from increasingly dangerous and unpredictable physical and cyber threats. FPS continues to develop national-level policies, operational initiatives, capabilities and programs that are grounded in the seamless integration of law enforcement, security, and intelligence activities. These efforts are instrumental for threat detection and deterrence while enhancing security and promoting facility and infrastructure resilience. For example:

- With GSA, FPS is the co-Sector-Specific Agency for the Government Facilities Sector (GFS), one of the 16 critical infrastructure sectors identified in the 2013 Presidential Policy Directive 21 on Critical Infrastructure Security. In this capacity, FPS uses institutional knowledge and specialized expertise about federal facility security and infrastructure resilience to issue briefings, notifications, and alerts to members of the GFS.
- From FY 2017 to FY 2019, FPS provided information to GFS member agencies on topics relevant to facility security and infrastructure resilience, including:
 - In June 2017, FPS and GSA led a GFS Government Coordinating Council (GCC) meeting to cover lessons learned from the Washington Navy Yard shooting; an overview of training programs and resources available from the DHS Office of Infrastructure Protection; and main objectives and protection tactics employed by FPS's Active Threat Program.
 - In July 2017, FPS coordinated a briefing on the Cybersecurity Framework developed by the National Institute of Standards and Technology, which focuses on getting organizations to use business drivers to guide cybersecurity activities and consider cybersecurity risks as part of a broader risk management process.
 - In March 2018, the GFS issued a compilation of reference topics on facility security protection relevant to federal facilities.
 - In July 2018, FPS coordinated with the DHS Office of Cyber Security and Communications to host a webinar on Cyber Supply Chain Risk Management. The webinar covered supply chain risks mitigation tools and strategies for federal departments and agencies.
 - In October 2018, FPS presented a webinar to the GFS on federal facility screening operations. FPS shared lessons learned after implementing an alternative random screening program across its facility portfolio and methods and steps the agency took to mitigate future impact to employees and visitors while maintaining an effective security posture.
 - During FY 2019, FPS held two GFS information summits to identify information sharing processes, programs and GFS key stakeholders. Meeting attendees included: FPS; various other offices within CISA; TSA; GSA; representatives from the Departments of Defense (DoD), Education, Health and Human Services, the Interior, Justice (DOJ), and Transportation; the State, Local, Tribal Territorial GCC; the National Capital Region Threat Intelligence Consortium; and the Federal Executive Board.

- During FY 2019, FPS presented a webinar to the GFS on the ISC Program. This presentation addressed: 1) Progress on ISC Policy and Standards development, 2) An overview of what training resources are available to include Instructor Led Training dates in the NCR, and 3) A deeper dive into compliance reporting and its effect on the Government Facilities Sector.
- FPS and the United States Marshal Service (USMS) led in consultation with the Administrative Office United States Courts (AOUSC), and GSA a finalized update of the Memorandum of Agreement (MOA) on courthouse security in July 2019. This 2019 MOA update defined the roles and responsibilities for the AOUSC, GSA, FPS, and the USMS in protecting and securing federal courthouses.
- FPS and GSA finalized an update to their 2006 MOA in September 2018. The revised MOA identifies, defines, and addresses roles, responsibilities, and operational relationships between FPS and GSA concerning the protection of federally-owned, leased, or operated buildings, grounds, and property under the jurisdiction, custody, or control of GSA. The MOA provides guidance on how FPS and GSA should coordinate facility management with security and law enforcement efforts to the extent that both FPS and GSA are able to carry out their respective responsibilities.
- During FY 2019, FPS continued to focus on enhancing its protective services inherent in its authority to protect federal facilities. FPS established a Cyber Physical Division (CPD) responsible for integrating cybersecurity into traditional physical security, law enforcement, and investigations. FPS CPD continued its work with the ISC and providing insight, direction, and updates for Appendix A and B of the ISC's Risk Management Process which includes cyber specific threats and commensurate countermeasures. In accordance with these inclusions in the ISC's standards, FPS CPD conducted several assessments of facilities' safety and security systems at FPS protected sites. These assessments narrowly focused upon security equipment, as defined by the DHS GSA MOA effective September 2018. The DHS GSA MOA did not include a plan for delineating cybersecurity roles and responsibilities as applicable to facilities' operations and security systems. Instead, FPS and GSA agreed to work on a separate agreement and included DHS CISA. As of the time of this update, the MOA is still under revision and negotiation. FPS CPD will continue to conduct assessments on networked security equipment in federal facilities in FY 2020. Additionally, FPS CPD is focusing on pre-installation configuration management of security technologies, digital foot printing of facilities' tenants and systems, and supporting law enforcement response and investigations.

FPS applies the national standards and strategies to develop or improve and implement operational policies and procedures across the mission areas. GAO has issued recommendations to FPS pertaining to risk assessment and the protective security officer (PSO) program. FPS's efforts have resulted in the closure of remaining risk assessment recommendations in FY 2017. For the few PSO-related recommendations that remain, FPS is actively working to address their closure through efforts that cut across various aspects of the PSO program to ensure that requirements for PSOs are clearly defined, communicated, and monitored, including the following:

- FPS has established a working group to review performance data nationwide to identify trends and monitor, review, and improve FPS’s screening process. FPS uses collaborative analyses and evaluation of covert testing, prohibited items, and other PSO oversight data to mitigate trends and systematically assess and improve security at federal facilities.
- FPS has established training guidelines to ensure that PSOs are providing high quality protective security services at federal facilities nationwide. FPS has developed standardized lesson plans for basic and refresher PSO training courses and established minimum requirements that proposed training instructors from vendor companies must meet in order to train PSOs. FPS has also developed procedures for certifying PSO training certifications and monitoring training to ensure that training requirements are met.
- FPS’s PSO Program continues to develop systems that will automate aspects of the program to include tracking PSO identity, time on post, as well as management of the training and certification data, further facilitating the management and oversight of PSOs.

FPS has established a clearly defined standard for engaging PSOs throughout the portfolio, which enables an FPS Inspector to proactively interact with PSOs, involving them as key team players within the FPS operational environment and encouraging positive working relationships to improve operational readiness.

Planned Actions and Key Milestones: DHS continues to improve the management, oversight, and physical security of our inventory. Specific initiatives include:

- The FE-PMO is on schedule to establish integrated real property mission support plans for all major metropolitan regions with a significant concentration of DHS assets and activities by FY 2025. The regional plans will focus on increased utilization of DHS assets in support of improved efficiency.
- DHS worked with GSA to develop a revised enhanced plan that will consolidate DHS tenancies in the NCR over a long-range timeframe. DHS’s goal remains to improve the efficiency of its NCR portfolio by optimizing use of federal property, using long-term commercial leases (when necessary), and supporting the Unity of Effort initiative.
- During FY 2020, DHS will augment the Workplace Standard with more inclusive planning guidance expanding from office into mission spaces and establishing additional utilization targets, as indicated.
- During FY 2019, FPS received the Authority to Operate for the Post Tracking System (PTS), an oversight tool that FPS will use to comprehensively manage the contract guard workforce nation-wide. Beginning FY 2020, FPS is on schedule with the execution of a four-phase nation-wide implementation of the PTS. Full implementation is scheduled for completion by FY 2021.
- FPS will continue progression with the development and implementation of memoranda of agreement with the GSA that will further the enhancement of security within federal facilities leased or owned by the GSA on behalf of DHS.

GAO High-Risk Area: Ensuring the Effective Protection of Technologies Critical to U.S. National Security Interests (Government-wide)

Overview: In 2007, GAO designated ensuring the effective protection of technologies critical to U.S. national security interests as a high risk area because these weapons and technologies are often targets for espionage, theft, reverse engineering, and illegal export. Although the government has taken significant steps to address this issue area, it remains high risk because the ongoing challenges of balancing national security concerns and economic interests in the area of emerging technologies that are multiform and shifting.

GAO notes the role of the Export Enforcement Coordination Center (E2C2) as a platform for improving coordination and de-confliction for U.S. export control efforts. The E2C2 is managed by a Director from DHS Immigration and Customs Enforcement (ICE) Homeland Security Investigations (HSI) and two Deputy Directors from the Federal Bureau of Investigation (FBI) and the Commerce Department. The E2C2 serves as a conduit among the Federal export enforcement agencies, licensing agencies, and the Intelligence Community (IC) for the exchange of information related to potential U.S. export control violations. The E2C2's primary function is to de-conflict potential enforcement actions and intelligence among the participating U.S. government agencies.

GAO also noted the importance of improving security cooperation and disclosure for this issue area, particularly with regard to Foreign Military Sales (FMS). CBP is responsible for controlling the export of articles related to these sales.

Lead Office and Official: DHS Office of Strategy, Policy and Plans (PLCY), Christa Brzozowski, Deputy Assistant Secretary for Foreign Investment & Trade Policy

Progress:

E2C2

To improve the coordination of intelligence among the various agencies involved in export controls, DHS ICE HSI has made efforts to improve the operation of the E2C2 by establishing the Export Enforcement Intelligence Cell Working Group. The working group serves as a conduit for federal law enforcement, export licensing agencies, intelligence community and defense department agencies to exchange information related to potential U.S. export control violations. In addition, the E2C2 Intelligence Cell established a process to exchange information for coordination and deconfliction purposes. The cell's efforts have expanded export enforcement investigations; enhanced opportunities for joint operations; and contributed to the greater coordination of efforts at U.S. borders and ports of entry on export enforcement matters.

The E2C2 Intelligence Working Group convenes bi-monthly and includes representatives from the DHS, DOJ, Office of the Director of National Intelligence, Department of Commerce (DOC), Department of State (DOS), DOD, Department of Energy (DOE), Department of the Treasury, and other government agencies. Staffing, specifically of key external positions, at the E2C2 for coordination and establishing procedures remains an issue. A pivotal position to the

development of standard operating procedures is the appointment of an Intelligence Community Liaison (ICL) which is a full-time senior officer or employee of the Federal Government, designated by the Director of National Intelligence, and detailed or assigned to the E2C2. The ICL position has been vacant since April 2016. Since external agencies have not assigned personnel to the E2C2, the center has only been able to perform its de-confliction function. These resource limitations have prevented E2C2 from establishing procedures to facilitate data sharing and developing measures for illicit transshipment activity; and developing qualitative and quantitative measures of effectiveness for the entire enforcement community to baseline and trend data. DHS will continue to work with E2C2 partner agencies to fully staff the intelligence cell.

Foreign Military Sales (FMS)

As of May 1, 2018, CBP and the Defense Security Cooperation Agency completed the integration of the electronic sharing of the Letter of Offer and Acceptance data for FMS cases, allowing for a centralized process for tracking FMS shipments and enhancing the FMS export data validation and decrementation process. Any associated amendments or modifications for FMS cases issues issued after 2004 may be returned to the entity that provided the documentation while CBP will retain all information regarding any import or export shipments against the FMS cases including the decrementation of the cases.

On August 13, 2018, the President signed the “Foreign Investment Risk Review Modernization Act” (FIRRMA), a significant statutory reform of the authorities of the Committee on Foreign Investment in the United States (CFIUS). FIRRMA and its implementing regulations expand CFIUS authority to cover a range of foreign investments not previously within its jurisdiction, and singles out critical technology as an area of focus.

FIRRMA defines “critical technology” to include: any items controlled under existing export control regimes, such as the United States Munitions List (USML) and Commerce Control List (CCL); various nuclear-related technologies; select agents and toxins; and any “emerging and foundational technologies” that the export control agencies (DOD, DOS, DOC, and DOE) determine should receive additional protection pursuant to the Export Control Reform Act of 2018 (ECRA), which establishes a process for the heads of those agencies to identify those technologies. Candidate technologies in the Advance Notice of Public Rulemaking include cutting-edge, dual-use technologies in the areas of biotechnology, quantum computing, robotics, additive manufacturing, advanced materials, hypersonics, and artificial intelligence.

Under the prior statutory regime, CFIUS could review only those foreign investments that conferred control over an existing U.S. business to a foreign person, and most filings were made on a voluntary basis by parties seeking safe harbor for their transactions. FIRRMA expands CFIUS jurisdiction to include certain non-passive, non-controlling investments in U.S. businesses. Pursuant to regulations at 31 CFR Part 801 establishing a pilot program on November 10, 2018, CFIUS requires short-form declarations of any controlling or non-passive, non-controlling investments in U.S. businesses by a foreign person when the U.S. business “produces, designs, tests, manufactures, fabricates, or develops a critical technology” used in connection with 27 industries. Because most of the 27 industries are related to the defense industrial base (e.g., armored vehicle manufacturing), Treasury has designated DOD the lead agency for review for

nearly 60 percent of the pilot program docket pursuant to Presidential Policy Directive (PPD) 21. Most relevant for DHS are investments in encryption and wireless technology, about 10 percent of the docket. DHS carefully assessed each declared investment for risks arising from the transaction; of the declarations for which DHS co-led review, about 30 percent received safe harbor.

To facilitate the successful implementation of FIRRMA, and pursuant to the memorandum signed by the Acting Deputy Secretary on October 12, 2018, PLCY convened a FIRRMA Implementation Task Force with representatives from every Component to develop resource recommendations pertaining to CFIUS, including staffing levels, physical space requirements, and an appropriate budget request. The recommendations were presented to and approved by the Deputy's Management Action Group (DMAG) in March 2019. PLCY is preparing formal FY 2022-2026 Resource Planning Guidance (RPG) to effectuate CFIUS as a Department priority, and is drafting formal policy guidance for the Senior Official Performing the Duties of the Deputy Secretary to issue to Component heads emphasizing the importance of CFIUS to the Department's mission. Finally, PLCY is working with the Office of the General Counsel (OGC) and MGMT to revise the Department's delegation, directive, and instruction governing CFIUS functions, expected to be signed after the final regulations go into effect implementing FIRRMA in February 2020.

Planned Actions and Key Milestones: As the Department's primary point of contact to CFIUS, PLCY ensures the Department works closely with Treasury as the Committee chair to draft the regulations to implement FIRRMA, including regulations pertaining to critical technology, and coordinates with other CFIUS member agencies to evaluate the risk arising from foreign investments, including declarations pertaining to critical technology. PLCY will:

- Continue to receive declarations pertaining to critical technologies in industries for which DHS is the co-lead and sector specific agency under Presidential Policy Directive 21, coordinating the Department's risk assessment of threats to national security arising from each transaction.
- Work closely with Treasury and the other CFIUS member agencies to draft and publish those regulations. Treasury, which chairs the Committee, has expressed a desire to continue to review investments pertaining to critical technologies and is assessing the future of the pilot program and its regulations.
- Continue to work through the FIRRMA Implementation Task Force convening representatives from every Component to develop resource recommendations pertaining to CFIUS, including staffing levels, classified systems access, physical space requirements, and an appropriate budget request. PLCY is preparing formal FY 2022-2026 RPG to that effect, formalizing CFIUS as a Departmental budgetary priority, and is drafting formal policy guidance for the Senior Official Performing the Duties of the Deputy Secretary to issue to Component heads emphasizing the importance of CFIUS to the Department's mission.

- Continue to work with OGC and MGMT to revise the Department’s delegation, directive, and instruction governing CFIUS functions, expected to be signed after the final regulations go into effect implementing FIRRMA in February 2020.
- Participate in interagency discussions, as relevant, and continue to encourage Commerce, and other interagency partners, to delineate those technologies that are “emerging” and “foundational” for export controls, and advocate a targeted approach to these areas that provides clarity to investors and exporters, and facilitates the successful implementation of both FIRRMA and ECRA.
- Work with the DHS Science and Technology Directorate and all relevant DHS Components as part of a newly formed DHS Exporting Advisory Group (EAG). The EAG is tasked with providing expertise to inform both internal DHS export compliance actions as well as international policy formation and representing DHS equities in the interagency export controls process. The EAG will leverage information about emerging and critical technology from DHS components to improve the overall DHS understanding of threats, as well as to help shape enforcement of export controls. The EAG is scheduled to have its initial meeting in late November 2019.
- Continue to attend National Security Council (NSC)-led sub-Policy Coordinating Committee (PCC) and PCCs on relevant emerging technology and export controls topics.

GAO High-Risk Area: Improving Federal Oversight of Food Safety (Government-wide)

Overview: In 2007, GAO added federal food safety oversight to the high risk list because of risks to the economy, public health, and safety. Several major trends create food safety challenges. First, a substantial and increasing portion of the U.S. food supply is imported. Second, consumers are eating more raw and minimally processed foods. Third, segments of the population that are particularly susceptible to foodborne illnesses, such as older adults and immune-compromised individuals, are growing. Given CBP’s oversight role in food importation, DHS has a nexus to this high risk issue area. CBP is responsible for inspecting imports, including food products, plants, and live animals, for compliance with U.S. law and for assisting all federal agencies in enforcing their regulations at the border. GAO has identified areas in which CBP can improve food import oversight capabilities.

GAO has also emphasized the need to develop a government-wide performance plan for food safety. P.L. 115-43, Securing our Agriculture and Food Act, as well as Homeland Security Presidential Directive Nine (HSPD-9) outline oversight requirements for DHS; the latter articulates Assistant Secretary for Health Affairs responsibilities in coordinating DHS’s efforts related to food, agriculture, and veterinary defense against terrorism, and for other purposes. DHS was a member of the Food Safety Working Group which, if reconvened, could serve as a broad-based, centralized, collaborative mechanism for this and other purposes.

Lead Office and Official: CBP, Office of Field Operations, Mikel Tookes, Deputy Executive Director, Agriculture Programs and Trade Liaison

Progress: CBP has undertaken several initiatives with the U.S. Department of Agriculture (USDA) to improve federal food safety oversight. For example:

- In January 2018, CBP, Office of Field Operations, Agriculture Programs and Trade Liaison realigned and issued a new strategic plan for 2017-2020. The plan included a new mission and vision statement and updated long and short term goals to operationalize our partnerships, champion innovation, shape the leaders of tomorrow, and modernize data operations.
- In December 2013, DHS and USDA issued its 2014-2019 joint strategic plan for the Agricultural Quarantine Inspection (AQI) program and identified performance measures to monitor progress towards program goals. DHS and USDA developed performance measures for many aspects of the AQI program including interagency coordination, identification of high priority pests, and pest and animal disease training.
- In July 2014, CBP deployed a web-based canine tracking system to all canine personnel including agriculture canine handlers to enter daily activity data. The system will improve efficiency and accuracy in canine program tracking and reporting. Moreover, a working group of subject matter experts from CBP deemed the data elements captured in the system as relevant to the program. Additionally, canine activity data is now reviewed and approved by supervisors monthly at CBP field offices.
- In May 2015, CBP issued the Agriculture Resources Allocation Model Strategy and Action Plan (2015-2018). The staffing model is a workload-based management tool designed to project optimal staffing levels for CBP agriculture specialists in support of CBP decision making and budget planning and it will be the primary tool that informs staffing decisions in all environments—air, land, and sea. Moreover, CBP will be equipped to identify optimum agriculture specialist staffing numbers and continue to dialogue with USDAs Animal and Plant Health Inspection Service (APHIS) to ensure that the CBP agriculture specialist funding source is full cost recovery and the model is updated periodically.
- In July 2015, CBP conducted training for those supervisors identified as not having canine training including new incoming supervisors. As of December 2015, 26 staff attended the training. CBP will conduct future training for new supervisors and the agency plans to complete additional agriculture canine modules as part of the training curriculum.
- In March 2016, APHIS and CBP documented requirements to interface our systems to improve AQI data quality including identifying needed data elements and reference codes to eliminate data errors. To achieve this interface, APHIS and CBP established working groups comprised of subject matter experts who jointly identified and clarified needed data elements, planned system connection logistics, and implemented system integration activities for the purpose of minimizing duplication of data entry, reducing data errors, improving data quality and integrity, and sharing information and analytics.
- As of January 2020, CBP Office of Field Operations APTL has deployed four CBP modules within the International Trade Data System (ITDS)-APTL Workspace to streamline data sharing with USDA-APHIS. Data collected on these modules allow USDA-APHIS to conduct data analysis to better assess pest risks. APTL and USDA continue collaboration

on integrating the USDA-APHIS Core message set (PGA message set) within the ITDS APTL Workspace. Once completed, the USDA-APHIS message set will improve data quality and data integrity for imported agriculture commodities. APTL and USDA APHIS are in the process of incorporating electronic phytosanitary certificate validation into the APTL Workspace and Agriculture Risk Management system to expedite inspections of plants, fruits, and vegetables.

Planned Actions and Key Milestones: CBP will continue to report on deployment and improvement of AQI data as both agencies work toward modernization, integration, and automation of data systems. However, USDA must have the capability to interface with all CBP systems in order for system-to-system interoperability and integration to be successful. CBP has completed all agriculture modules in the ITDS and Cargo Enforcement Reporting and Tracking System and is awaiting USDA completion of their interface system, Agriculture Risk Management (ARM). CBP and the APHIS, Plant Protection and Quarantine, Quarantine Policy, Analysis Support Staff meet weekly to discuss the APHIS Participating Government Agencies Message Sets for CBP’s Automated Commercial Environment (ACE) and the interface between the CBP systems and ARM. CBP and APHIS also meet regularly on the Border Interagency Executive Council that includes representatives from all federal agencies that have a role in importing, exporting, or border management. Additionally, CBP and APHIS meet on the ITDS Board for the single-window development through ACE. As a result of the aforementioned efforts and CBP’s dedication to food safety, CBP has successfully met the intent and fully implemented all of the CBP assigned recommendations associated with this High Risk Issue area.

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

Overview: In February 2013, GAO designated “Limiting the Federal Government’s Fiscal Exposure by Better Managing Climate Change Risks” as a government-wide high-risk area. In addition to creating significant financial risks for the Federal Government, the effects of climate change could (1) threaten coastal areas with rising sea levels, (2) alter agricultural productivity, (3) affect water supplies, (4) increase the intensity and frequency of severe weather events, and (5) increase the frequency and volume of population movement and consequent goods movement. GAO found that the Federal Government is not well organized to address the fiscal exposure presented by the effects of climate change and needs a government-wide strategic approach with strong leadership to manage related risks. GAO also found that climate change may increase the Federal Government’s fiscal exposure related to federal facilities, federal insurance programs—such as FEMA’s NFIP (discussed in greater detail in the prior section on GAO High-Risk Area on NFIP starting on page 4), and federal disaster aid—such as FEMA’s DRF. The projected impacts of climate change intersect with DHS in several areas. Notably, DHS facilities may be exposed to greater risks and an increase in the cost of aid provided following a disaster.

Lead Office and Official: MGMT, IOUSM, Randolph D. “Tex” Alles, DUSM and Chief Sustainability Officer

Progress: In FY 2019, DHS continued to make significant advancements in addressing mission-related resilience efforts outlined as anticipated in Directive 023-03, the “DHS Climate Action Plan and Climate Resilience.” The natural disasters of 2017 through today further highlighted the focus on mission resilience and underscored the need to reduce the impact on the Department’s mission-capability.

Operational resilience to support critical infrastructure continues to be a cornerstone of many of the Department’s programs, policies and activities. OCRSO, Sustainability and Environmental Programs (SEP) continues to lead the Department’s resilience efforts. In FY 2019, the DHS Critical Infrastructure Security and Resilience (CISR) working group (formerly the Tiger Team) worked with DHS Operational Components, Management Offices, and Lines of Business to advance the integration of operational resilience into DHS planning efforts and the execution. The DHS Resilience CISR Working Group is championed by the DHS SEP Executive Director. The DHS Resilience Framework, signed by the DHS Under Secretary of Management on August 13, 2018, defines a systematic approach to measure and plan for resilience and incorporate it into our critical infrastructure in the areas of energy and water, facilities, information and communication technology, and transportation. This Framework ensures sustained resilience and readiness of our mission essential functions supporting critical infrastructure assets during all phases of mission operations (normal operations, disruptive event, response, and recovery and reconstitution).

In FY 2019, DHS continued our partnership with the DOE to advance resilience research, jointly develop tools to support Resilience efforts, and share information. In FY 2019, the CIRS team focused on supporting the development of Component Plans for Resilience, conducting resilience assessments using the Resilience Baseline Assessment Scoring (RBAS) Tool and using these assessments as examples for best practices in resilience implementation.

In FY 2019, the SEP utilized the platform of the DOE’s Energy Exchange technical workshop, to bring together interagency partners to discuss advancements in resilience planning and assessment tools. This unique event provided an opportunity for DHS to share the DHS Resilience Framework, foster inter and intra-agency relationships, and improve mission readiness through education and research sharing. In FY 2019, DHS Components submitted individual Component Plans for Resilience which provided a detailed assessment of component resilience of mission critical assets in the areas of energy and water, facilities, information and communication technology, and transportation.

Planned Actions and Key Milestones: During FY 2020, DHS plans to advance the following initiatives:

- Review of Component Plans for Resilience for all DHS Components;
- Development of headquarters Plan for Resilience;
- Development of charter for governance and oversight of the resilience program through the CISR Working Group; and

- Update of the Climate Resilience Directive to reflect current resilience process as identified in the Resilience Framework.

GAO High-Risk Area: Improving the Management of IT Acquisitions and Operations (Government-wide)

Overview: More than \$80 billion is invested annually in IT across the Federal Government. GAO has determined that agencies continue to struggle with IT projects due to overly broad scopes and goals of delivering functionality several years after initiation. In addition, executive-level governance and oversight across the Federal Government is often ineffective because Chief Information Officers (CIOs) do not have the authority to review and approve their entire agency IT portfolios and overall authority is limited. Congress has reacted through the Federal Information Technology Acquisition Reform Act (FITARA), which is intended to strengthen CIO authority and provide proper oversight for IT projects.

DHS has launched improvement efforts on multiple fronts to improve the management of IT acquisitions as well as existing IT systems, positioned itself as a leader in various efficiency initiatives, and stood up the Joint Requirements Council (JRC) to evaluate high priority, and cross-Departmental opportunities.

Lead Office and Official: MGMT, Office of the CIO (OCIO), Melissa Bruce, Executive Director, Business Management Office

Progress: The Department’s actions to implement FITARA have produced many successes. DHS has updated IT management processes and established additional elements to support a compatible, cohesive infrastructure; standardized operating procedures related to improving the transparency and management of IT acquisitions and operations; and strengthened OCIO authority to provide the needed direction and oversight. Since the implementation of FITARA at the Department, OCIO:

- Implemented a process that included the review of investment risks, ensured that the risks were current, and that risk mitigation plans were in place.
- Incorporated risk reviews into the risk rating processes to better position the agency to provide more detailed and accurate information on IT investments.
- Finalized IT Competency Models and Gap Analysis Report to GAO for 17 IT roles, including GS-2210s: Enterprise Architecture, Information Security, IT Program Management, and Policy and Planning, GS-300 series, and Telecommunications Specialists, as well as the IT Acquisition Cadre. OCIO posted all documents on a DHS Intranet site.
- Finalized white papers for Agile and Cloud computing, including general competencies, IT workforce impacts, and suggested recommendations for enhancing skills within the IT workforce.
- Developed an Implementation Plan for the overall maintenance of the Strategic Workforce Planning efforts, as well as documented and provided skill-enhancing tools and work products to employees that will be shared across the Department. OCIO is

planning stakeholder sessions to further promote the use of the documents to DHS employees.

- Collaborated with the DHS Headquarters (HQ) Cloud Center of Excellence (CCOE) and conducted two training stand downs that were focused on providing a foundation for moving to the Cloud. Employees were afforded the opportunity to dedicate time to focus on Cloud training. Launching a third training stand down to focus on specific IT roles and job functions.
- Continues to analyze the FY 2019 IT Infrastructure Assessments to identify risk and impact of older or end of life assets and focus on continuity and disaster recovery capabilities. This study produced the 2019 Cloud Baseline report, which tracks DHS progress for cloud migration activities.
- Continued to consolidate and optimize enterprise data center operations. HQ completed its FY 2019 consolidation efforts at Data Center 1 (DC1). Zone A was vacated March 31, 2019. Zone B was completed on July 19, 2019. These efforts reduced the DC1 footprint by approximately 36 percent. The Data Center 2 (DC2) facility continues to be vacated and its contracts closed out. In FY 2019, approximately 20 percent of systems have completed their transition from the DC2 facility. Approximately 65 percent of DC2 systems have migrated or plan to migrate to a cloud or hybrid/cloud environment. This demonstrates how focused consolidation efforts are accelerating the Department's IT modernization progress.
- Continued to streamline IT Acquisition enterprise-wide policy and process improvement action plans and enable programs to deliver mission defined requirements using IT capabilities better, faster, and more economically. Notable progress in FY 2019 to further support DHS IT acquisition management included:
 - The Acquisition Management Directive 102-01 Revision 03.1 was approved February 25, 2019. Revisions include adding FITARA and CIO authorities for the management of IT resources and ensuring that IT is acquired and information resources are managed to achieve the Department's strategic and information management goals.
 - The DUSM directed the Component Acquisition Executives (CAEs) to use the Department's Digital Review and Adjudication Workflow (DRAW) system to submit, track, and process key acquisition documents for formal comment reviews, approvals, and sign-offs with the Department. The DRAW system is an electronic, organizational document management-processing tool, used to improve the speed, quality, and visibility of collaboration data and actions taken on the documents processed through the Acquisition Review Process (ARP).
 - The MGMT Office of Program Accountability and Risk Management (PARM), in collaboration with all Acquisition Review Board (ARB) offices, restructured the ARB Program Review templates. This refinement was built upon lessons learned from the agile pilots as well as maturing the level of reporting detail expected of Components and programs. There are now three templates developed for specific milestones across the acquisition lifecycle framework. This refinement ensures acquisition decisions are based on accurate, timely, and sufficient

- information. All major acquisition programs listed on the Master Acquisition Oversight List are now required to use the appropriate reporting templates.
- Acquisition Management Instruction 102-01-001, Revision 01 was approved May 3, 2019. Updates to the instruction include guidance that ARB level program reviews can be convened for non-acquisition decisions. This is governed through Acquisition Decision Memorandums following an ARB, stating that the program must report within a certain period, typically six months.
 - Fully completed alignment of its IT investments through the Capital Planning and Investment Control (CPIC) process to Technology Business Management (TBM) taxonomy to provide more transparency into IT planned spending for FY 2021. This was submitted to Office of Management and Budget (OMB) on September 20, 2019. This alignment will enable DHS to better track IT costs and measures.
 - Completed all Component 2019 IT Asset Refresh Implementation Reports and submitted to OMB for use in reviewing the FY 2021 IT Portfolio submission and supporting the DHS Information Technology Asset Management and Refresh Directive (138-03).
 - Closed the remaining open recommendations from five FITARA-related OIG audits during FY 2019.

Planned Actions and Key Milestones:

- The Agile Instruction (D 102-01-004) has undergone Executive Secretariat (ExecSec) review and is undergoing final legal review. OCIO anticipates promulgating this instruction before March 31, 2020.
- The Agile Instruction Manual (D-102-01-004-01) has undergone HQ review and comments are being adjudicated before full ExecSec review. OCIO anticipates this will go to full ExecSec review by March 31, 2020.
- The System Engineering Life Cycle (SELC) Instruction (D 102-01-103) and SELC Guidebook (D102-01-103-01) are both under revision. OCIO anticipates this will go into HQ review and clearance process by January 31, 2020.

GAO High-Risk Area: Government-wide Personnel Security Clearance Process

Overview: In January 2018, GAO added the government-wide personnel security clearance process to the High-Risk List. A high-quality and timely government-wide personnel security clearance process is essential to minimize the risks of unauthorized disclosures of classified information, and to help ensure that information about individuals with a criminal history, or other questionable behaviors, is identified and assessed. As of October 1, 2015, the latest date for which data is available, approximately 4.2 million government and contractor employees, at nearly 80 executive branch agencies, were eligible to hold a personnel security clearance.

DHS has been aggressive with its efforts to mitigate impediments to the current clearance process. DHS has issued internal guidance through policy memoranda in order to streamline the personnel security process, and to instill consistency across the enterprise. DHS is a very active member in government-wide personnel security reform efforts, with representation and input on numerous inter-governmental working groups. This includes Trusted Workforce 2.0,

which is a high-level management working group dedicated to re-thinking personnel vetting processes across the Federal Government. DHS is also involved in the Performance Accountability Council (PAC) PMO, the arm of the PAC mandated to create governmental enterprise technical solutions for the personnel security process, and Office of the Director of National Intelligence's (ODNI) Continuous Evaluation (CE) working group.

DHS is actively involved on many fronts to address the high-risk areas of timeliness and backlog of investigations, reform initiatives, and the quality of background investigations. DHS is engaged with OPM, ODNI, and our contract background investigation vendors to prioritize DHS cases, and increase timeliness wherever possible. DHS is an active participant in government-wide reform initiatives and efforts regarding the quality of background investigations, the use of IT shared services across the Federal Government, and efforts to move from the traditional periodic reinvestigation cycle to a continuous vetting model. For example, DHS uses the ODNI Quality Assessment Reporting Tool to report on the quality of investigations and ensures that all adjudicators and background investigators are trained in accordance with national standards promulgated by OPM and ODNI.

DHS is working with the PAC PMO and other federal partners to maximize IT shared services to the greatest extent possible. Examples include partnering with OPM on e-Adjudication to electronically adjudicate favorable (without derogatory information) cases without human review, and the DoD on the future state of the National Background Investigation System and e-Application.

In addition to those efforts, the DHS Chief Security Officer (CSO) established the Personnel Security Operations Task Force (PSOTF) to support reforms efforts across the Department. The PSOTF's charter was to identify Departmental improvements to the personnel security posture by evaluating enterprise-wide personnel security processes, procedures, best practices, and organizational structures. The PSOTF consisted of personnel security representatives from all DHS Components and employed Lean Six Sigma – Continual Process Improvements techniques to evaluate personnel security processes and procedures within DHS, and benchmark against other federal agencies. DHS is working diligently to address and lessen the impact of the systemic problems afflicting the governmental personnel security process.

Lead Office and Official: MGMT, Office of the CSO (OCSO), Richard D. McComb, CSO

Progress: DHS is actively working on reducing the length of time to on-board federal and contractor personnel. DHS is collaborating both internally and externally with our federal partners to transform the personnel security process. Initiatives include:

- Since 2017, DHS has issued multiple policy memoranda to clarify reciprocity guidance, and further streamline and standardize personnel security procedures across the Department. Examples include Departmental guidance on expediting entry on duty for contractors with active security clearances; polygraph reciprocity; guidance on streamlining personnel security procedures for internal and external transfers; and, in compliance with ODNI standards, DHS-specific mitigation strategies to address the investigative backlog. These measures show through metrics that DHS tracks and provides to senior leadership. On average, DHS on-boards both contractors and federal

applicants over 88 percent of the time based on preliminary, risk-based assessments, prior to completion of the full background investigation. For example, in FY 2019, DHS cleared contractors to begin work in an average of 21 days in over 94 percent of cases. For federal employee applicants during this same period, DHS cleared applicants to begin work in an average of 37 days in over 83 percent of cases.

- In September 2018, the PSOTF finalized their report containing recommendations to further improve the Department’s personnel security clearance process, and OCSO is actively engaged in addressing the recommendations which include increased coordination with the MGMT Office of the Chief Procurement Officer (OCPO) to standardize contractor security requirements in contracts and establishing a DHS personnel security surge force across the Department to support high impact efforts or workload surges impacting specific Components. To date, OCSO has completed four of the PSOTF recommendations, and others are in progress and at various stages of completion.
- DHS is currently collaborating with industry partners in a series of Acquisition Innovation Roundtables (AIRs) designed to increase transparency, consistency of application, and increased communication across the Department including enhancing DHS’s public-facing website and notifications to industry.
- OCSO is working with partners across the DHS Management Lines of Business to implement the Access Lifecycle Management (ALM) system. ALM is a program designed to automate the on-boarding and off-boarding of federal and contractor employees. ALM is currently being utilized across DHS Headquarters and one operational Component, and ALM, or another comparable system, is being incrementally rolled out across DHS Components.
- DHS remains closely engaged with industry through organizations such as the Industrial Security Working Group which hosts annual Personnel Security Forums. These events provide a venue for DHS to socialize the latest personnel security policies, procedures, and initiatives.
- DHS continues to collaborate with ODNI to utilize their CE System and follows ODNI policy on CE requirements for national security positions, enrolling 25 percent of the cleared population in ODNI’s CE System in FY 2019.
- DHS is actively engaged with the Human Resources Information Technology (HRIT) effort, which will streamline and eliminate manual and redundant processes surrounding the hand-off between security and human resources for on-boarding. DHS OCSO integrated the Integrated Security Management System with HRIT to gain efficiencies between security and human resources for on-boarding by eliminating duplicative and manual processes.

Planned Actions and Key Milestones: DHS has documented the estimated completion times for the various efforts it is currently undertaking. It should be noted that some of these efforts depend on future funding. Initiatives include:

- DHS continues to develop a more effective communication mechanism through the ALM initiative, which will also provide systematic and more expeditious notifications to

industry when their staff clear the personnel security process enabling industry partners to commence work on DHS contracts.

- DHS is focusing on developing relationships with industry partners, in part through continued AIRs. The next AIR will focus on improving security language in contracts and visibility into the personnel security process. Engagements will continue in the first quarter of FY 2020. To date, AIR working groups have resulted in an open dialogue between federal staff and industry partners. One result is the update to formatting of information found on the public-facing website, providing information for industry to better serve DHS mission areas. OCSO is also working with OCPO and industry partners to develop standardized contract language to ensure clear, concise, and consistent language is used in contract documents across the Department.
- DHS will continue implementing recommendations stemming from the PSOTF during FY 2020 and the out years. One example is a personnel security manual to standardize fitness determinations and facilitate reciprocity, clarify department-wide personnel security operating processes, and to increase consistency and validity of metrics.
- DHS has partnered with ODNI to leverage their CE System. In FY 2019, DHS enrolled 25 percent of employees with security clearances in the ODNI CE System and will continue to enroll individuals until 50 percent of DHS employees in national security positions are enrolled in FY 2020 and 100 percent in FY 2021. DHS will continue to partner with ODNI on CE efforts, including continued use of the ODNI CE System and system-to-system access and integration.
- DHS will remain engaged with the PAC and the DoD regarding information technology shared services for personnel security processing, and any recommendations coming from Trusted Workforce 2.0 efforts.

Low-Priority Program Activities

The President's Budget identifies the lower-priority program activities, as required under the *GPRA Modernization Act*, 31 U.S.C. 1115(b)(10). The public can access the volume at:

<http://www.whitehouse.gov/omb/budget>

Acronyms

AIS – Automated Indicator Sharing	FITARA – Federal Information Technology Acquisition Reform Act
ALOS – Average Length of Stay	FLETC – Federal Law Enforcement Training Centers
APG – Agency Priority Goal	FMS – Foreign Military Sales
AQI – Agricultural Quarantine Inspection	FPS – Federal Protective Service
ARB – Acquisition Review Board	FSA – Facility Security Assessment
ARM – Agriculture Risk Management	FY – Fiscal Year
ATS – Automated Targeting System	FYHSP – Future Years Homeland Security Program
BOD – Binding Operational Directive	GAO – Government Accountability Office
CBP – U.S. Customs and Border Protection	GCC – Government Coordinating Council
CDM – Continuous Diagnosis Mitigation	GMM – Grants Management Modernization
CFATS – Chemical Facility Anti-Terrorism Standards	GPRA – Government Performance and Results Act
CFO – Chief Financial Officer	GPRAMA – GPRA Modernization Act
CHCO – Chief Human Capital Office	HCLC – Human Capital Leadership Council
CIO – Chief Information Officer	HCOP – Human Capital Operating Plan
CIP – Critical Infrastructure Protection	HOMECORT – Homeland Criminal Organization Target
CISA – Cybersecurity and Infrastructure Security Agency	HQ – Headquarters
CISR – Critical Infrastructure Security and Resilience	HRIT – Human Resource Information Technology
COO – Chief Operating Officer	HSAI – DHS Homeland Security Acquisition Institute
CWMD – Countering Weapons of Mass Destruction Office	HSI – Homeland Security Investigations
CX – Customer Experience	HSPD – Homeland Security Presidential Directive
DHS – U.S. Department of Homeland Security	HVA – High Value Assets
DMO – Departmental Management and Operations	I&A – Office of Intelligence and Analysis
DOS – Department of State	IC – Intelligence Community
DPIO – Deputy Performance Improvement Officer	ICE – U.S. Immigration and Customs Enforcement
E2C2 – Export Enforcement Coordination Center	IPAWS – Integrated Public Alert Warning System
EEI – Employee Engagement Index	ISC – Interagency Security Committee
EO – Executive Order	ISP – Internet Service Provider
ERO – Enforcement and Removal Operations	IT – Information Technology
EXA – External Affairs Directorate	ITDS – International Trade Data System
FEMA – Federal Emergency Management Agency	IVR – Interactive Voice Response System
FEVS – Federal Employee Viewpoint Survey	JRC – Joint Requirements Council
FIMA – Federal Insurance and Mitigation Administration	LEO – Law Enforcement Officer
FIRRMA – Foreign Investment Risk Review Modernization Act	LPD – Last Point of Departure
FIT – FEMA Integration Team	LS – Leadership Survey

FY 2019-2021 Annual Performance Report

LSCMS – Logistics Supply Chain Management System
MEOV – Mobile Emergency Office Vehicle
MMPC – Major Management and Performance Challenges
MS-13 – Mara Salvatrucha drug cartel/gang
NCCIC – National Cybersecurity and Communications Integration Center
NCFI – National Computer Forensic Institute
NCMEC – National Center for Missing and Exploited Children
NCPS – National Cybersecurity Protection System
NCR – National Capital Region
NDU – National Defense University
NED – National Exercise Division (FEMA)
NFIP – National Flood Insurance Program
NIST – National Institute of Standards and Technology
NLE – National Level Exercise
NSSE – National Special Security Event
OCHCO – Office of the Chief Human Capital Officer
OCPO – Office of the Chief Procurement Officer
OCRSO – Office of the Chief Readiness Support Officer
OCSO – Office of the Chief Security Officer
ODNI – Office of the Director of National Intelligence
OGC – Office of the General Counsel
OIG – Office of Inspector General
OMB – Office of Management and Budget
OPCON – Operational Control
OPLA – Office of the Principal Legal Advisor
OPM – Office of Personnel Management
OPS – Office of Operations Coordination
PAC – Performance Accountability Council
PA&E – Office of Program Analysis and Evaluation
PARM – Program Accountability and Risk Management
PCC – Policy Coordinating Committee
PIO – Performance Improvement Officer
PLCY – Office of Strategy, Policy and Plans
PMDF – Performance Measure Definition Form

PMIAA – Program Management Improvement Accountability Act
PPD – Presidential Policy Directive
PSOTF – Personnel Security Operations Task Force
PWCS – Ports Waterways Coastal Security
RBAS – Resilience Baseline Assessment Scoring Tool
RCC – Rescue Coordination Center (USCG)
R&D – Research and Development
RPG – Resource Planning Guidance
RPM – Radiation Portal Monitors
RVA – Risk and Vulnerability Assessments
SAR – Search and Rescue
SAVE – Systematic Alien Verification for Entitlements programs
SEAR – Special Event Assessment Rating
SELC – Systems Engineering Life Cycle
SEP – Sustainability and Environmental Programs
SES – Senior Executive Service
SEWG – Special Events Working Group
SLTT – State, local, tribal, and territorial partners
SMI – Serious Marine Incident
SMORE – Strategic Marketing, Outreach, and Recruiting Engagement tool
SSI – Sensitive Security Information
S&T – Science and Technology Directorate
TBM – Technology Business Management
TCC – Traveler Communications Center
TCO – Transnational Criminal Organizations
TRIP – Traveler Redress Inquiry Program
TSA – Transportation Security Administration
TSO – Transportation Security Officer
UAS – Unmanned Aircraft System
UES – Universal Enrollment Services
USML – United States Munitions List
USCG – U.S. Coast Guard
USCIS – U.S. Citizenship and Immigration Services
USDA – U.S. Department of Agriculture
USM – Under Secretary for Management
USSS – U.S. Secret Service
VER MOD – Verification Modernization
WYO – Write-Your-Own



Homeland
Security



Homeland
Security

Department of Homeland Security



Fiscal Year 2021

Congressional Justification

Table of Contents

Departmental Overview	3
Organization of the Congressional Justification	5
Comparison of Budget Authority and Request.....	7
Personnel Compensation and Benefits.....	9
Non Pay Budget Exhibit	11
Departmental Scorekeeping Table	12

Department of Homeland Security

Departmental Overview

The Department of Homeland Security's (DHS) mission is to safeguard the American people, our homeland, and our values with honor and integrity. Threats to our safety and security are constantly evolving and require continuous risk assessments and adaptive strategies to effectively address them. The men and women at DHS demonstrate agility and dedication to our mission by protecting our Nation from threats by land, sea, air, and cyberspace. Known terrorist entities, criminals, homegrown terrorists, cyber-terrorists, smugglers, transnational criminal organizations, failed states, and unpredictable "lone offenders" constitute present and future threats to our way of life every day and emphasize the importance of DHS's mission.

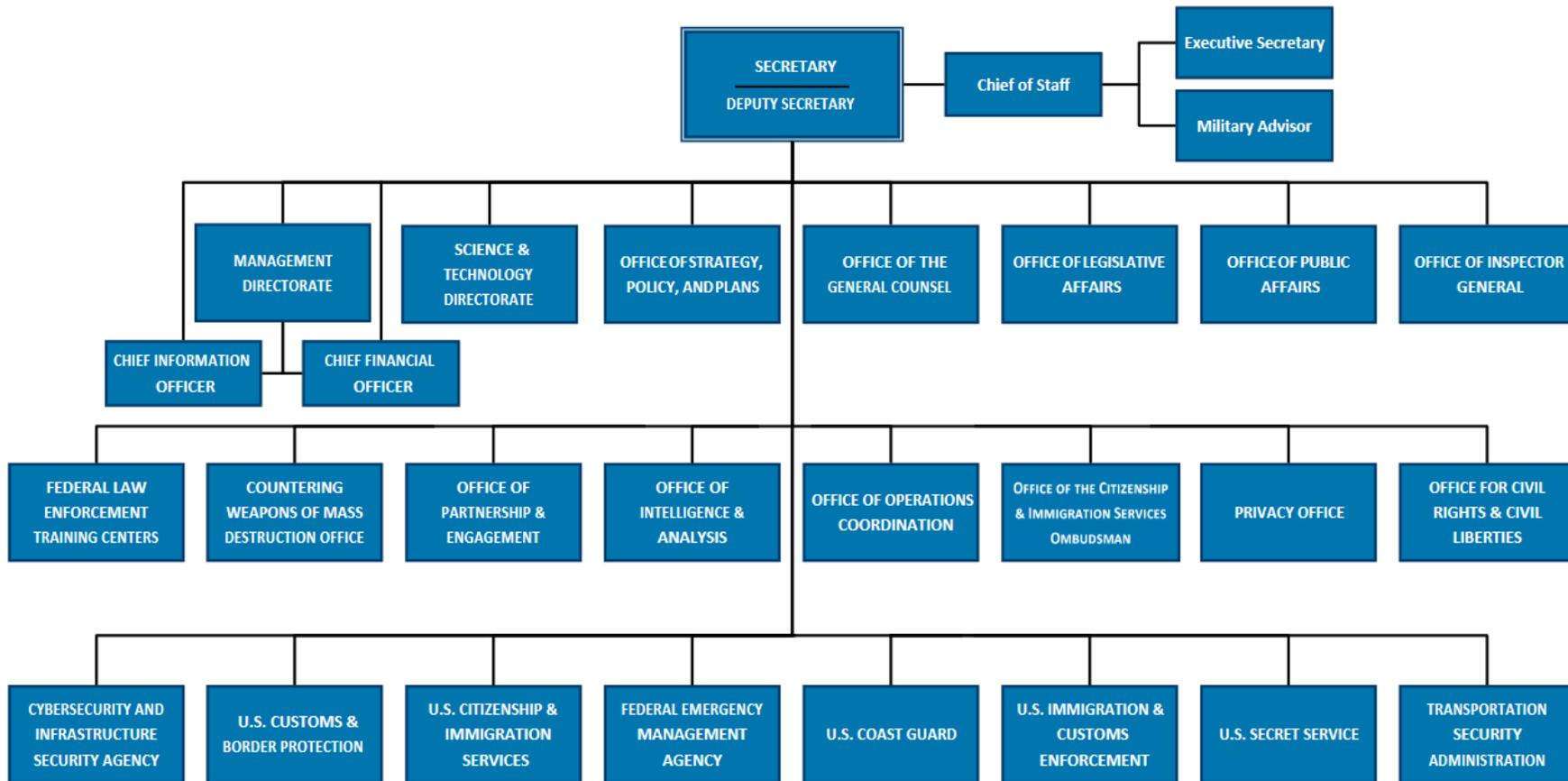
DHS's wide-ranging, around-the-clock operations serve to strengthen our Nation's security and resilience and promote our Nation's economic prosperity. DHS will use all means available to it, including its highly-trained workforce, physical barriers, improved infrastructure, state-of-the-art surveillance techniques and equipment, cybersecurity tools, biometric identification systems, improved technology, and top-notch intelligence to meet the changing threats to our Nation. We will leverage information sharing and personnel, as well as technological, operational, and policy-making elements to detect, deter, and disrupt terrorism and other threats.

The Department's current organization structure is provided below:

Department of Homeland Security

Department of Homeland Security Organization Chart

U.S. Department of Homeland Security



Department of Homeland Security

Organization of the Congressional Justification

The Department's Components share four common account categories: Operations and Support (O&S); Procurement, Construction, and Improvements (PC&I); Research and Development (R&D); and Federal Assistance (FA).

Budget Years for Comparison

The FY 2021 President's Budget displays three budget years for comparison: Prior Year – FY 2019 Enacted, Current Year – FY 2020 Enacted, and Budget Year – FY 2021 President's Budget. These names correspond to funding columns in the justification exhibits; however, in exhibits that show execution data, the column names are generic allowing for other data categories to be represented. The comparison data is organized based on the following breakdown:

Prior Year – FY 2019 Enacted: Reflects the Enacted funding levels provided for DHS in the Consolidated Appropriation Act, 2019 (P.L. 116-6), and positions and full-time equivalents (FTEs) associated with those funding levels. This budget year set does not include the impacts of reprogrammings, rescissions, or supplemental funding, except in the Budget Authority and Obligations tables within the narratives. Any obligation data, unless otherwise noted, reflects data as of September 30, 2019.

Current Year – FY 2020 Enacted: Reflects the Enacted funding levels provided in the Consolidated Appropriations Act, 2020 (P.L. 116-93). This budget year set does not include the impacts of reprogrammings, rescissions, or supplemental funding, except in the Budget Authority and Obligations tables within the narratives.

Budget Year – FY 2021 President's Budget: Reflects the FY 2021 President's Budget for the Department.

Appropriation Hierarchy

The FY 2021 President's Budget is displayed in an appropriation hierarchy with a maximum of six reporting levels, as shown in the table to the right. Not all hierarchy levels are relevant to each appropriation's structure. The data within the Congressional budget justification builds up from the lowest level of the hierarchy; higher level tables summarize the data within the related lower level Program, Project, and Activities (PPAs).

Appropriation Hierarchy Name
DHS Overview Justification
Component Overview Justification
Appropriation Justification
PPA Level I Justification
PPA Level II Justification
PPA Level III Justification

This layered approach is structured both in the table of contents and navigation panel of each chapter to allow the reader to quickly move from high level summary sections to detailed narrative at the lower levels. The cascading effect permits justification

to rationally flow from general account descriptions to detailed justification and is not intended to be repetitive in nature. However, some sections of the appropriation hierarchy create a data relationship that results in repetition.

Justification Sections

Within each of the hierarchies identified above, the Congressional budget justification is again delineated into five sections - this delineation also appears in respective table of contents. The purpose of the sections is to group similar justification exhibits into standard “sub-chapters”, always starting with an overall comparison section to show the full budget request/authority for the level of the organization being covered. Like the hierarchies above, not all sections are used at each level of the organization. The five sections are broken out as follows: Budget Comparison and Adjustments; Personnel Compensation and Benefits; Non Pay Budget Exhibits; Capital Investment Exhibits (for PC&I appropriations), Technology Readiness Level Exhibits (for R&D appropriations), and Supplemental Budget Justification Documents.

In accordance with P.L. 115-414, the “Good Accounting Obligation in Government Act,” the Department has posted a list of all open unclassified U.S. Government Accountability Office (GAO) and DHS Office of Inspector General (OIG) performance audit recommendations at www.dhs.gov/cj.

Department of Homeland Security Comparison of Budget Authority and Request

Organization <i>(Dollars in Thousands)</i>	FY 2019 Enacted			FY 2020 Enacted			FY 2021 President's Budget			FY 2020 to FY 2021 Total Changes		
	Pos.	FTE	Amount	Pos.	FTE	Amount	Pos.	FTE	Amount	Pos.	FTE	Amount
Office of the Secretary and Executive Management ¹	622	570	\$141,381	658	605	\$168,808	693	635	\$150,359	35	30	(\$18,449)
Management Directorate	3,898	3,567	\$2,840,412	3,930	3,622	\$3,123,370	3,962	3,738	\$3,350,394	32	116	\$227,024
Analysis and Operations	878	841	\$253,253	897	852	\$284,141	897	853	\$312,638	-	1	\$28,497
Office of Inspector General	760	760	\$168,000	773	756	\$190,186	725	747	\$177,779	(48)	(9)	(\$12,407)
U.S. Customs and Border Protection	61,627	60,855	\$17,257,250	64,499	61,644	\$17,372,298	65,285	62,697	\$18,209,969	786	1,053	\$837,671
U.S. Immigration and Customs Enforcement	21,104	20,080	\$7,905,712	21,327	20,912	\$8,399,871	25,963	22,176	\$10,416,160	4,636	1,264	\$2,016,289
Transportation Security Administration	58,530	55,607	\$8,090,347	59,503	56,425	\$8,300,481	58,192	55,314	\$8,241,792	(1,311)	(1,111)	(\$58,689)
U.S. Coast Guard	50,160	48,810	\$12,237,046	50,753	49,412	\$12,188,870	51,170	49,856	\$12,331,137	417	444	\$142,267
U.S. Secret Service	7,650	7,359	\$2,513,159	7,777	7,647	\$2,680,845	-	-	-	(7,777)	(7,647)	(\$2,680,845)
Cybersecurity and Infrastructure Security Agency	2,469	1,976	\$1,681,757	2,675	2,158	\$2,015,622	2,698	2,235	\$1,757,798	23	77	(\$257,824)
Federal Emergency Management Agency ¹	5,307	10,438	\$21,643,469	5,374	11,333	\$27,310,748	5,398	12,297	\$14,533,078	24	964	(\$12,777,670)
United States Citizenship and Immigration Services ²	19,470	18,498	\$4,730,177	20,398	19,380	\$4,851,219	21,055	20,003	\$5,050,549	657	623	\$199,330
Federal Law Enforcement Training Centers	1,095	1,068	\$328,819	1,108	1,081	\$351,170	1,084	1,053	\$331,479	(24)	(28)	(\$19,691)
Science and Technology Directorate	513	473	\$819,785	507	499	\$737,275	456	456	\$643,729	(51)	(43)	(\$93,546)
Countering Weapons of Mass Destruction	248	232	\$434,897	248	232	\$432,299	286	266	\$377,160	38	34	(\$55,139)
Total	234,331	231,134	\$81,045,464	240,427	236,558	\$88,407,203	237,864	232,326	\$75,884,021	(2,563)	(4,232)	(\$12,523,182)
Subtotal Discretionary - Appropriation	199,707	192,356	\$52,119,370	205,337	196,558	\$53,773,677	201,076	189,477	\$52,992,008	(4,261)	(7,081)	(\$781,669)
Subtotal Discretionary - Fee	1,667	1,758	\$263,941	1,367	1,367	\$276,000	1,367	1,367	\$332,332	-	-	\$56,332
Subtotal Discretionary - Offsetting Fee	2,608	2,493	\$2,129,909	2,608	2,493	\$2,179,539	2,691	2,576	\$2,351,063	83	83	\$171,524
Subtotal Discretionary - Major Disasters (DRF)	-	5,231	\$12,000,000	-	6,054	\$17,352,112	-	6,984	\$5,059,949	-	930	(\$12,292,163)
Subtotal Mandatory - Appropriation	19	19	\$2,475,969	19	19	\$2,540,055	19	19	\$2,341,243	-	-	(\$198,812)
Subtotal Mandatory - Fee	30,330	29,277	\$11,891,275	31,096	30,067	\$12,095,820	32,711	31,903	\$12,807,426	1,615	1,836	\$711,606
Subtotal Overseas Contingency Operations (OCO)	-	-	\$165,000	-	-	\$190,000	-	-	-	-	-	(\$190,000)

¹Per the Consolidated Appropriations Act, 2020 (P.L. 116-93), \$10.0M was transferred from the Office of the Secretary and Executive Management (OSEM) to the Federal Emergency Management Agency (FEMA) for the Targeted Violence and Terrorism Prevention (TVTP) grant program. For the table above, the \$10.0M is reflected in FY 2020 Enacted in the FEMA Federal Assistance appropriation.

²Represents the total operating budget of U.S. Citizenship and Immigration Services for a given fiscal year.

The Department is witnessing historic changes across the entire threat landscape and must remain vigilant to defend against and to combat these dangers in a manner that does not hamper lawful commerce, transportation, economic development, or personal freedoms. Our enemies and adversaries include a spiderweb of terrorist groups, emboldened transnational criminals, resurgent and hostile nation states, and more. The Department must continue to adapt in order to protect America and respond to rapidly evolving dangers – in the homeland, at our borders, in cyberspace, and beyond. The Department must be robust, resilient, and forward-leaning. The FY 2021 President’s Budget is an important step in the right direction, ensuring our men and women have the resources required to achieve our mission.

The Department’s “core” budget for FY 2021 includes a net discretionary funding level of \$49.8 billion. Our submission also includes \$5.1 billion for major disasters within the Disaster Relief Fund, which is accounted for separately pursuant to the Budget Control Act (BCA, P.L. 112-25). The FY 2021 President’s Budget strengthens the security of our Nation through border security, immigration enforcement, counterterrorism, and cybersecurity, as well as ensures resilience to disasters.

Additionally, the FY 2021 President’s Budget proposes to transfer the United States Secret Service from the Department of Homeland Security to the Department of the Treasury. The funding and all functions, personnel, assets, and obligations of the Secret Service, including the functions of the Secretary of Homeland Security related to the Secret Service, will transfer to the Department of the Treasury. For additional information on the transfer proposal, please consult the Department of the Treasury chapters of the Main Budget Volume.

Department of Homeland Security Personnel Compensation and Benefits

Pay Summary

Organization <i>(Dollars in Thousands)</i>	FY 2019 Enacted				FY 2020 Enacted				FY 2021 President's Budget				FY 2020 to FY 2021 Total			
	Pos.	FTE	Amount	Rate	Pos.	FTE	Amount	Rate	Pos.	FTE	Amount	Rate	Pos.	FTE	Amount	Rate
Office of the Secretary and Executive Management	622	570	\$89,645	\$154.63	658	605	\$104,356	\$170	693	635	\$106,779	\$165.79	35	30	\$2,423	(\$4.21)
Management Directorate	3,898	3,567	\$528,940	\$148.27	3,930	3,622	\$554,783	\$153.15	3,962	3,738	\$575,239	\$153.87	32	116	\$20,456	\$0.72
Analysis and Operations	878	841	\$129,144	\$148.67	897	852	\$137,362	\$156.64	897	853	\$147,024	\$167.79	-	1	\$9,662	\$11.15
Office of Inspector General	760	760	\$123,423	\$162.34	773	756	\$134,367	\$177.67	725	747	\$133,231	\$178.29	(48)	(9)	(\$1,136)	\$0.62
U.S. Customs and Border Protection	61,627	60,855	\$10,328,212	\$169.72	64,499	61,644	\$10,649,639	\$172.76	65,285	62,697	\$11,077,653	\$176.69	786	1,053	\$428,014	\$3.93
U.S. Immigration and Customs Enforcement	21,104	20,080	\$3,468,053	\$172.68	21,327	20,912	\$3,745,960	\$179	25,963	22,176	\$4,314,252	\$194.43	4,636	1,264	\$568,292	\$15.43
Transportation Security Administration	58,530	55,607	\$5,225,689	\$93.88	59,503	56,425	\$5,429,114	\$94.18	58,192	55,314	\$5,462,622	\$96.73	(1,311)	(1,111)	\$33,508	\$2.55
U.S. Coast Guard	50,160	48,810	\$6,006,731	\$92.62	50,753	49,412	\$6,257,183	\$95.52	51,170	49,856	\$6,537,436	\$99.64	417	444	\$280,253	\$4.12
U.S. Secret Service	7,650	7,359	\$1,713,994	\$196.9	7,777	7,647	\$1,762,523	\$195.83	-	-	-	-	(7,777)	(7,647)	(\$1,762,523)	(\$195.83)
Cybersecurity and Infrastructure Security Agency	2,469	1,976	\$355,566	\$179.91	2,675	2,158	\$357,694	\$158.35	2,698	2,235	\$425,595	\$183.27	23	77	\$67,901	\$24.92
Federal Emergency Management Agency	5,307	10,438	\$1,215,936	\$115.9	5,374	11,333	\$1,372,826	\$120.5	5,398	12,297	\$1,555,904	\$125.86	24	964	\$183,078	\$5.36
United States Citizenship and Immigration Services	19,470	18,498	\$2,271,426	\$122.74	20,398	19,380	\$2,358,075	\$121.62	21,055	20,003	\$2,592,165	\$129.53	657	623	\$234,090	\$7.91
Federal Law Enforcement Training Centers	1,095	1,068	\$142,541	\$133.44	1,108	1,081	\$148,052	\$136.93	1,084	1,053	\$151,885	\$144.21	(24)	(28)	\$3,833	\$7.28
Science and Technology Directorate	513	473	\$85,871	\$180.59	507	499	\$94,247	\$183.49	456	456	\$88,750	\$188.67	(51)	(43)	(\$5,497)	\$5.18
Countering Weapons of Mass Destruction	248	232	\$49,203	\$182.92	248	232	\$50,381	\$186.92	286	266	\$58,643	\$193.95	38	34	\$8,262	\$7.03
Total	234,331	231,134	\$31,734,374	\$129.61	240,427	236,558	\$33,156,562	\$131.88	237,864	232,326	\$33,227,178	\$135.59	(2,563)	(4,232)	\$70,616	\$3.71
Discretionary - Appropriation	199,707	192,356	\$24,796,559	\$128.74	205,337	196,558	\$25,827,520	\$130.57	201,076	189,477	\$25,549,237	\$133.98	(4,261)	(7,081)	(\$278,283)	\$3.41
Discretionary - Offsetting Fee	2,608	2,493	\$337,453	\$135.35	2,608	2,493	\$351,895	\$141.14	2,691	2,576	\$373,582	\$145.02	83	83	\$21,687	\$3.88
Mandatory - Fee	30,330	29,277	\$4,080,408	\$139.34	31,096	30,067	\$4,270,678	\$142	32,711	31,903	\$4,659,730	\$146.02	1,615	1,836	\$389,052	\$4.02
Discretionary - Fee	1,667	1,758	\$263,739	\$150.02	1,367	1,367	\$275,797	\$201.75	1,367	1,367	\$332,104	\$242.94	-	-	\$56,307	\$41.19
Mandatory - Appropriation	19	19	\$1,747,455	\$388	19	19	\$1,798,010	\$448.26	19	19	\$1,605,773	\$2,579.89	-	-	(\$192,237)	\$2,131.63
Overseas Contingency Operations (OCO)	-	-	\$41,999	-	-	-	\$45,417	-	-	-	-	-	-	-	(\$45,417)	-
Discretionary - Major Disasters (DRF)	-	5,231	\$466,761	\$88.6	-	6,054	\$587,245	\$96.37	-	6,984	\$706,752	\$100.53	-	930	\$119,507	\$4.16

* The FTE Rate calculation does not include Object Class 11.8-Special Personal Services Payments or 13.0-Benefits for Former Personnel.

The men and women of this Department are charged with protecting our country, our people, and our way of life from an ever-growing list of threats—terrorists, transnational criminal organizations, rogue nation states, pandemic disease, and more. The Department’s greatest resource is the highly skilled, trained, and dedicated professionals who comprise our workforce. It is the people who execute our operations and support activities that ensure mission success for the Department and America. We must ensure that our budget pays our workforce. The table above reflects the total pay budget for the Department, displayed by Component organization.

Across all appropriation accounts, personnel, compensation, and benefits accounts for 43.8 percent of all funding. Understanding this is the single largest ‘bucket’ of funding within the Department, DHS will always strive for transparency in pay submissions to ensure, across Components, they are consistent, realistic, and accurately funded. All FTEs are fully funded. The FY 2021 President’s budget fully funds military and civilian pay raises to include: the full-year costs of the 2020 3.1% pay raise (national average); the 2021 civilian pay raise of 1.0%; the 2021 military pay raise of 3.0%; and the 2021 1.0% awards increase. The FY 2021 President’s Budget also includes funding to annualize positions added in the FY 2020 appropriation.

The Department continues its investment in our workforce through hiring:

- More cybersecurity professionals in the innovative, mission-focused Cybersecurity Talent Management System;
- Additional Border Patrol Processing Coordinators whose duties include receiving and in-processing detainees at U.S. Border Patrol facilities;
- More ICE law enforcement officers and Border Patrol Agents to fill critical operational and resource gaps; and,
- Additional Transportation Security Officers to support projected airport volume growth of 4.0 percent.

DHS is also providing more employee and family readiness programs that increase employee resilience and mission readiness; supporting career progression and retention efforts; and strengthening inclusive diversity strategies, especially in under-represented areas, to optimize operational effectiveness.

**Department of Homeland Security
Non Pay Budget Exhibit**

Non Pay Summary

Organization <i>(Dollars in Thousands)</i>	FY 2019 Enacted	FY 2020 Enacted	FY 2021 President's Budget	FY 2020 to FY 2021 Total Changes
Office of the Secretary and Executive Management	\$51,736	\$64,452	\$43,580	(\$20,872)
Management Directorate	\$2,311,472	\$2,568,587	\$2,775,155	\$206,568
Analysis and Operations	\$124,109	\$146,779	\$165,614	\$18,835
Office of Inspector General	\$44,577	\$55,819	\$44,548	(\$11,271)
U.S. Customs and Border Protection	\$6,929,038	\$6,722,659	\$7,132,316	\$409,657
U.S. Immigration and Customs Enforcement	\$4,437,659	\$4,653,911	\$6,101,908	\$1,447,997
Transportation Security Administration	\$2,864,658	\$2,871,367	\$2,779,170	(\$92,197)
U.S. Coast Guard	\$6,230,315	\$5,931,687	\$5,793,701	(\$137,986)
U.S. Secret Service	\$799,165	\$918,322	-	(\$918,322)
Cybersecurity and Infrastructure Security Agency	\$1,326,191	\$1,657,928	\$1,332,203	(\$325,725)
Federal Emergency Management Agency	\$20,427,533	\$25,937,922	\$12,977,174	(\$12,960,748)
United States Citizenship and Immigration Services	\$2,458,751	\$2,493,144	\$2,458,384	(\$34,760)
Federal Law Enforcement Training Centers	\$186,278	\$203,118	\$179,594	(\$23,524)
Science and Technology Directorate	\$733,914	\$643,028	\$554,979	(\$88,049)
Countering Weapons of Mass Destruction	\$385,694	\$381,918	\$318,517	(\$63,401)
Total	\$49,311,090	\$55,250,641	\$42,656,843	(\$12,593,798)
Discretionary - Appropriation	\$27,322,811	\$27,946,157	\$27,442,771	(\$503,386)
Discretionary - Offsetting Fee	\$1,792,456	\$1,827,644	\$1,977,481	\$149,837
Mandatory - Fee	\$7,810,867	\$7,825,142	\$8,147,696	\$322,554
Discretionary - Fee	\$202	\$203	\$228	\$25
Mandatory - Appropriation	\$728,514	\$742,045	\$735,470	(\$6,575)
Overseas Contingency Operations (OCO)	\$123,001	\$144,583	-	(\$144,583)
Discretionary - Major Disasters (DRF)	\$11,533,239	\$16,764,867	\$4,353,197	(\$12,411,670)

Department of Homeland Security Departmental Scorekeeping Table

Department of Homeland Security Total Budget Authority									
	FY 2019 Enacted			FY 2020 Enacted			FY 2021 President's Budget		
	Pos.	FTE	\$\$\$	Pos.	FTE	\$\$\$	Pos.	FTE	\$\$\$
TITLE I - DEPARTMENTAL MANAGEMENT AND OPERATIONS									
Office of the Secretary and Executive Management	622	570	141,381	658	605	168,808	693	635	150,359
Operations and Support	622	570	141,381	658	605	168,808	693	635	150,359
Office of the Secretary.....	69	68	18,527						
Office of Strategy, Policy, and Plans.....	168	157	37,950	194	183	48,571	215	195	52,121
Office of Public Affairs.....	26	24	5,321						
Office of Legislative Affairs.....	27	25	5,462						
Office of Partnership and Engagement.....	55	52	14,566						
Office of General Counsel.....	105	85	19,379						
Office for Civil Rights and Civil Liberties.....	101	95	25,312						
Office of the Citizenship and Immigration Services Ombudsman.....	29	26	6,200						
Privacy Office.....	42	38	8,664						
Operations and Engagement.....				186	170	59,022	189	177	43,740
Management and Oversight.....				278	252	61,215	289	263	54,498
<i>Discretionary - Appropriation</i>	622	570	141,381	658	605	168,808	693	635	150,359
Rescission of Prior Year Unobligated Balances (Discretionary - Appropriation)			(231)			(153)			
Adjusted Discretionary - Appropriation	622	570	141,150	658	605	168,655	693	635	150,359
<i>Net Discretionary</i>	622	570	141,381	658	605	168,808	693	635	150,359
Adjusted Net Discretionary	622	570	141,150	658	605	168,655	693	635	150,359
Management Directorate	3,898	3,567	2,840,412	3,930	3,622	3,123,370	3,962	3,738	3,350,394
Operations and Support	2,296	2,060	1,083,837	2,328	2,115	1,182,142	2,360	2,231	1,402,196
Immediate Office of the Under Secretary of Management.....	31	28	7,788	31	29	7,903	31	29	4,569
Office of the Chief Readiness Support Officer.....	123	109	90,726	129	126	101,063	129	126	179,325
Office of the Chief Human Capital Officer.....	320	280	106,344	320	292	116,158	331	328	129,841
Office of the Chief Security Officer.....	322	293	79,431	328	295	83,476	323	289	135,340
Office of the Chief Procurement Officer.....	536	476	104,169	536	489	109,741	544	526	107,041
Office of the Chief Financial Officer.....	283	251	67,341	302	255	90,829	308	304	89,651
Office of the Chief Information Officer.....	504	446	397,230	505	452	418,246	503	438	502,456
Office of Biometric Identity Management.....	177	177	230,808	177	177	254,726	191	191	253,973
Identity and Screening Program Operations.....	177	177	70,117	177	177	70,820	191	191	76,912
IDENT/Homeland Advanced Recognition Technology Operations and Maintenance.....			160,691			183,906			177,061
Procurement, Construction, and Improvements			226,920			381,298			359,450
Construction and Facility Improvements.....			120,000			223,767			199,839
DHS Headquarters Consolidation.....			120,000			223,767			199,839
Mission Support Assets and Infrastructure.....			86,920			142,034			129,941
Mission Support Assets and Infrastructure End Items.....			13,901			11,522			19,916
Financial Systems Modernization.....			51,000			116,359			99,517
Human Resources Information Technology (HRIT).....			8,814			10,353			10,508
Homeland Security Information Network (HSIN).....			8,360						
Planning, Programming, Budgeting, and Execution System (PPBE One Number).....			4,030			3,800			
Identity, Credential, and Access Management (ICAM).....			815						
Office of Biometric Identity Management.....			20,000			15,497			29,670
IDENT/Homeland Advanced Recognition Technology.....			20,000			15,497			29,670

Department of Homeland Security Total Budget Authority									
	FY 2019 Enacted			FY 2020 Enacted			FY 2021 President's Budget		
	Pos.	FTE	\$\$\$	Pos.	FTE	\$\$\$	Pos.	FTE	\$\$\$
Research and Development			2,545						
Research & Development.....			2,545						
Cloud 1 Factory.....			2,545						
Federal Protective Service	1,602	1,507	1,527,110	1,602	1,507	1,559,930	1,602	1,507	1,588,748
FPS Operations.....	1,602	1,507	359,196	1,602	1,507	387,500	1,602	1,507	387,500
Operating Expenses.....	1,602	1,507	359,196	1,602	1,507	387,500	1,602	1,507	387,500
Countermeasures.....			1,167,914			1,172,430			1,201,248
Protective Security Officers.....			1,121,883			1,148,400			1,177,100
Technical Countermeasures.....			46,031			24,030			24,148
Discretionary - Appropriation	2,296	2,060	1,313,302	2,328	2,115	1,563,440	2,360	2,231	1,761,646
Rescission of Prior Year Unobligated Balances (Discretionary - Appropriation)			(1,583)			(304)			
Adjusted Discretionary - Appropriation	2,296	2,060	1,311,719	2,328	2,115	1,563,136	2,360	2,231	1,761,646
Discretionary - Offsetting Fee	1,602	1,507	1,527,110	1,602	1,507	1,559,930	1,602	1,507	1,588,748
Net Discretionary	2,296	2,060	1,313,302	2,328	2,115	1,563,440	2,360	2,231	1,761,646
Adjusted Net Discretionary	2,296	2,060	1,311,719	2,328	2,115	1,563,136	2,360	2,231	1,761,646
Gross Discretionary	3,898	3,567	2,840,412	3,930	3,622	3,123,370	3,962	3,738	3,350,394
Adjusted Gross Discretionary	3,898	3,567	2,838,829	3,930	3,622	3,123,066	3,962	3,738	3,350,394
Analysis and Operations	878	841	253,253	897	852	284,141	897	853	312,638
Operations and Support	878	841	253,253	897	852	284,141	897	853	312,638
Discretionary - Appropriation	878	841	253,253	897	852	284,141	897	853	312,638
Rescission of Prior Year Unobligated Balances (Discretionary - Appropriation)			(366)			(130)			
Adjusted Discretionary - Appropriation	878	841	252,887	897	852	284,011	897	853	312,638
Net Discretionary	878	841	253,253	897	852	284,141	897	853	312,638
Adjusted Net Discretionary	878	841	252,887	897	852	284,011	897	853	312,638
Office of Inspector General	760	760	168,000	773	756	190,186	725	747	177,779
Operations and Support	760	760	168,000	773	756	190,186	725	747	177,779
Discretionary - Appropriation	760	760	168,000	773	756	190,186	725	747	177,779
Rescission of Prior Year Unobligated Balances (Discretionary - Appropriation)						(3)			
Adjusted Discretionary - Appropriation	760	760	168,000	773	756	190,183	725	747	177,779
Net Discretionary	760	760	168,000	773	756	190,186	725	747	177,779
Adjusted Net Discretionary	760	760	168,000	773	756	190,183	725	747	177,779
TITLE I DEPARTMENTAL MANAGEMENT AND OPERATIONS	6,158	5,738	3,403,046	6,258	5,835	3,766,505	6,277	5,973	3,991,170

Department of Homeland Security Total Budget Authority									
	FY 2019 Enacted			FY 2020 Enacted			FY 2021 President's Budget		
	Pos.	FTE	SS\$	Pos.	FTE	SS\$	Pos.	FTE	SS\$
TITLE II - SECURITY, ENFORCEMENT, & INVESTIGATIONS									
U.S. Customs and Border Protection	61,627	60,855	17,257,250	64,499	61,644	17,372,298	65,285	62,697	18,209,969
Operations and Support	48,834	48,040	12,179,729	52,216	49,361	12,735,399	52,053	49,207	12,987,432
Mission Support.....	4,833	4,754	1,788,236	5,716	5,350	1,858,705	5,615	5,303	1,891,107
Enterprise Services.....	3,601	3,542	1,482,518	4,229	3,858	1,537,332	4,183	3,836	1,545,636
Office of Professional Responsibility.....	593	585	196,528	741	749	209,052	696	729	227,500
Executive Leadership and Oversight.....	639	627	109,190	746	743	112,321	736	738	117,971
Border Security Operations.....	21,399	21,334	4,739,201	24,028	22,605	4,918,544	24,108	22,672	5,037,485
US Border Patrol.....	21,160	21,096	4,678,852	23,799	22,370	4,858,308	23,879	22,437	4,960,786
Operations.....	21,160	21,096	3,884,735	23,799	22,370	4,161,450	23,879	22,437	4,205,954
Assets and Support.....			794,117			696,858			754,832
Office of Training and Development.....	239	238	60,349	229	235	60,236	229	235	76,699
Trade and Travel Operations.....	20,087	19,473	4,562,701	19,453	18,603	4,789,033	19,496	18,506	4,873,952
Office of Field Operations.....	19,007	18,401	4,240,629	18,243	17,374	4,444,156	18,243	17,259	4,518,232
Domestic Operations.....	17,319	16,772	2,942,710	16,315	15,687	3,074,199	16,315	15,562	3,060,903
International Operations.....	840	836	155,217	940	675	144,940	940	675	152,390
Targeting Operations.....	848	793	250,528	988	1,012	241,449	988	1,022	288,031
Assets and Support.....			892,174			983,568			1,016,908
Office of Trade.....	905	903	260,395	1,004	1,022	279,362	1,053	1,046	292,557
Office of Training and Development.....	175	169	61,677	206	207	65,515	200	201	63,163
Integrated Operations.....	2,515	2,479	1,089,591	3,019	2,803	1,169,117	2,834	2,726	1,184,888
Air and Marine Operations.....	1,658	1,631	869,962	1,920	1,880	884,843	1,803	1,818	913,569
Operations.....	1,495	1,468	306,506	1,675	1,640	314,425	1,602	1,622	306,541
Assets and Support.....			525,867			533,768			565,554
Air and Marine Operations Center.....	163	163	37,589	245	240	36,650	201	196	41,474
Office of International Affairs.....	165	163	41,700	170	174	42,134	170	174	44,051
Office of Intelligence.....	264	262	59,148	397	315	61,685	335	286	65,724
Office of Training and Development.....			6,546			6,886	10	10	7,989
Operations Support.....	428	423	112,235	532	434	173,569	516	438	153,555
Procurement, Construction, and Improvements			2,515,878			1,904,468			2,281,360
Mission Support Assets and Infrastructure.....			18,544			45,673			32,629
Revenue Modernization.....			18,544			15,673			13,173
Mission Support Assets and Infrastructure End Items.....						30,000			10,000
COSS Transformation Initiative.....									9,456
Border Security Assets and Infrastructure.....			1,475,000			1,508,788			2,060,413
Integrated Fixed Towers (IFT).....			13,579			1,142			
Remote Video Surveillance Systems (RVSS).....			49,577			40,740			7,600
Mobile Video Surveillance System (MVSS).....			8,844			14,800			
Border Security Assets and Infrastructure End Items.....			28,000			77,106			88,000
Border Wall System Program.....			1,375,000			1,375,000			1,964,813
Trade and Travel Assets and Infrastructure.....			625,000			88,124			22,510
Automated Commercial Environment (ACE).....			10,000			10,000			10,000
Non-Intrusive Inspection (NII) Systems Program.....			564,000			59,124			
Trade and Travel Assets and Infrastructure End Items.....			51,000			19,000			12,510
Integrated Operations Assets and Infrastructure.....			127,112			199,519			38,409
Airframes and Sensors.....			112,612			184,689			38,409
KA 350-CER Multi-Role Enforcement Aircraft (MEA).....			86,112			85,146			
UH-60 Medium Lift Helicopter.....			15,000			46,525			15,500
Airframes and Sensors End Items.....			11,500			18,900			22,909
Light Enforcement Helicopters.....						34,118			
Watercraft.....			14,500			14,830			
Coastal Interceptor Vessels.....			14,500			14,830			

Department of Homeland Security Total Budget Authority									
	FY 2019 Enacted			FY 2020 Enacted			FY 2021 President's Budget		
	Pos.	FTE	\$\$\$	Pos.	FTE	\$\$\$	Pos.	FTE	\$\$\$
Construction and Facility Improvements.....			270,222			62,364			127,399
Border Patrol Facilities.....			255,447			25,000			100,000
OFO Facilities.....			14,775			22,364			
Air & Marine Facilities.....						6,000			27,399
Construction and Facility Improvements End Items.....						9,000			
Immigration Inspection User Fee	4,479	4,509	769,636	4,179	4,179	826,447	4,179	4,179	793,876
Immigration Enforcement Fines	5	4	676	3	3	305	2	2	227
Electronic System for Travel Authorization (ESTA) Fee	94	94	61,417	94	94	64,384	94	94	63,417
Land Border Inspection Fee	202	202	53,512	202	202	56,467	202	202	59,364
COBRA Customs Fees	2,538	2,293	594,978	2,538	2,538	615,975	3,188	3,446	681,412
COBRA FTA	1,587	1,640	255,000	1,287	1,287	267,000	1,287	1,287	322,258
Agricultural Quarantine and Inspection Fees	3,061	3,208	539,325	3,061	3,061	539,325	3,361	3,361	582,187
Global Entry Fee	416	416	165,961	416	416	184,937	416	416	199,939
Puerto Rico Trust Fund	268	268	31,941	268	268	94,507	268	268	152,291
Virgin Islands Deposit Fund	63	63	7,795	63	63	11,537	63	63	11,442
User Fee Facilities	80	118	8,941	80	80	9,000	80	80	10,074
Customs Unclaimed Goods			1,461			1,547			3,690
9-11 Response and Biometric Exit Account			71,000	92	92	61,000	92	92	61,000
Discretionary - Appropriation	48,834	48,040	14,695,607	52,216	49,361	14,639,867	52,053	49,207	15,268,792
Rescission of Prior Year Unobligated Balances (Discretionary - Appropriation)			(4,132)			(382,269)			
Adjusted Discretionary - Appropriation	48,834	48,040	14,691,475	52,216	49,361	14,257,598	52,053	49,207	15,268,792
Discretionary - Fee	1,667	1,758	263,941	1,367	1,367	276,000	1,367	1,367	332,332
Discretionary - Offsetting Fee	416	416	165,961	416	416	184,937	416	416	199,939
Net Discretionary	50,501	49,798	14,959,548	53,583	50,728	14,915,867	53,420	50,574	15,601,124
Adjusted Net Discretionary	50,501	49,798	14,955,416	53,583	50,728	14,533,598	53,420	50,574	15,601,124
Gross Discretionary	50,917	50,214	15,125,509	53,999	51,144	15,100,804	53,836	50,990	15,801,063
Adjusted Gross Discretionary	50,917	50,214	15,121,377	53,999	51,144	14,718,535	53,836	50,990	15,801,063
Mandatory - Fee	10,710	10,641	2,131,741	10,500	10,500	2,271,494	11,449	11,707	2,408,906
U.S. Immigration and Customs Enforcement	21,104	20,080	7,905,712	21,327	20,912	8,399,871	25,963	22,176	10,416,160
Operations and Support	20,755	19,748	7,542,153	20,930	20,536	8,032,801	25,566	21,800	9,822,109
Mission Support.....	2,210	2,065	1,091,898	2,210	2,092	1,271,110	2,458	2,168	1,462,892
Office of the Principal Legal Advisor.....	1,566	1,465	260,185	1,735	1,612	290,337	2,278	1,833	352,991

Department of Homeland Security Total Budget Authority									
	FY 2019 Enacted			FY 2020 Enacted			FY 2021 President's Budget		
	Pos.	FTE	\$\$\$	Pos.	FTE	\$\$\$	Pos.	FTE	\$\$\$
Homeland Security Investigations.....	8,778	8,163	1,916,213	8,784	8,511	2,042,321	9,837	8,779	2,301,605
Domestic Investigations.....	8,167	7,594	1,658,935	8,167	7,872	1,769,410	9,075	8,102	1,991,986
International Operations.....	275	260	172,986	275	260	178,806	320	271	204,837
Intelligence.....	336	309	84,292	342	379	94,105	442	406	104,782
Enforcement and Removal Operations.....	8,201	8,055	4,273,857	8,201	8,321	4,429,033	10,993	9,020	5,704,621
Custody Operations.....	5,324	5,252	3,170,845	5,324	5,355	3,142,520	6,171	5,567	4,137,380
Fugitive Operations.....	792	783	125,969	792	783	139,622	1,219	890	194,602
Criminal Alien Program.....	1,689	1,651	219,074	1,689	1,651	265,228	2,812	1,932	415,223
Alternatives to Detention.....	327	304	274,621	327	467	319,213	627	542	353,941
Transportation and Removal Program.....	69	65	483,348	69	65	562,450	164	89	603,475
Procurement, Construction, and Improvements			45,559			47,270			104,954
Mission Support Assets and Infrastructure.....			4,700						3,060
Consolidated ICE Financial Solution (CIFS).....			4,700						
Mission Support Assets and Infrastructure End Items.....									3,060
Operational Communications/Information Technology.....			30,859			10,300			21,478
Operational Communications/Information Technology End Items.....									8,628
T-8.....						10,300			6,000
TACCOM.....			30,859						6,850
Construction and Facility Improvements.....			10,000			36,970			80,416
Mission Capacity Expansion.....									58,916
Critical Repair Requirement.....			10,000			36,970			21,500
Immigration Inspection User Fees			135,000			135,000			135,000
Breached Bond Detention Fund			55,000			55,000			55,000
Student and Exchange Visitor Program	349	332	128,000	397	376	129,800	397	376	186,610
Immigration Examinations Fee Account									112,287
Immigration Enforcement Account									200
Discretionary - Appropriation									
Rescission of Prior Year Unobligated Balances (Discretionary - Appropriation)	20,755	19,748	7,587,712	20,930	20,536	8,080,071	25,566	21,800	9,927,063
Adjusted Discretionary - Appropriation	20,755	19,748	7,586,897	20,930	20,536	8,071,072	25,566	21,800	9,927,063
Net Discretionary	20,755	19,748	7,587,712	20,930	20,536	8,080,071	25,566	21,800	9,927,063
Adjusted Net Discretionary	20,755	19,748	7,586,897	20,930	20,536	8,071,072	25,566	21,800	9,927,063
Mandatory - Fee									
	349	332	318,000	397	376	319,800	397	376	489,097
Transportation Security Administration	58,530	55,607	8,090,347	59,503	56,425	8,300,481	58,192	55,314	8,241,792
Operations and Support	58,530	55,607	7,649,964	59,503	56,425	7,917,479	58,192	55,314	7,928,883
Mission Support.....	1,902	1,636	924,832	1,898	1,619	912,550	1,921	1,646	901,871
Aviation Screening Operations.....	53,231	50,766	5,110,689	54,233	51,637	5,382,014	53,123	50,727	5,376,564
Screening Workforce.....	47,953	45,693	3,775,070	49,010	46,624	3,993,527	47,940	45,722	3,958,156
Screening Partnership Program.....	10	10	197,062	10	10	226,375	10	10	204,647
Screener Personnel, Compensation, and Benefits.....	47,646	45,392	3,347,774	48,664	46,284	3,523,547	47,596	45,384	3,526,680
Screener Training and Other.....	297	291	230,234	336	330	243,605	334	328	226,829
Airport Management.....	3,918	3,792	658,479	3,879	3,754	637,005	3,875	3,750	656,105
Canines.....	787	755	164,597	785	753	166,861	783	779	170,713
Screening Technology Maintenance.....	226	201	398,137	216	185	468,964	161	146	473,687
Secure Flight.....	347	325	114,406	343	321	115,657	364	330	117,903

Department of Homeland Security Total Budget Authority									
	FY 2019 Enacted			FY 2020 Enacted			FY 2021 President's Budget		
	Pos.	FTE	\$\$\$	Pos.	FTE	\$\$\$	Pos.	FTE	\$\$\$
Other Operations and Enforcement.....	3,397	3,205	1,614,443	3,372	3,169	1,622,915	3,148	2,941	1,650,448
Inflight Security.....	38	36	786,213	38	36	780,288	38	36	788,551
Federal Air Marshals.....			763,598			755,682			771,576
Federal Flight Deck Officer and Crew Training.....	38	36	22,615	38	36	24,606	38	36	16,975
Aviation Regulation.....	1,079	1,026	220,235	1,076	1,017	230,560	1,091	1,025	193,714
Air Cargo.....	642	613	104,629	636	607	105,497	637	608	108,332
Intelligence and TSOC.....	427	402	80,324	417	387	76,972	430	397	77,168
Surface Programs.....	807	739	130,141	805	737	140,961	464	403	78,094
Vetting Programs.....	404	389	292,901	400	385	288,637	488	472	404,589
Vetting Operations.....	134	123	53,016	130	119	51,723	133	121	45,125
TWIC Fee.....	60	59	65,535	60	59	61,364	68	67	69,500
Hazardous Materials Endorsement Fee.....	41	40	18,500	41	40	18,600	42	41	19,200
General Aviation at DCA Fee.....	6	6	700	6	6	700	7	7	600
Commercial Aviation and Airports Fee.....			8,000			9,000			9,000
Other Security Threat Assessments Fee.....			50			50			50
Air Cargo/Certified Cargo Screening Program Fee.....	14	14	5,000	14	14	5,000	16	16	5,000
TSA Precheck Fee.....	132	130	136,900	132	130	137,000	203	201	250,614
Alien Flight School Fee.....	17	17	5,200	17	17	5,200	19	19	5,500
Procurement, Construction, and Improvements			419,789			360,100			283,385
Aviation Screening Infrastructure.....			419,789			360,100			283,385
Checkpoint Support.....			94,422			70,100			28,893
Checkpoint Property Screening System.....			91,500			70,100			28,893
Security Technology Integrated Program.....			2,922						
Checked Baggage.....			75,367			40,000			4,492
Electronic Baggage Screening Program.....			69,872			40,000			4,492
Security Technology Integrated Program.....			5,495						
Aviation Security Capital Fund (mandatory).....			250,000			250,000			250,000
Research and Development			20,594			22,902			29,524
Research and Development.....			20,594			22,902			29,524
Emerging Alarm Resolution Technologies.....									3,000
On-Person Detection/NextGen AIT.....									5,000
Innovation Task Force.....			15,604			17,912			16,534
Checkpoint Automation (CPAM).....			4,990			4,990			4,990
Discretionary - Appropriation	58,260	55,341	7,600,462	59,233	56,159	7,813,567	57,837	54,963	7,632,328
Rescission of Prior Year Unobligated Balances (Discretionary - Appropriation)			(36,544)			(48,143)			
Adjusted Discretionary - Appropriation	58,260	55,341	7,532,722	59,233	56,159	7,771,188	57,837	54,963	7,632,328
Discretionary - Offsetting Fee	253	249	234,685	253	249	231,714	336	332	353,964
September 11 Security Fee (Discretionary - Offsetting Fee)			(2,670,000)			(2,830,000)			(3,538,663)
Net Discretionary	58,260	55,341	4,930,462	59,233	56,159	4,983,567	57,837	54,963	4,093,665
Adjusted Net Discretionary	58,260	55,341	4,893,918	59,233	56,159	4,935,424	57,837	54,963	4,093,665
Gross Discretionary	58,513	55,590	7,835,147	59,486	56,408	8,045,281	58,173	55,295	7,986,292
Adjusted Gross Discretionary	58,513	55,590	7,798,603	59,486	56,408	7,997,138	58,173	55,295	7,986,292
Mandatory - Appropriation			250,000			250,000			250,000
Mandatory - Fee	17	17	5,200	17	17	5,200	19	19	5,500

Department of Homeland Security Total Budget Authority									
	FY 2019 Enacted			FY 2020 Enacted			FY 2021 President's Budget		
	Pos.	FTE	\$\$\$	Pos.	FTE	\$\$\$	Pos.	FTE	\$\$\$
U.S. Coast Guard	50,160	48,810	12,237,046	50,753	49,412	12,188,870	51,170	49,856	12,331,137
Operations and Support	50,141	48,791	7,643,201	50,734	49,393	7,991,253	51,151	49,837	8,377,740
Military Pay and Allowances.....	41,054	40,764	3,864,816	41,371	41,129	4,023,053	41,470	41,278	4,157,388
Civilian Pay and Benefits.....	8,646	7,595	939,707	8,916	7,829	1,004,319	9,234	8,121	1,103,051
Training and Recruiting.....			189,983			210,912			230,901
Operating Funds and Unit Level Maintenance.....			919,533			929,895			993,903
Centrally Managed Accounts.....			161,441			161,205			93,451
Intermediate and Depot Level Maintenance.....			1,436,494			1,517,191			1,654,587
Reserve Training.....	416	409	117,758	422	412	124,696	422	415	130,714
Environmental Compliance and Restoration.....	25	23	13,469	25	23	19,982	25	23	13,745
Procurement, Construction, and Improvements			2,248,260			1,772,506			1,637,091
Vessels.....			1,581,350			994,000			1,280,400
Survey and Design - Vessels and Boats.....			5,500			2,500			2,000
In-Service Vessel Sustainment.....			63,250			91,400			82,600
National Security Cutter.....			72,600			160,500			31,000
Offshore Patrol Cutter.....			400,000			312,000			546,000
Fast Response Cutter.....			340,000			260,000			20,000
Cutter Boats.....			5,000			15,100			3,800
Polar Security Cutter.....			675,000			135,000			555,000
Waterways Commerce Cutter.....			5,000			2,500			25,000
Polar Sustainment.....			15,000			15,000			15,000
Aircraft.....			356,000			504,600			153,600
HC-144 Conversion/Sustainment.....			17,000			17,000			14,000
HC-27J Conversion/Sustainment.....			80,000			103,200			64,000
HC-130J Acquisition/Conversion/Sustainment.....			105,000			105,000			10,000
HH-65 Conversion/Sustainment.....			28,000			50,000			45,000
MH-60T Sustainment.....			120,000			150,000			20,000
Small Unmanned Aircraft Systems.....			6,000			9,400			600
Long Range Command and Control Aircraft.....						70,000			
Other Acquisition Programs.....			56,000			69,256			56,360
Other Equipment and Systems.....			3,500			3,500			3,500
Program Oversight and Management.....			20,000			20,000			20,000
C4ISR.....			23,300			25,156			15,260
Coast Guard Logistics Information Management System.....			9,200			6,400			1,100
Cyber and Enterprise Mission Platform.....						14,200			16,500
Shore Facilities and Aids to Navigation (ATON).....			254,910			204,650			146,731
Major Shore, Housing, ATON, Survey and Design.....			74,510			77,550			74,900
Major Acquisition Systems Infrastructure.....			175,400			122,100			66,831
Minor Shore.....			5,000			5,000			5,000
Research and Development			20,256			4,949			5,276
Research and Development.....			20,256			4,949			5,276
Unmanned Systems.....			3,835			1,213			1,217
Arctic Operations.....			2,129			245			88
Sensor Optimization, Automation, and Visualization.....			2,993			1,282			449
Intelligence and Cyber.....			2,179			450			1,317
Waterways Management and Environmental Response.....			4,252			1,257			1,399
Operational Performance Improvements and Modeling.....			4,868			502			806
Medicare-Eligible Retiree Health Care Fund Contribution			199,360			205,107			215,787
Retired Pay			1,739,844			1,802,309			1,869,704

Department of Homeland Security Total Budget Authority									
	FY 2019 Enacted			FY 2020 Enacted			FY 2021 President's Budget		
	Pos.	FTE	\$\$\$	Pos.	FTE	\$\$\$	Pos.	FTE	\$\$\$
Boat Safety	19	19	117,261	19	19	118,882	19	19	118,002
Maritime Oil Spill Program			101,000			101,000			101,000
Funds			2,864			2,864			6,537
General Gift Fund.....			2,864			2,864			2,537
Housing Fund.....									4,000
Overseas Contingency Operations (OCO)/Global War on Terrorism			165,000			190,000			
Discretionary - Appropriation	50,141	48,791	10,111,077	50,734	49,393	9,973,815	51,151	49,837	10,235,894
Rescission of Prior Year Unobligated Balances (Discretionary - Appropriation)			(32,240)			(5,069)			(70,000)
Adjusted Discretionary - Appropriation	50,141	48,791	10,078,837	50,734	49,393	9,968,746	51,151	49,837	10,165,894
Discretionary - Fee									4,000
Discretionary - Offsetting Fee									4,000
Net Discretionary	50,141	48,791	10,111,077	50,734	49,393	9,973,815	51,151	49,837	10,235,894
Adjusted Net Discretionary	50,141	48,791	10,078,837	50,734	49,393	9,968,746	51,151	49,837	10,165,894
Mandatory - Appropriation	19	19	1,960,969	19	19	2,025,055	19	19	2,091,243
Overseas Contingency Operations (OCO)			165,000			190,000			
U.S. Secret Service	7,650	7,359	2,513,159	7,777	7,647	2,680,845			
Operations and Support	7,650	7,359	2,148,528	7,777	7,647	2,336,401			
Mission Support.....	880	812	481,977	915	884	500,453			
Protective Operations.....	3,434	3,398	884,701	3,446	3,427	1,021,437			
Protection of Persons and Facilities.....	3,048	3,037	740,895	3,047	3,037	754,527			
Protective Countermeasures.....	156	137	56,917	165	160	61,756			
Protective Intelligence.....	230	224	49,395	234	230	49,955			
Presidential Campaigns and National Special Security Events.....			37,494			155,199			
Field Operations.....	3,098	2,921	678,927	3,173	3,097	703,977			
Domestic and International Field Operations.....	3,098	2,921	647,905	3,173	3,097	667,600			
Support for Missing and Exploited Children Investigations.....			6,000			6,000			
Support for Computer Forensics Training.....			25,022			30,377			
Basic and In-Service Training and Professional Development.....	238	228	102,923	243	239	110,534			
Procurement, Construction, and Improvements			97,131			66,989			
Protection Assets and Infrastructure.....			85,286			65,989			
Protection Assets and Infrastructure End Items.....			85,286			65,989			
Operational Communications/Information Technology.....			8,845						
Information Integration & Technology Transformation (IITT).....			8,845						
Construction and Facility Improvements.....			3,000			1,000			
Construction and Facility Improvements End Items.....			3,000			1,000			
Research and Development			2,500			12,455			
Research and Development.....			2,500			12,455			
Gen2 Fully Armored Vehicle (FAV) Program.....						9,000			
Protective Systems and Weapons Testing Program.....			2,250			1,705			
Computer Emergency Response Team (CERT) Program.....			250			1,750			
Contribution for Annuity Accounts			265,000			265,000			

Department of Homeland Security Total Budget Authority									
	FY 2019 Enacted			FY 2020 Enacted			FY 2021 President's Budget		
	Pos.	FTE	\$\$\$	Pos.	FTE	\$\$\$	Pos.	FTE	\$\$\$
Discretionary - Appropriation	7,650	7,359	2,248,159	7,777	7,647	2,415,845			
Rescission of Prior Year Unobligated Balances (Discretionary - Appropriation)			(5,673)			(695)			
Adjusted Discretionary - Appropriation	7,650	7,359	2,242,486	7,777	7,647	2,415,150			
Net Discretionary	7,650	7,359	2,248,159	7,777	7,647	2,415,845			
Adjusted Net Discretionary	7,650	7,359	2,242,486	7,777	7,647	2,415,150			
Mandatory - Appropriation			265,000			265,000			
TITLE II - SECURITY, ENFORCEMENT, & INVESTIGATIONS	199,071	192,711	48,003,514	203,859	196,040	48,942,365	200,610	190,043	49,199,058
TITLE III - PREPAREDNESS AND RECOVERY									
Cybersecurity and Infrastructure Security Agency	2,469	1,976	1,681,757	2,675	2,158	2,015,622	2,698	2,235	1,757,798
Operations and Support	2,469	1,976	1,345,802	2,675	2,158	1,566,229	2,698	2,235	1,437,888
Mission Support.....	423	333	79,903	424	333	84,677	643	517	141,145
Cybersecurity.....	792	599	782,073	959	757	947,266	863	709	801,675
Cyber Readiness and Response.....	396	290	272,235	452	364	367,063			
Cyber Infrastructure Resilience.....	48	37	46,571	138	99	86,535			
Federal Cybersecurity.....	348	272	463,267	369	294	493,668			
Cyber Operations.....							581	462	407,497
Technology and Services.....							282	247	394,178
Infrastructure Security.....	706	577	202,905	713	579	223,412	176	159	88,107
Infrastructure Capacity Building.....	418	348	128,470	425	350	147,901			
Infrastructure Security Compliance.....	288	229	74,435	288	229	75,511			
Infrastructure Assessments and Security.....							176	159	88,107
Emergency Communications.....	137	113	118,069	137	113	119,001	137	113	116,430
Emergency Communications Preparedness.....	107	87	54,069	107	87	54,338	107	87	51,549
Priority Telecommunications Services.....	30	26	64,000	30	26	64,663	30	26	64,881
Integrated Operations.....	411	354	162,852	442	376	191,873	603	514	166,693
Critical Infrastructure Situational Awareness.....	56	49	27,351	75	59	26,735			
Risk Management Operations.....	183	166	77,136	183	166	109,901			
Stakeholder Engagement and Requirements.....	108	86	45,386	116	94	42,511			
Strategy, Policy, and Plans.....	64	53	12,979	68	57	12,726			
Regional Operations.....							445	364	95,105
Operations Coordination and Planning.....							158	150	71,588
Risk Management Operations.....							168	141	86,318
Risk Management Operations.....							168	141	86,318
Stakeholder Engagement and Requirements.....							108	82	37,520
Stakeholder Engagement and Requirements.....							108	82	37,520
Procurement, Construction, and Improvements			322,829			434,962			313,479
Construction and Facilities Improvements.....			15,000						
Pensacola Cory Station Facilities.....			15,000						
Cybersecurity Assets and Infrastructure.....			255,078			379,352			265,520
Continuous Diagnostics and Mitigation.....			160,000			213,514			174,350
National Cybersecurity Protection System.....			95,078			165,838			91,170
Emergency Communications Assets and Infrastructure.....			42,551			50,729			41,158
Next Generation Networks Priority Services.....			42,551			50,729			41,158
Risk Management Assets and Infrastructure.....			413						
Modeling Capability Transition Environment.....			413						
Infrastructure Security Assets and Infrastructure.....			9,787			4,881			6,801
CISA Gateway.....			9,787			4,881			6,801

Department of Homeland Security Total Budget Authority									
	FY 2019 Enacted			FY 2020 Enacted			FY 2021 President's Budget		
	Pos.	FTE	\$\$\$	Pos.	FTE	\$\$\$	Pos.	FTE	\$\$\$
Research and Development			13,126			14,431			6,431
Cybersecurity R&D.....			4,695						
Cybersecurity Technology Strategic Initiative.....			4,695						
Infrastructure Security R&D.....			3,216			1,216			1,216
Improvised Explosive Device Precursor.....			793			793			793
Infrastructure Development and Recovery (IDR).....			423			423			423
Technology Development and Deployment Program (TDDP).....			2,000						
Risk Management R&D.....			5,215			13,215			5,215
Positioning, Navigation, and Timing (PNT).....			575			575			575
Technology Development and Deployment Program (TDDP).....			640			5,640			640
National Infrastructure Simulation and Analysis Center.....			4,000			7,000			4,000
Discretionary - Appropriation	2,469	1,976	1,681,757	2,675	2,158	2,015,622	2,698	2,235	1,757,798
Rescission of Prior Year Unobligated Balances (Discretionary - Appropriation)			(1,589)			(3,915)			
Adjusted Discretionary - Appropriation	2,469	1,976	1,680,168	2,675	2,158	2,011,707	2,698	2,235	1,757,798
Net Discretionary	2,469	1,976	1,681,757	2,675	2,158	2,015,622	2,698	2,235	1,757,798
Adjusted Net Discretionary	2,469	1,976	1,680,168	2,675	2,158	2,011,707	2,698	2,235	1,757,798
Federal Emergency Management Agency	5,307	10,438	21,643,469	5,374	11,333	27,310,748	5,398	12,297	14,533,078
Operations and Support	4,216	3,685	1,066,258	4,283	3,753	1,102,199	4,300	3,802	1,134,195
Mission Support.....	1,318	1,170	492,162	1,327	1,182	508,229	1,330	1,180	511,356
Regional Operations.....	1,112	987	159,971	1,137	1,001	165,277	1,137	1,021	178,911
Mitigation.....	95	79	37,999	128	99	41,113	136	111	43,539
Preparedness and Protection.....	523	431	133,455	523	437	148,453	529	454	151,647
Response and Recovery.....	1,168	1,018	242,671	1,168	1,034	239,127	1,168	1,036	248,742
Response.....	828	735	194,419	830	742	190,114	830	744	195,950
Recovery.....	340	283	48,252	338	292	49,013	338	292	52,792
Procurement, Construction, and Improvements			133,830			133,363			86,503
Operational Communications/Information Technology.....			11,670			15,620			11,862
Integrated Public Alert and Warning System (IPAWS).....			11,670			9,620			9,862
Mobile Emergency Office Vehicles (MEOVs).....					6,000				2,000
Construction and Facility Improvements.....			71,996			59,196			30,616
Mt. Weather Facilities.....			50,496			36,496			15,496
Center for Domestic Preparedness (CDP).....			20,000			18,200			10,600
National Emergency Training Center (NETC).....			1,500			4,500			
Regional Facilities.....									4,520
Mission Support Assets and Infrastructure.....			50,164			58,547			44,025
Grants Management Modernization.....			28,081			42,106			24,083
Financial Systems Modernization.....			12,083			8,058			7,966
Enterprise Data & Analytics Modernization.....			10,000			8,383			11,626
Access Lifecycle Management System.....									350
Federal Assistance	381	370	3,135,210	381	370	3,229,467	381	370	2,482,552
Grants.....			2,858,531			2,949,000			2,326,048
State Homeland Security Grant Program.....			525,000			560,000			331,939
Urban Area Security Initiative.....			640,000			665,000			426,461
Public Transportation Security Assistance.....			100,000			100,000			36,358
Port Security Grants.....			100,000			100,000			36,358
Presidential Residence Protection Assistance.....			41,000			41,000			
Assistance to Firefighters Grants.....			350,000			355,000			344,344
Staffing for Adequate Fire and Emergency Response (SAFER) Grants.....			350,000			355,000			344,344

Department of Homeland Security Total Budget Authority									
	FY 2019 Enacted			FY 2020 Enacted			FY 2021 President's Budget		
	Pos.	FTE	\$\$\$	Pos.	FTE	\$\$\$	Pos.	FTE	\$\$\$
Emergency Management Performance Grants.....			350,000			355,000			279,335
National Security and Resilience Grant Program.....									406,909
Flood Hazard Mapping and Risk Analysis Program (RiskMAP).....			262,531			263,000			100,000
Regional Catastrophic Preparedness.....			10,000			10,000			
High Risk Dam Safety.....			10,000			10,000			
Emergency Food and Shelter.....			120,000			125,000			
Targeted Violence and Terrorism Prevention (TVTP).....						10,000			20,000
Education, Training, and Exercises.....	381	370	276,679	381	370	280,467	381	370	156,504
Center for Domestic Preparedness.....	114	109	66,057	114	109	66,796	114	109	67,326
Center for Homeland Defense and Security.....			18,000			18,000			
Emergency Management Institute.....	86	85	20,741	86	85	20,998	86	85	20,229
U.S. Fire Administration.....	136	133	44,179	136	133	46,844	136	133	49,716
National Domestic Preparedness Consortium.....			101,000			101,000			
Continuing Training Grants.....			8,000			8,000			
National Exercise Program.....	45	43	18,702	45	43	18,829	45	43	19,233
Disaster Relief Fund		5,743	12,258,000		6,563	17,863,259		7,472	5,653,366
Base Disaster Relief.....			512			509			488
Disaster Relief Category.....			5,231			6,054			6,984
National Flood Insurance Program	540	508	5,050,836	540	513	4,983,460	547	517	5,176,462
Mission Support.....	49	46	13,858	49	46	13,906	49	46	13,906
Floodplain Management and Flood Mapping.....	288	275	188,295	288	275	189,052	288	275	190,506
National Flood Insurance Fund – Mandatory.....	203	187	3,901,800	203	192	3,797,537	210	196	3,904,386
National Flood Insurance Reserve Fund.....			946,883			982,965			1,067,664
Radiological Emergency Preparedness Program	170	132	(665)	170	134	(1,000)	170	136	
Discretionary - Appropriation	4,767	4,699	4,592,633	4,834	4,766	4,975,176	4,851	4,796	4,296,667
Rescission of Prior Year Unobligated Balances (Discretionary - Appropriation)			(939)			(300,000)			
Adjusted Discretionary - Appropriation	4,767	4,699	4,591,694	4,834	4,766	4,675,176	4,851	4,796	4,296,667
Discretionary - Offsetting Fee	337	321	202,153	337	321	202,958	337	321	204,412
Discretionary - Major Disasters (DRF)		5,231	12,000,000		6,054	17,352,112		6,984	5,059,949
Net Discretionary	4,767	4,699	4,592,633	4,834	4,766	4,975,176	4,851	4,796	4,296,667
Adjusted Net Discretionary	4,767	4,699	4,591,694	4,834	4,766	4,675,176	4,851	4,796	4,296,667
Gross Discretionary	5,104	10,251	16,794,786	5,171	11,141	22,530,246	5,188	12,101	9,561,028
Adjusted Gross Discretionary	5,104	10,251	16,793,847	5,171	11,141	22,230,246	5,188	12,101	9,561,028
Mandatory - Fee	203	187	4,848,683	203	192	4,780,502	210	196	4,972,050
TITLE III PREPAREDNESS AND RECOVERY	7,776	12,414	23,325,226	8,049	13,491	29,326,370	8,096	14,532	16,290,876
TITLE IV - RESEARCH & DEVELOPMENT, TRAINING, & SERVICES									
United States Citizenship and Immigration Services	19,470	18,498	4,730,177	20,398	19,380	4,851,219	21,055	20,003	5,050,549
Operations and Support	419	398	109,688	419	398	122,395	419	398	118,676
Employment Status Verification.....	419	398	109,688	419	398	122,395	419	398	118,676
Procurement, Construction, and Improvements			22,838						
Verification Modernization (VER MOD).....			22,838						

Department of Homeland Security Total Budget Authority									
	FY 2019 Enacted			FY 2020 Enacted			FY 2021 President's Budget		
	Pos.	FTE	\$\$\$	Pos.	FTE	\$\$\$	Pos.	FTE	\$\$\$
Federal Assistance			10,000			10,000			
Citizenship and Integration Grants.....			10,000			10,000			
Immigration Examinations Fee Account	18,866	17,924	4,524,854	19,794	18,806	4,655,366	20,451	19,429	4,861,984
District Operations.....	9,032	8,580	1,883,816	9,445	8,972	1,934,033	9,771	9,282	2,044,162
Service Center Operations.....	3,806	3,616	731,654	4,054	3,852	746,687	4,194	3,985	826,737
Asylum, Refugee and International Operations.....	1,917	1,822	337,544	1,936	1,840	349,295	2,073	1,970	372,392
Records Operations.....	459	436	152,649	471	447	155,150	506	480	157,271
Premium Processing (Including Transformation).....	1,293	1,229	648,007	1,402	1,333	658,190	1,403	1,334	666,725
Information and Applicant Services.....	376	357	119,450	425	404	125,335	429	407	125,452
Administration.....	1,760	1,672	616,622	1,839	1,747	651,808	1,850	1,757	632,106
Systematic Alien Verification for Entitlements (SAVE).....	223	212	35,112	222	211	34,868	225	214	37,139
H-1B Nonimmigrant Petitioner Account			15,000			15,000			20,000
Service Center Operations.....			15,000			15,000			20,000
Fraud Prevention and Detection Account	185	176	47,797	185	176	48,458	185	176	49,889
District Operations.....	115	109	27,333	115	109	27,773	115	109	28,703
Service Center Operations.....	70	67	20,156	70	67	20,377	70	67	20,878
Asylum, Refugee and International Operations.....			308			308			308
Discretionary - Appropriation	419	398	142,526	419	398	132,395	419	398	118,676
Rescission of Prior Year Unobligated Balances (Discretionary - Appropriation)			(321)			(1,815)			
Adjusted Discretionary - Appropriation	419	398	142,205	419	398	130,580	419	398	118,676
Net Discretionary	419	398	142,526	419	398	132,395	419	398	118,676
CHIMP			(4,000)			(4,000)			(4,000)
Adjusted Net Discretionary	419	398	138,205	419	398	126,580	419	398	114,676
Mandatory - Fee	19,051	18,100	4,587,651	19,979	18,982	4,718,824	20,636	19,605	4,931,873
Federal Law Enforcement Training Centers	1,095	1,068	328,819	1,108	1,081	351,170	1,084	1,053	331,479
Operations and Support	1,095	1,068	277,876	1,108	1,081	292,997	1,084	1,053	305,479
Mission Support.....	223	217	29,195	239	233	29,288	239	233	29,640
Law Enforcement Training.....	872	851	248,681	869	848	263,709	845	820	275,839
Procurement, Construction, and Improvements			50,943			58,173			26,000
Construction and Facility Improvements.....			50,943			58,173			26,000
USBP Tactical Awareness Training Center.....			2,064						
Modular Dormitories.....			16,220			52,764			
Tactical Venues.....			21,483						
Modular Classrooms/Offices.....			11,176			2,832			
Water/Sewer Enhancements.....						2,577			
Purchase of Lease Doms.....									26,000
Discretionary - Appropriation	1,095	1,068	328,819	1,108	1,081	351,170	1,084	1,053	331,479
Rescission of Prior Year Unobligated Balances (Discretionary - Appropriation)			(46)			(313)			
Adjusted Discretionary - Appropriation	1,095	1,068	328,773	1,108	1,081	350,857	1,084	1,053	331,479
Net Discretionary	1,095	1,068	328,819	1,108	1,081	351,170	1,084	1,053	331,479
Adjusted Net Discretionary	1,095	1,068	328,773	1,108	1,081	350,857	1,084	1,053	331,479

Department of Homeland Security Total Budget Authority									
	FY 2019 Enacted			FY 2020 Enacted			FY 2021 President's Budget		
	Pos.	FTE	\$\$\$	Pos.	FTE	\$\$\$	Pos.	FTE	\$\$\$
Science and Technology Directorate	513	473	819,785	507	499	737,275	456	456	643,729
Operations and Support	513	473	308,520	507	499	314,864	456	456	284,789
Mission Support.....	372	342	138,058	374	366	143,632	323	323	108,287
Laboratory Facilities.....	141	131	121,952	133	133	122,722	133	133	123,030
Acquisition and Operations Analysis.....			48,510			48,510			53,472
Procurement, Construction, and Improvements									18,927
Laboratory Facilities.....									18,927
Plum Island Closure and Sale.....									18,927
Research and Development			511,265			422,411			340,013
Research, Development, and Innovation.....			470,765			381,911			318,267
Border Security Thrust Area.....			118,637			114,113			89,533
Chemical, Biological, and Explosive Defense Thrust Area.....			73,701			67,032			45,284
Counter Terrorist Thrust Area.....			48,020			44,515			31,251
Cyber Security / Information Analysis Thrust Area.....			71,301			29,500			24,091
First Responder / Disaster Resilience Thrust Area.....			92,927			71,515			53,416
Innovative Research and Foundational Tools Thrust Area.....			66,179			55,236			74,692
University Programs.....			40,500			40,500			21,746
Centers of Excellence.....			37,104			37,104			18,350
Minority Serving Institutions (MSI).....			3,396			3,396			3,396
Discretionary - Appropriation	513	473	819,785	507	499	737,275	456	456	643,729
Rescission of Prior Year Unobligated Balances (Discretionary - Appropriation)			(533)			(273)			
Adjusted Discretionary - Appropriation	513	473	819,252	507	499	737,002	456	456	643,729
Net Discretionary	513	473	819,785	507	499	737,275	456	456	643,729
Adjusted Net Discretionary	513	473	819,252	507	499	737,002	456	456	643,729
Countering Weapons of Mass Destruction	248	232	434,897	248	232	432,299	286	266	377,160
Operations and Support	248	232	187,095	248	232	179,467	286	266	172,875
Mission Support.....	248	232	83,919	248	232	85,380	286	266	83,485
Capability and Operational Support.....			103,176			94,087			89,390
Procurement, Construction, and Improvements			100,096			118,988			87,413
Portable Detection Systems.....			25,200			27,000			26,615
Large Scale Detection Systems.....			74,896			91,988			60,798
Research and Development			83,043			69,181			58,209
Transformational Research and Development.....			37,002			21,081			23,892
Transformational Research and Development.....			37,002			21,081			23,892
Technical Forensics.....			7,100			7,100			
Technical Forensics.....			7,100			7,100			
Detection Capability Development.....			30,941			33,000			24,317
Detection Capability Development.....			30,941			33,000			24,317
Rapid Capabilities.....			8,000			8,000			10,000
Rapid Capabilities.....			8,000			8,000			10,000
Federal Assistance			64,663			64,663			58,663
Training, Exercises, and Readiness.....			9,110			14,470			14,470
Securing the Cities.....			30,000			24,640			13,640
Biological Support.....			25,553			25,553			30,553

Department of Homeland Security Total Budget Authority									
	FY 2019 Enacted			FY 2020 Enacted			FY 2021 President's Budget		
	Pos.	FTE	\$\$\$	Pos.	FTE	\$\$\$	Pos.	FTE	\$\$\$
Discretionary - Appropriation	248	232	434,897	248	232	432,299	286	266	377,160
Rescission of Prior Year Unobligated Balances (Discretionary - Appropriation)			(18,248)			(1,596)			
Adjusted Discretionary - Appropriation	248	232	416,649	248	232	430,703	286	266	377,160
Net Discretionary	248	232	434,897	248	232	432,299	286	266	377,160
Adjusted Net Discretionary	248	232	416,649	248	232	430,703	286	266	377,160
Gross Discretionary	248	232	434,897	248	232	432,299	286	266	377,160
Adjusted Gross Discretionary	248	232	416,649	248	232	430,703	286	266	377,160
TITLE IV RESEARCH & DEVELOPMENT, TRAINING, & SERVICES	21,326	20,271	6,313,678	22,261	21,192	6,371,963	22,881	21,778	6,402,917
DEPARTMENT OF HOMELAND SECURITY	234,331	231,134	81,045,464	240,427	236,558	88,407,203	237,864	232,326	75,884,021
Discretionary - Appropriation	199,707	192,356	52,119,370	205,337	196,558	53,773,677	201,076	189,477	52,992,008
Rescission of Prior Year Unobligated Balances (Discretionary - Appropriation)			(103,260)			(753,677)			(70,000)
Rescission of Prior Year Unobligated Balances (Treasury Forfeiture Fund)			(200,051)						
Total Rescissions			(303,311)			(753,677)			(70,000)
Adjusted Discretionary - Appropriation (Less: Rescissions)	199,707	192,356	51,816,059	205,337	196,558	53,020,000	201,076	189,477	52,922,008
Discretionary - Fee	1,667	1,758	263,941	1,367	1,367	276,000	1,367	1,367	332,332
Discretionary - Offsetting Fee	2,608	2,493	4,799,909	2,608	2,493	5,009,539	2,691	2,576	5,889,726
Discretionary - Major Disasters (DRF)		5,231	12,000,000		6,054	17,352,112		6,984	5,059,949
Net Discretionary	201,374	194,114	49,713,311	206,704	197,925	51,219,677	202,443	190,844	49,785,677
Adjusted Net Discretionary (Less: Rescissions and CHIMP)	201,374	194,114	49,406,000	206,704	197,925	50,462,000	202,443	190,844	49,711,677
Gross Discretionary	203,982	201,838	66,678,220	209,312	206,472	73,771,328	205,134	200,404	60,735,352
Adjusted Gross Discretionary (Less: Rescissions)	203,982	201,838	66,370,909	209,312	206,472	73,013,651	205,134	200,404	60,661,352
Mandatory - Appropriation	19	19	2,475,969	19	19	2,540,055	19	19	2,341,243
Mandatory - Fee	30,330	29,277	11,891,275	31,096	30,067	12,095,820	32,711	31,903	12,807,426
Overseas Contingency Operations (OCO)			165,000			190,000			