



Implementation Status of Public Recommendations

Supplement to Annual Budget Justification for Fiscal
Year 2021

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Fiscal Year 2019 Report to Congress



Homeland
Security



Implementation Status of Public Recommendations Supplement to Annual Budget Justification for Fiscal Year 2021

Table of Contents

I.	Legislative Requirement	1
II.	Background.....	3
III.	Implementation Status of GAO’s Public Recommendations	4
	A. Recommendations “Closed, Unimplemented”	4
	B. Recommendations “Open”.....	10
IV.	Implementation Status of OIG’s Public Recommendations	137
	A. Recommendations “Closed, Unimplemented”	137
	B. Recommendations “Open”.....	140
V.	Recommendation Discrepancies.....	225
VI.	Determining Whether to Implement Recommendations Less Than 12 Months Old ...	226

I. Legislative Requirement

This report responds to the reporting requirements set forth in section 2(b) of the Good Accounting Obligation in Government Act (P.L. 115-414), which provides:

- (b) **REQUIRED REPORTS.**—In the annual budget justification submitted to Congress, as submitted with the budget of the President under section 1105 of title 31, United States Code, each agency shall include—
- (1) a report listing each public recommendation of the Government Accountability Office that is designated by the Government Accountability Office as “open” or “closed, unimplemented” for a period of not less than 1 year preceding the date on which the annual budget justification is submitted;
 - (2) a report listing each public recommendation for corrective action from the Office of Inspector General of the agency that—
 - (A) was published not less than 1 year before the date on which the annual budget justification is submitted; and
 - (B) for which no final action was taken as of the date on which the annual budget justification is submitted; and
 - (3) a report on the implementation status of each public recommendation described in paragraphs (1) and (2), which shall include—
 - (A) with respect to a public recommendation that is designated by the Government Accountability Office as “open” or “closed, unimplemented”—
 - (i) that the agency has decided not to implement, a detailed justification for the decision; or
 - (ii) that the agency has decided to adopt, a timeline for full implementation, to the extent practicable, if the agency determines that the recommendation has clear budget implications;
 - (B) with respect to a public recommendation for corrective action from the Office of Inspector General of the agency for which no final action or action not recommended has been taken, an explanation of the reasons why no final action or action not recommended was taken with respect to each audit report to which the public recommendation for corrective action pertains;
 - (C) with respect to an outstanding unimplemented public recommendation from the Office of Inspector General of the agency that the agency has decided to adopt, a timeline for implementation;
 - (D) an explanation for any discrepancy between—
 - (i) the reports submitted under paragraphs (1) and (2);
 - (ii) the semiannual reports submitted by the Office of Inspector General of the agency under section 5 of the Inspector General Act of 1978 (5 U.S.C. App.); and
 - (iii) reports submitted by the Government Accountability Office relating to public recommendations that are designated by the

Government Accountability Office as “open” or “closed, unimplemented”; and

- (E) for the first 12 months after a public recommendation is made, if the agency is determining whether to implement the public recommendation, a statement describing that the agency is doing so, which shall exempt the agency from the requirements under subparagraphs (B) and (C) with respect to that public recommendation.

(c) COPIES OF SUBMISSIONS.—Each agency shall provide a copy of the information submitted under subsection (b) to the Government Accountability Office and the Office of Inspector General of the agency.

II. Background

This report, submitted pursuant to Section 2(b) of P.L. 115-414, provides a description of the implementation status of each public recommendation from the U.S. Government Accountability Office (GAO) and the Department of Homeland Security (DHS) Office of Inspector General (OIG) that was more than 1 year old as of September 30, 2019 (a natural cutoff date for report preparation and submission with the Department's annual fiscal year (FY) budget justification), and designated as "open." This report also provides a justification for the decision not to implement recommendations that GAO closed as "unimplemented" from March 19, 2019, to September 30, 2019.¹

Office of Management and Budget (OMB) Circular A-50 (Revised), "Audit Follow-up," describes the policies and procedures that the executive agencies should use when considering reports issued by OIG, GAO, and other auditors where followup is necessary.

DHS Delegation #00109, "Delegation to the Under Secretary for Management (USM) to Act as the Audit Follow-up and Resolution Office for OIG Recommendations," designates the USM as the Department's followup and resolution official for OIG audit reports and recommendations.

DHS Designation #00-00901, "U.S. Department of Homeland Security Designations," designates the USM as the Department's follow-up and resolution official for GAO audit reports and recommendations.

DHS's implementation of OMB Circular A-50 (Revised) is governed by:

- DHS Directive 077-01, "Follow-Up and Resolution for Office of Inspector General Report Recommendations,"
- DHS Instruction 077-01-001, "Instruction on Follow-Up and Resolution for Office of Inspector General Report Recommendations,"
- DHS Directive 077-02, "Relations with the U.S. Government Accountability Office (Revision # 02)," and
- DHS Instruction 077-02-001, "Relations with the U.S. Government Accountability Office."

This report presents the status of the applicable recommendations as of and through September 30, 2019.

¹ Justification for decisions not to implement recommendations that GAO closed as "unimplemented" from October 1, 2013, to March 18, 2019, were addressed during the FY 2020 reporting period.

III. Implementation Status of GAO's Public Recommendations

A. Recommendations "Closed, Unimplemented"

From March 19, 2019, to September 30, 2019, there were seven public recommendations to DHS that GAO designated as "closed, unimplemented." These recommendations are listed below along with the justification for not implementing them.

DHS strictly adheres to a self-imposed practice of not closing any GAO recommendations without first reaching agreement with GAO staff to do so and has followed this practice since 2010. This provides additional confidence to Congress and the public that DHS took appropriate actions to implement these recommendations or otherwise to resolve any disagreements.

Component	Report Number	Report Title	Report Received Date	Rec #	Date Closed
Recommendation			Narrative of Implementation Status		
CBP	GAO-09-824	Border Patrol: Checkpoints Contribute to Border Patrol's Mission, but More Consistent Data Collection and Performance Measurement Could Improve Effectiveness	08/31/2009	3	7/30/2019
To improve the reliability and accountability of checkpoint performance results to the Congress and the public, the Commissioner of Customs and Border Protection should implement the quality of life measures that have already been identified by the Border Patrol to evaluate the impact that checkpoints have on local communities. Implementing these measures would include identifying appropriate data sources available at the local, state, or federal level, and developing guidance for how data should be collected and used in support of these measures.			In May 2019, the United States Border Patrol (USBP) changed its approach to this recommendation. Specifically, instead of implementing quality-of-life measures – which would not be feasible and would be outside the USBP mission – USBP has identified nine performance measures for protection of communities that are currently captured in the suite of enforcement systems that are utilized by USBP. Data can be queried from the systems to provide various statistics to create awareness of Checkpoint operations at the Headquarters level and at Sector/Station levels. GAO closed this recommendation as not implemented in August 2019.		
CBP	GAO-09-824	Border Patrol: Checkpoints Contribute to Border Patrol's Mission, but More Consistent Data Collection and Performance Measurement Could Improve Effectiveness	08/31/2009	4	7/30/2019
To improve the reliability and accountability of checkpoint performance results to the Congress and the public, the Commissioner of Customs and Border Protection should use the information generated from the quality of life measures in conjunction with other relevant factors to inform resource allocations and address identified impacts.			In May 2019, USBP changed its approach to this recommendation. Specifically, instead of implementing quality-of-life measures – which would not be feasible and would be outside the USBP mission – USBP drafted requirements to develop a query for capturing checkpoint operations data to gauge real-time situational awareness and to make decisions based on the current operational		

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Recommendation			Narrative of Implementation Status		
			tempo. This statistical data will allow Sectors to account for data integrity issues and to identify and/or correct information based on the data provided and a checkpoint's ability to affect the area of influence. GAO closed this recommendation as not implemented in August 2019.		
CBP	GAO-09-824	Border Patrol: Checkpoints Contribute to Border Patrol's Mission, but More Consistent Data Collection and Performance Measurement Could Improve Effectiveness	08/31/2009	6	7/30/2019
To ensure that the checkpoint design process results in checkpoints that are sized and resourced to meet operational and community needs, the Commissioner of Customs and Border Protection should, in connection with planning for new or upgraded checkpoints, conduct a workforce planning needs assessment for checkpoint staffing allocations to determine the resources needed to address anticipated levels of illegal activity around the checkpoint.			As part of the Congressional mandate, the first Personnel Requirements Determination staffing model/tools have been completed. This decision support tool can be used to estimate personnel requirements for successful workforce planning in multiple ways: 1) Expert input; 2) workload and condition factors and 3) Time-In-Function data to determine full-time equivalents. The models analyze missions; workload and conditions; staffing shortfalls to establish relationships between these variables for projecting staffing requirements to model effects of staffing across functions, Sectors, and Stations; and provide a reliable and valid tool for depicting and managing staffing to workload. The initial use of the Staffing Model/Decision Support Tool will reside at Headquarters, Washington, D.C., and subsequently will be piloted at Sector level to foster field use and acceptance and to identify improvements to achieve the most efficient, effective, and cost-effective operational outcomes. GAO closed this recommendation as not implemented in August 2019, stating that it will not address staffing below the sector level and		

Component	Report Number	Report Title	Report Received Date	Rec #	Date Closed
Recommendation			Narrative of Implementation Status		
			therefore not result in a workforce planning needs assessment that can be applied specifically to checkpoint operations.		
FEMA	GAO-11-297	FEMA: Action Needed to Improve Administration of the National Flood Insurance Program	06/09/2011	7	7/17/2019
To improve FEMA's policies, procedures, and systems for achieving NFIP's program goals, we recommend that the Secretary of DHS direct the FEMA Administrator: establish timelines for and complete the development and implementation of FEMA's revised acquisition process, in line with the DHS Acquisition Directive 102-01, including a rollout process with staff training and a mechanism to better ensure that all acquisitions undergo the necessary reviews.			In August 2017, the Federal Emergency Management Agency (FEMA) ceased the development of its revised acquisition process before it was completed because this revised process was duplicative of the DHS directive it was meant to replace, and therefore no longer needed. GAO closed this recommendation as not implemented in August 2019, stating that FEMA had not yet provided documentation justifying this determination or demonstrating that the other elements of the recommendation (providing training and ensuring that all acquisitions undergo the necessary reviews) had been addressed some other way.		
ICE	GAO-15-153	IMMIGRATION DETENTION Additional Actions Needed to Strengthen Management and Oversight of Facility Costs and Standards	10/10/2014	1	9/16/2019
assess the extent to which ICE has appropriate internal controls for tracking and managing detention facility costs and develop additional controls as necessary;			The U.S. Immigration and Customs Enforcement (ICE) Budget Office and Enforcement and Removal Operations (ERO) have the ability to track detention facility costs for all detention facilities within the DHS financial system. The ICE Budget Office developed unique codes within the financial systems for each detention facility that are used to record costs associated for each detention facility. This enables ICE to run queries and reports to track facility costs. In addition, documentation on the reports/tool used to review funding balances, obligations, commitments, expenditures, facility		

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Recommendation			Narrative of Implementation Status		
			utilization, population and capacity, average daily population projections, and fund exhaustion on detention contracts was provided to GAO to demonstrate that these capabilities provide greater transparency into the status of financials at each facility. GAO moved forward with closing the recommendation as not implemented due to the length of time it had been open.		
ICE	GAO-15-153	IMMIGRATION DETENTION Additional Actions Needed to Strengthen Management and Oversight of Facility Costs and Standards	10/10/2014	4	9/16/2019
document the reasons facilities cannot be transitioned to the most recent standards;			The 2011 Performance-Based National Detention Standards (PBNDS 2011) established consistent conditions, program operations, and management expectations within the ICE detention system. This recommendation mandated ICE to document the reasons why detention facilities cannot be transitioned to PBNDS 2011. ICE believed that it had appropriately documented the rationale for the decisions made during its implementation of PBNDS 2011. The Joint Explanatory Statement to the Consolidated Appropriations Act, 2019, Pub. L. No. 116-6, requires the ICE Director to continue to report to the Committees at least 30 days in advance of entering into any new or significantly modified detention contract or other detention agreement that does not meet or exceed the PBNDS 2011. Each report must include the justification for why the contract or agreement requires a different standard other than PBNDS 2011. GAO moved forward with closing the recommendation as not implemented due to the length of time.		

Component	Report Number	Report Title	Report Received Date	Rec #	Date Closed
Recommendation			Narrative of Implementation Status		
USCG	GAO-15-195	COAST GUARD: Timely Actions Needed to Address Risks in Using Rotational Crews	03/06/2015	8	8/2/2019
To ensure that the Coast Guard is making progress in developing alternative measures that provide more accurate indicators of operational performance in a timely manner, we recommend that the Coast Guard establish time frames and interim milestones for developing and implementing these alternative measures for use prior to CRC testing. These measures could then be used for both the NSCs, as well as for other cutters, such as the OPC, that currently use or plan to use the traditional DAFHP performance measure.			Since the Crew Rotation Concept (CRC) is no longer being pursued as a crewing model, the U.S. Coast Guard (USCG) requested and GAO agreed to close this recommendation as not implemented in March 2019.		

B. Recommendations “Open”

As of September 30, 2019, 277 GAO public recommendations were designated as “open” for a period of not less than 1 year (i.e., since September 30, 2018). These recommendations are listed below along with a description of the actions taken, ongoing, or planned to address them, an estimated completion date (ECD), and a brief discussion of resource and budgetary implications, as appropriate.

Component	Report Number	Report Title	Report Received Date	Rec #	Estimated Completion Date (or Date Closed)
Recommendation			Narrative of Implementation Status		
CBP	GAO-13-603	U.S.-Mexico Border: CBP Action Needed to Improve Wait Time Data and Measure Outcomes of Trade Facilitation Efforts	07/24/2013	3	9/30/2020
To better ensure that CBP's OFO's staffing processes are transparent and to help ensure CBP can demonstrate that these resource decisions have effectively addressed CBP's mission needs, we recommend that the Commissioner of CBP document the methodology and process OFO uses to allocate staff to land ports of entry on the southwest border, including the rationales and factors considered in making these decisions.			U.S. Customs and Border Protection (CBP) has developed a tool to allocate staff to land border ports of entry. CBP is working to address the elements identified by GAO in its response to CBP's February 20, 2019, closure request. GAO indicated that to satisfy the intent of the recommendation, CBP will need to (1) adopt the tool and (2) demonstrate that the methodology and process used to allocate staff to land ports of entry, including rationales and factors considered, are documented.		
CBP	GAO-14-165SU / GAO-14-368	ARIZONA BORDER SURVEILLANCE TECHNOLOGY PLAN: Additional Actions Needed to Strengthen Management and Assess Effectiveness	03/12/2014	6	6/30/2020
Once data on asset assists are required to be recorded and tracked, analyze available data on apprehensions and seizures and technological assists, in combination with other relevant performance metrics or indicators, as appropriate, to determine the contribution of surveillance technologies to CBPs border security efforts.			USBP provided GAO information that describes the current process that USBP management utilizes to make informed technology procurement decisions and ultimately how technology is tracked, analyzed, procured, and deployed. GAO requested that CBP continue to provide information on how certain reports are utilized to help to inform resource decisions.		
CBP	GAO-15-521	Unaccompanied Alien Children: Actions Needed to Ensure Children Receive Required Care in DHS Custody	07/14/2015	1	12/31/2019

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Recommendation			Narrative of Implementation Status		
To better ensure that DHS complies with TVPRA requirements for training, screening, and transferring UAC to HHS, we recommend that the Secretary of Homeland Security direct the Commissioner of U.S. Customs and Border Protection to: develop and implement TVPRA training for OFO officers at airports who have substantive contact with UAC;			CBP Office of Policy updated the Form 93 and corresponding guidance. The reference guidance for Form 93 has been provided to the operators to develop and finalize the training outlined in the open recommendations 1, 3, 4 and 5. The CBP Office of Field Operations (OFO) worked closely with the CBP Offices of Training and Development (OTD) and Chief Counsel to implement the revised Trafficking Victims Protection Reauthorization Act (TVPRA) training. The training course is currently being tested and evaluated by OTD. Upon completion of the testing phase, the course will be published in the Performance and Learning Management System.		
CBP	GAO-16-514	IMMIGRATION DETENTION: Additional Actions Needed to Strengthen DHS Management of Short-Term Holding Facilities	05/26/2016	2	8/31/2019
The Secretary of Homeland Security should direct CBP and ICE to develop and issue guidance on how and which compliant mechanisms should be communicated to individuals in custody at holding facilities.			On 8/22/2019, CBP submitted the Zero Tolerance of Sexual Abuse Poster, Final CBP Prison Rape Elimination Act (PREA) Directive and DHS PREA Final Rule Federal Register to support closure of this recommendation. ICE previously submitted documentation to GAO to support closure and GAO agreed that ICE had met the intent of the recommendation.		
CBP	GAO-16-542	Antidumping and Countervailing Duties: CBP Action Needed to Reduce Duty Processing Errors and Mitigate Nonpayment Risk	07/14/2016	1	10/31/2019
That the CBP Commissioner issue guidance directing ACT to collect and analyze data on a regular basis to identify and address the causes of liquidations that occur contrary to the process or outside the 6-			CBP provided GAO evidence that it has updated its guidance for processing antidumping/countervailing duty (AD/CVD) liquidations and that it has developed specialized reports in its		

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		month time frame mandated by statute, track progress on reducing such liquidations, and report any effects these liquidations may have on revenue.	<p>Automated Commercial Environment to manage the processing of AD/CVD liquidations. CBP also has provided more than 2 years' worth of evidence showing that it collects and tracks deemed liquidation information. CBP's self-inspection reports indicate that compliance with requirements to liquidate AD/CVD entries within statutory timeframes improved from FY 2017 to FY 2018. However, GAO indicated that CBP has not provided evidence that it tracks premature liquidations or that it collects and reports data on the revenue effects of deemed and premature liquidations. GAO also provided that to close the recommendation, CBP would need to provide evidence that it (1) continues to track the number of deemed liquidations in FY 2019; (2) tracks the number of premature liquidations; and (3) collects and reports data on the revenue effects of deemed and premature liquidations.</p> <p>As noted by GAO, CBP has already provided 2 full years of evidence (2017 & 2018) and part-year data for FY 2019 that it collects and tracks deemed liquidation information. CBP feels that this is satisfactory evidence that CBP has been tracking and will continue to track this data. CBP's analyses show that the number of deemed liquidations decreased from about 28,139 entries in FY 2017 to 2,500 in FY 2018.</p> <p>CBP has met with GAO on several occasions regarding this recommendation. During these meetings, CBP has articulated to the GAO that it cannot track the revenue effects of such liquidations. While CBP collects and analyze data on deemed and premature liquidations, it does not analyze the revenue impact of such liquidations. Capturing and analyzing the revenue data on</p>		

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			<p>premature and deemed liquidations would be a manual, labor-intensive process that CBP does not feel is a prudent use of its resources. CBP has provided that it cannot determine the revenue impact of premature liquidations due to the nature of premature liquidations. Premature liquidations do not have a final Department of Commerce order and the order may not be issued for years, which means the revenue impact cannot be determined readily.</p> <p>CBP's resources have been focused on improving compliance and accuracy with the AD/CVD liquidation process. The most important measure for CBP for the accuracy of the AD/CVD liquidation process is the extent to which premature and deemed liquidations are occurring. CBP does not ignore the revenue impact of deemed and premature liquidations, as CBP guidance prioritizes work and resources for processing individual AD/CVD liquidation instructions to avoid deemed liquidations and to minimize the loss of revenue. CBP does collect data on the number of deemed liquidations and the data provided shows that CBP's efforts on improving compliance have been successful with fewer deemed liquidations occurring each year.</p>		
CBP	GAO-16-542	Antidumping and Countervailing Duties: CBP Action Needed to Reduce Duty Processing Errors and Mitigate Nonpayment Risk	07/14/2016	2	8/31/2019
That the CBP Commissioner regularly conduct a comprehensive risk analysis that assesses both the likelihood and the significance of risk factors related to AD/CV duty collection.			Development and documentation of initial risk-based bonding methodology to mitigate AD/CVD nonpayment is complete. The initial additional AD/CVD single transaction bond (STB) risk-		

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			based bonding implementation, which strategically uses the risk assessment to mitigate AD/CVD duty nonpayment on entries with heightened risk, is expected by the end of CY 2019. The STB implementation will inform the long-term plan for continuous bond enhancements. CBP has provided evidence that documents the development of the initial risk-based bonding methodology for continuous bonds and single transaction bonds. The current methodology is focused on risk for nonpayment or default on AD/CVDs owed. CBP plans to expand the model to additional priority trade risk areas and to identify relevant risk factors to integrate into this risk-based bonding methodology. CBP plans to follow this established methodology regularly for this risk analysis after initial implementation of risk-based bonding has been completed. In August 2019, CBP requested closure of this recommendation.		
CBP	GAO-16-542	Antidumping and Countervailing Duties: CBP Action Needed to Reduce Duty Processing Errors and Mitigate Nonpayment Risk	07/14/2016	3	3/31/2020
That CBP should, consistent with U.S. law and international obligations, take steps to use its data and risk assessment strategically to mitigate AD/CV duty nonpayment, such as by using predictive risk analysis to identify entries that pose heightened risk and taking appropriate action to mitigate the risk.			Development and documentation of initial risk-based bonding methodology to mitigate AD/CVD nonpayment is complete and will be modified as needed. The initial additional AD/CVD STB risk-based bonding implementation, which strategically uses the risk assessment to mitigate AD/CVD nonpayment on entries with heightened risk, is expected by the end of the first quarter of FY 2020. The STB implementation will inform the long-term plan for continuous bond enhancements.		

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CBP	GAO-16-646SU / GAO-17-216	BORDER SECURITY: CBP Aims to Prevent High-Risk Travelers from Boarding U.S. Bound Flights, but Needs to Evaluate Program Performance	09/29/2016	1	11/30/2019
That the Commissioner of CBP develop and implement a system of performance measures and baselines to evaluate the effectiveness of CBP's predeparture programs and assess whether the programs are achieving their stated goals.			CBP's OFO Pre-departure Programs has completed data assembly and computation of the base-line year results for FY 2018 for the CBP Pre-departure measures developed. CBP OFO has set preliminary targets for FY 2019 based on the FY 2018 baseline year Pre-departure Program results, has compared FY 2019 results to the FY 2018 baseline to assess variability, and has made adjustments to FY 2019 preliminary targets in order to set final targets for FY 2020 and beyond. CBP OFO also has refined the measure definitions to clarify the language.		
CBP	GAO-17-167SU / GAO-17-331	SOUTHWEST BORDER SECURITY: Additional Actions Needed to Better Assess Fencing's Contributions to Operations and Provide Guidance for Identifying Capability Gaps	12/22/2016	1	9/30/2021
Develop metrics to assess the contributions of pedestrian and vehicle fencing to border security along the southwest border using the data Border Patrol already collects and apply this information, as appropriate, when making investment and resource allocation decisions.			The metrics within the Operational Control (OPCON) framework have been incorporated into Master Concepts of Operations (CONOPS) Planning Guidance. The guidance will be distributed to leadership at all USBP sectors, which then will write their CONOPS based on the planning guidance, developing plans for addressing all three OPCON elements: Situational Awareness, Law Enforcement Response and Resolution; and Impedance and Denial. The CONOPS will include metrics from the OPCON framework that will help to gauge how well sectors are able to		

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			execute against the three OPCON elements. As the OPCON framework is still a work in progress that is being tested, as CBP gathers data over the next 2 years, CBP will be able to identify if these metrics are representing realities in the field accurately. CBP expects that 3 years of data should allow USBP to determine if the metrics identified will be an effective means to measure OPCON.		
CBP	GAO-17-205SU / GAO-17-474	BORDER SECURITY: Additional Actions Could Strengthen DHS Efforts to Address Subterranean, Aerial, and Maritime Smuggling	02/03/2017	2	12/31/2019
That the Secretary of Homeland Security direct the CBP-ICE tunnel committee to convene and establish standard operating procedures for addressing cross-border tunnels, including procedures for sharing information.			CBP continues to nonconcur with the recommendation. USBP has explained the reasons the procedures for tunnels must remain at the local Sector level within the respective agency's control based on the missions that USBP and ICE have; interdiction versus investigation. USBP Sectors and ICE consistently communicate and collaborate on challenges and rely on existing memoranda of understanding (MOU) for sharing of information, as well as the Jaime Zapata Border Enforcement Security Task Force Act, Pub. L. No. 112-205, which authorized the Border Enforcement Security Task Force units. USBP and ICE will continue to share the belief that developing joint standard operating procedures for crossborder tunnels is unattainable given the distinct and differing missions of each organization. In an August 2019 meeting, GAO requested that CBP reach out to ICE on this recommendation. CBP will meet with ICE to determine current status and whether both parties continue to nonconcur. CBP then will schedule a joint CBP/ICE meeting with GAO to review the status of this recommendation.		

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CBP	GAO-17-205SU / GAO-17-474	BORDER SECURITY: Additional Actions Could Strengthen DHS Efforts to Address Subterranean, Aerial, and Maritime Smuggling	02/03/2017	3	12/31/2020
That the Secretary of Homeland Security direct the Commissioner of CBP to assess and document how the alternative technological solutions being considered will fully meet operational needs related to ultralight aircraft.			The overarching strategy for air domain awareness is to develop a system for persistent wide area surveillance that encompasses multiple sensor technologies to address a wide variety of existing/emerging threats, which is a long-term strategic goal. Air and Marine Operations (AMO) is conducting a technical assessment of current and future sensor capabilities specifically addressing the ultralight threat.		
CBP	GAO-17-205SU / GAO-17-474	BORDER SECURITY: Additional Actions Could Strengthen DHS Efforts to Address Subterranean, Aerial, and Maritime Smuggling	02/03/2017	5	11/30/2019
That the Secretary of Homeland Security direct the Commissioner of CBP to establish and monitor performance targets related to ultralight aircraft.			CBP provided a table and a chart to GAO in its update submitted to GAO on 2/15/2019. Proposed performance measure has been drafted and is in CBP coordination.		
CBP	GAO-17-252SU / GAO-17-470	INTERNATIONAL AIR TRAVELERS: CBP Collaborates with Stakeholders to Facilitate the Arrivals Process, but Could Strengthen Reporting of Airport Wait Times	02/28/2017	1	4/30/2020
To Improve the usefulness of airport wait time data that CBP currently reports on its public website; DHS Secretary direct the CBP Commissioner to report airport wait time data for different categories of travelers.			In May 2018, CBP modified its public website to differentiate airport wait times for U.S. citizens and non-U.S. citizens. In July 2018, CBP developed a new website to provide wait times in real time, and in August 2018 completed ground-truth testing at		

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			20 of the top U.S. airports to validate the data in the new website. These tests revealed that additional work was needed to ensure data validity. CBP is working with the DHS Science & Technology Directorate to evaluate other technologies to fulfill these requirements. CBP provided an update on these efforts to GAO on 8/22/2019, and currently is working to answer follow-up questions posed by GAO after that meeting.		
CBP	GAO-17-419SU / GAO-17-650	SUPPLY CHAIN SECURITY: CBP Needs to Enforce Compliance and Assess Effectiveness of the Importer Security Filing and Additional Carrier Requirements	05/18/2017	1	11/30/2019
Enforce the ISF rule requirements that carriers provide CSMs to CBP when targeters identify CSM noncompliance.			On 2/12/2019, a Cargo Systems Messaging Service (CSMS) was issued to inform the public of the planned enforcement date and an updated Importer Security Filing (ISF) frequently asked questions document was published on cbp.gov. CBP believes that it has satisfied the intent of the recommendation and on 2/20/2019, CBP requested closure. CBP met with GAO regarding this recommendation on 8/22/2019 and on 9/17/2019 to answer clarifying questions from GAO. After these discussions, GAO reiterated its expectation that CBP provide "evidence of specific enforcement actions taken in response to identified container status message noncompliance."		
CBP	GAO-17-419SU / GAO-17-650	SUPPLY CHAIN SECURITY: CBP Needs to Enforce Compliance and Assess Effectiveness of the Importer Security Filing and Additional Carrier Requirements	05/18/2017	3	12/31/2019

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Identify and collect additional performance information of the impact of the ISF data, such as the identification of shipments containing contraband, to better evaluate the effectiveness of the ISF program.			CBP OFO will analyze ISF data from a targeting standpoint and review how risk was mitigated for unmanifested containers before arrival.		
CBP	GAO-17-439SU / GAO-17-618	CUSTOMS AND BORDER PROTECTION: Improved Planning Efforts Needed to Strengthen Trade Enforcement	04/27/2017	1	12/31/2019
To strengthen CBP's trade enforcement efforts, the Commissioner of CBP should direct the Office of Trade to include performance targets, when applicable, in addition to performance measures in its Priority Trade Issue strategic and annual plans.			On 8/21/2019, CBP submitted the FY 2019 Priority Trade Issue annual plans as evidence that it has met the intent of the recommendation and has requested closure.		
CBP	GAO-17-439SU / GAO-17-618	CUSTOMS AND BORDER PROTECTION: Improved Planning Efforts Needed to Strengthen Trade Enforcement	04/27/2017	2	6/30/2020
To strengthen CBP's trade enforcement efforts, the Commissioner of CBP should direct the Office of Trade and the Office of Field Operations to develop a long-term hiring plan that articulates how CBP will reach its staffing targets for trade positions set in the Homeland Security Act and the agency's resource optimization model.			CBPOFO and Office of Trade (OT) are developing a formal hiring plan for trade enforcement positions under each office's purview. The development of an actual plan with milestones is being coordinated with subject matter experts at the CBP Hiring Center. OTs and OFOs plans will guide the process of hiring for trade positions in order to meet the targets laid out in the Homeland Security Act of 2002.		
CBP	GAO-17-605SU / GAO-18-72	FACILITY SECURITY: Agencies Should Improve Methods for Assessing and Monitoring Risk (GAO-17-605SU)	08/09/2017	1	11/30/2019
That the CBP Commissioner update the Security Policy and Procedures Handbook to include Interagency Security Committee's			Physical Security Policies and Procedures Handbook (PSPPH) annexes were sent to key CBP stakeholders, comments have been		

Component	Report Number	Report Title	Report Received Date	Rec #	Estimated Completion Date (or Date Closed)
Recommendation			Narrative of Implementation Status		
(ISC) Risk Management Process for Federal facilities requirement to assess all undesirable events, consider all three factors of risk, and document deviations from the standard.			reviewed, and edits were made to those sections. The draft PSPPH cleared legal review; CBP/Office of Professional Responsibility (OPR) is routing the PSPPH for executive signature in October 2019. Once complete, CBP will publish the final, signed revision of the PSPPH.		
CBP	GAO-17-605SU / GAO-18-72	FACILITY SECURITY: Agencies Should Improve Methods for Assessing and Monitoring Risk (GAO-17-605SU)	08/09/2017	2	11/30/2019
That the CBP Commissioner update the Security Policy and Procedures Handbook to include data collection and analysis requirements for monitoring the performance of its physical security program.			PSPPH annexes were sent to key CBP stakeholders, comments have been reviewed, and edits were made to those sections. The draft PSPPH cleared legal review; CBP OPR is routing the PSPPH for executive signature in October 2019. Once complete, CBP will publish the final, signed revision of the PSPPH.		
CBP	GAO-17-606	INTERNATIONAL MAIL SECURITY: Costs and Benefits of Using Electronic Data to Screen Mail Need to be Assessed	08/31/2017	1	10/31/2018
The Secretary of Homeland Security direct the Commissioner of U.S. Customs and Border Protection (CBP), in conjunction with the U.S. Postal Service (USPS) to: Establish measurable performance goals for pilot programs and assess the performance of the pilots in achieving these goals.			CBP completed development of a data analytical tool, which OFO has been using to do comparative analysis on a monthly basis against equivalent information from USPS pertaining to presentment rate. CBP also established measurable performance goals for the presentment rate. On 8/27/2019, GAO asked CBP to review closure language for this recommendation. CBP reviewed and cleared and awaits closure notification from GAO.		
CBP	GAO-17-606	INTERNATIONAL MAIL SECURITY: Costs and Benefits of Using Electronic Data to Screen Mail Need to be Assessed	08/31/2017	2	3/31/2019

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The Secretary of Homeland Security direct the Commissioner of U.S. Customs and Border Protection (CBP), in conjunction with the U.S. Postal Service (USPS) to: Evaluate the relative costs and benefits of collecting electronic advance data for targeting mail for inspection in comparison to other methods.			CBP performed an analysis of the international mail security Advanced Electronic Data (AED). On 3/29/2019, CBP requested closure of the recommendation and provided GAO with the AED analysis. On 8/27/2019, GAO provided CBP with closure language to review for sensitivity and public posting. CBP reviewed and cleared and awaits closure notification from GAO.		
CBP	GAO-17-649	FOREIGN TRADE ZONES: CBP Should Strengthen Its Ability to Assess and Respond to Compliance Risks across the Program	07/26/2017	2	10/4/2019
To strengthen CBP's ability to assess and respond to compliance risks across the FTZ program, GAO recommend that the Commissioner of CBP conduct a risk analysis of the FTZ program using data across FTZs, including an analysis of the likelihood and significance of compliance violations and enforcement actions.			GAO officially closed this recommendation in the time since the universe of open recommendations aged more than 1 year on 9/30/2019 was identified.		
CBP	GAO-17-649	FOREIGN TRADE ZONES: CBP Should Strengthen Its Ability to Assess and Respond to Compliance Risks across the Program	07/26/2017	3	12/31/2019
To strengthen CBP's ability to assess and respond to compliance risks across the FTZ program, GAO recommend that the Commissioner of CBP utilize the results of the program-wide risk analysis to respond to identified risks, such as updating risk assessment tools and developing best practices for CBP's FTZ compliance review and risk categorization system.			The final draft of the Foreign Trade Zone Compliance Review Handbook has been completed and is under review. A new risk assessment form and compliance review checklist are included in the handbook. These updates include subject matter expert best practices provided by the Virtual Bonded Facilities Working Group. CBP/OFO/Cargo Security and Controls is anticipating dissemination to the field in December 2019.		

Component	Report Number	Report Title	Report Received Date	Rec #	Estimated Completion Date (or Date Closed)
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CBP	GAO-17-66	BORDER PATROL: Actions Needed to Improve Oversight of Post-Apprehension Consequences	01/12/2017	1	9/30/2020
The Chief of Border Patrol should strengthen the methodology for calculating recidivism such as by using an alien's apprehension history beyond one fiscal year and excluding aliens for whom there is no record of removal and who may remain in the United States.			CBP nonconcurred with this recommendation. In May and June 2018, as well as in August 2019, CBP and GAO met to discuss this recommendation. USBP officials and GAO discussed recidivism rates across multiple years and metrics. In June 2018, USBP sent slides with a tacit understanding that the Consequence Delivery System (CDS) slides, which were instrumental in closing a similar OIG recommendation.		
CBP	GAO-17-66	BORDER PATROL: Actions Needed to Improve Oversight of Post-Apprehension Consequences	01/12/2017	2	8/31/2019
The Chief of Border Patrol should collect information on reasons agents do not apply the CDS guides' Most Effective and Efficient consequences to assess the extent that agents' application of these consequences can be increased and modify development of CDS guides, as appropriate.			The CDS Program Management Office has finalized its annual re-evaluation internal standard operating procedures (SOP). The SOPs institutionalize the practice of collecting, documenting, and recording situations where the most effective and efficient consequence was not applied. Taken together with previously provided documentation that demonstrates the information collected about these situations, CBP requested closure in August 2019.		
CBP	GAO-17-774SU/GAO-18-214	Nuclear Security: CBP Needs to Take Action to Ensure Imported Radiological Material Is Properly Licensed	09/28/2017	1	12/31/2019
The Commissioner of CBP should develop a monitoring system to help ensure that CBP officials comply with license verification policies and procedures.			CBP Laboratories & Scientific Services (LSS) continues internal coordination with OT and OFO to modify alerts and evaluate effectiveness and impact. OT has identified potential impacts to		

Component	Report Number	Report Title	Report Received Date	Rec #	Estimated Completion Date (or Date Closed)
Recommendation			Narrative of Implementation Status		
			modified alerts and is working closely with LSS and OFO to address the issues.		
CBP	GAO-17-774SU/GAO-18-214	Nuclear Security: CBP Needs to Take Action to Ensure Imported Radiological Material Is Properly Licensed	09/28/2017	3	12/31/2019
The Commissioner of CBP should develop a system that better identifies shipments of radiological material that pose the greatest risk and revise CBP's policies and procedures as necessary to verify licenses for these shipments.			CBP LSS continues internal coordination with OT and OFO to modify alerts and to evaluate effectiveness and impact. OT has identified potential impacts to modified alerts and is working closely with LSS and OFO to address the issues.		
CBP	GAO-18-11	Southwest Border Security: Actions Needed to Enhance CBP's Maintenance of Roads Used For Its Operations	10/31/2017	2	4/30/2020
The Commissioner of CBP should clearly document the process and criteria for making decisions on funding non-owned operational requirements and communicate this process to Border Patrol sectors.			CBP continues to work on enhancing the existing prioritization strategy, which includes exploring implementation of a new prioritization modeling tool and methodology. Discussions on how and if the aforementioned model will be effective as a prioritization tool have been delayed due to several other internal priorities. Therefore, and based on leadership guidance, the prioritization strategy and methodology will be delayed.		
CBP	GAO-18-11	Southwest Border Security: Actions Needed to Enhance CBP's Maintenance of Roads Used For Its Operations	10/31/2017	3	10/30/2019
The Commissioner of CBP should assess the feasibility of options for addressing the maintenance of nonfederal public roads. This should include a review of data needed to determine the extent of its reliance on non-owned roads for border security operations.			GAO officially closed this recommendation in the time since the universe of open recommendations aged more than 1 year on 9/30/2019 was identified.		

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CBP	GAO-18-205	Illicit Opioids: While Greater Attention Given to Combating Synthetic Opioids, Agencies Need to Better Assess their Efforts	03/29/2018	1	12/31/2019
<p>The Commissioner of CBP should, in consultation with the Executive Director of CBP's LSSD and the Laboratory Directors, assess volume and risk at each port of entry to determine those with the greatest need for resources, use this information as a basis for staff allocations, and document its risk-based, staff allocation process to ensure that CBP and LSSD priorities can be accomplished as effectively and efficiently as possible.</p>			<p>The Final Assessment Report for the JFK/Memphis Pilot (regarding on-site support) has been completed. In continuation of the Operations Support, LSS Risk Matrix, and methodology, LSS is working with the Pacific Northwest National Laboratory's Applied Statistics and Computational Modeling/Operations Research to identify high-level strategic options and to build an initial prototype model for determining ports of entry with the greatest need for LSS resources and risk-based staff/resource allocations.</p>		
CBP	GAO-18-216	INTELLECTUAL PROPERTY: Agencies Can Improve Efforts to Address Risks Posed by Changing Counterfeit Market	01/30/2018	1	1/31/2020
<p>The Commissioner of CBP should take steps to evaluate the effectiveness of CBP's IPR enforcement efforts, such as by improving its metrics to track the overall effectiveness of its IPR enforcement efforts, evaluating selected activities to enhance IPR enforcement, and developing a process to assess and share information on port-led initiatives to enhance IPR enforcement.</p>			<p>CBP OT has posted the topline FY 2018 Intellectual Property Rights (IPR) statistics on CBP.gov. In the near future, OT will post more detailed information and data in the FY 2018 IPR Seizure Statistics publication on CBP.gov. This annual publication is the primary way that CBP tracks and informs the public of its efforts and results. The upcoming publication will contain information and data regarding many of the indicators set forth the FY 2018 IPR Strategic Plan. In addition to expanding the amount of information and data that is included in the annual IPR statistics publication, CBP is working with the Commercial Customs Operations Advisory Committee IPR Working Group on ways to</p>		

Component	Report Number	Report Title	Report Received Date	Rec #	Estimated Completion Date (or Date Closed)
Recommendation			Narrative of Implementation Status		
			provide data more regularly to the public. This work is described in the first of six recommendations included in the working group's 2/27/2019 list of recommendations.		
CBP	GAO-18-216	INTELLECTUAL PROPERTY: Agencies Can Improve Efforts to Address Risks Posed by Changing Counterfeit Market	01/30/2018	2	1/31/2020
The Commissioner of CBP in consultation with ICE, should assess what, if any, additional information would be beneficial to share with the private sector and, as appropriate, take action to enhance information sharing, where possible, such as by proposing regulatory revisions or requesting additional legal authorities from Congress.			On 8/27/2019, CBP published a Notice of Proposed Rulemaking pertaining to disclosure of information regarding merchandise bearing suspected counterfeit trademarks. The proposed amendment would create a procedure for the disclosure of information otherwise protected by the Trade Secrets Act to a trademark owner when merchandise bearing suspected counterfeit trademarks has been abandoned voluntarily. Once all comments are received, CBP will analyze the comments to determine further action.		
CBP	GAO-18-268	U.S. PORTS OF ENTRY: CBP Public-Private Partnership Programs Have Benefits, but CBP Could Strengthen Evaluation Efforts	03/15/2018	1	7/31/2019
The CBP Commissioner should develop and implement an evaluation plan to be used to assess the overall performance of the RSP and DAP, which could include, among other things, measurable objectives, performance criteria, evaluation methodologies, and data collection plans to inform future program decisions.			CBP OFO provided GAO with the plan to assess overall performance of the Reimbursable Services Program (RSP) and Donations Acceptance Program (DAP), to include all necessary measurement and evaluation components to inform future program decisions. CBP requested closure of this recommendation. OFO discussed this recommendation with GAO on 10/9/2019 during the entrance conference for the FY 2019 iteration of this annual review, GAO 103796, "U.S. Customs and Border Protection (CBP)		

Component	Report Number	Report Title	Report Received Date	Rec #	Estimated Completion Date (or Date Closed)
Recommendation			Narrative of Implementation Status		
			Public-Private Partnerships.” GAO indicated that it would close this as part of the report process for the 2019 review.		
CBP	GAO-18-405	DHS Components Could Improve Monitoring of the Employee Misconduct Process	08/30/2018	1	11/30/2019
The Commissioner of CBP should revise policy or guidance to ensure documentation of required control activities in its case management system, such as legal review of adverse actions, and data verification.			The data verification check sheet has been incorporated into the CBP OPR Investigative Operations Division (IOD) Special Agent Internal Operating Procedures (IOP) and was communicated to all Criminal Investigators for their awareness in September 2019.		
CBP	GAO-18-405	DHS Components Could Improve Monitoring of the Employee Misconduct Process	08/30/2018	2	11/30/2019
The Commissioner of CBP should require staff to document investigative findings (e.g., whether an allegation is substantiated) in the case management system, and document and disseminate associated referral procedures for adjudication.			The internal protocols establishing when and how a case should be referred to Labor and Employee Relations (LER) for adjudication were added to OPRIOD Special Agent Internal Operating Procedures (IOP) and were communicated to all Criminal Investigators for their awareness in September 2019.		
CBP	GAO-18-405	DHS Components Could Improve Monitoring of the Employee Misconduct Process	08/30/2018	4	12/31/2020
The Commissioner of CBP should monitor the duration of all cases beginning-to-end by stage and by case type.			CBP OPR is working on completing and implementing a new case management system that will allow for better monitoring, tracking, and data analysis.		
CBP	GAO-18-405	DHS Components Could Improve Monitoring of the Employee Misconduct Process	08/30/2018	5	12/31/2020

Component	Report Number	Report Title	Report Received Date	Rec #	Estimated Completion Date (or Date Closed)
Recommendation			Narrative of Implementation Status		
The Commissioner of CBP should monitor the timeliness of misconduct cases according to established targets for management inquiries, administrative inquiries, and criminal and non-criminal investigations using case management system data.			CBP OPR is working on completing and implementing a new case management system that will allow for better monitoring, tracking, and data analysis. In the interim, OPR is sending case data to the Office of Human Resource Management's Human Resources Business Engine on a daily basis for all cases in which OPR has completed an investigation.		
CBP	GAO-18-405	DHS Components Could Improve Monitoring of the Employee Misconduct Process	08/30/2018	6	12/31/2020
The Commissioner of CBP should define and document the case management system data fields to be used for monitoring all established performance targets and provide related guidance to staff.			CBP OPR is working on completing and implementing a new case management system that will allow for better monitoring, tracking, and data analysis. The data fields used to measure performance within the Executive Dashboard will be in the new case management system.		
CBP	GAO-18-487	U.S. Customs and Border Protection Progress and Challenges in Recruiting, Hiring, and Retraining Law Enforcement Personnel	06/27/2018	1	11/21/2019
The Commissioner of CBP should ensure that its operational components systematically collect and analyze data on departing law enforcement officers and use this information to inform retention efforts.			GAO officially closed this recommendation in the time since the universe of open recommendations aged more than 1 year on 9/30/2019 was identified.		
CBP	GAO-18-489SU/GAO-18-614	Southwest Border Security: CBP Is Evaluating Designs and Locations for Border Barriers, but Is Proceeding Without Key Information	06/12/2018	1	9/30/2019

Component	Report Number	Report Title	Report Received Date	Rec #	Estimated Completion Date (or Date Closed)
Recommendation			Narrative of Implementation Status		
The Commissioner of CBP should analyze the costs associated with future barrier segments and include cost as a factor in the Impedance and Denial Prioritization Strategy.			CBP has outlined the extent to which it utilizes the Impedance and Denial Prioritization Strategy to prioritize investments in future barrier segments and has highlighted the potential consequences of revising the strategy in precisely the manner recommended by GAO. CBP has requested closure for this recommendation and met with GAO on 8/22/2019 to discuss this closure request. GAO stated that it will take the information provided earlier this year, the results of the August discussion, coordinate with GAO's acquisition staff, and follow up with CBP on resolution. CBP is awaiting the follow-up response from GAO.		
CBP	GAO-18-550	DHS ACQUISITIONS: Additional Practices Could Help Components Better Develop Operational Requirements	08/08/2018	1	12/31/2019
The Commissioner of Customs and Border Protection through the Executive Assistant Commissioner for Operations Support finalizes and promulgates the Customs and Border Protection's draft policy for requirements development			CBP Operations Support, Capabilities and Requirements Division (CRD) completed a directive that defines the process for Capability and Requirements Development and that establishes roles and defines the tasks to be performed. This directive will ensure that CBP as an organization follows a singular process and that the necessary people are in place to govern this process. As of 9/17/2019, the directive has been reviewed and approved by almost all components within CBP. CRD currently is awaiting feedback from only one component and when returned, comments will be adjudicated and the document signed. This is expected to occur before the end of calendar year 2019.		
CBP	GAO-18-550	DHS ACQUISITIONS: Additional Practices Could Help Components Better Develop Operational Requirements	08/08/2018	2	1/31/2020

Component	Report Number	Report Title	Report Received Date	Rec #	Estimated Completion Date (or Date Closed)
Recommendation			Narrative of Implementation Status		
The Commissioner of Customs and Border Protection through the Executive Assistant Commissioner for Operations Support updates the 2013 workforce assessment to account for the independent requirements organization's current workforce needs.			The workforce assessment was reviewed and approved on 10/11/2018 by the Executive Director, Planning Analysis Requirements & Evaluation Directorate, Operations Support, who is an authorized representative of the Component Requirements Executive as outlined in the Component Requirements Executive Delegation Order dated 1/3/2018. The workforce assessment has completed CBP review and was provided to GAO for review. GAO subsequently requested additional supporting documentation, which CBP is working to provide.		
CISA	GAO-14-15	GPS DISRUPTIONS: Efforts to Assess Risks to Critical Infrastructure and Coordinate Agency Actions Should Be Enhanced	11/06/2013	1	3/31/2020
Increase the reliability and usefulness of the GPS risk assessment by developing a plan and time frame to collect relevant threat, vulnerability, and consequence data for the various critical infrastructure sectors, and periodically review the readiness of data to conduct a more data-driven risk assessment while ensuring that DHS's assessment approach is more consistent with the NIPP.			On 8/26/2019, the Cybersecurity and Infrastructure Security Agency (CISA) informed GAO that DHS, as required by the National Defense Authorization Act (NDAA) of FY 2017, conducted a Positioning, Navigation, and Timing (PNT) “requirements” and “user needs” set of studies, and an Analysis of Alternatives (non-acquisition level Aloe). These studies currently are being analyzed and used to generate the legislatively mandated congressional report. Pending submission of the report to Congress, DHS cannot release the findings. Additionally, this report to Congress will be coordinated through OMB once approved and signed by the Secretaries of DHS and the Department of Transportation (DOT).		

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Recommendation			Narrative of Implementation Status		
CISA	GAO-14-15	GPS DISRUPTIONS: Efforts to Assess Risks to Critical Infrastructure and Coordinate Agency Actions Should Be Enhanced	11/06/2013	2	3/31/2020
As part of current critical infrastructure protection planning with SSAs and sector partners, develop and issue a plan and metrics to measure the effectiveness of GPS risk mitigation efforts on critical infrastructure resiliency.			On 8/26/2019, CISA pointed out to GAO that critical infrastructure is owned and operated by private companies and their information regarding system configuration is considered proprietary. Additionally, CISA noted that during the process of DHS' studies regarding PNT matters, mitigation measures taken by these companies revealed that they were unwilling to share their specific mitigation data/measures. Since DHS does not have regulatory authority to mandate private companies to comply to a DHS-developed Risk Mitigation Plan that includes metrics for effectiveness, DHS is working to develop an internal PNT Strategy (still in draft) that will help users of PNT within its Components and subcomponents who use PNT, to manage risk. CISA believes that this will be an example for the public and private sectors to follow voluntarily. The strategy, once finalized and approved, will have DHS' internal goals and objectives to strengthen resilience for PNT users. CISA has yet to hear from GAO with a response to the above information.		
CISA	GAO-14-15	GPS DISRUPTIONS: Efforts to Assess Risks to Critical Infrastructure and Coordinate Agency Actions Should Be Enhanced	11/06/2013	3	3/31/2020
Establish a formal, written agreement that details how the agencies plan to address their shared responsibility. This agreement should address uncertainties, including clarifying and defining DOT's and			On 8/26/2019, CISA submitted an explanation stating that this action should be closed, as there is no need for a formal, written agreement that details how the agencies plan to address their		

Component	Report Number	Report Title	Report Received Date	Rec #	Estimated Completion Date (or Date Closed)
Recommendation			Narrative of Implementation Status		
		DHS's respective roles, responsibilities, and authorities; establishing clear, agreed-upon outcomes; establishing how the agencies will monitor and report on progress toward those outcomes; and setting forth the agencies' plans for examining relevant issues, such as the roles of SSAs and industry, how NSPD-39 fits into the NIPP risk management framework, whether an update to the NSPD-39 is needed, or other issues as deemed necessary by the agencies.	shared responsibility with the passing of the National Timing Resilience and Security Act of 2018, Sec. 514, part of the Frank LoBiondo Coast Guard Authorization Act of 2018, Pub. L. No. 115-282. The law states that DOT has the responsibility to provide an alternative timing system and to provide a follow-on complementary and backup positioning and navigation capability to the timing component of GPS. CISA has yet to hear from GAO with a response to the above information.		
CISA	GAO-14-507	Critical Infrastructure Protection: DHS Action Needed to Enhance Integration and Coordination of Vulnerability Assessment Efforts	09/03/2014	5	9/30/2020
analyze the key CI security-related assessment tools and methods offered by SSAs and other federal agencies to determine the areas they capture; and			The Congress and the Administration established CISA to lead the national effort to protect critical infrastructure. CISA requested that GAO reopen this recommendation as CISA is now postured to lead the development of such guidance for the community. CISA developed a project plan in May 2019 to develop a guide that meets both the recently opened recommendation in 14-507 and accounts for environmental changes for which CISA was established. CISA stood up a Protection and Resiliency Assessment Working Group comprised of more than 50 public and private members to leverage the collective knowledge from sectors, regions, Information Sharing and Analysis Centers (ISAC), federal agencies, and Federally Funded Research and Development Centers (FFRDC). Phase I for the working group ran from June through October 2019 to gather best practices, tools, tactics, and procedures, and to compare these across the lifecycle of a protection assessment and the infrastructure, cybersecurity, and		

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Recommendation			Narrative of Implementation Status		
			emergency communications mission domains. Additional work is ongoing to synthesize risk and cybersecurity doctrine and terminology. CISA's next step is to develop a Guide for Conducting Protection Assessments of Critical Infrastructure and a Lexicon for the Protection and Resiliency of Critical Infrastructure. The estimated completion date for those products is September 2020.		
CISA	GAO-16-243	CRITICAL INFRASTRUCTURE PROTECTION: Federal Agencies Have Taken Actions to Address Electromagnetic Risks, but Opportunities Exist	03/24/2016	2	3/31/2020
To more fully leverage critical infrastructure expertise and address responsibilities to identify critical electrical infrastructure assets as called for in the National Infrastructure Protection Plan, the Secretary of Homeland Security and the Secretary of Energy direct responsible officials to review FERC's electrical infrastructure analysis and collaborate to determine whether further assessment is needed to adequately identify critical electric infrastructure assets, potentially to include additional elements of criticality that might be considered.			Per Section 6(a)(i) of the Executive Order (EO) on "Coordinating National Resilience to Electromagnetic Pulses" issued on March 26, 2019, CISA, through the National Risk Management Center (NRMC), has developed a framework for identification of critical infrastructure whose disruption could lead to national or regional impacts. This identification includes: (a) Identification of key individual facilities and assets; (b) Identification of continental U.S.- or regional-spanning networks; (c) Identification of local networks with architectures that are replicated nationwide; (d) Development of equipment hierarchies for 1b and 1c to isolate key systems, subsystems, and devices that could lead to common-mode failures that potentially would disrupt a substantial part of the network. CISA requested that the Department of Energy's Office (DOE) of Cybersecurity, Energy Security, and Emergency Response (CESER) complete this identification for all infrastructures within their Sector-Specific Agencies (SSA) responsibilities (specifically electric, natural gas, and petroleum).		

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Recommendation			Narrative of Implementation Status		
			The most recent update from DOE/CESER is that DOE's analysis is still in the concurrence process in DOE. No interim drafts have been provided to DHS, but CISA will continue to communicate with a DOE point-of-contact to identify the interim milestones so that CISA can finalize the report and then reengage with GAO to attempt to close this recommendation.		
CISA	GAO-16-43SU / GAO-16-294	Information Security: DHS Needs to Enhance Capabilities, Improve Planning, and Support Greater Adoption of Its National Cybersecurity Protection System	11/19/2015	5	12/31/2019
		US-CERT to develop a timetable for finalizing the incident notification process, to ensure that customer agencies are being sent notifications of potential incidents, which clearly solicit feedback on the usefulness and timeliness of the notification.	The National Cybersecurity Protection System (NCPS) uses the same feedback forms as the rest of CSD as the official avenue (https://www.us-cert.gov/forms/feedback). Each ticket sent to a customer agency includes an analysis report with instructions on how to provide feedback. The language is broad to ensure coverage of all published products including our alerts or (initial network analysis reports) and recommendations provided. Additionally, feedback also is received through other channels such as phone calls, remedy tickets, or whichever method the customer prefers.		
CISA	GAO-16-43SU / GAO-16-294	Information Security: DHS Needs to Enhance Capabilities, Improve Planning, and Support Greater Adoption of Its National Cybersecurity Protection System	11/19/2015	6	12/31/2019
		The Office of Cybersecurity and Communications to develop metrics that clearly measure the effectiveness of NCPS's efforts, including the quality, efficiency, and accuracy of supporting actions related to	NCPS defined DHS metrics and measures for NCPS' 12 Key Performance Parameters for the areas being measured (detection, prevention, analytics, information sharing). In order to prove that		

Component	Report Number	Report Title	Report Received Date	Rec #	Estimated Completion Date (or Date Closed)
Recommendation			Narrative of Implementation Status		
		detecting and preventing intrusions, providing analytic services, and sharing cyber-related information.	the metrics are collected, NCPS has provided GAO with an Excel spreadsheet of metrics used to pull reports. NCPS also provided the E3A Indicator Study (Unclassified/For Official Use Only (FOUO) version of the report), E3A Initial Operational Test & Evaluation report, NCPS E3A ADE-3 Letter of Assessment, and E3A Follow-on Operational Test & Evaluation report, all analytical studies conducted on the effectiveness of EINSTEIN. Given this information, CISA requested GAO consider closing the recommendation on 11/1/2019.		
CISA	GAO-16-43SU / GAO-16-294	Information Security: DHS Needs to Enhance Capabilities, Improve Planning, and Support Greater Adoption of Its National Cybersecurity Protection System	11/19/2015	9	5/30/2019
		NSD to work with their customer agencies and the Internet service providers to document secure routing requirements in order to better ensure the complete, safe, and effective routing of information to NCPS sensors.	CISA released the Trusted Internet Connections (TIC) guidance that provides agencies with increased flexibility to use modern security capabilities. This guidance/memorandum also establishes a process for ensuring the TIC initiative is agile and responsive to advancements in technology and rapidly evolving threats. Based on the detailed information provided in this document, CISA believes this measure adequately meets the intent of this recommendation and has requested that GAO consider this recommendation closed-implemented as of 11/1/2019.		
CISA	GAO-16-681	EMERGENCY COMMUNICATIONS	07/14/2016	2	3/31/2020
		Establish a mechanism to track progress by the ECPC member agencies in implementing the ECPO's recommendations,	GAO denied CISA's request to close the recommendation based on the documents submitted on 10/25/2019. Specifically, the Emergency Communications Preparedness Center's (ECPC) Strategy and the FY 2019 Work Plan. To close recommendation as		

Component	Report Number	Report Title	Report Received Date	Rec #	Estimated Completion Date (or Date Closed)
Recommendation			Narrative of Implementation Status		
			implemented, GAO is requesting additional information that demonstrates CISA's ability to provide a mechanism to track progress by the ECPC's member agencies in implementing focus group recommendations.		
CISA	GAO-16-79	Critical Infrastructure Protection: Sector-Specific Agencies Need to Better Measure Cybersecurity Progress	11/19/2015	1	11/30/2019
Secretary of Homeland Security direct responsible officials to develop performance metrics to provide data and determine how to overcome challenges to monitoring the chemical, commercial facilities, communications, critical manufacturing, dams, emergency services, information technology, and nuclear sectors' cybersecurity progress.			The CISA Cybersecurity Advisor (CSA) Program issues a Post-Assessment Questionnaire to individual stakeholders that participate in CSA-led cybersecurity assessments. These questionnaires are sent 180 days after completion of an assessment to participating entities of all sectors and are assessment-specific. CISA compiles responses to this survey quarterly, identifying which organizations have planned, scheduled, or implemented options for consideration as a result of the CSA-led assessment. Using this post-assessment questionnaire, CISA has implemented a formal outcome measure, "Percent of Critical Infrastructure customers reporting implementation of at least one recommendation following a Department of Homeland Security (DHS) cybersecurity assessment." CISA believes this measure adequately meets the intent of this recommendation and has requested that GAO consider this recommendation closed-implemented as of 10/31/2019.		
CISA	GAO-17-163	Cybersecurity: DHS's National Integration Center Generally Performs Required Functions but Needs to Evaluate Its Activities More Completely	02/01/2017	2	3/30/2020

Component	Report Number	Report Title	Report Received Date	Rec #	Estimated Completion Date (or Date Closed)
Recommendation			Narrative of Implementation Status		
Develop metrics for assessing adherence to applicable principles in carrying out statutorily required functions.			CISA has made progress toward developing and refining performance indicators to assess mission effectiveness. Two new measures were developed in FY 2019 with an additional three being considered for FY 2020. Additionally, CISA has implemented a Quarterly Performance Review process to track the progress of mission effectiveness and to review these strategic performance measures as well as program-level measures. These reviews were initiated in FY 2019 Quarter 1 and are conducted on a quarterly basis. CISA is working to map all of its measures to its principles and functions using tools provided by GAO that should meet the requirement to close this recommendation.		
CISA	GAO-17-163	Cybersecurity: DHS's National Integration Center Generally Performs Required Functions but Needs to Evaluate Its Activities More Completely	02/01/2017	3	3/30/2020
Establish methods for monitoring the implementation of cybersecurity functions against the principles on an ongoing basis.			CISA has made progress toward developing and refining performance indicators to assess mission effectiveness. Two new measures were developed in FY 2019 with an additional three being considered for FY 2020. Additionally, CISA has implemented a Quarterly Performance Review process to track the progress of mission effectiveness and to review these strategic performance measures as well as program-level measures. These reviews were initiated in FY 2019 Quarter 1 and are conducted on a quarterly basis. GAO stated that CISA met the intent of the recommendation but that CISA still needs to provide a complete map all of its measures to its principles and functions using the matrix provided by GAO for recommendation 2.		

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CISA	GAO-17-163	Cybersecurity: DHS's National Integration Center Generally Performs Required Functions but Needs to Evaluate Its Activities More Completely	02/01/2017	4	10/31/2020
Integrate information related to security incidents to provide management with more complete information about NCCIC operations.			CISA is working to develop and refine business process models, workflows, and technical requirements to be implemented to the Unified Workflow solution. GAO requested a demonstration of the developed Unified Workflow Incident Management capability (when available) to provide an accurate depiction of the implemented solution. The capability demonstration should include the workflow of information received from an external customer, triaged for tasking, prioritized against the National Cybersecurity and Communications Integration Center (NCCIC) schema, and addressed by the applicable analyst. Since it was recognized that the initial operating capability (IOC) will not be developed in the near-term, in the interim, quarterly updates will be provided to include the latest status and progress of developmental activities.		
CISA	GAO-17-163	Cybersecurity: DHS's National Integration Center Generally Performs Required Functions but Needs to Evaluate Its Activities More Completely	02/01/2017	5	9/30/2020
Determine the necessity of reducing, consolidating, or modifying the points of entry used to communicate with NCCIC to better ensure that all incident tickets are logged appropriately.			CISA is working to develop and refine business process models, workflows, and technical requirements to be implemented to the Unified Workflow solution. The GAO team requested a demonstration of the developed Unified Workflow Incident Management capability (when available) to provide an accurate depiction of the implemented solution. The capability		

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			demonstration should include the workflow of information received from an external customer, triaged for tasking, prioritized against the CISA Operations Center schema, and addressed by the applicable analyst. Since it was recognized that IOC will not be developed in the near-term, in the interim, quarterly updates will be provided to include the latest status and progress of developmental activities.		
CISA	GAO-17-163	Cybersecurity: DHS's National Integration Center Generally Performs Required Functions but Needs to Evaluate Its Activities More Completely	02/01/2017	6	12/31/2019
Develop and implement procedures to perform regular reviews of customer information to ensure that it is current and reliable.			CISA provided GAO with the Homeland Security Information Network (HSIN) Terms of Service and discussed the specifics of how the system works and is operated. In addition, CSA is including documentation from GovDelivery, which CISA uses to share Traffic Light Protocol White information to its 277,000 subscribers. The GovDelivery subscription database is a standalone Federal Risk and Authorization Management Program-compliant system. Finally, regarding account validation, a confirmation email is sent to the email address provided by the user. If the link in that email is not followed within 24 hours, the email address is deleted from the database. Based on the evolution of the organization from when GAO first conducted this audit, the supporting documentation, and the additional information and clarification provided during following meetings, CISA believes this recommendation is ready to be closed and will present this information to GAO in December 2019.		

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CISA	GAO-17-163	Cybersecurity: DHS's National Integration Center Generally Performs Required Functions but Needs to Evaluate Its Activities More Completely	02/01/2017	7	11/30/2019
Take steps to ensure the full representation of the owners and operators of the nation's most critical cyber-dependent infrastructure assets.			CISA continues to improve its relationship with key critical infrastructure asset owners by integrating the customer engagement functions, which enhances the overall relationships between asset owners and DHS. CISA also leverages the connections of the ISACs, HSIN customer log, and the Cybersecurity Information Sharing and Collaboration Program (CISCP) agreements to provide crucial information to companies across all sectors, including Section 9 entities. CISA will provide a product to GAO by 12/31/2019 to show how these resources are helping CISA reach close to 100-percent representation of the Nation's most critical cyber-dependent infrastructure assets.		
CISA	GAO-17-163	Cybersecurity: DHS's National Integration Center Generally Performs Required Functions but Needs to Evaluate Its Activities More Completely	02/01/2017	8	10/31/2020
Establish plans and time frames for consolidating or integrating the legacy networks used by NCCIC analysts to reduce the need for manual data entry.			CISA is working to develop and refine business process models, workflows, and technical requirements to be implemented to the Unified Workflow solution. GAO requested a demonstration of the developed Unified Workflow Incident Management capability (when available) to provide an accurate depiction of the implemented solution. The capability demonstration should include the workflow of information received from an external customer, triaged for tasking, prioritized against the NCCIC		

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Recommendation			Narrative of Implementation Status		
			schema, and addressed by the applicable analyst. Since it was recognized that IOC will not be developed in the near-term, in the interim, quarterly updates will be provided to include the latest status and progress of developmental activities.		
CISA	GAO-17-182	CRITICAL INFRASTRUCTURE PROTECTION: Additional Actions by DHS Could Help Identify Opportunities to Harmonize Access Controls	02/07/2017	1	10/31/2019
That the DHS Secretary direct the Assistant Secretary of Infrastructure Protection, Office of Infrastructure Protection to explore with key critical infrastructure partners, whether and what opportunities exist to harmonize federally-administered screening and credentialing access control efforts across critical infrastructure sectors.			CISA, through its Infrastructure Security Division (ISD), recently completed the "Critical Infrastructure Partnership Advisory Council, Critical Infrastructure Vetting Working Group Charter." CISA is now awaiting confirmation from GAO to determine whether the recommendation can be closed as implemented.		
CISA	GAO-17-787R / GAO-18-173R	Emergency Communications: Overlap and Views on the Effectiveness of Organizations Promoting the Interoperability of Equipment	10/30/2017	1	3/31/2020
The Secretary of Homeland Security should direct that OEC examine the composition and functioning of SAFECOM to determine whether all relevant stakeholder groups are adequately represented and their views adequately expressed and considered through memberships in the organizations executive committees, subcommittees, working groups, or other means.			CISA and GAO held a conference call on 9/20/2019 to discuss a closeout of this recommendation. Based on the discussion and a detailed SAFECOM report that outlines the process by which SAFECOM audits and analyzes its membership, GAO emailed on 10/22/2019 that it has enough supporting documentation to close recommendation. CISA is awaiting official notification of closure.		

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Recommendation			Narrative of Implementation Status		
CISA	GAO-18-211	Critical Infrastructure Protection: Additional Actions Are Essential to Assessing Cybersecurity Framework Adoption	02/15/2018	1	9/30/2020
<p>The Secretary of Homeland Security, in cooperation with the co-SSAs as necessary, should take steps to consult with respective sector partner(s), such as the SCC, and NIST, as appropriate, to develop methods for determining the level and type of framework adoption by entities across their respective sectors.</p>			<p>CISA representatives communicate regularly with sector partners to discuss their cybersecurity practices. More specifically, this communication is done via email, phone calls, and/or meetings. In addition, DHS's engagement is intended to support CISA's role as the SSA for its assigned critical infrastructure sectors, spanning a broad spectrum of key cybersecurity issues, to include the use of the Cybersecurity Framework (CSF). Furthermore, CISA has collaborated with government and private-sector partners to develop and publish sector-specific CSF Implementation Guidance products for the following sectors: Chemical; Commercial Facilities; Critical Manufacturing; Emergency Services; Communications, Information Technology (IT); Dams; and Nuclear Reactors, Materials and Waste. CISA currently is working with sector partners to update these sector-specific implementation guidance documents and expects to complete these updates by March 31, 2020. Although the Communications and IT sectors have not developed implementation guides, the IT sector created a joint government/industry working group that is launching a survey to understand small- and medium-business use of the Framework. CISA continues to address the recommendation.</p>		

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CISA	GAO-18-538	CRITICAL INFRASTRUCTURE PROTECTION: DHS Should Take Actions to Measure Reduction in Chemical Facility Vulnerability and Share Information with First Responders	08/08/2018	1	2/29/2020
The Director of ISCD should incorporate vulnerability into the CFATS site security scoring methodology to help measure the reduction in the vulnerability of high-risk facilities to a terrorist attack, and use that data in assessing the CFATS program's performance in lowering risk and enhancing national security.			CISA was able to formalize this metric and to automate the information in order to start reporting in FY 2019. CISA submitted the Q1 – Q4 results on time. Additionally, CISA provided GAO with a link to see the transition to the new metrics in the report. CISA currently is awaiting confirmation from GAO to determine whether the information recently provided is sufficient to close the recommendation as implemented.		
CISA	GAO-18-538	CRITICAL INFRASTRUCTURE PROTECTION: DHS Should Take Actions to Measure Reduction in Chemical Facility Vulnerability and Share Information with First Responders	08/08/2018	2	2/29/2020
The Assistant Secretary for Infrastructure Protection, in coordination with the Director of ISCD, should take actions to encourage access to and wider use of the IP Gateway and explore other opportunities to improve information-sharing with first responders and emergency planners.			CISA provided GAO with the targeted FY 2019 Priority Local Emergency Planning Committee Focused Outreach List. The list is 100-percent complete and CISA now is awaiting confirmation from GAO to determine whether the information provided is sufficient to close the recommendation as implemented.		
CISA	GAO-18-550	DHS ACQUISITIONS: Additional Practices Could Help Components Better Develop Operational Requirements	08/08/2018	12	12/31/2019

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Recommendation			Narrative of Implementation Status		
The Under Secretary of Homeland Security for the National Protection and Programs Directorate finalizes and promulgates the National Protection and Programs Directorate's draft policy for requirements development			With the release of the new CISA organization chart and initiation of its implementation in June 2019, the draft policy under development will incorporate organizational changes and be routed for CISA Director approval by the end of FY 2020 Q1.		
CISA	GAO-18-550	DHS ACQUISITIONS: Additional Practices Could Help Components Better Develop Operational Requirements	08/08/2018	13	12/31/2019
The Under Secretary of Homeland Security for the National Protection and Programs Directorate establishes the planned independent requirements development organization within the National Protection and Programs Directorate			As part of the FY 2021-2025 Resource Allocation Plan (RAP) process, CISA submitted a program decision option (PDO) to DHS that establishes and staffs the CISA Office of Capability Analysis and Requirements Development (CARD). The PDO requests federal personnel to staff CISA CARD with resources for FFRDC support in FY 2021 and FY 2022 to mitigate hiring timelines. The establishment of this requirements organization also will be codified in the policy referenced in response to Recommendation 12. Per a conference call with GAO on 8/21/2019, resourcing CARD through the RAD and formally establishing it through policy will be sufficient enough to close this recommendation.		
CISA	GAO-18-550	DHS ACQUISITIONS: Additional Practices Could Help Components Better Develop Operational Requirements	08/08/2018	14	9/30/2020
The Under Secretary of Homeland Security for the National Protection and Programs Directorate conducts a workforce assessment to account for an independent requirements organization's workforce needs			As part of the broader reorganization effort, CISA is evaluating the entire workforce and will take into consideration the organization's capacity for requirements personnel as it restructures and realigns functions across the Agency. The implementation phase of this reorganization will occur throughout FY 2020 with final operating capability expected at the end of FY 2020. In the interim, the		

Component	Report Number	Report Title	Report Received Date	Rec #	Estimated Completion Date (or Date Closed)
Recommendation			Narrative of Implementation Status		
			resources requested in the FY 2021- 2025 RAP for CISA's requirements organization were benchmarked against the DHS Components with established independent requirements offices. Further refinement will occur throughout FY 2020 as CISA assesses its personnel.		
CISA	GAO-18-550	DHS ACQUISITIONS: Additional Practices Could Help Components Better Develop Operational Requirements	08/08/2018	15	9/30/2019
The Under Secretary of Homeland Security for the National Protection and Programs Directorate establishes component specific training for requirements development			CISA and GAO held a conference call on 9/20/2019 to discuss a closeout of this recommendation. Based on the discussion and materials provided, GAO indicated that it was satisfied with the actions taken in response to this recommendation and would close it formally. CISA is awaiting notification from GAO that this recommendation is officially closed out.		
CWMD	GAO-16-603	HOMELAND SECURITY: DHS' CBRNE Program Consolidation Proposals Could Better Consider Benefits and Limitations	08/11/2016	2	TBD
If DHS's proposed CBRNE program consolidation is approved by Congress, we recommend that the Secretary of Homeland Security direct the Assistant Secretary for the Office of Policy to use, where appropriate, the key mergers and organizational transformation practices identified in our previous work to help ensure that a CBRNE consolidated office benefits from lessons learned from other organizational transformations.			The DHS Countering Weapons of Mass Destruction Office (CWMD) recently took ownership of recommendation 2 of GAO-16-603 from DHS's Office of Strategy, Policy, and Plans (PLCY). The recommendation addresses the Assistant Secretary for PLCY and calls for the use of GAO-identified merger practices when creating a chemical, biological, radiological, nuclear, and explosives (CBRNE) office. The consolidation that the audit covered was from a 2016 PLCY-led CBRNE office merger that ultimately did not come to fruition. CWMD was established in late		

Component	Report Number	Report Title	Report Received Date	Rec #	Estimated Completion Date (or Date Closed)
Recommendation			Narrative of Implementation Status		
			2017 through an 872 Notification to Congress, and with the Countering Weapons of Mass Destruction Act of 2018 (Pub. L. No. 115-387). CWMD feels that this recommendation has been overcome by the passage of the CWMD Authorization Act and is working with GAO to obtain closure.		
CWMD	GAO-16-99	Biosurveillance: DHS Should Not Pursue BioWatch Upgrades or Enhancements Until System Capabilities Are Established	11/23/2015	1	TBD
GAO recommends that the Secretary of Homeland Security direct the Assistant Secretary for health Affairs and other relevant officials within the Department to not pursue upgrades or enhancements to the current BioWatch system until OHA: Establishes technical performance requirements, including limits of detection, necessary for a biodetection system to meet a clearly defined operational objective for the BioWatch program by detecting attacks of defined types and sizes with specified probabilities.			CWMD believes that this recommendation is no longer applicable since the BioWatch program will be replaced by more up-to-date technology. CWMD is working with GAO to address the status of this recommendation.		
CWMD	GAO-16-99	Biosurveillance: DHS Should Not Pursue BioWatch Upgrades or Enhancements Until System Capabilities Are Established	11/23/2015	2	TBD
GAO recommends that the Secretary of Homeland Security direct the Assistant Secretary for health Affairs and other relevant officials within the Department to not pursue upgrades or enhancements to the current BioWatch system until OHA: Assesses the Gen-2 system against these performance requirements to reliably establish its capabilities.			CWMD believes that this recommendation is no longer applicable since the BioWatch program will be replaced by more up-to-date technology. CWMD is working with GAO to address the status of this recommendation.		

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CWMD	GAO-16-99	Biosurveillance: DHS Should Not Pursue BioWatch Upgrades or Enhancements Until System Capabilities Are Established	11/23/2015	3	TBD
GAO recommends that the Secretary of Homeland Security direct the Assistant Secretary for health Affairs and other relevant officials within the Department to not pursue upgrades or enhancements to the current BioWatch system until OHA: Produces a full accounting of statistical and other uncertainties and limitations in what is known about the system's capability to meet its operational objectives.			CWMD believes that this recommendation is no longer applicable since the BioWatch program will be replaced by more up-to-date technology. CWMD is working with GAO to address the status of this recommendation.		
CWMD	GAO-16-99	Biosurveillance: DHS Should Not Pursue BioWatch Upgrades or Enhancements Until System Capabilities Are Established	11/23/2015	4	TBD
GAO recommends that the Secretary of Homeland Security direct the Assistant Secretary for health Affairs in coordination with the Under Secretary for Science and Technology to: Use the best practices outlined in this report to inform test and evaluation actions for any future upgrades or changes to technology for BioWatch.			CWMD believes that this recommendation is no longer applicable since the BioWatch program will be replaced by more up-to-date technology. CWMD is working with GAO to address the status of this recommendation.		
CWMD	GAO-18-562	CHEMICAL TERRORISM: A Strategy and Implementation Plan Would Help DHS Better Manage Fragmented Chemical Defense Programs and Activities	08/31/2018	1	3/31/2020
The Assistant Secretary for Countering Weapons of Mass Destruction should develop a strategy and implementation plan to help the Department of Homeland Security, among other things, guide, support, integrate and coordinate its chemical defense			The DHS Chemical Defense Strategy is currently in final departmental clearance. CWMD soon will begin work on the implementation plan, and the estimated completion date has been moved to allow for this work to be completed.		

Component	Report Number	Report Title	Report Received Date	Rec #	Estimated Completion Date (or Date Closed)
Recommendation			Narrative of Implementation Status		
programs and activities; leverage resources and capabilities; and provide a roadmap for addressing any identified gaps.					
FEMA	GAO-09-12	Flood Insurance: FEMA's Rate-Setting Process Warrants Attention	10/31/2008	1	4/2/2020
<p>The Secretary of the Department of Homeland Security should direct FEMA to take steps to ensure that its rate-setting methods and the data it uses to set rates result in full-risk premiums rates that accurately reflect the risk of losses from flooding. These steps should include, for example, verifying the accuracy of flood probabilities, damage estimates, and flood maps; ensuring that the effects of long-term planned and ongoing development, as well as climate change, are reflected in the flood probabilities used; and reevaluating the practice of aggregating risks across zones.</p>			<p>A press release was issued on 11/7/2019 stating FEMA’s decision to defer the implementation of Risk Rating 2.0 by 1 year to 10/1/2021. This extension allows for all National Flood Insurance Program (NFIP) policies – including single-family homes and multi-unit and commercial properties – to change over to the new rating system at one time instead of a phased approach, as originally proposed. Over the course of the next year, FEMA will continue to engage actively with Congress and other key stakeholders to ensure transparency and visibility as FEMA works to transform the NFIP. Even though the timeline for implementation has been adjusted, activities to support rate development, IT development, change management, and communications continue.</p>		
FEMA	GAO-09-12	Flood Insurance: FEMA's Rate-Setting Process Warrants Attention	10/31/2008	2	4/2/2020
<p>The Secretary of the Department of Homeland Security should direct FEMA to ensure that information is collected on the location, number, and losses associated with existing and newly created grandfathered properties in NFIP and to analyze the financial impact of these properties on the flood insurance program.</p>			<p>FEMA has completed its initial implementation of Section 28 of the Homeowner Flood Insurance Affordability Act of 2014. This initial implementation required all policies to have a current zone determination and a current Base Flood Elevation (BFE) determination if applicable, which allows FEMA to identify which policies are grandfathered and to describe the qualitative nature of grandfathering such as zone and elevation grandfathering. But it does not allow FEMA to quantify the full-risk premium and the financial impact of grandfathering, which requires not only zone</p>		

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Recommendation			Narrative of Implementation Status		
			<p>and BFE determinations but also structural elevation information that is currently only available with an Elevation Certificate, and most grandfathered policies do not have Elevation Certificates. Risk Rating 2.0 will enable FEMA to determine full risk without the need for an Elevation Certificate. A press release was issued on 11/7/2019 stating FEMA's decision to defer the implementation of Risk Rating 2.0 by 1 year to 10/1/2021. This extension allows for all NFIP policies – including single-family homes and multi-unit and commercial properties – to change over to the new rating system at one time instead of a phased approach, as originally proposed. Over the course of the next year, FEMA will continue to engage actively with Congress and other key stakeholders to ensure transparency and visibility as FEMA works to transform the NFIP. Even though the timeline for implementation has been adjusted, activities to support rate development, IT development, change management and communications continue.</p>		
FEMA	GAO-09-455	Flood Insurance: Opportunities Exist to Improve Oversight of the WYO Program	08/21/2009	1	12/31/2019
To provide transparency and accountability over the payments FEMA makes to WYOs for expenses and profits, the Secretary of Homeland Security should direct the Under Secretary of Homeland Security, FEMA, to determine in advance the amounts built into the payment rates for estimated expenses and profit.			FEMA's Federal Insurance and Mitigation Administration (FIMA) received Advance Notice of Proposed Rulemaking (ANPRM) comments and is reviewing for consideration as a future Notice of Proposed Rulemaking (NPRM) is prepared.		
FEMA	GAO-09-455	Flood Insurance: Opportunities Exist to Improve Oversight of the WYO Program	08/21/2009	2	12/31/2019
To provide transparency and accountability over the payments FEMA makes to WYOs for expenses and profits, the Secretary of			FEMA will conduct the annual analysis of the amounts of actual expenses and profit in relation to the estimated amounts used in		

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Recommendation			Narrative of Implementation Status		
Homeland Security should direct the Under Secretary of Homeland Security, FEMA, to annually analyze the amounts of actual expenses and profit in relation to the estimated amounts used in setting payment rates.			setting payment rates. However, the analysis will not be conducted this year due to considerations out of FEMA's control in obtaining expense data from the National Association of Insurance Commissioners (NAIC). New NAIC administrative requirements on how FEMA will use expense data are going through negotiations. It has taken the NAIC 4 to 6 weeks to respond to past FEMA requests. Insurance companies will be submitting data for calendar year 2019 in the February to March timeframe. At this point, FEMA can expect to get another 5 years of NAIC premium, loss, and expense data in the spring to summer of 2020, with the updated analysis completed by fiscal year-end. On 7/8/2019, FEMA published an ANPRM discussing possible approaches for adjusting the NFIP's Write Your Own (WYO) company compensation methodology based on actual expenses of WYO companies. See 84 FR 32371, at https://www.federalregister.gov/d/2019-14343 . Per agreement with GAO, FEMA will give GAO a status update on this recommendation and FIMA's other two 2+ year old high-priority recommendations after the Risk Rating 2.0 schedule is released.		
FEMA	GAO-09-455	Flood Insurance: Opportunities Exist to Improve Oversight of the WYO Program	08/21/2009	3	12/31/2019
To provide transparency and accountability over the payments FEMA makes to WYOs for expenses and profits, the Secretary of Homeland Security should direct the Under Secretary of Homeland Security, FEMA, to consider the results of the analysis of payments, actual expenses, and profit in evaluating the methods for paying WYOs.			FIMA received ANPRM comments and is reviewing for consideration as a future NPRM is prepared.		

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Recommendation			Narrative of Implementation Status		
FEMA	GAO-09-455	Flood Insurance: Opportunities Exist to Improve Oversight of the WYO Program	08/21/2009	5	12/31/2019
To increase the usefulness of the data reported by WYOs to the National Association of Insurance Commissioners (NAIC) and to institutionalize FEMA's use of such data, the Secretary of Homeland Security should direct the Under Secretary of Homeland Security, FEMA, to take actions to obtain reasonable assurance that NAIC flood insurance expense data can be considered in setting payment rates that are appropriate, including identifying affiliated company profits in reported flood insurance expenses.			FIMA received ANPRM comments and is reviewing for consideration as a future NPRM is prepared.		
FEMA	GAO-09-455	Flood Insurance: Opportunities Exist to Improve Oversight of the WYO Program	08/21/2009	6	12/31/2019
To increase the usefulness of the data reported by WYOs to the National Association NAIC and to institutionalize FEMA's use of such data, the Secretary of Homeland Security should direct the Under Secretary of Homeland Security, FEMA, to develop comprehensive data analysis strategies to annually test the quality of flood insurance data that WYOs report to NAIC.			FIMA received ANPRM comments and is reviewing for consideration as a future NPRM is prepared.		
FEMA	GAO-11-297	FEMA: Action Needed to Improve Administration of the National Flood Insurance Program	06/09/2011	2	12/31/2019
To improve strategic planning, performance management, and program oversight within and related to NFIP, we recommend that the Secretary of DHS direct the FEMA Administrator: develop a comprehensive workforce plan according to PKEMRA that identifies			FEMA's Mission Support/ Office of the Chief Component Human Capital Officer (OCCHCO) is routing the request for closure through the approval process.		

Component	Report Number	Report Title	Report Received Date	Rec #	Estimated Completion Date (or Date Closed)
Recommendation			Narrative of Implementation Status		
agency staffing and skills requirements, addresses turnover and staff vacancies, and analyzes FEMA's use of contractors.					
FEMA	GAO-12-487	Federal Emergency Management Agency: Workforce Planning and Training Could Be Enhanced by Incorporating Strategic Management Principles	04/26/2012	1	6/30/2020
To help ensure that FEMA's agencywide workforce planning and training efforts are conducted in a comprehensive and integrated manner, we recommend that the FEMA Administrator identify and document long-term and quantifiable mission critical goals that reflect the agency's priorities for workforce planning and training			FEMA's OCCHCO is preparing a corrective action plan (CAP) update.		
FEMA	GAO-12-487	Federal Emergency Management Agency: Workforce Planning and Training Could Be Enhanced by Incorporating Strategic Management Principles	04/26/2012	2	9/30/2020
To help ensure that FEMA's agencywide workforce planning and training efforts are conducted in a comprehensive and integrated manner, we recommend that the FEMA Administrator establish a time frame for completing the development of quantifiable performance measures related to workforce planning and training efforts			FEMA's OCCHCO is preparing a CAP update.		
FEMA	GAO-12-487	Federal Emergency Management Agency: Workforce Planning and Training Could Be Enhanced by Incorporating Strategic Management Principles	04/26/2012	4	6/30/2020

Component	Report Number	Report Title	Report Received Date	Rec #	Estimated Completion Date (or Date Closed)
Recommendation			Narrative of Implementation Status		
To better inform FEMA's decision-making related to agencywide workforce planning and training efforts we recommend that the FEMA Administrator develop systematic processes to collect and analyze workforce and training data.			FEMA's OCCHCO currently is preparing a CAP update for this recommendation.		
FEMA	GAO-12-838	Federal Disaster Assistance: Improved Criteria Needed to Assess a Jurisdiction's Capability to Respond and Recover on Its Own	09/13/2012	1	12/29/2020
To increase the efficiency and effectiveness of the process for disaster declarations, we recommend that the FEMA Administrator develop and implement a methodology that provides a more comprehensive assessment of a jurisdiction's capability to respond to and recover from a disaster without federal assistance. This should include one or more measures of a jurisdiction's fiscal capacity, such as TTR, and consideration of the jurisdiction's response and recovery capabilities. If FEMA continues to use the PA per capita indicator to assist in identifying a jurisdiction's capabilities to respond to and recover from a disaster, it should adjust the indicator to accurately reflect the annual changes in the U.S. economy since 1986, when the current indicator was first adopted for use. In addition, implementing the adjustment by raising the indicator in steps over several years would give jurisdictions more time to plan for and adjust to the change.			FEMA concurred with recommendation and has considered specific strategies for reducing risk and decreasing future disaster costs, consistent with GAO's findings and recommendation. These strategies included options for alternative methodologies for assessing a jurisdiction's independent capacity to respond to and recover from disaster. FEMA previously published an ANPRM and a Supplemental ANPRM regarding the possibility of applying a deductible to the Public Assistance program. On 10/5/2018, the Disaster Recovery Reform Act of 2018 (DRRA), was signed into law. DRRA Sec. 1239 directs the FEMA Administrator to initiate a rulemaking to update the factors considered when evaluating a request for a Major Disaster Declaration for Public Assistance, specifically the estimated cost of assistance (i.e., the per capita indicator and minimum threshold). The Agency is working to implement this provision expeditiously but an exact timeframe for the rulemaking process is unknown.		
FEMA	GAO-13-607	FLOOD INSURANCE: More Information Needed on Subsidized Properties	07/03/2013	1	4/2/2020

Component	Report Number	Report Title	Report Received Date	Rec #	Estimated Completion Date (or Date Closed)
Recommendation			Narrative of Implementation Status		
We recommend that the Secretary of the Department of Homeland Security (DHS) direct the FEMA Administrator to develop and implement a plan, including a timeline, to obtain needed elevation information as soon as practicable			<p>FEMA is preparing and coordinating the exploration of collecting structural elevation data from third-party providers for the purposes of providing customer's insurance quotes. FEMA issued a Request for Information (RFI) to industry and has consolidated responses from 11 vendors for review. Additionally, FEMA continues to develop structural elevation assumptions leveraging internal IT infrastructure, best available elevation information, and industry best practices.</p> <p>FEMA continues to pursue third-party vendors; however, in lieu of being able to find a vendor capable of providing full capabilities to FEMA's requirements, FEMA continues to plan for utilizing elevation data and structural elevation assumptions until the technical solution is either 1) procured, and/or 2) fully developed and capable by industry according to FEMA's requirements.</p>		
FEMA	GAO-14-583	National Flood Insurance Program: Additional Guidance on Building Requirements to Mitigate Agricultural Structures' Damage in High-Risk Areas is Needed	06/30/2014	1	12/31/2019
As FEMA determines the scope of its efforts to revise its existing guidance, we recommend that the Secretary of the Department of Homeland Security (DHS) direct the Administrator of FEMA to update existing guidance to include additional information on and options for mitigating the risk of flood damage to agricultural structures to reflect recent farming developments and structural needs in vast and deep floodplains.			The Guidance policy is expected to be finalized by FIMA with FEMA and DHS by the end of calendar year 2019. An emergent change was made at the request of FIMA program leadership and the updated language has been drafted but not yet approved and continues to go through concurrence.		

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FEMA	GAO-15-28	Climate Change: Better Management of Exposure to Potential Future Losses Is Needed for Federal Flood and Crop Insurance	10/29/2014	1	12/31/2020
To promote forward-looking construction and rebuilding efforts while FEMA phases out most subsidies, we recommend that the Secretary of the Department of Homeland Security direct FEMA to consider amending NFIP minimum standards for floodplain management to incorporate, as appropriate, forward-looking standards, similar to the minimum standard adopted by the Hurricane Sandy Rebuilding Task Force.			GAO agreed to FIMA Mitigation Directorate Flood Plain Management Division's proposal to show FEMA's effort toward updating the current regulation. GAO will close as implemented if the closure request letter satisfies GAO's substantiation requirements.		
FEMA	GAO-15-783	DISASTER CONTRACTING: FEMA Needs to Cohesively Manage Its Workforce and Fully Address Post-Katrina Reforms	09/29/2015	2	1/31/2020
GAO recommends that the FEMA Administrator direct OCPO and the regional administrators to revisit the 2011 service level agreement to: add details about the extent of operational control headquarters and regional supervisors should exercise to minimize potential competing interests experienced by regional contracting officers; further detail headquarters and regional supervisors' roles and responsibilities for managing regional contracting officers to improve coordination and communication; and ensure that the agreement reflects any new requirements, including recent changes in training that may require travel funds			FEMA's Mission Support Directorate is preparing an updated CAP regarding the open recommendations in this audit.		

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FEMA	GAO-15-783	DISASTER CONTRACTING: FEMA Needs to Cohesively Manage Its Workforce and Fully Address Post-Katrina Reforms	09/29/2015	3	1/31/2020
GAO recommends that the FEMA Administrator establish a plan to ensure that the agreement is reviewed on an annual basis as intended.			FEMA's Mission Support Directorate is preparing an updated CAP regarding the open recommendations in this audit.		
FEMA	GAO-16-249	EMERGENCY COMMUNICATIONS: Actions Needed to Better Coordinate Federal Efforts in the National Capital Region	03/10/2016	1	9/28/2019
GAO recommended that the FEMA Administrator direct the Director of ONCRC to take the following action: (a) as part of its efforts to restructure the JFC, clearly articulate in a written agreement the roles and responsibilities of the participating agencies and specify how these agencies are to work together across agency boundaries.			On 11/20/2019, the signed JFC Charter was provided to GAO with a request to close this recommendation.		
FEMA	GAO-16-306	INFORMATION TECHNOLOGY: FEMA Needs to Address Management Weaknesses to Improve Its Systems	04/05/2016	2	10/31/2019
To ensure that FEMA's IT systems can adequately support its ability to respond to major disasters, the Secretary of DHS should direct the FEMA Administrator to define the scope, implementation strategy, and schedule of the agency's overall modernization approach, with related goals and measures for effectively overseeing the effort. At a minimum, the agency should update its IT strategic plan and complete its modernization plan.			FEMA's OCCHCO and Office of the Chief Information Officer (OCIO) currently are working together to provide a CAP update that seeks closure of the remaining open recommendations in this audit.		

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FEMA	GAO-16-306	INFORMATION TECHNOLOGY: FEMA Needs to Address Management Weaknesses to Improve Its Systems	04/05/2016	3	10/31/2019
To ensure that FEMA's IT systems can adequately support its ability to respond to major disasters, the Secretary of DHS should direct the FEMA Administrator to establish time frames for current and future IT workforce planning during its modernization efforts and ensure all regions and offices are included in these initiatives.			FEMA's OCCHCO and OCIO currently are working together to provide a CAP update that seeks closure of the remaining open recommendations in this audit.		
FEMA	GAO-16-306	INFORMATION TECHNOLOGY: FEMA Needs to Address Management Weaknesses to Improve Its Systems	04/05/2016	8	10/31/2019
As part of the effort of improving IT management at the three programs, the FEMA Administrator should direct the CIO to ensure that FEMA policy for managing IT programs includes guidance for implementing the key management practices.			FEMA's OCCHCO and OCIO currently are working together to provide a CAP update that seeks closure of the remaining open recommendations in this audit.		
FEMA	GAO-16-38	FEDERAL EMERGENCY MANAGEMENT AGENCY: Strengthening Regional Coordination Could Enhance Preparedness Efforts	02/04/2016	2	8/23/2019
GAO recommended that the Secretary of Homeland Security direct the FEMA Administrator to develop policies and procedures for regional staff to review AARs from preparedness exercises within their region, and headquarters staff to review these evaluations in order to have a better understanding of NIMS implementation.			The GAO informed FEMA that it plans to discuss this recommendation with the program officials by the end of the calendar year as GAO wraps up its work on National Preparedness. At that time, the GAO should have a better sense if it can move forward with closing the recommendation.		

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Recommendation			Narrative of Implementation Status		
FEMA	GAO-16-476	Disaster Recovery: FEMA Needs to Assess Its Effectiveness in Implementing the National Disaster Recovery Framework	05/26/2016	3	3/31/2020
That the FEMA Administrator clarify with regional offices and FDRC's the role of the regional implementation plans in FDRC performance plans and how they will be used to assess NDRF regional implementation efforts.			The Field Operations Directorate (FOD) currently is rescoping development efforts regarding both the Field Leader Directive and the Field Leader Manual as part of an overarching approach to Outcome-Driven Recovery (ODR). ODR initiatives involve coordination across Response, Recovery, and FOD. ODR emphasizes a unified, resilient approach to identifying recovery needs, developing options, addressing needs, and implementing recovery solutions for state, local, tribal, and territorial (SLTT) identified priorities. In line with ODR, FOD is reviewing and assessing its approach to managing Federal Coordinating Officers (FCO) to include a revised, comprehensive, training, and professional development program to support the position and its requirements. While FOD understands that this extends the timeline, this will ensure that policy and doctrine related to FCOs are aligned and coordinated with other Agency priorities.		
FEMA	GAO-16-476	Disaster Recovery: FEMA Needs to Assess Its Effectiveness in Implementing the National Disaster Recovery Framework	05/26/2016	4	3/31/2020
That FEMA Administrator align the annual FDRC performance expectations with clearly defined organizational goals and priorities, consistent with key management practices.			FOD currently is rescoping development efforts regarding both the Field Leader Directive and the Field Leader Manual as part of an overarching approach to ODR. ODR initiatives involve coordination across Response, Recovery, and FOD. ODR emphasizes a unified, resilient approach to identifying recovery		

Component	Report Number	Report Title	Report Received Date	Rec #	Estimated Completion Date (or Date Closed)
Recommendation			Narrative of Implementation Status		
			needs, developing options, addressing needs, and implementing recovery solutions for SLTT identified priorities. In line with ODR, FOD is reviewing and assessing its approach to managing FCOs to include a revised, comprehensive, training, and professional development program to support the position and its requirements. While FOD understands that this extends the timeline, this will ensure that policy and doctrine related to FCOs are aligned and coordinated with other Agency priorities.		
FEMA	GAO-16-709	LEVEE SAFETY: Army Corps of Engineers and FEMA Have Made Little Progress in Carrying Out Required Activities	07/26/2016	1	9/30/2019
The FEMA Administrator to develop a plan, with milestones, for implementing these activities, using existing resources or requesting additional resources as needed.			FIMA awaits GAO's response on the joint U.S. Army Corps of Engineers (USACE)-FEMA request for closure as implemented that was sent to GAO on 10/15/2019.		
FEMA	GAO-16-87	DISASTER RESPONSE: FEMA Has Made Progress Implementing Key Programs, but Opportunities for Improvement Exist	02/05/2016	4	9/30/2019
GAO recommended the Secretary of Homeland Security direct the FEMA Administrator to develop a workforce strategy to manage and improve retention that includes a process for systematically gathering attrition data and a plan to retain IMAT CORE employees.			Following the review of National Finance Center attrition data and Incident Management Assistance Team (IMAT) initiatives with Operational Coordination Division (OCD) SES leadership, FOD determined that further analysis is needed to assess IMAT attrition. In response, the FOD Office of Policy and Analysis (OPA) initiated an IMAT attrition evaluation, in coordination with OCCHCO and OCD, to ensure that FOD fulfills the intent of the audit. FOD anticipates completion of the evaluation by 12/31/2020. FOD recognizes that this approach deviates from the		

Component	Report Number	Report Title	Report Received Date	Rec #	Estimated Completion Date (or Date Closed)
Recommendation			Narrative of Implementation Status		
			previous updates, but believes that the IMAT attrition evaluation will inform the creation of a workforce strategy for IMATs and serve to close the GAO-16-87 audit. FOD is confident in the timeline and has measures to mitigate against potential delays to meet the final deliverable deadline.		
FEMA	GAO-17-200	FEDERAL DISASTER ASSISTANCE: FEMA's Progress in Aiding Individuals with Disabilities Could be Further Enhanced	02/07/2017	1	12/31/2019
Take steps to establish written procedures for how regions should involve the Office of Disability Integration and Coordination in clarifying disability integration staff's roles, evaluating staff performance, and setting expectations for how staff communicate with headquarters and the regions.			FEMA's Office of Disability Integration and Coordination (ODIC) approved the project plan for the creation of the working group and outlined its goals for the standardization of roles and responsibilities of the Regional Disability Integration Specialist position across the 10 Regions. The Office of Policy and Program Analysis, Enterprise Analytics Division, is collaborating in the working group to ensure the inclusion of organizations that represent people with disabilities in the distribution of the guidelines. The working group currently is working on developing the socialization strategy.		
FEMA	GAO-17-200	FEDERAL DISASTER ASSISTANCE: FEMA's Progress in Aiding Individuals with Disabilities Could be Further Enhanced	02/07/2017	2	12/31/2019
To evaluate alternative cost-effective methods for delivering its course on access and functional needs, such as via virtual classes.			On 6/17/2019, FEMA's ODIC provided GAO with documentation of the market analysis performed in coordination with the Emergency Management Institute. Also, FEMA ODIC completed an updated Uniform Training Needs Assessment (UTNA), and was in the process of procuring a contractor to redesign the training		

Component	Report Number	Report Title	Report Received Date	Rec #	Estimated Completion Date (or Date Closed)
Recommendation			Narrative of Implementation Status		
			<p>course E/L 0197 – Integrating People with Disabilities into Emergency Planning (E/L 0197). In this process, ODIC leadership evaluated options to replace E/L 0197 with an online independent study, a classroom-based instructor-led course, or an instructor-led exercise-based course. ODIC leadership decided to replace the course with the exercise-based option. The new course will be delivered as a multi-day instructor-led exercise-based course and will allow SLTT and public- and private-sector partners to test their emergency operations plans in a no-fault environment and to learn strategies to incorporate the needs of people with disabilities into these plans. The course also is being designed to be deliverable in the field by Regional Disability Integration Specialists (RDIS) to increase reach beyond the Emergency Management Institute (EMI) in a cost-effective way. An RFQ was issued on 6/13/2019 for this work. Since the June update, a contractor was selected, and a contract was executed on 7/30/2019. The anticipated period of performance for this work is 1 year. The final course deliverables will be complete in August 2020. The ECD for this recommendation is on track.</p>		
FEMA	GAO-17-200	FEDERAL DISASTER ASSISTANCE: FEMA's Progress in Aiding Individuals with Disabilities Could be Further Enhanced	02/07/2017	3	12/31/2019
<p>To collect information about the potential pool of participants, set general goals for the number of state and local emergency managers that will take this course, and implement the delivery methods needed to meet these goals.</p>			<p>Working in coordination with EMI, FEMA’s ODIC has conducted an UTNA for the training course E/L 0197 – Integrating Individuals with Disabilities into Emergency Planning (E/L 0197). This analysis determined that the potential pool of participants are members of a SLTT jurisdiction’s Emergency Planning</p>		

Component	Report Number	Report Title	Report Received Date	Rec #	Estimated Completion Date (or Date Closed)
Recommendation			Narrative of Implementation Status		
			Committee, including elected and appointed officials with decision-making and signatory authority, committee members and stakeholders including, but not limited to, representatives from Law Enforcement, Fire, EMS, Public Works, Public Health, Emergency Management, Voluntary Organizations, and Faith-based and Community Organizations. Working with EMI and ODIC, the Office of the Administrator will complete an analysis before the completion of the new version of E/L 0197, but no later than June of 2019, to determine performance metrics for the course. The analysis will use actual enrollment statistics for courses with a similar instructional design as well as a similar target audience to establish goals for the delivery of E/L 0197.		
FEMA	GAO-17-36	FLOOD INSURANCE: FEMA Needs to Address Data Quality and Consider Company Characteristics When Revising its Compensation Methodology	12/08/2016	1	12/31/2019
To improve the transparency and accountability over the compensation paid to WYO companies and set appropriate compensation rates, the FEMA administrator should take into account WYO company characteristics that may impact companies' expenses and profits when developing the new compensation methodology and rates.			FIMA received ANPRM comments and is reviewing for consideration as a future NPRM is prepared.		
FEMA	GAO-17-613	FEMA: Additional Actions Needed to Improve Handling of Employee Misconduct Allegations	07/18/2017	1	3/31/2019
In order to improve employee misconduct policies and procedures, the Secretary of Homeland Security should direct the FEMA			FEMA's Audit Liaison Office has been working with the program officials to receive a current update regarding the status of the open		

Component	Report Number	Report Title	Report Received Date	Rec #	Estimated Completion Date (or Date Closed)
Recommendation			Narrative of Implementation Status		
Administrator to document policies and procedures to address potential Surge Capacity Force misconduct.			recommendations contained in this audit. FEMA program officials continue to work on finalizing actions to complete an updated CAP.		
FEMA	GAO-17-613	FEMA: Additional Actions Needed to Improve Handling of Employee Misconduct Allegations	07/18/2017	2	12/31/2019
In order to improve employee misconduct policies and procedures, the Secretary of Homeland Security should direct the FEMA Administrator to document Reservist disciplinary options and appeals policies and procedures that are currently in practice at the agency.			FEMA program officials continue to work on finalizing actions to complete an updated CAP.		
FEMA	GAO-17-613	FEMA: Additional Actions Needed to Improve Handling of Employee Misconduct Allegations	07/18/2017	5	12/31/2019
In order to better identify and address trends in employee misconduct, the Secretary of Homeland Security should direct the FEMA Administrator to, once the quality of the data is improved, conduct routine reporting on employee misconduct trends.			FEMA program officials continue to work on finalizing actions to complete an updated CAP.		
FEMA	GAO-18-143	Disaster Recovery: Additional Actions Would Improve Data Quality and Timeliness of FEMA's Public Assistance Appeals Processing	01/16/2018	3	12/31/2019
The Assistant Administrator for Recovery should develop a detailed workforce plan that documents steps for hiring, training, and retaining key appeals staff. The plan should address staff transitions resulting from deployment to disasters			On 10/16/2019, FEMA and GAO met to discuss request for closure of recommendation 3. FEMA's Appeals and Audits Branch within the Public Assistance Division will provide supporting documents for the request for closure by 12/30/2019.		

Component	Report Number	Report Title	Report Received Date	Rec #	Estimated Completion Date (or Date Closed)
Recommendation			Narrative of Implementation Status		
FEMA	GAO-18-143	Disaster Recovery: Additional Actions Would Improve Data Quality and Timeliness of FEMA's Public Assistance Appeals Processing	01/16/2018	4	12/31/2019
The Assistant Administrator for Recovery should work with regional administrators in all 10 regional offices, to establish and use goals and measures for processing first-level PA appeals to monitor performance and report on progress			On 10/16/2019, FEMA and GAO met to discuss request for closure of recommendation 4. FEMA's Appeals and Audits Branch within the Public Assistance Division will provide supporting documents for the request for closure by 12/30/2019.		
FEMA	GAO-18-30	Disaster Assistance: Opportunities to Enhance Implementation of the Redesigned Public Assistance Grant Program	11/08/2017	1	6/28/2019
The FEMA Assistant Administrator for Recovery should complete a workforce staffing assessment that identifies the appropriate number of staff needed at joint field offices, Consolidated Resource Centers, and in FEMA's hazard mitigation cadre to implement the new delivery model nationwide.			FEMA Recovery requested closure of recommendation 1 on 7/24/2019. GAO requested FEMA to provide supporting documents for the closure request, which FEMA provided on 9/6/2019. FEMA is awaiting GAO's response to the request for closure.		
FEMA	GAO-18-30	Disaster Assistance: Opportunities to Enhance Implementation of the Redesigned Public Assistance Grant Program	11/08/2017	3	10/7/2019
The FEMA Assistant Administrator for Recovery should establish system testing criteria, such as a "definition of done," to assess FAC-Trax as it is developed; define the roles and responsibilities of all participants; and develop the sequence and schedule for integration of other systems with FAC-Trax to more fully satisfy systems testing and integration controls.			GAO officially closed this recommendation in the time since the universe of open recommendations aged more than 1 year on 9/30/2019 was identified.		

Component	Report Number	Report Title	Report Received Date	Rec #	Estimated Completion Date (or Date Closed)
Recommendation			Narrative of Implementation Status		
FEMA	GAO-18-30	Disaster Assistance: Opportunities to Enhance Implementation of the Redesigned Public Assistance Grant Program	11/08/2017	4	12/31/2019
The FEMA Assistant Administrator for Recovery, in coordination with the Associate Administrator of the Federal Insurance and Mitigation Administration, should implement procedures to standardize planning for addressing PA hazard mitigation at the joint field offices, for example, by requiring FEMA and state officials to develop a memorandum of understanding outlining how they will prioritize and address hazard mitigation following a disaster as it did through prior policy.			On 10/21/2019, FEMA requested closure and is awaiting a response from GAO.		
FEMA	GAO-18-30	Disaster Assistance: Opportunities to Enhance Implementation of the Redesigned Public Assistance Grant Program	11/08/2017	5	12/31/2019
The FEMA Assistant Administrator for Recovery, in coordination with the Associate Administrator of the Federal Insurance and Mitigation Administration, should develop performance measures and associated objectives for the new delivery model to better align with FEMA's strategic goal for hazard mitigation in the recovery process.			FEMA has made significant progress in implementing this recommendation with 2 of 4 milestones considered completed by GAO. The remaining 2 milestones are nearing completion with joint coordination underway between Recovery and FIMA.		
FEMA	GAO-18-354	HOMELAND SECURITY GRANT PROGRAM: Additional Actions Could Further Enhance FEMA's Risk-Based Grant Assessment Model	09/06/2018	1	10/10/2019

Component	Report Number	Report Title	Report Received Date	Rec #	Estimated Completion Date (or Date Closed)
Recommendation			Narrative of Implementation Status		
The FEMA Administrator should fully document the underlying assumptions and justifications that form the basis of the risk-based grant assessment model, such as the size of the weights assigned to Threat, Vulnerability, and Consequence, or the justification for changes to these weights from one year to the next.			GAO officially closed this recommendation in the time since the universe of open recommendations aged more than 1 year on 9/30/2019 was identified.		
FEMA	GAO-18-354	HOMELAND SECURITY GRANT PROGRAM: Additional Actions Could Further Enhance FEMA's Risk-Based Grant Assessment Model	09/06/2018	2	10/10/2019
The FEMA Administrator should perform sensitivity analyses to verify how changes to the risk-based grant assessment model could affect the resulting risk scores, and document the results.			GAO officially closed this recommendation in the time since the universe of open recommendations aged more than 1 year on 9/30/2019 was identified.		
FEMA	GAO-18-354	HOMELAND SECURITY GRANT PROGRAM: Additional Actions Could Further Enhance FEMA's Risk-Based Grant Assessment Model	09/06/2018	3	10/10/2019
The FEMA Administrator should take steps to coordinate an independent, external peer review of its risk-based grant assessment model.			GAO officially closed this recommendation in the time since the universe of open recommendations aged more than 1 year on 9/30/2019 was identified.		
FEMA	GAO-18-379	Emergency Communications Increased Regional Collaboration Could Enhance Capabilities	04/27/2018	1	10/30/2019
The Administrator of FEMA should work with RECCWG members to reach consensus on and implement an ongoing mechanism to encourage nationwide collaboration across these groups, considering the costs of one or more suitable methods, such as a national-level			FEMA requested closure of this recommendation on 11/6/2019.		

Component	Report Number	Report Title	Report Received Date	Rec #	Estimated Completion Date (or Date Closed)
Recommendation			Narrative of Implementation Status		
working group that uses virtual or other means of coordination, as appropriate.					
FEMA	GAO-18-550	DHS ACQUISITIONS: Additional Practices Could Help Components Better Develop Operational Requirements	08/08/2018	4	12/31/2019
The Administrator of the Federal Emergency Management Agency establishes a policy for requirements development			FEMA's Office of Policy and Program Analysis currently is working on a CAP update.		
FEMA	GAO-18-550	DHS ACQUISITIONS: Additional Practices Could Help Components Better Develop Operational Requirements	08/08/2018	6	12/31/2019
The Administrator of the Federal Emergency Management Agency updates the 2016 workforce assessment to account for an independent requirements organization's workforce needs			FEMA's Office of Policy and Program Analysis currently is working on a CAP update.		
ICE	GAO-12-246	Export Controls: Proposed Reforms Create Opportunities to Address Enforcement Challenges	03/27/2012	3	2/28/2020
Recommend that the Secretary of Homeland Security, in consultation with departmental representatives of the Export Enforcement Coordination Center, including Commerce, Justice, State, and the Treasury leverage export control enforcement resources across agencies by building on existing agency efforts to track resources expended, as well as existing agency coordination at the local level; establish procedures to facilitate data sharing between the enforcement agencies and intelligence community to measure illicit transshipment activity; and develop qualitative and quantitative			The Export Enforcement Coordination Center (E2C2) was created on 11/9/2010, by EO 13558 – Export Coordination Enforcement Center and serves as the primary forum within the Federal Government for executive departments and agencies to coordinate and enhance their export enforcement efforts. E2C2 has addressed the first component of the recommendation by ratifying and implementing an investigative deconfliction protocol by establishing an Intelligence Working Group that serves as a conduit for federal law enforcement, export licensing agencies, the intelligence community, and defense department agencies to		

Component	Report Number	Report Title	Report Received Date	Rec #	Estimated Completion Date (or Date Closed)
Recommendation			Narrative of Implementation Status		
measures of effectiveness for the entire enforcement community to baseline and trend this data.			exchange information related to potential U.S. export control violations. While the E2C2 accomplishes some objectives of the EO, the E2C2 has not been staffed with personnel from across departments as envisioned, which has prevented it from completing the second and third components of the GAO recommendation. E2C2 has requested these personnel, but the external agencies have not assigned them, which has limited the center to performing its deconfliction function. As the appointment of key external positions is not within ICE's control, and there is no expectation that the resources will be detailed or assigned, ICE submitted a request to GAO on 9/26/2019, to consider this recommendation resolved and closed as unimplemented.		
ICE	GAO-14-129SU / GAO-14-356	STUDENT AND EXCHANGE VISITOR PROGRAM: DHS Needs to Assess Risks and Strengthen Oversight of Foreign Students with Employment Authorization	01/23/2014	3	10/2/2019
The Director of ICE direct SEVP to develop and distribute guidance to DSOs on how to determine whether a job is related to a student's area of study and require DSOs to provide information in SEVIS to show that they took steps, based on this guidance, to help ensure that the student's work is related to the area of study.			GAO officially closed this recommendation in the time since the universe of open recommendations aged more than 1 year on 9/30/2019 was identified.		
ICE	GAO-16-514	IMMIGRATION DETENTION: Additional Actions Needed to Strengthen DHS Management of Short-Term Holding Facilities	05/26/2016	1	4/30/2020
That the Secretary of Homeland Security direct Border Patrol and ICE to develop and implement a process to assess their "time in			The ICE Enforcement Integrated Database (EID)/ENFORCE contains the information necessary to assess time in custody,		

Component	Report Number	Report Title	Report Received Date	Rec #	Estimated Completion Date (or Date Closed)
Recommendation			Narrative of Implementation Status		
		custody" data for all individuals in holding facilities, including identifying and addressing potential data quality issues; and identifying cases where time in custody exceeded guidelines and assessing the factors impacting time in custody.			including specific book-in/book-out times for all individuals in detention facilities. In response to this recommendation, ICE ERO updated a report to demonstrate the ability to assess time in custody and to identify cases where time in custody exceeded ICE guidelines. Sample reports were provided to GAO for review. ICE ERO is working on providing GAO with process documentation on how it assesses time in custody, data quality issues, and the factors impacting time in custody.
ICE	GAO-16-514	IMMIGRATION DETENTION: Additional Actions Needed to Strengthen DHS Management of Short-Term Holding Facilities	05/26/2016	3	9/30/2019
		To facilitate the tracking of holding facility complaints, include a classification code in all complaint tracking systems related to DHS short term holding facilities.			ICE enhanced the ERO Detention Reporting and Information Line (DRIL) complaint system and the Office of Professional Responsibility Joint Integrity Case Management System (JICMS) to include a classification code to facilitate the tracking of holding facility complaints. The enhancement enables ICE to identify the detention facility associated with a detainee complaint. ICE provided GAO with documentation demonstrating the addition of the field within DRIL and JICMS. On 9/25/2019, GAO indicated there is no further action for ICE for this recommendation.
ICE	GAO-16-514	IMMIGRATION DETENTION: Additional Actions Needed to Strengthen DHS Management of Short-Term Holding Facilities	05/26/2016	4	2/28/2020
		That the Secretary of Homeland Security direct CBP and ICE to develop and implement a process for analyzing trends related to holding facility complaints across their respective component.			ICE provided GAO with documentation on the ERO DRIL complaint process for analyzing trends relating to holding facilities, weekly reports, and ERO leadership meeting agendas and

Component	Report Number	Report Title	Report Received Date	Rec #	Estimated Completion Date (or Date Closed)
Recommendation			Narrative of Implementation Status		
			minutes. The documentation describes how the data is analyzed to identify any trends, such as a facility consistently having a certain type of complaint (e.g., food or religious access), and used to make changes or improve practices within a detention facility. ICE is awaiting feedback from GAO on the DRIL documentation submitted for review.		
ICE	GAO-17-205SU / GAO-17-474	BORDER SECURITY: Additional Actions Could Strengthen DHS Efforts to Address Subterranean, Aerial, and Maritime Smuggling	02/03/2017	4	6/30/2020
That the Secretary of Homeland Security direct the Commissioner of CBP and the Director of ICE to jointly establish and monitor performance measures and targets related to cross-border tunnels.			<p>USBP leads the crossborder tunnel interdiction effort, and ICE Homeland Security Investigations (HSI) leads the crossborder investigation effort. Both efforts have the capability of independently identifying a crossborder tunnel. When a crossborder tunnel is identified, the Chief of the affected Border Patrol Sector and the Special Agent In-Charge of the affected HSI Region decide if an immediate interdiction is appropriate or if an investigation is the most strategic action. This decision process is in place across the entire U.S.-Mexico border.</p> <p>USBP is continuing to develop its technology interdiction process for crossborder tunnels. Technology installations and investments are predicted to increase USBP's ability to identify crossborder tunnels, which potentially could provide performance measure opportunities.</p> <p>ICE HSI's performance measurement process focuses on the greatest threats facing the United States. HSI has aligned its</p>		

Component	Report Number	Report Title	Report Received Date	Rec #	Estimated Completion Date (or Date Closed)
Recommendation			Narrative of Implementation Status		
			performance measures with its Strategic Plan and Strategic Management Framework, in compliance with the Government Performance and Results Modernization Act of 2010 and the DHS Quadrennial Homeland Security Review (QHSR). Approved tunnel cases are listed under the “Illicit Trade, Travel, and Finance (Drug-Related)” category within the performance measure framework for significant investigations. ICE HSI reviewed the data for FYs 2005 through 2017 to identify significant cases that were headquarters approved and linked to crossborder tunnel investigations. ICE is packaging the information and will submit to GAO for review.		
ICE	GAO-17-66	BORDER PATROL: Actions Needed to Improve Oversight of Post-Apprehension Consequences	01/12/2017	6	3/31/2020
The Secretary of Homeland Security should direct the Assistant Secretary of Immigration and Customs Enforcement and Commissioner of Customs and Border Protection to collaborate on sharing immigration enforcement and removal data to help Border Patrol account for the removal status of apprehended aliens in its recidivism rate measure.			In accordance with the One DHS Rule, Components share information as one Department, rather than as separate entities, to the extent permitted by and consistent with those Component Heads’ authorities and any restrictions imposed by statute, EO, presidential or other directive, or national or departmental policy. ICE and CBP, as DHS Components, share information daily to support operational needs. In response to this GAO recommendation, ICE ERO and USBP have successfully transmitted immigration enforcement and removal data to help account for the removal status of apprehended aliens in the recidivism rate measure. ICE ERO and USBP will continue to share immigration enforcement and removal data as needed. ICE is submitting a request to GAO to consider this recommendation resolved and closed as implemented.		

Component	Report Number	Report Title	Report Received Date	Rec #	Estimated Completion Date (or Date Closed)
Recommendation			Narrative of Implementation Status		
ICE	GAO-18-104SU/GAO-18-314	BORDER SECURITY Actions Needed to Strengthen Performance Management and Planning for Expansion of DHS's Visa Security Program	12/19/2017	1	11/29/2019
The Director of ICE should ensure that trainings provided by VSP agents to consular officers are developed and implemented with required frequency and content.			ICE HSI has created and refined 13 consular training courses. These trainings are then distributed to Visa Security Program (VSP) agents at posts through an internal HSI SharePoint collaboration site, and compliance is tracked on a quarterly basis. The training courses vary in HSI subject matter and help to inform the post of relevant trends and threats. Documentation on what has been accomplished to date was provided to GAO on 11/13/2019 to demonstrate progress achieved to date for this recommendation. GAO is reviewing the documentation and ICE is awaiting feedback.		
ICE	GAO-18-104SU/GAO-18-314	BORDER SECURITY Actions Needed to Strengthen Performance Management and Planning for Expansion of DHS's Visa Security Program	12/19/2017	2	11/29/2019
The Director of ICE should develop and implement outcome-based performance measures to evaluate the effectiveness of the VSP and assess whether the program is achieving its objectives.			ICE HSI developed benchmarks and targets for four metrics to measure VSP's ability to achieve the program's objectives. ICE HSI also created and is currently using an automated performance dashboard to evaluate the program's performance. In FY 2019, each VSP post was measured against customized metric targets to ensure that the program is on track to meet its annual program goals. ICE HSI analyzes this data to evaluate the program's performance better and to make data-driven decisions to support the VSP mission further. Documentation on what has been		

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Recommendation			Narrative of Implementation Status		
			accomplished to date was provided to GAO on 11/13/2019, to demonstrate progress achieved to date for this recommendation. GAO is reviewing the documentation and ICE is awaiting feedback.		
ICE	GAO-18-104SU/GAO-18-314	BORDER SECURITY Actions Needed to Strengthen Performance Management and Planning for Expansion of DHS's Visa Security Program	12/19/2017	3	11/29/2019
The Director of ICE should incorporate PATRIOT data into the VSP's site selection process for the posts it is considering for expansion.			ICE HSI developed a statistical model to incorporate historical Pre-Adjudicated Threat Recognition and Intelligence Operations Team (PATRIOT) data into its site selection process for posts being considered for expansion. By using leading practices for statistical analyses, ICE HSI can make reasonable presumptions for future hit rates at posts being considered for expansion. ICE HSI is continuing to update and refine this model annually, as additional data becomes available. Documentation on HSI's statistical model was provided to GAO on 11/13/2019. GAO is reviewing the documentation and ICE is awaiting feedback.		
ICE	GAO-18-104SU/GAO-18-314	BORDER SECURITY Actions Needed to Strengthen Performance Management and Planning for Expansion of DHS's Visa Security Program	12/19/2017	4	11/29/2019
The Director of ICE should incorporate remote models of VSP operations in the program's site selection process.			ICE HSI updated its site-selection tools to incorporate additional data and filters to help to evaluate the viability of potential remote operations. ICE HSI also developed a geospatial web application providing additional insight into the viability of remote operations by analyzing the distance from current VSP posts to future remote		

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Recommendation			Narrative of Implementation Status		
			posts. In addition, ICE HSI leadership is continuing to engage in ongoing discussions with the U.S. Department of State senior leadership to assess remote screening standard operating procedures and to identify potential posts for remote expansion. Documentation on HSI's site selection process methodology was provided to GAO on 11/13/2019. GAO is reviewing the documentation and ICE is awaiting feedback.		
ICE	GAO-18-343	Immigration Detention: Opportunities Exist to Improve Cost Estimates	04/18/2018	1	12/31/2019
The Director of ICE should take steps to document and implement its			To demonstrate the review process, the ICE Budget Office submitted to GAO a RAP package documenting the level of reviews and the prioritization model used to rank program options that were reviewed and approved by the ICE Business Management Council. In addition, a RAP after-action feedback presentation was provided to GAO to demonstrate that the ICE Budget Office conducts an internal review of the process following each phase of the budget submission. The ICE Budget Office is working on packaging additional documentation to demonstrate consistency and accuracy of budget documents.		
ICE	GAO-18-343	Immigration Detention: Opportunities Exist to Improve Cost Estimates	04/18/2018	2	4/30/2020
The Director of ICE should take steps to assess ICE's adult bed rate			The ICE Budget Office contracted for an assessment of the adult bed rate methodology. The approach used for the assessment is back testing, which uses an analytical methodology to historical data to assess how accurate the methodology would be in predicting actual results. The vendor has completed the assessment and is drafting its report.		

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ICE	GAO-18-343	Immigration Detention: Opportunities Exist to Improve Cost Estimates	04/18/2018	3	6/30/2020
The Director of ICE should take steps to update ICE's adult bed rate methodology by incorporating necessary changes based on its assessment, and ensure the use of appropriate inflation rates and the removal of family beds from all calculations.			The ICE Budget Office updated its adult bed rate model to remove family beds from all calculations and developed a bed rate calculator. The calculator enables the ICE Budget Office to forecast future fiscal years' detention funding requirements accurately using traceable projection techniques, to generate funding projections to inform budget formulation in the outyears accurately, and to reduce the likelihood of budgetary shortfalls during the year of execution. The updated bed rate model, bed rate calculator, and user guide were provided to GAO for review. The completion of the adult bed rate assessment report (recommendation 2) will determine whether additional changes are needed for the adult bed rate methodology.		
ICE	GAO-18-343	Immigration Detention: Opportunities Exist to Improve Cost Estimates	04/18/2018	4	2/28/2020
The Director of ICE should take steps to determine the most			The ICE Budget Office provided GAO with the average daily population (ADP) forecasting methodology that ICE uses for budget formulation. The model was used to provide a point estimate within a specific confidence interval and documents the interval the agency used and the reasoning. ICE submitted budget documentation demonstrating the use of the statistical model to GAO for review. ICE is awaiting GAO's feedback on additional documentation needed for this recommendation.		
ICE	GAO-18-343	Immigration Detention: Opportunities Exist to Improve Cost Estimates	04/18/2018	5	2/28/2020
The Director of ICE should take steps to ensure that ICE's budget			The ICE Budget Office conducted a sensitivity analysis and detailed calculations and assumptions for the adult bed rate. In		

Component	Report Number	Report Title	Report Received Date	Rec #	Estimated Completion Date (or Date Closed)
Recommendation			Narrative of Implementation Status		
			<p>addition, a bed rate sliding scale for the ADP confidence intervals and point estimate was developed to improve ICE's ability to report against the sensitivity inherent with ADP and its impact on bed rate. ICE provided budget submissions to GAO, which included the adult bed rate scale. ICE is awaiting GAO's feedback on additional documentation needed for this recommendation.</p>		
ICE	GAO-18-405	DHS Components Could Improve Monitoring of the Employee Misconduct Process	08/30/2018	7	3/31/2020
<p>The Director of ICE should revise policy or guidance to ensure documentation of required control activities in its case management system, such as supervisory review of management inquiries, legal</p>			<p>The ICE OPR Assistant Director issued guidance to ICE OPR and ICE components requiring documentation of supervisory review of management inquiries, legal review of OPR-investigated cases, and recusals in the case management system case notes. The guidance instructed personnel to enter case resolution codes in the case management system, and to upload completed data verification checklists as an attachment prior to the closure or transfer of the case to Employee and Labor Relations. ICE OPR is working on updating its guidebook to include information on recusals. The guidebook will be provided to GAO once it is finalized and approved.</p>		
ICE	GAO-18-405	DHS Components Could Improve Monitoring of the Employee Misconduct Process	08/30/2018	8	3/31/2020
<p>The Director of ICE should require staff to document the investigative findings (case resolution codes) of management inquiries in the case management system.</p>			<p>The ICE OPR Assistant Director issued guidance to OPR and ICE components that instructed personnel to enter case resolution codes in the case management system, and to upload completed data verification checklists as an attachment prior to the closure or transfer of the case to Employee and Labor Relations. The case</p>		

Component	Report Number	Report Title	Report Received Date	Rec #	Estimated Completion Date (or Date Closed)
Recommendation			Narrative of Implementation Status		
			resolution code is a mandatory field within ICE's case management system; therefore, all OPR management inquiries include the case resolution. ICE OPR is working now on the documentation for investigative findings of non-OPR management inquiries within the case management system.		
ICE	GAO-18-405	DHS Components Could Improve Monitoring of the Employee Misconduct Process	08/30/2018	9	3/31/2020
The Director of ICE should modify ICE's annual self-inspection program to track the status of related corrective actions to ensure they are implemented in a timely manner.			ICE OPR updated the Self-Inspection Program (SIP) policy to require ICE units/programs/field offices to maintain and safeguard all SIP documentation for 4 fiscal years from the closing date, to continue to track corrective actions to completion by the Senior Level Official or designee, and to submit confirmation to OPR of completed corrective actions within the requisite 30-day period. The revised ICE SIP policy is undergoing review and finalization by the ICE Office of Policy and Planning. In FY 2019, OPR identified three ICE program offices required to complete a SIP. Upon finalization of the assessments, OPR will confirm that the program offices followed the new process of notifying ICE OPR of any corrective actions completed within the required period. The finalized ICE SIP policy and process documentation will be provided to GAO for review.		
ICE	GAO-18-405	DHS Components Could Improve Monitoring of the Employee Misconduct Process	08/30/2018	10	3/31/2020
The Director of ICE should monitor the duration of all cases beginning-to-end by stage and by case type.			The ICE Office of Human Capital (OHC) and OPR are working to document ICE's employee misconduct process from beginning to end. They will specifically identify the start and end points;		

Component	Report Number	Report Title	Report Received Date	Rec #	Estimated Completion Date (or Date Closed)
Recommendation			Narrative of Implementation Status		
			identify the inputs, outputs, and activities; identify the process roles; and develop the process documentation. Once completed, the documentation will be provided to GAO.		
ICE	GAO-18-405	DHS Components Could Improve Monitoring of the Employee Misconduct Process	08/30/2018	11	3/31/2020
The Director of ICE should monitor the timeliness of misconduct cases according to established targets for management inquiries and Employee Relations specialist review of proposal and decision of disciplinary outcomes using case management system data.			The ICE OPR Assistant Director for Investigations issued guidance to ICE components regarding the established targets for the completion of management inquiries. In addition, they are continuing to send monthly reports to ICE officials on the status of management inquiries. ICE OHC finalized FY 2019 performance targets and issued guidance to Employee Relations Specialists for the review of proposals and decisions of disciplinary outcomes.		
ICE	GAO-18-405	DHS Components Could Improve Monitoring of the Employee Misconduct Process	08/30/2018	12	3/31/2020
The Director of ICE should define and document the case management system data fields and methodology to be used for monitoring all established performance targets and provide related guidance to staff.			ICE OPR has been working on defining and documenting case management system data fields and the methodology used for monitoring all established performance targets. Upon completion, guidance will be provided to staff, senior leadership, ICE OPR staff, Employee Relations personnel, and ICE components, as appropriate.		
ICE	GAO-18-550	DHS ACQUISITIONS: Additional Practices Could Help Components Better Develop Operational Requirements	08/08/2018	8	1/31/2020
The Director of Immigration and Customs Enforcement establishes a policy for requirements development			The ICE Office of Policy and Planning (OPP) coordinated with the DHS Joint Requirements Council (JRC) and benchmarked other		

Component	Report Number	Report Title	Report Received Date	Rec #	Estimated Completion Date (or Date Closed)
Recommendation			Narrative of Implementation Status		
			DHS components that have more mature requirements development processes to leverage best practices and lessons learned. The DHS JRC secured Homeland Security Operational Analysis Center (HSOAC) contractor support to assess ICE's requirements development practices and abilities. The HSOAC completed the independent assessment and ICE OPP is reviewing the findings and determining the next steps.		
ICE	GAO-18-550	DHS ACQUISITIONS: Additional Practices Could Help Components Better Develop Operational Requirements	08/08/2018	9	1/31/2020
The Director of Immigration and Customs Enforcement establishes the planned independent requirements development organization within Immigration and Customs Enforcement			ICE created a Requirements Unit within OPP. The unit is led by a Unit Chief and will be staffed with a management and program Analyst. ICE OPP will leverage the HSOAC assessment findings to propose an independent requirements development structure within ICE for leadership approval.		
ICE	GAO-18-550	DHS ACQUISITIONS: Additional Practices Could Help Components Better Develop Operational Requirements	08/08/2018	10	4/30/2020
The Director of Immigration and Customs Enforcement conducts a workforce assessment to account for an independent requirements organization's workforce needs.			ICE OPP coordinated with ICE OHC on conducting a workforce assessment to account for an independent requirements organization's workforce needs. Pending the acceptance of the HSOAC assessment, ICE OPP will leverage the findings for the development of the workforce assessment in collaboration with ICE OHC.		

Component	Report Number	Report Title	Report Received Date	Rec #	Estimated Completion Date (or Date Closed)
Recommendation			Narrative of Implementation Status		
ICE	GAO-18-550	DHS ACQUISITIONS: Additional Practices Could Help Components Better Develop Operational Requirements	08/08/2018	11	4/30/2020
The Director of Immigration and Customs Enforcement establishes component specific training for requirements development			ICE requirements development personnel take DHS's Joint Requirements Integration and Management System (JRIMS)-related training. ICE OPP ensures that all ICE business owners and program management offices are aware of the JRIMS-related training on an ongoing basis and tracks the classes that ICE staff participate in. The ICE Office of Assurance and Compliance will reach out to GAO to obtain guidance on the documentation needed to close out the recommendation.		
MGMT-CFO	GAO-16-443	DHS Management: Enhanced Oversight Could Better Ensure Programs Receiving Fees and Other Collections Use Funds Efficiently	07/21/2016	4	11/30/2019
Take action to track and report on management and operational deficiencies - including reasons supporting any decisions to not pursue recommended actions-identified in fee reviews or through other means.			The DHS Budget Audit Liaison met with the GAO Auditor throughout Fall 2019 to review the FY Q4 Fee Governance Council meeting notes and recent actions taken. DHS also included a statement on the results of the FY 2018 Biennial Fee Review in the DHS FY 2019 Annual Financial Report. This update, along with other supporting documentation and the results of the FY 2020 Biennial Fee Review, will bring DHS closer to closing the last open recommendation.		
MGMT-CFO	GAO-17-205SU / GAO-17-474	BORDER SECURITY: Additional Actions Could Strengthen DHS Efforts to Address Subterranean, Aerial, and Maritime Smuggling	02/03/2017	6	TBD

Component	Report Number	Report Title	Report Received Date	Rec #	Estimated Completion Date (or Date Closed)
Recommendation			Narrative of Implementation Status		
That the Secretary of Homeland Security direct the Commandant of the Coast Guard, Commissioner of CBP, and the Director of ICE to establish and monitor RECOM performance measures and targets related to panga boat and recreational vessel smuggling.			DHS nonconcurred with this recommendation. DHS believes that focusing on performance measures and targets related to smuggling via panga boats does not begin to address the much larger, dynamic and adaptive nature of smuggling operations and would fall short of providing a holistic, strategic assessment of operations to prevent all illicit trafficking, regardless of the tactical area of operations or the mode of transportation used by criminals, terrorists, and others. DHS is working to achieve a set of enterprisewide, strategic-level measures of performance for drug supply reduction activities and efforts on outcomes, which are more appropriate for measurement of Department and Component headquarters effectiveness.		
MGMT-CFO	GAO-18-344	DHS Program Costs: Reporting Program-Level Operations and Support Costs Would Improve Oversight	04/25/2018	1	2/3/2020
The Secretary of Homeland Security should work with Congress to add information to its annual congressional budget justification to show O&S funding requests for major acquisition programs within current program/project activity accounts.			DHS currently captures/reports Operations & Support acquisition costs in its Budget Justification (both OMB and the Congressional Justification (CJ)). FY 2019 was the first year to include this information in the CJ; unfortunately, it was not captured consistently across all Components. We have addressed this in our Budget Guidance and training for the FY 2020 Component submissions, which were submitted to Congress on 3/18/2019. On 8/06/2019, Budget requested that GAO close this recommendation. GAO asked that USCG include data similar to the data that it provided in the Future Years Homeland Security Program report. The FY 2021 CJ was submitted to Congress on 2/10/2020 and included input from all Components. CJs were provided to GAO with the request to close this recommendation.		

Component	Report Number	Report Title	Report Received Date	Rec #	Estimated Completion Date (or Date Closed)
Recommendation			Narrative of Implementation Status		
MGMT-CFO	GAO-18-344	DHS Program Costs: Reporting Program-Level Operations and Support Costs Would Improve Oversight	04/25/2018	2	2/3/2020
The Secretary of Homeland Security should work with Congress to include O&S data in monthly execution reports at a major acquisition program level within current program/project activity accounts.			DHS is continuing to prepare a document that will include that level of information. Because this level of detail has not been collected for all acquisition programs prior to FY 2019, some difficulties have been encountered due to system limitations and training requirements. In November 2019, all FY 2019 Q4 plans were sent to Congress to meet this requirement. This began the quarterly submission process. The plans were provided to GAO to request closure of this recommendation.		
MGMT-CHCO	GAO-16-253	Homeland Security: Oversight of Neglected Human Resources Information Technology Investment is Needed	02/11/2016	5	9/30/2020
Secretary of Homeland Security direct the Under Secretary of Management to direct the Chief Human Capital Officer to direct the HRIT investment to document and track all costs, including components' costs, associated with HRIT.			The Executive Director for Human Capital Business Solutions is responsible for this recommendation. On 9/18/2019, GAO requested evidence that DHS is tracking actual costs for configuration, data migration, and subscriptions. The recommendation is on track for closure.		
MGMT-CHCO	GAO-16-253	Homeland Security: Oversight of Neglected Human Resources Information Technology Investment is Needed	02/11/2016	9	6/30/2020
Secretary of Homeland Security direct the Under Secretary of Management to direct the Chief Information Officer to direct the PALMS program office to establish a time frame for deciding whether PALMS will be fully deployed at FEMA and USCG, and			The Executive for Human Capital Business Solutions is responsible for this recommendation. On 9/18/2019, GAO provided specific expectations under which it will consider closing the recommendations. GAO will continue to monitor this		

Component	Report Number	Report Title	Report Received Date	Rec #	Estimated Completion Date (or Date Closed)
Recommendation			Narrative of Implementation Status		
		determine an alternative approach if the learning and/or performance management capabilities of PALMS are deemed not feasible for ICE, FEMA, TSA, or USCG.			recommendation until DHS selects the replacement solution for the Performance and Learning Management System (PALMS). An area of consideration will be whether ICE, FEMA, the Transportation Security Administration (TSA), and USCG are on board with the learning management option selected and, if they are not, what alternative approach is identified and selected for them. The recommendation is on track for closure.
MGMT-CHCO	GAO-18-175	Cybersecurity Workforce: Urgent Need for DHS to Take Actions to Identify Its Position and Critical Skill Requirements	02/06/2018	4	11/30/2019
The Secretary of Homeland Security should ensure OCHCO collects complete and accurate data from its components on all filled and vacant cybersecurity positions when it conducts its cybersecurity identification and coding efforts.			The Executive Director for Cyber Statutory Authority Program is responsible for this recommendation. The last interaction with GAO was on 9/09/2019. The Office of the Chief Human Capital Officer (OCHCO) expects GAO will need more time to evaluate evidence of implementation and related future activities. OCHCO plans to provide post-corrective action adjudication examples to GAO in the 1st quarter of FY 2020. The recommendation is on track for closure.		
MGMT-CHCO	GAO-18-466	Cybersecurity Workforce: Agencies Need to Improve Baseline Assessments and Procedures for Coding Positions	06/14/2018	1	12/31/2019
The DHS Secretary should conduct a baseline assessment of the department's cybersecurity workforce that includes (1) the percentage of personnel with IT, cybersecurity, or other cyber-related job functions who hold certifications; (2) the level of preparedness of other cyber personnel without existing credentials to take certification exams; and (3) a strategy for mitigating any gaps			Resolutions to recommendations 1 and 2 for this report are related. The Executive Director for Cyber Statutory Authority Program is responsible for this recommendation. The last interaction with GAO was on 8/12/2019. OCHCO provided a summary of the Baseline Assessment of Professional Certifications and initial analysis briefed to Congressional staff. The final analysis is		

Component	Report Number	Report Title	Report Received Date	Rec #	Estimated Completion Date (or Date Closed)
Recommendation			Narrative of Implementation Status		
identified with appropriate training and certification for existing personnel.			included in the forthcoming FY 2018 Comprehensive Report to Congress, currently in clearance. The recommendation is on track for closure.		
MGMT-CHCO	GAO-18-466	Cybersecurity Workforce: Agencies Need to Improve Baseline Assessments and Procedures for Coding Positions	06/14/2018	2	12/31/2019
The DHS Secretary submit a report of the department's baseline assessment of its existing cybersecurity workforce to the appropriate congressional committees of jurisdiction.			Resolutions to recommendations 1 and 2 for this report are related. The Executive Director for Cyber Statutory Authority Program is responsible for this recommendation. The last interaction with GAO was on 8/12/2019. OCHCO provided a summary of the Baseline Assessment of Professional Certifications and initial analysis briefed to Congressional staff. The final analysis is included in the forthcoming FY 2018 Comprehensive Report to Congress, currently in clearance. The recommendation is on track for closure.		
MGMT-CIO	GAO-15-431	TELECOMMUNICATIONS: Agencies Need Better Controls to Achieve Significant Savings on Mobile Devices and Services	05/21/2015	10	3/31/2020
GAO recommends that the Secretary of Homeland Security ensure an inventory of mobile devices and services is established department-wide (i.e., all components' devices and associated services are accounted for).			Most DHS Components have already completed their portion of this recommendation. On 10/29/2019, a request was sent to FEMA to obtain an itemized wireless mobile device inventory detail. The Business Management Office (BMO) currently is standing by for the response and plans to provide an update inventory list as part of the November 2019 Integrated Data Collection.		

Component	Report Number	Report Title	Report Received Date	Rec #	Estimated Completion Date (or Date Closed)
Recommendation			Narrative of Implementation Status		
MGMT-CIO	GAO-15-431	TELECOMMUNICATIONS: Agencies Need Better Controls to Achieve Significant Savings on Mobile Devices and Services	05/21/2015	12	3/31/2020
GAO recommends that the Secretary of Homeland Security ensure procedures to monitor and control spending are established department-wide. Specifically, ensure that: -procedures include assessing devices for zero, under and over usage; -personnel with authority and responsibility for performing the procedures are identified; and -the specific steps to be taken to perform the process are documented.			OCIO/Information Technology Service & Operations continues to collaborate with the BMO to respond successfully to GAO's 10/30/2019 response. A meeting is being scheduled to walk-through the Cellular Wireless Managed Services (CWMS) Process document to ensure that language is inclusive, as well as to ensure that the BMO Integrated Data Collection report delivery to OMB coincides with processes identified within the CWMS Process document.		
MGMT-CIO	GAO-16-323	Data Center Consolidation: Agencies Making Progress, but Planned Savings Goals Need to Be Established	03/03/2016	1	1/31/2020
The Secretary of the Department of Homeland Security should take action to improve progress in the data center optimization areas that we reported as not meeting OMB's established targets, including addressing any identified challenges.			On 10/22/2019, GAO stated that it expects to close the recommendation by the end of the calendar year.		
MGMT-CIO	GAO-16-468	Information Technology: Federal Agencies Need to Address Aging Legacy Systems	05/25/2016	1	10/31/2019
To address obsolete IT investments in need of modernization or replacement, the Secretary of Homeland Security should direct the CIO to identify and plan to modernize or replace legacy systems as needed and consistent with OMB's draft guidance, including time frames, activities to be performed, and functions to be replaced or enhanced.			On 9/27/2019, the Office of the Chief Technology Officer (OCTO) submitted a response and additional documentation in response to GAO's questions and requested closure. OCTO currently is awaiting GAO's closure decision.		

Component	Report Number	Report Title	Report Received Date	Rec #	Estimated Completion Date (or Date Closed)
Recommendation			Narrative of Implementation Status		
MGMT-CIO	GAO-16-511	Information Technology: Agencies Need to Improve Their Application Inventories to Achieve Additional Savings	09/29/2016	1	5/31/2020
The Secretaries of Defense, Homeland Security, the Interior, and Labor; and the Director of the National Science Foundation to direct the CIOs and other responsible officials to modify existing investment management processes to address applications more completely. Specifically, the Secretary of Homeland Security should direct the department's CIO to identify one high-cost function it could collect detailed cost, technical, and business information for and modify existing processes to collect and review this information.			OCTO continues to support the Information Sharing and Services Office effort to stand up an OCIO-level technical Program Management Office. IS20 is leading the effort to move the current Freedom of Information Act (FOIA) management system out of Data Center 2. OCTO is supporting the effort to acquire a new enterprisewide FOIA system by reviewing current capabilities. The FOIA Processing System Streamlined Acquisition Plan and Statement of Work was submitted to the Office of the Chief Procurement Officer (OCPO) from the Office of Privacy on 10/21/2019.		
MGMT-CIO	GAO-17-284	HOMELAND SECURITY: Progress Made to Implement IT Reform, but Additional Chief Information Officer Involvement Needed	05/18/2017	4	11/30/2020
The DHS Chief Information Officer should establish time frames and implement a plan for (1) identifying the department's future IT skillset needs as a result of DHS's new delivery model, (2) conducting a skills gap analysis, and (3) resolving any skills gaps identified.			OCIO submitted the Cloud White Paper on 9/30/2019 and the Communications and Implementation Plan on 11/4/2019 to GAO. GAO indicated this audit will remain at Fully Addressed and as one of 30 outcomes included in GAO's High-Risk Area called Strengthening DHS Management Functions. GAO will continue to monitor progress until DHS addresses all aspects of this High-Risk area and the overall area is closed. This audit does not have a clear end date, per GAO, so it will continue to monitor DHS' efforts. GAO is interested in how DHS has used the results of the competency analyses to date, including any examples of how the		

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Recommendation			Narrative of Implementation Status		
			Components are using/have used the deliverables from the SWP initiative.		
MGMT-CIO	GAO-17-284	HOMELAND SECURITY: Progress Made to Implement IT Reform, but Additional Chief Information Officer Involvement Needed	05/18/2017	5	11/30/2019
The DHS Under Secretary for Management should update the department's acquisition policies and guidance to be consistent in identifying that the DHS CIO is to certify investments' incremental development activities			Management Instruction 102-01-003 Systems Engineering Life Cycle (SELC) is ready for internal review. The Office of Program Accountability and Risk Management (PARM) Executive Director decided to hold the instruction until the SELC Guidebook was ready to route with the Instruction. The Guidebook is in internal peer review. OCTO will provide this document to GAO once it is signed and published.		
MGMT-CIO	GAO-17-284	HOMELAND SECURITY: Progress Made to Implement IT Reform, but Additional Chief Information Officer Involvement Needed	05/18/2017	6	3/31/2020
The DHS Under Secretary for Management should update DHS headquarters', Customs and Border Protection's, and U.S. Coast Guard's processes to track, for all contracts and agreements, the IT investment with which each is associated (as applicable);			DHS Headquarters and USCG requested closure for their portion of this recommendation in 2018. The working group meeting for CBP's Office of Information and Technology, Office of Finance/Financial Systems Division, and Office of Acquisitions to coordinate the approach that ensures ongoing consistency in program/project tracking guidance, including the best method to track major acquisition oversight list investments within Systems, Applications, and Products using the unique investment identifiers, occurred on 10/24/2019.		

Component	Report Number	Report Title	Report Received Date	Rec #	Estimated Completion Date (or Date Closed)
Recommendation			Narrative of Implementation Status		
MGMT-CIO	GAO-17-284	HOMELAND SECURITY: Progress Made to Implement IT Reform, but Additional Chief Information Officer Involvement Needed	05/18/2017	7	12/31/2019
The DHS Under Secretary for Management should update and implement the process DHS uses for assessing the risks of major IT investments to ensure that the CIO rating reported to the Dashboard fully reflects the CIO's assessment of each major IT investment.			OCTO will continue to populate the IT Dashboard with Component IT program data.		
MGMT-CIO	GAO-17-448	DATA CENTER OPTIMIZATION: Agencies Need to Address Challenges and Improve Progress to Achieve Cost Savings Goal	08/15/2017	1	12/31/2019
The Secretary of Homeland Security take action to, within existing OMB reporting mechanisms, complete plans describing how the agency will achieve OMB's requirement to implement automated monitoring tools at all agency-owned data centers by the end of the fiscal year 2018.			DHS plans to request closure of this recommendation once OMB provides the adjudication to GAO following the November 2019 Integrated Data Collection (IDC). Noting that this audit recommendation and the DHS status update is duplicated by GAO-19-241, DHS OCIO reviewed the data center facility inventory against the new June 2019 OMB Data Center Optimization Initiative instructions and definitions. The results demonstrate that seven DHS facilities, previously tracked under this recommendation, are exempt from the requirements of this recommendation. Three of these facilities are exempt because they do not meet the requirements of a tiered facility and four are exempt because they are performing National Operations Center, Security Operations Center, continuity of operations, and network processing functions and are not data centers. DHS reported these exemptions to OMB during the August 2019 IDC, but OMB did not adjudicate these changes and recently indicated that it will		

Component	Report Number	Report Title	Report Received Date	Rec #	Estimated Completion Date (or Date Closed)
Recommendation			Narrative of Implementation Status		
			adjudicate these changes as part of the 4th quarter of the FY 2019 IDC and PortfolioStat. DHS will wait for OMB to provide the adjudication to GAO following the November 2019 IDC, at which time DHS will request closure of this recommendation.		
MGMT-CIO	GAO-18-46	TSA Modernization Use of Sound Program Management and Oversight Practices Are Needed to Avoid Repeating Past Problems	10/17/2017	12	12/31/2019
The Secretary of Homeland Security should direct the Under Secretary for Management to ensure that appropriate DHS leadership reaches consensus on needed oversight and governance changes related to the frequency of reviewing Agile programs, and then documents and implements associated changes.			The DHS Agile Development & Delivery for IT Instruction 102-01-004 is in internal review. OCTO will provide this document to GAO once it is signed and published.		
MGMT-CIO	GAO-18-93	Federal Chief Information Officers: Critical Actions Needed to Address Shortcomings and Challenges in Implementing Responsibilities	08/02/2018	1	5/31/2019
Ensure that the department's information technology IT management policies address the role of the CIO for key responsibilities in the 5 areas we identified.			On 6/17/2019, DHS provided follow up documentation to GAO to provide evidence of the Chief Information Officer (CIO) reporting to the DHS Secretary. GAO will reach out to OCIO regarding any further needs once it has finished its analysis of the documentation provided.		
MGMT-CPO	GAO-18-446	Reverse Auctions: Additional Guidance Could Help Reduce Unnecessary Fees	07/18/2018	9	11/29/2019
The Secretary of Homeland Security should: document and provide information to contracting officials that describes available reverse auction providers and platforms, and any associated fee structures;			On 7/10/2019, the Chief Procurement Officer (CPO) met with GAO Senior Leadership to discuss the OCPO audits. This recommendation was discussed at that meeting. On 09/30/2019,		

Component	Report Number	Report Title	Report Received Date	Rec #	Estimated Completion Date (or Date Closed)
Recommendation			Narrative of Implementation Status		
		and provide guidance, as appropriate, to contracting officials to ensure that they compare the options that are available to them when considering whether to use reverse auctions.	DHS awarded a Department-wide reverse auction Blanket Purchase Agreement (BPA). This BPA award will meet the intention of this recommendation. OCPO will request closure of this recommendation.		
MGMT-CPO	GAO-18-446	Reverse Auctions: Additional Guidance Could Help Reduce Unnecessary Fees	07/18/2018	10	11/29/2019
The Secretary of Homeland Security should determine if it would be advantageous for the agency to enter into contracts with third-party reverse auction providers.			On 7/10/2019, the CPO met with GAO Senior Leadership to discuss the OCPO audits. This recommendation was discussed at that meeting. On 09/30/2019, DHS awarded a Department-wide reverse auction BPA. This BPA award will meet the intention of this recommendation. OCPO will request closure of this recommendation.		
MGMT-CPO	GAO-18-446	Reverse Auctions: Additional Guidance Could Help Reduce Unnecessary Fees	07/18/2018	11	11/29/2019
The Secretary of Homeland Security should obtain timely information on how much the agency is paying for reverse auction services.			On 7/10/2019, the CPO met with GAO Senior Leadership to discuss the OCPO audits. This recommendation was discussed at that meeting. On 9/30/2019, DHS awarded a Department-wide reverse auction BPA. This BPA award will meet the intention of this recommendation. OCPO will request closure of this recommendation.		
MGMT-CRSO	GAO-14-648	Federal Real Property: DHS and GSA Need to Strengthen the Management of DHS Headquarters Consolidation	09/19/2014	1	12/31/2020
In order to improve transparency and allow for more informed decision making by congressional leaders and DHS and GSA decision-makers, before requesting additional funding for the DHS			The U.S. General Services Administration (GSA), in coordination with DHS, is revising the St. Elizabeths Master Plan to account for the challenges of adaptive reuse and lack of funding in FY 2017		

Component	Report Number	Report Title	Report Received Date	Rec #	Estimated Completion Date (or Date Closed)
Recommendation			Narrative of Implementation Status		
headquarters consolidation project, the Secretary of Homeland Security and the Administrator of the General Services Administration should work jointly to conduct the following assessments and use the results to inform updated DHS headquarters consolidation plans: (1) a comprehensive needs assessment and gap analysis of current and needed capabilities that take into consideration changing conditions, and (2) an alternatives analysis that identifies the costs and benefits of leasing and construction alternatives for the remainder of the project and prioritizes options to account for funding instability.			and FY 2018. GSA is revising the Master Plan and is expected to present a final plan to OMB and Congress in 2020. In addition, DHS is working closely with GSA to complete a DHS National Capital Region Consolidation Strategy, which includes a comprehensive real estate portfolio diagnostic of all owned and leased real estate within the region to support a 5-year consolidation plan.		
MGMT-CRSO	GAO-14-648	Federal Real Property: DHS and GSA Need to Strengthen the Management of DHS Headquarters Consolidation	09/19/2014	2	12/31/2020
In order to improve transparency and allow for more informed decision making by congressional leaders and DHS and GSA decision-makers, before requesting additional funding for the DHS headquarters consolidation project, after revising the DHS headquarters consolidation plans, the Secretary of Homeland Security and the Administrator of the General Services Administration should work jointly to develop revised cost and schedule estimates for the remaining portions of the consolidation project that conform to GSA guidance and leading practices for cost and schedule estimation, including an independent evaluation of the estimates.			GSA, in coordination with DHS, is revising the St. Elizabeths Master Plan to account for the challenges of adaptive reuse and lack of funding in FY 2017 and FY 2018. GSA is revising the Master Plan and is expected to present a final plan to OMB and Congress in 2020. In addition, DHS is working closely with GSA to complete a DHS National Capital Region Consolidation Strategy, which includes a comprehensive real estate portfolio diagnostic of all owned and leased real estate within the region to support a 5-year consolidation plan. DHS also is working with an independent consultant to accomplish all the cost estimates required to identify and prioritize cost-effective consolidation projects.		
MGMT-FPS	GAO-12-739	FPS: Actions Needed to Assess Risk and Better Manage Contract Guards at Federal Facilities	09/10/2012	4	6/30/2020

Component	Report Number	Report Title	Report Received Date	Rec #	Estimated Completion Date (or Date Closed)
Recommendation			Narrative of Implementation Status		
Given the challenges that FPS faces in assessing risks to federal facilities and managing its contract guard workforce, we recommend that the Secretary of Homeland Security direct the Under Secretary of NPPD and the Director of FPS to develop and implement a new comprehensive and reliable system for contract guard oversight.			A live demonstration of the Post Tracking System and a discussion regarding the integration of the Training Academy Management System was held with GAO on 10/10/2019. This demonstration and additional documentation provided the basis for the Federal Protective Service's (FPS) request for closure. FPS is waiting for GAO's closure decision.		
MGMT-FPS	GAO-12-739	FPS: Actions Needed to Assess Risk and Better Manage Contract Guards at Federal Facilities	09/10/2012	5	6/30/2020
Given the challenges that FPS faces in assessing risks to federal facilities and managing its contract guard workforce, we recommend that the Secretary of Homeland Security direct the Under Secretary of NPPD and the Director of FPS to verify independently that FPS's contract guards are current on all training and certification requirements.			A live demonstration of the Post Tracking System and a discussion regarding the integration of the Training Academy Management System was held with GAO on 10/10/2019. This demonstration and additional documentation provided the basis for FPS's request for closure. FPS is waiting for GAO's closure decision.		
MGMT-FPS	GAO-13-694	FEDERAL PROTECTIVE SERVICE: Challenges with Oversight of Contract Guard Program Still Exist and Additional Management Controls Are Needed	10/30/2013	1	6/30/2020
Take immediate steps to determine which guards have not had screener or active-shooter scenario training and provide it to them and, as part of developing a national lesson plan, decide how and how often these trainings will be provided in the future.			A live demonstration of the Post Tracking System and a discussion regarding the integration of the Training Academy Management System was held with GAO on 10/10/2019. This demonstration and additional documentation provided the basis for FPS's request for closure. FPS is waiting for GAO's closure decision.		
MGMT-FPS	GAO-16-135	Homeland Security: FPS and GSA Should Strengthen Collaboration to Enhance Facility Security	12/16/2015	1	6/30/2020

Component	Report Number	Report Title	Report Received Date	Rec #	Estimated Completion Date (or Date Closed)
Recommendation			Narrative of Implementation Status		
FPS and GSA headquarters officials should establish a plan with timeframes for reaching agreement on a joint strategy and finalizing it in order to define and articulate a common understanding of expected outcomes and align the two agencies' activities and core processes to achieve their related missions.			The FPS Final Joint Strategy is pending internal FPS approval by senior leadership. After final approval is given by senior leadership, the documentation with be provided to GAO with a request for closure.		
MGMT-FPS	GAO-16-135	Homeland Security: FPS and GSA Should Strengthen Collaboration to Enhance Facility Security	12/16/2015	5	6/30/2020
FPS and GSA headquarters officials should develop a process to ensure that compatible policies and procedures, including those for information sharing, are communicated at the regional level so that regional officials at both agencies have common information on how to operationalize the two agencies' collaborative efforts.			The FPS Final Joint Strategy is pending internal FPS approval by senior leadership. After final approval is given by senior leadership, the documentation with be provided to GAO with a request for closure.		
MGMT-FPS	GAO-16-135	Homeland Security: FPS and GSA Should Strengthen Collaboration to Enhance Facility Security	12/16/2015	7	6/30/2020
FPS and GSA headquarters officials should develop mechanisms to monitor, evaluate, and report on their collaborative efforts to protect federal facilities in order to identify possible areas for improvement and to reinforce accountability.			The FPS Final Joint Strategy is pending internal FPS approval by senior leadership. After final approval is given by senior leadership, the documentation with be provided to GAO with a request for closure.		
MGMT-PARM	GAO-17-346SP	Homeland Security Acquisitions: Earlier Requirements Definition and Clear Documentation of Key Decisions Could Facilitate Ongoing Progress	04/06/2017	1	6/30/2020
The Secretary of Homeland Security direct the Undersecretary for Management to update the acquisition policy to require that major acquisition programs' technical requirements are well defined and			In an effort to streamline the SELC Policy, PARM is looking to combine the Instruction, 102-01-103, Rev00.1, with its implementing guidebook revision. The SELC Guidebook revision		

Component	Report Number	Report Title	Report Received Date	Rec #	Estimated Completion Date (or Date Closed)
Recommendation			Narrative of Implementation Status		
		key technical reviews are conducted prior to approving programs to initiate product development and establishing APBs, in accordance with acquisition best practices	draft is in informal review process review: first with the Systems Engineering Center of Excellence (SECOE) community of practice in November 2019, to be followed by the Component Acquisition Executive (CAE) Staff Forum review in December 2019. Expect the Guidebook to be ready for DHS formal clearance in early 2020.		
MGMT-PARM	GAO-17-799	DHS Financial Management: Better Use of Best Practices Could Help Manage System Modernization Project Risks	09/26/2017	1	6/30/2020
		DHS Under Secretary for Management should develop and implement effective processes and improve guidance to reasonably assure that future AAs fully follow AOA process best practices and reflect the four characteristics of a reliable, high-quality AOA process.	Analysis of Alternatives (AoA) Study Process Assessment Tools have been developed to assist in implementation of GAO-identified best practices across the Department. The tools can be used at the onset of the process to assess the Study Plan prior to conducting the AoA/AA to understand the level of best practice implementation expected during the study and to identify potential areas of risk to study credibility. They also are designed for use at or near the end of the process to assess how credible, unbiased, comprehensive, and well-documented the study was. The tools have been piloted on select TSA and CWMD programs with favorable results. The Draft AoA Guidance is being aligned with Draft SELC Guidance, which is in SECOE review adjudication.		
MGMT-PARM	GAO-17-799	DHS Financial Management: Better Use of Best Practices Could Help Manage System Modernization Project Risks	09/26/2017	2	11/30/2019
		The DHS Under Secretary for Management should improve the Risk Management Planning Handbook and other relevant guidance for managing risks associated with financial management system	On 10/1/2019, GAO sent their section-by-section analysis of PARM's Risk Management Training Aide, detailing where GAO		

Component	Report Number	Report Title	Report Received Date	Rec #	Estimated Completion Date (or Date Closed)
Recommendation			Narrative of Implementation Status		
modernization projects to fully incorporate risk management best practices, including • defining thresholds to facilitate review of performance metrics to determine when risks become unacceptable; • identifying and analyzing risks to include periodically reconsidering risk sources, documenting risks specifically related to the lack of sufficient, reliable cost and schedule information needed to help properly manage and oversee the project, and timely disposition of IV&V contractor-identified risks; • developing risk mitigation plans with specific risk-handling activities, the costs and benefits of implementing them, and contingency plans for selected critical risks; and • implementing risk mitigation plans to include establishing periods of performance for risk-handling activities and defining time intervals for updating and certifying the accuracy and completeness of information on risks in DHS's risk register.			felt that we fell short of their criteria. PARM reviewed and we sent the response back to GAO on 10/22/2019.		
MGMT-PARM	GAO-18-339SP	Homeland Security Acquisitions: Leveraging Programs' Results Could Further Improve DHS's Progress to Improve Portfolio Management	05/17/2018	2	3/31/2020
The Under Secretary for Management should require PARM to assess the results of major acquisition programs' post-implementation reviews and identify opportunities to improve performance across the acquisition portfolio.			PARM is looking to scale back the deliverables to close this recommendation. PARM will continue to implement the Guidebook and will provide GAO with specific examples of how PARM used lessons from the Post Implementation Reviews in our oversight of current acquisition programs.		
MGMT-PARM	GAO-18-600	Coast Guard Acquisitions: Polar Icebreaker Program Needs to Address Risks before Committing Resources	09/04/2018	5	10/31/2021
DHS Under Secretary for Management should require the Coast Guard to update the HPIB acquisition program baselines prior to			In accordance with Directive 102-01, "Acquisition Management," dated 7/28/2015, and the program strategy, the DHS Acquisition		

Component	Report Number	Report Title	Report Received Date	Rec #	Estimated Completion Date (or Date Closed)
Recommendation			Narrative of Implementation Status		
		authorizing lead ship construction, after completion of the preliminary design review, and after it has gained the requisite knowledge on its technologies, cost, and schedule, as recommended above.			Decision Authority does not intend to authorize lead ship construction until approval of Acquisition Decision Event 2C (ADE-2C), which is not scheduled to occur until more than a year after the preliminary design review. PARM officials have updated acquisition policy to require key technical reviews, including the preliminary design review, to be conducted prior to approving final acquisition program baselines. For the Heavy Polar Icebreaker Program, DHS leadership agrees with the GAO assessment of high schedule risk. Therefore, DHS will require an explicit update of the program's acquisition program baseline prior to ADE- 2C to incorporate any changes to the cost, schedule, or performance parameters that may be warranted based on knowledge attained through the date of the preliminary design review. Any changes to baseline parameters required during this update will not be considered a breach of the current program baseline. USCG and the U.S. Navy, through an Integrated Program Office, awarded VT Halter Marine Inc., Pascagoula, Mississippi, a fixed-price incentive (firm) contract for the Detail Design and Construction (DD&C) of the USCG's lead Polar Security Cutter (PSC) on 4/23/2019. The initial award is valued at \$745.9 million and supports nonrecurring engineering and detail design of the PSC class as well as procurement of long lead-time materials and construction of the first ship. The contract also includes options for the construction of two additional PSCs. If all options are exercised, the total contract value is \$1.9 billion. The Preliminary Design Review (PDR) is currently scheduled for March 9, 2020, and the date for ADE-2C is projected for January 2021. DHS still expects any necessary update of the program's acquisition program baseline to occur after PDR but prior to ADE-2C.

Component	Report Number	Report Title	Report Received Date	Rec #	Estimated Completion Date (or Date Closed)
Recommendation			Narrative of Implementation Status		
OPE	GAO-17-300	Countering Violent Extremism: Actions Needed to Define Strategy and Assess Progress of Federal Efforts	04/06/2017	1	4/1/2019
The Secretary of Homeland Security and the Attorney General-as heads of the two lead agencies responsible for coordinating CVE efforts-should direct the CVE Task Force to develop a cohesive strategy that includes measurable outcomes for CVE activities			The Countering Violent Extremism (CVE) Task Force was never assigned the duty of establishing a new National Counterterrorism Strategy. However, a new National Counterterrorism Strategy was issued by the White House in October and one of its five pillars is terrorism prevention (formerly referred to as CVE). That strategy can be found online at https://www.whitehouse.gov/wp-content/uploads/2018/10/NSCT.pdf		
OPE	GAO-17-300	Countering Violent Extremism: Actions Needed to Define Strategy and Assess Progress of Federal Efforts	04/06/2017	3	4/1/2019
The Secretary of Homeland Security and the Attorney General-as heads of the two lead agencies responsible for coordinating CVE efforts-should direct the CVE Task Force to establish and implement a process to assess overall progress in CVE, including its effectiveness			In February 2019, the Homeland Security Operational Analysis Center, operated for DHS by the RAND Corporation, released a 335-page new report assessing overall progress on CVE and how to build an effective and practical national approach to terrorism prevention. The report, commissioned by DHS, examines past terrorism prevention efforts throughout the interagency and makes recommendations for future programs. The report can be found online at https://www.rand.org/pubs/research_reports/RR2647.html . DHS requested closure of this recommendation in April 2019, but GAO noted that the report “does not establish a process for agencies to measure the success of their activities or overall progress of CVE efforts.” GAO will look for further DHS progress in this area.		

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Recommendation			Narrative of Implementation Status		
OPE	GAO-18-233	Emergency Management: Federal Agencies Could Improve Dissemination of Resources to Colleges	02/22/2018	1	12/31/2019
<p>The Secretary of Homeland Security, in collaboration with other agencies, through the planned interagency working group or another mechanism, should identify further opportunities to more effectively publicize resources to reach additional colleges.</p>			<p>DHS, through the interagency working group, continues to identify further opportunities to publicize resources more effectively to reach additional colleges. For example, in 2018 and 2019, the Campus Resilience (CR) Program Tabletop Exercises Series held 5 events reaching more than 905 participants, representing 248 colleges and universities. Additionally, the Office of Academic Engagement (OAE), in coordination with FEMA, has published 10 Exercise Starter Kits (ESK) to assist both the K-12 community and colleges and universities with building and refining response training and exercises to enhance their emergency plans and capabilities. The ESKs provide to colleges pre-developed packages of templates that can be used to facilitate self-conducted emergency tabletop exercises. To date, OAE has distributed more than 17,000 ESKs to schools across the country. Further, on 3/26/2018, OAE launched the CR Program Resource Library, https://www.dhs.gov/campus-resilience-program-resource-library. This free, online repository offers a variety of resources to empower practitioners and campus leaders to better prepare for, respond to, and recover from various threats and hazards relevant to the academic community. The library includes links to more than 350 resources, representing a variety of Federal, state, local, private-sector, emergency management, and academic association entities.</p>		

Component	Report Number	Report Title	Report Received Date	Rec #	Estimated Completion Date (or Date Closed)
Recommendation			Narrative of Implementation Status		
OPE	GAO-18-537	NATIVE AMERICAN CULTURAL PROPERTY: Additional Agency Actions Needed to Assist Tribes with Repatriating Items from Overseas Auctions	09/05/2018	1	12/31/2019
The Secretary of Homeland Security should direct Homeland Security's members of the interagency working group for protection of Native American cultural property to implement selected leading collaboration practices, such as taking steps to agree on outcomes and objectives, clarify roles and responsibilities, and document these decisions.			CBP and ICE have participated in ad hoc working group discussions related to the recommendation and continue to engage with the working group to meet the intent of the recommendation. Next steps include clearly drafting desired outcomes and continuing to establish primary roles. DHS will continue to maintain its support role under current authorities as needed for various repatriation efforts with an understanding that DHS is not a key department in repatriation efforts within the borders of the United States.		
OPE	GAO-18-537	NATIVE AMERICAN CULTURAL PROPERTY: Additional Agency Actions Needed to Assist Tribes with Repatriating Items from Overseas Auctions	09/05/2018	5	10/30/2019
The Secretary of Homeland Security should direct Homeland Security's members of the interagency working group for protection of Native American cultural property to identify and externally communicate to tribes points of contact within the agency that are responsible for responding to tribes' requests for assistance with repatriating cultural items from overseas auctions.			DHS has evaluated and updated contact information on various public-facing webpages. DHS engages interested tribes via mass emails, during monthly tribal collaboration calls, face-to-face engagements, and participation in repatriation conferences. During all of these, DHS focuses on contact information sharing and support to tribes. DHS provides contact information through CBP's Office of Intergovernmental Partnership Liaison and the DHS tribal affairs program, which are searchable online. CBP and ICE continue to support outreach efforts of the working group.		

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OPE	GAO-18-537	NATIVE AMERICAN CULTURAL PROPERTY: Additional Agency Actions Needed to Assist Tribes with Repatriating Items from Overseas Auctions	09/05/2018	9	12/31/2019
The Secretary of Homeland Security should direct Homeland Security's members of the interagency working group for protection of Native American cultural property to collaborate with the interagency working group members from other agencies to assess, in consultation with Indian tribes, whether and how amending the U.S. legal framework governing the export, theft, and trafficking of Native American cultural items would facilitate the repatriation of these items from auctions overseas and report its findings to Congress.			Outside of DHS, the Department of Interior (DOI) has crafted legislative recommendations and is in a formal consultation effort with Indian tribes. DHS members of the ad hoc working group continue to support efforts and considerations related to the recommendation. DOI is coordinating the recommendation of legislative recommendations through its legislative processes.		
PLCY	GAO-13-11	Critical Infrastructure Protection: An Implementation Strategy Could Advance DHS's Coordination of Resilience Efforts across Ports and Other Infrastructure	10/25/2012	1	11/12/2019
Direct the Assistant Secretary of Policy to develop an implementation strategy for this new policy that identifies the following characteristics and others that may be deemed appropriate: - Steps needed to achieve results, by developing priorities, milestones, and performance measures; - Responsible entities, their roles compared to others, and mechanisms needed for successful coordination; and - Sources and types of resources and investments associated with the strategy, and where those resources and investments should be targeted.			GAO officially closed this recommendation in the time since the universe of open recommendations aged more than 1 year on 9/30/2019 was identified.		

Component	Report Number	Report Title	Report Received Date	Rec #	Estimated Completion Date (or Date Closed)
Recommendation			Narrative of Implementation Status		
PLCY	GAO-15-288	Critical Technologies: Agency Initiatives Address Some Weaknesses, but Additional Interagency Collaboration Is Needed	02/10/2015	1	3/31/2021
To ensure a consistent and more collaborative approach to the protection of critical technologies, the Secretaries of Commerce, Defense, Homeland Security, State, and the Treasury; as well as the Attorney General of the United States, who have lead and stakeholder responsibilities for the eight programs within the critical technologies portfolio, should take steps to promote and strengthen collaboration mechanisms among their respective programs while ongoing initiatives are implemented and assessed. These steps need not be onerous; for example, they could include conducting an annual meeting to discuss their programs, including the technologies they are protecting, their programs' intent, any new developments or changes planned for their programs, as well as defining consistent critical technologies terminology and sharing important updates.			This recommendation requires interagency coordination to address the intent of the recommendation. PLCY continues to discuss next steps with the Department of Defense (DOD) points of contact (POC) to move this recommendation to closure.		
PLCY	GAO-15-521	Unaccompanied Alien Children: Actions Needed to Ensure Children Receive Required Care in DHS Custody	07/14/2015	11	12/30/2019
To increase the efficiency and improve the accuracy of the interagency UAC referral and placement process, we recommend that the Secretaries of Homeland Security and Health and Human Services jointly develop and implement a documented interagency process with clearly defined roles and responsibilities, as well as procedures to disseminate placement decisions, for all agencies involved in the referral and placement of UAC in HHS shelters			GAO noted on 8/30/19 that they will not close this recommendation and will continue to follow up given the nexus with other related ongoing GAO work.		

Component	Report Number	Report Title	Report Received Date	Rec #	Estimated Completion Date (or Date Closed)
Recommendation			Narrative of Implementation Status		
PLCY	GAO-16-178C / GAO-16-498	Visa Waiver Program: DHS Should Take Steps to Ensure Timeliness of Information Needed to Protect U.S. National Security	01/27/2016	2	12/31/2020
Take steps to improve DHS's timeliness in reporting to Congress, within the statutory time frame, the department's determination of whether each VWP country should continue participating in the program and any effects of the country's participation on U.S. law enforcement and national security interests.			The progress on this recommendation continues and PLCY should have an update soon.		
PLCY	GAO-16-371	Quadrennial Homeland Security Review: Improved Risk Analysis and Stakeholder Consultations Could Enhance Future Reviews	04/15/2016	1	3/31/2020
The Secretary of Homeland Security should direct the Assistant Secretary for Policy to ensure future QHSR risk assessment methodologies reflect key elements of successful risk assessment methodologies, such as being: (1) Documented, which includes documenting how risk information was integrated to arrive at the assessment results, (2) Reproducible, which includes producing comparable, repeatable results, and (3) Defensible, which includes communicating any implications of uncertainty to users of the risk results.			DHS PLCY is currently drafting the next iteration of the QHSR and will use the resulting review to present to GAO evidence of DHS's efforts to consider GAO's recommendations when preparing the QHSR.		
PLCY	GAO-16-371	Quadrennial Homeland Security Review: Improved Risk Analysis and Stakeholder Consultations Could Enhance Future Reviews	04/15/2016	2	3/31/2020

Component	Report Number	Report Title	Report Received Date	Rec #	Estimated Completion Date (or Date Closed)
Recommendation			Narrative of Implementation Status		
To enable the use of risk information in supporting resource allocation decisions, guiding investments, and highlighting the measures that offer the greatest return on investment, the Secretary of Homeland Security should direct the Assistant Secretary for Policy to refine its risk assessment methodology so that in future QHSRs it can compare and prioritize homeland security risks and risk mitigation strategies.			DHS PLCY is currently drafting the next iteration of the QHSR and will use the resulting review to present to GAO evidence of DHS's efforts to consider GAO's recommendations when preparing the QHSR.		
PLCY	GAO-16-371	Quadrennial Homeland Security Review: Improved Risk Analysis and Stakeholder Consultations Could Enhance Future Reviews	04/15/2016	3	3/31/2020
The Secretary of Homeland Security should direct the Assistant Secretary for Policy to identify and implement stakeholder meeting processes to ensure that communication is interactive when project planning for the next QHSR.			DHS PLCY is currently drafting the next iteration of the QHSR and will use the resulting review to present to GAO evidence of DHS's efforts to consider GAO's recommendations when preparing the QHSR.		
PLCY	GAO-16-371	Quadrennial Homeland Security Review: Improved Risk Analysis and Stakeholder Consultations Could Enhance Future Reviews	04/15/2016	4	3/31/2020
To ensure proper management of the internal QHSR stakeholder consultation process, the Secretary of Homeland Security should direct the Assistant Secretary for Policy to clarify component detailee roles and responsibilities when project planning for the next QHSR.			DHS PLCY is currently drafting the next iteration of the QHSR and will use the resulting review to present to GAO evidence of DHS's efforts to consider GAO's recommendations when preparing the QHSR.		
PLCY	GAO-18-590	Homeland Security: Clearer Roles and Responsibilities for the Office of Strategy, Policy, and Plans and Workforce Planning Would Enhance Its Effectiveness	09/19/2018	1	1/31/2020

Component	Report Number	Report Title	Report Received Date	Rec #	Estimated Completion Date (or Date Closed)
Recommendation			Narrative of Implementation Status		
The Secretary of Homeland Security should finalize a delegation of authority or similar documents that clearly defines PLCY's mission, roles, and responsibilities relative to DHS's operational and support components.			The delegation of authority is currently pending with DHS leadership for approval/signature. Given recent leadership changes, the approval may continue to be delayed.		
PLCY	GAO-18-590	Homeland Security: Clearer Roles and Responsibilities for the Office of Strategy, Policy, and Plans and Workforce Planning Would Enhance Its Effectiveness	09/19/2018	2	1/31/2020
The Secretary of Homeland Security should create corresponding processes and procedures to help implement the mission, roles, and responsibilities defined in the delegation of authority or similar document to help ensure predictability, repeatability, and accountability in department-wide and crosscutting strategy and policy efforts.			The delegation of authority is currently pending with DHS leadership for approval/signature. Given recent leadership changes, the approval may continue to be delayed.		
PLCY	GAO-18-590	Homeland Security: Clearer Roles and Responsibilities for the Office of Strategy, Policy, and Plans and Workforce Planning Would Enhance Its Effectiveness	09/19/2018	3	1/31/2020
The Under Secretary for Strategy, Policy, and Plans should use the "DHS Workforce Planning Guide" to help identify and analyze any gaps in PLCY's workforce, design strategies to address any gaps, and communicate this information to DHS leadership.			In the Management Response Letter, PLCY conveyed its concerns that the recommendation applies to GAO's understanding of staffing allocations to PLCY. However, PLCY is an office that provides direct support to the Office of the Secretary. As such, the PLCY office projects the budget and staffing based on the current expected needs, plus increases for outlying years. Due to changes in administration and secretarial priorities, PLCY has to recalibrate and base its budget and staffing projections on what PLCY thought that it needed, rather than on current needs due to changing		

Component	Report Number	Report Title	Report Received Date	Rec #	Estimated Completion Date (or Date Closed)
Recommendation			Narrative of Implementation Status		
			priorities. PLCY doesn't use a billet system with hard-and-fast allocations. PLCY's ability to align resources properly with current needs must remain flexible and the workforce planning guidance that GAO references doesn't allow for that in whole.		
PLCY	GAO-18-590	Homeland Security: Clearer Roles and Responsibilities for the Office of Strategy, Policy, and Plans and Workforce Planning Would Enhance Its Effectiveness	09/19/2018	4	6/30/2020
The Under Secretary for Strategy, Policy, and Plans should enhance the use of collaboration and communication mechanisms to connect with staff in the components with responsibilities for policy and strategy to better identify and address emerging needs.			The delegation of authority is currently pending with DHS leadership for approval/signature.		
PRIV	GAO-15-82	Freedom of Information Act: DHS Should Take Steps to Improve Cost Reporting and Eliminate Duplicate Processing	11/19/2014	2	3/31/2020
Improve reporting of FOIA costs by including salaries, employee benefits, non-personnel direct costs, indirect costs, and costs for other offices.			The Privacy Office (PRIV) sent a closure request to GAO in September 2018, but GAO since has requested more information. PRIV is working to provide this information to GAO.		
PRIV	GAO-15-82	Freedom of Information Act: DHS Should Take Steps to Improve Cost Reporting and Eliminate Duplicate Processing	11/19/2014	3	3/31/2020
Determine the viability of re-establishing the service-level agreement between USCIS and ICE to eliminate duplication in the processing of immigration files. If the benefits of doing so would exceed the costs, re-establish the agreement.			PRIV sent a closure request to GAO in September 2018, but GAO since has requested more information. PRIV is working to provide this information to GAO.		

Component	Report Number	Report Title	Report Received Date	Rec #	Estimated Completion Date (or Date Closed)
Recommendation			Narrative of Implementation Status		
PRIV	GAO-15-82	Freedom of Information Act: DHS Should Take Steps to Improve Cost Reporting and Eliminate Duplicate Processing	11/19/2014	4	3/31/2020
Direct USCIS and Coast Guard to fully implement the recommended FOIA processing system capabilities and the section 508 requirement.			PRIV sent a closure request to GAO in September 2018, but GAO since has requested more information. PRIV is working to provide this information to GAO.		
PRIV	GAO-18-365	Freedom of Information Act: Agencies Are Implementing Requirements but Additional Actions Are Needed	06/25/2018	1	3/31/2020
The Secretary of DHS should take steps to develop and document a plan that fully addresses best practices with regards to reduction of backlogged FOIA requests.			The directive and instruction to address best practices with regard to reduction of backlogged FOIA requests is in the DHS review and clearance process.		
SEC	GAO-18-550	DHS ACQUISITIONS: Additional Practices Could Help Components Better Develop Operational Requirements	08/08/2018	24	12/31/2019
The JRC collaborate with components on their requirements development policies and, in partnership with the Under Secretary for Management, provide oversight to promote consistency across the components			The Joint Requirements Council (JRC) has written a draft Requirements Policy guidance memo to the Components that will be disseminated to the JRC Principals for review and comment by the end of December 2019. The memo provides common-sense, overarching guidance on Component requirements policies.		
TSA	GAO-11-657	Transportation Worker Identification Credential: Internal Control Weaknesses Need to be Corrected to Help Achieve Security Objectives	05/10/2011	1	12/31/2019

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Recommendation			Narrative of Implementation Status		
<p>To identify effective and cost-efficient methods for meeting TWIC program objectives, and assist in determining whether the benefits of continuing to implement and operate the TWIC program in its present form and planned use with readers surpass the costs, we recommend that the Secretary of Homeland Security take the following four actions: Perform an internal control assessment of the TWIC program by (1) analyzing existing controls, (2) identifying related weaknesses and risks, and (3) determining cost-effective actions needed to correct or compensate for those weaknesses so that reasonable assurance of meeting TWIC program objectives can be achieved. This assessment should consider weaknesses we identified in this report among other things, and include: strengthening the TWIC program's controls for preventing and detecting identity fraud, such as requiring certain biographic information from applicants and confirming the information to the extent needed to positively identify the individual, or implementing alternative mechanisms to positively identify individuals; defining the term extensive criminal history for use in the adjudication process and ensuring that adjudicators follow a clearly defined and consistently applied process, with clear criteria, in considering the approval or denial of a TWIC for individuals with extensive criminal convictions not defined as permanent or interim disqualifying offenses; and identifying mechanisms for detecting whether TWIC holders continue to meet TWIC disqualifying criminal offense and immigration-related eligibility requirements after TWIC issuance to prevent unqualified individuals from retaining and using authentic TWICs.</p>			<p>DHS S&T commissioned HSOAC to conduct the assessment, including review of the appropriateness of vetting standards, redundancy with other transportation security credentials, and the extent to which the program addresses known or likely security risks in the maritime environment, among other requirements. Responsive to GAO's recommendation, HSOAC has reviewed alternative credentialing approaches, including potential redundancies. DHS believes that HSOAC's planned reporting on alternative operating models will be responsive to GAO's recommendations. HSOAC completed its assessment in August 2019 and DHS will provide GAO a copy of the assessment, along with S&T's summary report of the assessment and USCG and TSA's CAP once the Summary Report and CAP have cleared the Administration's adjudication and clearance process coordinated by OMB.</p>		

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TSA	GAO-11-657	Transportation Worker Identification Credential: Internal Control Weaknesses Need to be Corrected to Help Achieve Security Objectives	05/10/2011	2	12/31/2019
<p>Conduct an effectiveness assessment that includes addressing internal control weaknesses and, at a minimum, evaluates whether use of TWIC in its present form and planned use with readers would enhance the posture of security beyond efforts already in place given costs and program risks.</p>			<p>DHS S&T commissioned HSOAC to conduct the assessment, including review of the appropriateness of vetting standards, redundancy with other transportation security credentials, and the extent to which the program addresses known or likely security risks in the maritime environment, among other requirements. Responsive to GAO's recommendation, HSOAC has reviewed alternative credentialing approaches, including potential redundancies. DHS believes that HSOAC's planned reporting on alternative operating models will be responsive to GAO's recommendations. HSOAC completed its assessment in August 2019 and DHS will provide GAO a copy of the assessment, along with S&T's summary report of the assessment and USCG and TSA's CAP once the Summary Report and CAP have cleared the Administration's adjudication and clearance process coordinated by OMB.</p>		
TSA	GAO-11-657	Transportation Worker Identification Credential: Internal Control Weaknesses Need to be Corrected to Help Achieve Security Objectives	05/10/2011	3	12/31/2019
<p>Use the information from the internal control and effectiveness assessments as the basis for evaluating the costs, benefits, security risks, and corrective actions needed to implement the TWIC program in a manner that will meet stated mission needs and mitigate existing security risks as part of conducting the regulatory analysis on</p>			<p>DHS S&T commissioned HSOAC to conduct the assessment, including review of the appropriateness of vetting standards, redundancy with other transportation security credentials, and the extent to which the program addresses known or likely security risks in the maritime environment, among other requirements.</p>		

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implementing a new regulation on the use of TWIC with biometric card readers.			Responsive to GAO's recommendation, HSOAC has reviewed alternative credentialing approaches, including potential redundancies. DHS believes that HSOAC's planned reporting on alternative operating models will be responsive to GAO's recommendations. HSOAC completed its assessment in August 2019 and DHS will provide GAO a copy of the assessment, along with S&T's summary report of the assessment and USCG and TSA's CAP once the Summary Report and CAP have cleared the Administration's adjudication and clearance process coordinated by OMB.		
TSA	GAO-16-130C / GAO-16-582	(U) FEDERAL AIR MARSHAL SERVICE: Actions Needed to Better Incorporate Risk in Deployment Strategy	03/22/2016	1	12/31/2019
GAO recommends that FAMS in addition to considering risk when determining how to divide FAMS's international flight coverage resources among international destinations, incorporate risk into FAMS's method for initially setting its annual target numbers of average daily international and domestic flights to cover.			The Federal Air Marshal Service (FAMS) CONOPS is undergoing internal review to ensure that it incorporates and aligns with other strategic initiatives that require multiple level coordination.		
TSA	GAO-16-130C / GAO-16-582	(U) FEDERAL AIR MARSHAL SERVICE: Actions Needed to Better Incorporate Risk in Deployment Strategy	03/22/2016	2	12/31/2019
GAO recommends that FAMS conduct and document a risk assessment-systematically collecting information on and assigning value to current risks-to further support FAMS's domestic resource allocation decisions, including the identification of high-priority geographic areas.			The FAMS CONOPS is undergoing internal review to ensure that it incorporates and aligns with other strategic initiatives that require multiple level coordination.		

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TSA	GAO-16-318SU / GAO-16-632	AVIATION SECURITY: Airport Perimeter and Access Control Security Would Benefit from Risk Assessment and Strategy Updates	03/28/2016	5	12/31/2019
Update the 2012 Strategy for airport security to reflect changes in risk assessments, agency operations, and the status of goals and objectives. Specifically, this update should reflect: information from the Risk Assessment of Airport Security, as well as information contained in the most recent TSSRA and JVs; new airport security-related activities; the status of TSA efforts to address goals and objectives; and finalized outcome-based performance measures and performance levels-or targets-for each relevant activity and strategic goal.			GAO advised in an 8/22/2019 e-mail that it would be closing this recommendation as fully implemented. GAO will update its website in the near future to reflect this closure. Awaiting GAO's final closure report.		
TSA	GAO-16-535SU / GAO-16-764	Federal Air Marshal Service: Additional Actions Needed to Ensure Air Marshals' Mission Readiness	06/17/2016	5	12/31/2019
Develop and implement standardized methods, such as examinations and checklists, for determining whether incumbent air marshals continue to be mission ready in key skills.			TSA is working with GAO to provide additional information in an attempt to close the recommendation. Discussions are currently underway to determine whether a measure captures the mission readiness of FAMS.		
TSA	GAO-16-79	Critical Infrastructure Protection: Sector-Specific Agencies Need to Better Measure Cybersecurity Progress	11/19/2015	2	3/30/2019
Secretaries of Homeland Security and Transportation (as co-SSAs) direct responsible officials to develop performance metrics to			Per email from GAO on 10/23/2019, this recommendation has been closed as implemented in GAO's internal tracking system. Awaiting GAO final closure report.		

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provide data and determine how to overcome challenges to monitoring the transportation systems sector's cybersecurity progress.					
TSA	GAO-17-602C / GAO-17-794	AVIATION SECURITY: Actions Needed To Systematically Evaluate Cost and Effectiveness Across Security Countermeasures.	08/16/2017	1	12/31/2019
Explore and pursue methods to assess the deterrent effect of TSA's passenger aviation security countermeasures; such an effort should identify FAMS- a countermeasure with a focus on deterring threats- as a top priority to address.			TSA/RCA provided an update to GAO in July 2019. TSA provided the new data and information as it relates to TSA's methods and countermeasures to deter threats. TSA is prepared to provide GAO a classified briefing on the new data and countermeasures.		
TSA	GAO-17-602C / GAO-17-794	AVIATION SECURITY: Actions Needed To Systematically Evaluate Cost and Effectiveness Across Security Countermeasures.	08/16/2017	2	12/31/2019
TSA improves the reliability and extent of its information on the effectiveness of aviation security countermeasures, systematically evaluate the potential cost and effectiveness tradeoffs across countermeasures.			TSA/Office of the Chief Financial Officer (OCFO) provided an update to the recommendation with a request for closure on 10/8/2019. TSA/OCFO provided GAO an update on how TSA is evaluating costs and effectiveness of aviation security countermeasures.		
TSA	GAO-18-405	DHS Components Could Improve Monitoring of the Employee Misconduct Process	08/30/2018	13	3/31/2020
The Administrator of TSA should revise policy or guidance to ensure documentation of required control activities in its case management system, such as supervisory review of investigations and data verification.			To fully implement this recommendation, TSA is working to provide evidence of revised policy/guidance that ensures documentation of supervisory review of investigations and recusals.		

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TSA	GAO-18-405	DHS Components Could Improve Monitoring of the Employee Misconduct Process	08/30/2018	14	3/31/2020
The Administrator of TSA should develop a method for more easily connecting cases between the OOI database and Employee Relations database.			TSA is working with the audit team to show evidence of full implementation of this recommendation.		
TSA	GAO-18-405	DHS Components Could Improve Monitoring of the Employee Misconduct Process	08/30/2018	15	3/31/2020
The Administrator of TSA should modify TSA's annual inspection process to include evaluating and testing internal controls related to the investigation of employee misconduct.			TSA is working to revise the scope of its annual inspection process to include evaluating and testing internal controls related to the investigation of employee misconduct.		
TSA	GAO-18-405	DHS Components Could Improve Monitoring of the Employee Misconduct Process	08/30/2018	16	3/31/2020
The Administrator of TSA should monitor the duration of all cases beginning-to-end by stage and case type.			TSA is working to clarify which process stages are measured by case type (management inquiry, administrative inquiry, and investigation), and also which data fields are used to measure the total duration (from beginning to end) of each case type.		
TSA	GAO-18-405	DHS Components Could Improve Monitoring of the Employee Misconduct Process	08/30/2018	17	3/31/2020
The Administrator of TSA should monitor the timeliness of misconduct cases according to established targets for management inquiries (fact finding) and administrative inquiries, and the proposal and decision stages, using case information system data.			TSA is working to clarify which process stages are measured by case type (management inquiry, administrative inquiry, and investigation), and also which data fields are used to measure the total duration (from beginning to end) of each case type.		

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TSA	GAO-18-405	DHS Components Could Improve Monitoring of the Employee Misconduct Process	08/30/2018	18	3/31/2020
The Administrator of TSA should define and document the case management system data fields and methodology to be used for monitoring all established performance targets and provide related guidance to staff			TSA is working to implement this recommendation. GAO is requesting documentation of TSA guidance to staff that defines and documents the specific case management system data field names (in the various databases, as applicable) and methodology that staff should use to monitor all established timeliness targets (including management inquiries, administrative inquiries, INV investigations, the proposal and decision phases).		
TSA	GAO-18-550	DHS ACQUISITIONS: Additional Practices Could Help Components Better Develop Operational Requirements	08/08/2018	16	11/30/2019
The Administrator of the Transportation Security Administration through the Executive Assistant Administrator of Operations Support finalizes and promulgates the Transportation Security Administration's draft policy for requirements development			Based on the signed TSA policy on requirements and capabilities analysis, GAO agreed to close this recommendation as implemented. TSA awaits GAO's official closure report.		
TSA	GAO-18-550	DHS ACQUISITIONS: Additional Practices Could Help Components Better Develop Operational Requirements	08/08/2018	17	11/30/2019
The Administrator of the Transportation Security Administration through the Executive Assistant Administrator of Operations Support conducts a workforce assessment to account for an independent requirements organization's workforce needs.			TSA provided GAO with the reorganization memo, outlining the consolidation effort, on 9/24/2019. GAO is reviewing the memo to determine if it is sufficient to close the recommendation as implemented.		

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Recommendation			Narrative of Implementation Status		
USCG	GAO-14-450	COAST GUARD ACQUISITIONS: Better Information on Performance and Funding Needed to Address Shortfalls	06/18/2014	4	12/31/2019
Develop a 20-year fleet modernization plan that identifies all acquisitions needed to maintain the current level of service and the fiscal resources necessary to build the identified assets. The plan should also consider trade-offs if the fiscal resources needed to execute the plan are not consistent with annual budgets.			In coordination with OCFO and OMB, the USCG Office of Budget and Programs is working to develop a Long-term Major Acquisition Plan responsive to GAO's recommendation.		
USCG	GAO-14-640	Personnel Security Clearances: Additional Guidance and Oversight Needed at DHS and DOD to Ensure Consistent Application of Revocation Process	09/08/2014	3	12/31/2019
To help ensure that all employees are treated fairly and receive the protections established in the executive order, we recommend that the Secretary of Homeland Security direct the Commandant, U.S. Coast Guard, to revise the Coast Guard instruction for military personnel to specify that military personnel may be represented by counsel or other representatives at their own expense.			The USCG Personnel Security Program Manager, responsible for finalizing the draft updated Personnel Security and Suitability Program manual, identified significant issues that had to be addressed to ensure compliance with the Federal Investigative Standards and Title 5 CFR 731. USCG expects a prolonged formal coordination of the document due to the changing of roles, responsibilities, training, and resources that will be required to carry out actions related to suitability vetting. GAO's audit recommendations will be incorporated into the final document when promulgated.		
USCG	GAO-15-171SP	HOMELAND SECURITY ACQUISITIONS: Major Program Assessments Reveal Actions Needed to Improve Accountability	04/22/2015	3	12/31/2020

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Recommendation			Narrative of Implementation Status		
To more accurately communicate DHS's funding plans for USCG's major acquisition programs, we recommend the Secretary of Homeland Security ensure the funding plans presented to Congress in fiscal year 2015 are comprehensive and clearly account for all operations and maintenance funding DHS plans to allocate to each of the USCG's major acquisition programs.			USCG continues its ongoing work with DHS by shifting to the DHS Common Appropriations Structure (CAS), consistent with other DHS Components; and modernization of the USCG financial accounting systems to provide more granularity in the budget submission. However, these activities currently are experiencing significant technical delays. GAO intends to continue monitoring USCG's progress in the coming years and does not intend to close the recommendation while the process of modernizing its financial system and CAS implementation are ongoing.		
USCG	GAO-16-226	DOD AND COAST GUARD: Actions Needed to Increase Oversight and Management Information on Hazing Incidents Involving Servicemembers	02/09/2016	5	12/31/2019
GAO recommended that the Commandant of the Coast Guard evaluate the prevalence of hazing in the Coast Guard.			The 2017 Coast Guard Organizational Assessment Survey (OAS) provided an initial data point for hazing as a subset of being treated with respect. The 2019 OAS results will provide a second data point for comparison, giving units and programs data points to help measure how they are doing.		
USCG	GAO-16-379	Coast Guard: Actions Needed to Improve Strategic Allocation of Assets and Determine Workforce Requirements	05/24/2016	1	1/31/2020
That the Commandant of the Coast Guard improve the strategic allocation of assets, the Coast Guard should incorporate field unit input, such as information on assets' actual performance from Operational Performance Assessment Reports and Planning Assessments, to inform more realistic asset allocation decisions-in addition to asset performance capacities currently used-in the annual			Following the FY 2020 Standard Operational Planning Process cycle, both the Standard Operational Planning Process/Global Force Management Instruction and Standard Operational Planning Process/Global Force Management Process Guide were returned by USCG senior leadership for further revision. Key parts of these		

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Strategic Planning Directions to more effectively communicate strategic intent to field units.			instructions are currently under rewrite and expected to be rerouted for promulgation in Q2 FY 2020.		
USCG	GAO-16-379	Coast Guard: Actions Needed to Improve Strategic Allocation of Assets and Determine Workforce Requirements	05/24/2016	2	1/31/2020
That the Commandant of the Coast Guard improve transparency in allocating its limited resources, and to help ensure that its resource allocation decisions are the most effective ones for fulfilling its missions given existing risks, the Coast Guard should document how the risk assessments conducted were used to inform and support its annual asset allocation decisions.			Following the FY 2020 Standard Operational Planning Process cycle, both the Standard Operational Planning Process/Global Force Management Instruction and Standard Operational Planning Process/Global Force Management Process Guide were returned by USCG senior leadership for further revision. Key parts of these instructions are currently under rewrite and expected to be rerouted for promulgation in Q2 FY 2020.		
USCG	GAO-16-379	Coast Guard: Actions Needed to Improve Strategic Allocation of Assets and Determine Workforce Requirements	05/24/2016	3	8/31/2018
That the Commandant of the Coast Guard ensure that high priority mission activities are fully supported with the appropriate number of staff possessing the requisite mix of skills and abilities, the Coast Guard should develop a systematic process that prioritizes manpower requirements analyses for units that are the most critical for achieving mission needs.			USCG provided documentation and requested closure of this recommendation on 10/11/2018. Since GAO will be examining the strategic allocation of assets and workforce requirements under the new Coast Guard Modernization audit (103140) and because of the overlap in subject matter between this new engagement and the work performed under GAO-16-379, the auditors have indicated that they will wait and see what the new engagement team learns about USCG actions to address this recommendation before determining whether progress is sufficient to close.		

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USCG	GAO-16-453	COAST GUARD: Arctic Strategy is Underway, but Agency Could Better Assess How Its Actions Mitigate Known Arctic Capability Gaps	06/15/2016	1	6/30/2020
That the Commandant of the Coast Guard develop measures, as appropriate, for gauging how the agency's actions have helped to mitigate the Arctic capability gaps.			USCG's updated Arctic strategy has been published (https://www.uscg.mil/arctic/) and was provided to GAO on 8/29/2019. Continued work on the Coast Guard Arctic Strategy Implementation Plan (CGASIP) has been deferred due to higher priorities for USCG leadership. USCG Arctic Policy staff anticipates routing the completed CGASIP for review and promulgation in Q2 FY 2020 at the earliest.		
USCG	GAO-16-453	COAST GUARD: Arctic Strategy is Underway, but Agency Could Better Assess How Its Actions Mitigate Known Arctic Capability Gaps	06/15/2016	2	6/30/2020
That the Commandant of the Coast Guard design and implement a process to systematically assess the extent to which actions taken agency-wide have helped mitigate the Arctic capability gaps for which it has responsibility			USCG's updated Arctic strategy has been published (https://www.uscg.mil/arctic/) and was provided to GAO on 8/29/2019. Continued work on the CGASIP has been deferred due to higher priorities for USCG leadership. USCG Arctic Policy staff anticipates routing the completed CGASIP for review and promulgation in Q2 FY 2020 at the earliest.		
USCG	GAO-17-114	Military Personnel: DOD and the Coast Guard Need to Screen for Gambling Disorder Addiction and Update Guidance	01/30/2017	7	3/31/2020
Update Commandant Instruction M6000.1F, Coast Guard Medical Manual, to classify gambling disorder as an addiction and not as an impulse control issue.			A total revision of the Coast Guard Medical Manual (COMDTINST M6000.1) is underway and will include a reclassification of gambling disorder per GAO's recommendation.		

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			The updated manual will be released upon completion of the extensive concurrent clearance process.		
USCG	GAO-17-698R	Coast Guard: Status of Polar Icebreaking Fleet Capability and Recapitalization Plan	09/25/2017	1	12/31/2019
The Commandant of the Coast Guard should complete a comprehensive cost estimate for a limited service life extension of the Polar Star that follows cost estimating best practices before committing to this approach for bridging the potential capability gap.			The Ship Structures and Machinery Evaluation Board (SSMEB) Report for USCGC POLAR STAR was completed in January 2018. The SSMEB report was used to develop the notional work list and rough order of magnitude (ROM) cost estimate for Acquisition Decision Event One (ADE-1), which was held in April 2018. USCG plans to develop and complete a comprehensive formal cost estimate that follows cost estimating best practices during the current "Analyze/Select" Phase, which culminates with ADE-2.		
USCG	GAO-18-13	COAST GUARD: Actions Needed to Enhance Performance Information Transparency and Monitoring	10/27/2017	1	6/30/2020
The Commandant of the Coast Guard should either develop new performance goals to address mission activity gaps, or explain in the Coast Guard's APR why certain aspects of mission performance are measured while others are not.			USCG regularly explores new methods to measure risk and success of its mission set and will endeavor to articulate why certain mission performance goals may be difficult to measure quantitatively in the 2019 Annual Performance Report (APR). Revised risk measures for Ports, Waterways, & Coastal Security, and Search and Rescue, are currently with DHS/OMB for review, and may be incorporated into the FY 2020 APR, pending DHS approval.		
USCG	GAO-18-13	COAST GUARD: Actions Needed to Enhance Performance Information Transparency and Monitoring	10/27/2017	4	12/31/2019

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The Commandant of the Coast Guard should develop and document, in its APR or elsewhere, corrective actions for unmet performance goals that are measurable and include time frames for implementation			The updated program plans and Strategic Plan Objective Tracker (SPOT) showing how USCG is tracking each initiative were provided to GAO. Closure of this recommendation was requested on 10/31/2019.		
USCG	GAO-18-13	COAST GUARD: Actions Needed to Enhance Performance Information Transparency and Monitoring	10/27/2017	5	12/31/2019
The Commandant of the Coast Guard should document, in its APR, or elsewhere, its efforts to monitor and evaluate the implementation of corrective actions for unmet performance goals			The updated program plans and SPOT showing how USCG is tracking each initiative were provided to GAO. Closure of this recommendation was requested on 10/31/2019.		
USCG	GAO-18-135	Transitioning Veterans: The Coast Guard Needs to Improve Data Quality and Monitoring of its Transition Assistance Program	04/19/2018	1	3/31/2020
Issue an updated Commandant Instruction that establishes policies and procedures to improve the reliability and completeness of TAP data by including when and by whom data should be recorded and updated.			The revised and updated Transition Assistance Program (TAP) manual, which identifies the duties of USCG members, Commands, and Transition support components, is in review and concurrent clearance for promulgation.		
USCG	GAO-18-135	Transitioning Veterans: The Coast Guard Needs to Improve Data Quality and Monitoring of its Transition Assistance Program	04/19/2018	2	3/31/2020
Establish a formal performance goal with a measurable target for participation rates in VOW Act-mandated portions of TAP.			The revised and updated TAP manual, which establishes measurable and specific performance goals that are compliant with the VOW Act requirements, is in review and concurrent clearance for promulgation.		

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USCG	GAO-18-135	Transitioning Veterans: The Coast Guard Needs to Improve Data Quality and Monitoring of its Transition Assistance Program	04/19/2018	3	6/30/2020
Monitor the extent to which Coast Guard servicemembers participate in TAP within prescribed time frames.			Coast Guard Transition Assistance managers have implemented the DOD TAP-IT Enterprise program, which will allow for the monitoring/tracking of participation in TAP classes. As this system was implemented only recently, yearly data is not available.		
USCG	GAO-18-135	Transitioning Veterans: The Coast Guard Needs to Improve Data Quality and Monitoring of its Transition Assistance Program	04/19/2018	4	6/30/2020
Monitor the extent to which Coast Guard servicemembers who elect to participate in additional 2-day classes are afforded the opportunity to attend.			Coast Guard Transition Assistance managers have implemented the DOD TAP-IT Enterprise program, which will allow for monitoring/tracking participation in the 2-day classes. As this system was implemented only recently, yearly data is not available.		
USCG	GAO-18-135	Transitioning Veterans: The Coast Guard Needs to Improve Data Quality and Monitoring of its Transition Assistance Program	04/19/2018	5	3/31/2020
Issue an updated Commandant Instruction that defines the roles and responsibilities of the personnel who administer the program and ensure servicemembers' participation.			The revised and updated TAP manual, which identifies and defines the roles and responsibilities for service members, commanding officers, TAP administrators, and other supporting partners, is in review and concurrent clearance for promulgation.		

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USCG	GAO-18-135	Transitioning Veterans: The Coast Guard Needs to Improve Data Quality and Monitoring of its Transition Assistance Program	04/19/2018	6	6/30/2020
Once reliable data are available by installation or unit, enable unit commanders and the higher-level commanders to whom they report to access TAP performance information specifically for the units they oversee so that they can monitor compliance with all TAP requirements.			Coast Guard Transition Assistance managers have implemented the DOD TAP-IT Enterprises program, which will allow Commanding Officers to monitor their compliance with TAP performance and requirements. As this system was implemented only recently, yearly data is not available.		
USCG	GAO-18-135	Transitioning Veterans: The Coast Guard Needs to Improve Data Quality and Monitoring of its Transition Assistance Program	04/19/2018	7	12/31/2019
Once reliable data are available, share TAP information with DOD and other interagency partners, such as data on participation in required TAP courses and additional 2-day classes.			Coast Guard Transition Assistance managers have implemented the DOD TAP-IT Enterprise program, which will enable information to be shared with DOD. As this system was implemented only recently, yearly data is not available.		
USCG	GAO-18-16	Commercial Fishing Vessels: More Information Needed to Improve Classification Implementation	12/14/2017	3	9/30/2022
Once reliable data are available, the Coast Guard, or another agency identified by the working group, should assess the rates of commercial fishing vessel accidents, injuries, and fatalities to determine whether certain factors - including vessel length and region of operation, among other things - affect these rates.			A working group has been established to determine the best lead agency and to determine the best reliable data of commercial fishing vessel accidents, injuries, and fatalities. Once that is completed, USCG will continue to work with other Federal agencies to determine credible rates of casualties, injuries, and fatalities in the commercial fishing vessel industry. The working		

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Recommendation			Narrative of Implementation Status		
			group last met in May 2019 to further discuss data collection strategies.		
USCG	GAO-18-16	Commercial Fishing Vessels: More Information Needed to Improve Classification Implementation	12/14/2017	4	9/30/2019
The Coast Guard should issue regulations or guidance to clarify and implement the alternative-to-class approach.			On 11/15-16/2018, during the Commercial Fishing Safety Advisory Committee meeting, USCG presented a discussion to the commercial fishing industry clarifying the “alternative-to-class,” as it relates commercial fishing industry vessels; as influenced by the Coast Guard Authorization Act of 2010, the Coast Guard and Maritime Transportation Act of 2012 and the Coast Guard and Maritime Transportation Act of 2015 (and changes that ensued with United States Code, Title 46 Shipping, Chapter 45, 4503). Further, USCG announced the release and availability of a working version of the “Voluntary Safety Initiatives and Good Marine Practices for Commercial Fishing Vessels” (co-drafted by the USCG and fishing industry representatives). Other resources made available to industry include Navigation and Vessel Inspection Circulars and Classification Society Rules. USCG requested closure of this recommendation on 7/25/2019 and awaits GAO feedback.		
USCG	GAO-18-454	Coast Guard Acquisitions: Actions Needed to Address Longstanding Portfolio Management Challenges	07/24/2018	1	3/31/2020
The Commandant of the Coast Guard . should work with Congress to include in the Coast Guard's annual 5-year CIP a discussion of the acquisition programs it prioritized that describes how trade-off decisions made could affect other acquisition programs, such as by			USCG, working with the DHS OCFO, is on track to include additional information that addresses how trade-off decisions made could affect other major acquisition programs in future Capital Investment Program (CIP) reports, as appropriate. The FY 2021-		

Component	Report Number	Report Title	Report Received Date	Rec #	Estimated Completion Date (or Date Closed)
Recommendation			Narrative of Implementation Status		
delaying recapitalization efforts or needing to conduct Service Life Extension Projects for legacy assets.			2025 CIP report is targeted for submission with the FY 2021 President's Budget.		
USCG	GAO-18-454	Coast Guard Acquisitions: Actions Needed to Address Longstanding Portfolio Management Challenges	07/24/2018	2	1/31/2020
The Commandant of the Coast Guard should require the Executive Oversight Council, in its role to facilitate a balanced and affordable acquisition portfolio, to annually review the acquisition portfolio collectively, specifically for long-term affordability.			In order to meet the spirit of this recommendation as discussed in the original response, USCG still intends to update the Executive Oversight Council (EOC) charter in order to implement a review of the collective acquisitions portfolio to evaluate long-term planning.		
USCG	GAO-18-550	DHS ACQUISITIONS: Additional Practices Could Help Components Better Develop Operational Requirements	08/08/2018	19	3/31/2020
The Commandant of the U.S. Coast Guard through the Assistant Commandant for Capability conducts a workforce assessment of the U.S. Coast Guard's capabilities directorate			The USCG Office of Capabilities completed a survey of all offices to determine which current workforce members directly contribute to the development of requirements documents and formally updated the agencywide training requirements for identified requirements managers to deliver expansive requirements development expertise within USCG. Documentation of these completed corrective actions currently is being compiled to support a request for closure of this recommendation.		
USCG	GAO-18-59	Coast Guard Health Records: Timely Acquisition of New System is Critical to Overcoming Challenges with Paper Process	01/30/2018	1	12/31/2023
The Commandant Should direct the Chief Information Officer and the Chief Acquisition Officer expeditiously and judiciously pursue the acquisition of a new EHR system			USCG is pursuing an electronic health record solution and has initiated the Electronic Health Record Acquisition (eHRA) program following the Non-Major Acquisition Process (NMAP)		

Component	Report Number	Report Title	Report Received Date	Rec #	Estimated Completion Date (or Date Closed)
Recommendation			Narrative of Implementation Status		
			governed by the EOC. On 2/6/2018, the Coast Guard EOC reviewed the program and approved its entry into the Obtain Phase of the NMAP on 3/7/2018. Following the NMAP, the eHRA program completed the SELC Systems Definition Review on 5/9/2019. PDR/Critical Design Review are the next upcoming SELC gates for Segment 1, targeted for Q1 FY 2020. In accordance with the current project plan, the system is planned to be delivered incrementally, with Segment 1 (Core Electronic Health Record capability) being completed by 3/31/2022, and Segment 2 (Medical Device/Radiology Integration capability) completed by 12/31/2023. Given GAO feedback that the "recommendation will remain open until the Coast Guard can demonstrate that they have more fully implemented the eHRA acquisition," updates on the ongoing progress of the acquisition program will continue to be provided until GAO deems corrective actions satisfactory.		
USCG	GAO-18-59	Coast Guard Health Records: Timely Acquisition of New System is Critical to Overcoming Challenges with Paper Process	01/30/2018	2	12/31/2023
The Commandant should direct the Chief Information Officer and the Chief Acquisition Officer to ensure established processes required for the future acquisition or development of an EHR are effectively implemented and adequately documented			The audit team and USCG program managers held a call on 11/13/2019 to review and align expectations regarding the documentation necessary to achieve closure of this recommendation. USCG continues to address the recommendation.		

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Recommendation			Narrative of Implementation Status		
USCG	GAO-18-59	Coast Guard Health Records: Timely Acquisition of New System is Critical to Overcoming Challenges with Paper Process	01/30/2018	3	12/31/2023
The Commandant should direct the Chief Information Officer and the Chief Acquisition Officer to establish and fully implement project governance boards for the future EHR effort that include the Chief Information Officer			Following delivery of documentation and scoping requirements to illustrate that established processes for the acquisition and development of an Electronic Health Record are being implemented effectively, OIG provided unofficial closure notification for this recommendation on 10/22/2019.		
USCG	GAO-18-600	Coast Guard Acquisitions: Polar Icebreaker Program Needs to Address Risks before Committing Resources	09/04/2018	2	3/31/2020
Commandant of the Coast Guard, in collaboration with the Secretary of the Navy, should direct the polar icebreaker program and NAVSEA 05C to update the HPIB cost estimate in accordance with best practices for cost estimation, including (1) developing risk bounds for all phases of the program lifecycle, and on the basis of these risk bounds, conduct risk and uncertainty analysis, as well as sensitivity analysis, on all phases of the program lifecycle, and (2) reconciling the results with an updated independent cost estimate based on the same technical baseline before the option for construction of the lead ship is awarded			The USCG Acquisition Directorate currently is revising the Life Cycle Cost Estimate as a result of the contract award and in accordance with best practices for cost estimation.		
USCG	GAO-18-600	Coast Guard Acquisitions: Polar Icebreaker Program Needs to Address Risks before Committing Resources	09/04/2018	3	1/31/2020
Commandant of the Coast Guard should direct the polar icebreaker program office to develop a program schedule in accordance with			USCG continues to maintain a fully integrated schedule of program activities and is developing the production schedule with		

Component	Report Number	Report Title	Report Received Date	Rec #	Estimated Completion Date (or Date Closed)
Recommendation			Narrative of Implementation Status		
best practices for project schedules, including determining realistic durations of all shipbuilding activities and identifying and including a reasonable amount of margin in the schedule, to set realistic schedule goals for all three ships before the option for construction of the lead ship is awarded.			the shipyard, which will be finalized at the Integrated Baseline Review.		
USCG	GAO-18-9	COAST GUARD: Actions Needed to Close Stations Identified as Overlapping and Unnecessarily Duplicative	10/02/2017	1	3/31/2021
The Commandant of the Coast Guard should establish and follow a sound air station optimization process similar to its process for analyzing boat stations to allow it to comprehensively analyze its need for air stations and air facilities and determine what changes may be needed			USCG continues to refine its air station optimization process using lessons learned from the boat station optimization efforts. Working through the Planning, Programming, Budgeting, and Execution (PPBE) process has revealed the need for further analysis on air stations and air facilities. These efforts will be part of the FY 2022 PPBE process, which is currently in the initial stage.		
USCG	GAO-18-9	COAST GUARD: Actions Needed to Close Stations Identified as Overlapping and Unnecessarily Duplicative	10/02/2017	2	9/30/2021
The Commandant of the Coast Guard should establish a plan with target dates and milestones for closing boat stations that it has determined, through its 9 step process and subsequent analysis, provide overlapping search and rescue coverage and are unnecessarily duplicative			USCG analyzed operational coverage in 2013, and then reaffirmed in 2017, through a nine-step boat optimization process to evaluate the number, location, and configuration to best meet mission requirements across applicable Coast Guard Districts. Changes in operational status at the small boat stations selected within the Ninth District have been completed and USCG is monitoring operational performance to inform future decisions. Analyses for First and Fifth District stations have been completed and USCG continues to adjudicate proposed changes in operational status for several stations. Following appropriate Congressional engagement		

Component	Report Number	Report Title	Report Received Date	Rec #	Estimated Completion Date (or Date Closed)
Recommendation			Narrative of Implementation Status		
			and public outreach, feedback will be considered in making final decisions on implementation of status changes at First and Fifth District boat stations.		
USCG	GAO-18-9	COAST GUARD: Actions Needed to Close Stations Identified as Overlapping and Unnecessarily Duplicative	10/02/2017	3	6/30/2020
The Commandant of the Coast Guard should take action to close the stations identified according to its plan and target dates.			USCG analyzed operational coverage in 2013, and then reaffirmed in 2017, through a nine-step boat optimization process to evaluate the number, location, and configuration to best meet mission requirements across applicable Coast Guard Districts. Changes in operational status at the small boat stations selected within the Ninth District have been completed and USCG is monitoring operational performance to inform future decisions. Analyses for First and Fifth District stations have been completed and USCG continues to adjudicate proposed changes in operational status for several stations. Following appropriate Congressional engagement and public outreach, feedback will be considered in making final decisions on implementation of status changes at First and Fifth District boat stations.		
USCIS	GAO-16-467	Immigration Benefits Systems: U.S. Citizenship and Immigration Services Can Improve Program Management	07/15/2016	1	1/31/2020
To provide reasonable assurance that the program executes Agile software development for USCIS ELIS consistent with its own policies and guidance and follows applicable leading practices, the Secretary of the Department of Homeland Security (DHS) should direct the Director of USCIS to direct the USCIS Chief Information			U.S. Citizenship and Immigration Services (USCIS) initially provided documentation to GAO and requested closure in 2017. After meeting with GAO in October 2017, GAO stated that it will not close the recommendation until after a formal re-baseline and approval has been granted by the DHS USM for the program to		

Component	Report Number	Report Title	Report Received Date	Rec #	Estimated Completion Date (or Date Closed)
Recommendation			Narrative of Implementation Status		
		Officer (CIO), in coordination with the DHS CIO and the Chief of the Office of Transformation Coordination (OTC), to review and update, as needed, existing policies and guidance and consider additional controls to complete planning for software releases prior to initiating development and ensure software meets business expectations prior to deployment.	proceed with new development. In August 2018, the program rebaseline occurred, and USCIS provided documentation to GAO. GAO responded that it now wanted some time to pass in order to gauge performance of new development over time. GAO indicated that it would review this action in January 2019, but this date was revised to April 2019, and then delayed again due to other ongoing GAO audit work. In August 2019, GAO requested specific documentation and indicated that this information may close many of the recommendations as implemented. However, in September 2019, GAO emailed the program office, explaining that an updated Management Instruction (MI) is needed to consider closing the recommendation. Per the program office, an updated MI is undergoing the review/signature process.		
USCIS	GAO-16-467	Immigration Benefits Systems: U.S. Citizenship and Immigration Services Can Improve Program Management	07/15/2016	2	1/31/2020
To provide reasonable assurance that the program executes Agile software development for USCIS ELIS consistent with its own policies and guidance and follows applicable leading practices, the Secretary of DHS should direct the Director of USCIS to direct the USCIS CIO, in coordination with the DHS CIO and the Chief of OTC, to review and update, as needed, existing policies and guidance and consider additional controls to consistently implement the principles of the framework adopted for Agile software development.			USCIS initially provided documentation to GAO and requested closure in 2017. After meeting with GAO in October 2017, GAO stated that it will not close the recommendation until after a formal re-baseline and approval has been granted by the DHS USM for the program to proceed with new development. In August 2018, the program rebaseline occurred, and USCIS provided documentation to GAO. GAO responded that it now wanted some time to pass in order to gauge performance of new development over time. GAO indicated that it would review this action in January 2019, but this date was revised to April 2019, and then delayed again due to other ongoing GAO audit work. In August 2019, GAO requested specific documentation and indicated that		

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Recommendation			Narrative of Implementation Status		
			this information may close many of the recommendations as implemented. However, in September 2019, GAO emailed the program office, explaining that an updated MI is needed to consider closing the recommendation. Per the program office, an updated MI is undergoing the review/signature process.		
USCIS	GAO-16-467	Immigration Benefits Systems: U.S. Citizenship and Immigration Services Can Improve Program Management	07/15/2016	3	1/31/2020
To provide reasonable assurance that the program executes Agile software development for USCIS ELIS consistent with its own policies and guidance and follows applicable leading practices, the Secretary of DHS should direct the Director of USCIS to direct the USCIS CIO, in coordination with the DHS CIO and the Chief of OTC, to review and update, as needed, existing policies and guidance and consider additional controls to define and consistently execute appropriate roles and responsibilities for individuals responsible for development activities consistent with its selected development framework.			USCIS initially provided documentation to GAO and requested closure in 2017. After meeting with GAO in October 2017, GAO stated that it will not close the recommendation until after a formal re-baseline and approval has been granted by the DHS USM for the program to proceed with new development. In August 2018, the program rebaseline occurred, and USCIS provided documentation to GAO. GAO responded that it now wanted some time to pass in order to gauge performance of new development over time. GAO indicated that it would review this action in January 2019, but this date was revised to April 2019, and then delayed again due to other ongoing GAO audit work. In August 2019, GAO requested specific documentation and indicated that this information may close many of the recommendations as implemented. However, in September 2019, GAO emailed the program office, explaining that an updated MI is needed to consider closing the recommendation. Per the program office, an updated MI is undergoing the review/signature process.		
USCIS	GAO-16-467	Immigration Benefits Systems: U.S. Citizenship and Immigration Services Can Improve Program Management	07/15/2016	4	1/31/2020

Component	Report Number	Report Title	Report Received Date	Rec #	Estimated Completion Date (or Date Closed)
Recommendation			Narrative of Implementation Status		
<p>To provide reasonable assurance that the program executes Agile software development for USCIS ELIS consistent with its own policies and guidance and follows applicable leading practices, the Secretary of DHS should direct the Director of USCIS to direct the USCIS CIO, in coordination with the DHS CIO and the Chief of OTC, to review and update, as needed, existing policies and guidance and consider additional controls to identify all system users and involve them in release planning activities.</p>			<p>USCIS initially provided documentation to GAO and requested closure in 2017. After meeting with GAO in October 2017, GAO stated that it will not close the recommendation until after a formal re-baseline and approval has been granted by the DHS USM for the program to proceed with new development. In August 2018, the program rebaseline occurred, and USCIS provided documentation to GAO. GAO responded that it now wanted some time to pass in order to gauge performance of new development over time. GAO indicated that it would review this action in January 2019, but this date was revised to April 2019, and then delayed again due to other ongoing GAO audit work. In August 2019, GAO requested specific documentation and indicated that this information may close many of the recommendations as implemented. However, in September 2019, GAO emailed the program office, explaining that an updated MI is needed to consider closing the recommendation. Per the program office, an updated MI is undergoing the review/signature process.</p>		
USCIS	GAO-16-467	Immigration Benefits Systems: U.S. Citizenship and Immigration Services Can Improve Program Management	07/15/2016	5	1/31/2020
<p>To provide reasonable assurance that the program executes Agile software development for USCIS ELIS consistent with its own policies and guidance and follows applicable leading practices, the Secretary of DHS should direct the Director of USCIS to direct the USCIS CIO, in coordination with the DHS CIO and the Chief of OTC, to review and update, as needed, existing policies and guidance and consider additional controls to write user stories that identify</p>			<p>USCIS initially provided documentation to GAO and requested closure in 2017. After meeting with GAO in October 2017, GAO stated that it will not close the recommendation until after a formal re-baseline and approval has been granted by the DHS USM for the program to proceed with new development. In August 2018, the program rebaseline occurred, and USCIS provided documentation to GAO. GAO responded that it now wanted some time to pass in order to gauge performance of new development</p>		

Component	Report Number	Report Title	Report Received Date	Rec #	Estimated Completion Date (or Date Closed)
Recommendation			Narrative of Implementation Status		
		user roles, include estimates of complexity, take no longer than one sprint to complete, and describe business value.	over time. GAO indicated that it would review this actions in January 2019, but this date was revised to April 2019, and then delayed again due to other ongoing GAO audit work. In August 2019, GAO requested specific documentation and indicated that this information may close many of the recommendations as implemented. However, in September 2019, GAO emailed the program office, explaining that an updated MI is needed to consider closing the recommendation. Per the program office, an updated MI is undergoing the review/signature process.		
USCIS	GAO-16-467	Immigration Benefits Systems: U.S. Citizenship and Immigration Services Can Improve Program Management	07/15/2016	7	1/31/2020
To provide reasonable assurance that the program executes Agile software development for USCIS ELIS consistent with its own policies and guidance and follows applicable leading practices, the Secretary of DHS should direct the Director of USCIS to direct the USCIS CIO, in coordination with the DHS CIO and the Chief of OTC, to review and update, as needed, existing policies and guidance and consider additional controls to monitor program performance and report to appropriate entities through the collection of reliable metrics.			USCIS initially provided documentation to GAO and requested closure in 2017. After meeting with GAO in October 2017, GAO stated that it will not close the recommendation until after a formal re-baseline and approval has been granted by the DHS USM for the program to proceed with new development. In August 2018, the program rebaseline occurred, and USCIS provided documentation to GAO. GAO responded that it now wanted some time to pass in order to gauge performance of new development over time. GAO indicated that it would review this action in January 2019, but this date was revised to April 2019, and then delayed again due to other ongoing GAO audit work. In August 2019, GAO requested specific documentation and indicated that this information may close many of the recommendations as implemented. However, in September 2019, GAO emailed the program office, explaining that an updated MI is needed to		

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Recommendation			Narrative of Implementation Status		
			consider closing the recommendation. Per the program office, an updated MI is undergoing the review/signature process.		
USCIS	GAO-16-467	Immigration Benefits Systems: U.S. Citizenship and Immigration Services Can Improve Program Management	07/15/2016	8	1/31/2020
To help manage the USCIS ELIS system, the Secretary of DHS should direct the Director of USCIS to direct the USCIS CIO, in coordination with the DHS CIO and the Chief of OTC, to review and update existing policies and guidance and consider additional controls to conduct unit and integration, and functional acceptance tests, and code inspection consistent with stated program goals.			USCIS initially provided documentation to GAO and requested closure in 2017. After meeting with GAO in October 2017, GAO stated that it will not close the recommendation until after a formal re-baseline and approval has been granted by the DHS USM for the program to proceed with new development. In August 2018, the program rebaseline occurred, and USCIS provided documentation to GAO. GAO responded that it now wanted some time to pass in order to gauge performance of new development over time. GAO indicated that it would review this action in January 2019, but this date was revised to April 2019, and then delayed this again due to other ongoing GAO audit work. In August 2019, GAO requested specific documentation and indicated that this information may close many of the recommendations as implemented. However, in September 2019, GAO emailed the program office, explaining that an updated MI is needed to consider closing the recommendation. Per the program office, an updated MI is undergoing the review/signature process.		
USCIS	GAO-16-467	Immigration Benefits Systems: U.S. Citizenship and Immigration Services Can Improve Program Management	07/15/2016	9	1/31/2020
To help manage the USCIS ELIS system, the Secretary of DHS should direct the Director of USCIS to direct the USCIS CIO, in coordination with the DHS CIO and the Chief of OTC, to review and			USCIS initially provided documentation to GAO and requested closure in 2017. After meeting with GAO in October 2017, GAO stated that it will not close the recommendation until after a formal		

Component	Report Number	Report Title	Report Received Date	Rec #	Estimated Completion Date (or Date Closed)
Recommendation			Narrative of Implementation Status		
		update existing policies and guidance and consider additional controls to develop complete test plans and cases for interoperability and end user testing, as defined in the USCIS Transformation Program Test and Evaluation Master Plan, and document the results.	re-baseline and approval has been granted by the DHS USM for the program to proceed with new development. In August 2018, the program rebaseline occurred, and USCIS provided documentation to GAO. GAO responded that it now wanted some time to pass in order to gauge performance of new development over time. GAO indicated that it would review this action in January 2019, but this date was revised to April 2019, and then delayed again due to other ongoing GAO audit work. In August 2019, GAO requested specific documentation and indicated that this information may close many of the recommendations as implemented. However, in September 2019, GAO emailed the program office, explaining that an updated MI is needed to consider closing the recommendation. Per the program office, an updated MI is undergoing the review/signature process.		
USCIS	GAO-16-50	Asylum: Additional Actions Needed to Assess and Address Fraud Risks	12/02/2015	1	12/31/2019
Conduct regular fraud risk assessments across the affirmative asylum application process.			The results of the original quantitative analysis did not provide statistically strong information, and therefore the Asylum Office developed a qualitative analysis report in its place. The document has undergone various reviews and program leadership is working with staff to address the proposed revisions.		
USCIS	GAO-17-204	IMMIGRATION STATUS VERIFICATION FOR BENEFITS: Actions Needed to Improve Effectiveness and Oversight	03/23/2017	2	6/30/2020
Develop and implement a mechanism to oversee agencies' completion of training on additional verification in accordance with SAVE MOA provisions and program policies.			As the program office worked to implement this recommendation, the planned new mechanism would be a part of the SAVE modernization efforts. In September 2019, the program office		

Component	Report Number	Report Title	Report Received Date	Rec #	Estimated Completion Date (or Date Closed)
Recommendation			Narrative of Implementation Status		
			<p>explained that the number of cases sent to additional verification has been reduced by retiring inefficient access methods and completing modernization of Systematic Alien Verification for Entitlements (SAVE) matching logic and initial verification screens. However, SAVE also has determined that it must update its tutorial platform and content to account for these and other changes. While SAVE does this work, the program continues to provide training, resources, and other support to user agencies to help ensure that they are performing additional verification in accordance with SAVE memoranda of agreement (MOA) provisions and program policies.</p>		
USCIS	GAO-17-204	IMMIGRATION STATUS VERIFICATION FOR BENEFITS: Actions Needed to Improve Effectiveness and Oversight	03/23/2017	6	9/30/2019
Develop and communicate a process for user agencies to update contact information.			<p>SAVE has taken measures to ensure systemically that user agency POCs are kept up to date. SAVE guidance directs POCs who use the SAVE system to maintain current contact information in their user profile. In addition, each user agency is assigned a SAVE agency relationship manager who recurrently contacts the agency to ensure that their billing and POC information is current. These contacts occur annually for each agency, and with greater frequency based on the extent that their agency uses SAVE. SAVE agency relationship managers record these POC updates in the Customer Relationship Management system so that they are available for use in contacting agencies for site visits, desk reviews, and other purposes. USCIS is in the process of compiling</p>		

Component	Report Number	Report Title	Report Received Date	Rec #	Estimated Completion Date (or Date Closed)
Recommendation			Narrative of Implementation Status		
			documentation to submit to the GAO to request that this recommendation be closed.		
USCIS	GAO-17-444SU / GAO-17-706	Refugees: Actions Needed by State Department and DHS to Further Strengthen Applicant Screening Process and Assess Fraud Risks	06/30/2017	6	3/31/2020
Conduct regular joint assessments of applicant fraud risk across USRAP.			USCIS and the Department of State are working together to conduct regular joint assessments of applicant fraud risks across the U.S. Refugee Admission Program (USRAP). A jointly developed assessment framework and timeframes were agreed to in early 2018, and a copy of the framework was provided to GAO in February 2018. An interim report was provided to GAO in February 2019. A draft of the final document currently is undergoing review at State and then will undergo a final review once it is returned to USCIS.		
USCIS	GAO-18-550	DHS ACQUISITIONS: Additional Practices Could Help Components Better Develop Operational Requirements	08/08/2018	21	1/31/2020
The Director of the U.S. Citizenship and Immigration Services establishes the planned independent requirements development organization within U.S. Citizenship and Immigration Services			In the last quarter of FY 2019, USCIS modified its plans to implement the recommendation and will need to brief USCIS senior leadership on the new approach. This should be completed in January 2020.		
USCIS	GAO-18-550	DHS ACQUISITIONS: Additional Practices Could Help Components Better Develop Operational Requirements	08/08/2018	22	1/31/2020

Component	Report Number	Report Title	Report Received Date	Rec #	Estimated Completion Date (or Date Closed)
Recommendation			Narrative of Implementation Status		
The Director of the U.S. Citizenship and Immigration Services conducts a workforce assessment to account for an independent requirements organization's workforce needs			In the last quarter of FY 2019, USCIS modified its plans to implement the recommendation and will need to brief USCIS senior leadership on the new approach. This should be completed in January 2020.		
USCIS	GAO-18-550	DHS ACQUISITIONS: Additional Practices Could Help Components Better Develop Operational Requirements	08/08/2018	23	4/30/2020
The Director of the U.S. Citizenship and Immigration Services establishes component specific training for requirements development			Component-specific training for requirements development will proceed once the independent organization is established.		

IV. Implementation Status of OIG's Public Recommendations

A. Recommendations "Closed, Unimplemented"

DHS OIG only started tracking recommendations closed as "implemented" or "unimplemented" at the beginning of FY 2020, including recommendations closed as such during September 2019. From March 19, 2019, to September 30, 2019, there were five public recommendations to DHS that OIG designated as "closed, unimplemented." These recommendations are listed below along with the justification for not implementing them.

DHS strictly adheres to a self-imposed practice of not closing any OIG recommendations without first reaching agreement with OIG staff to do so and has followed this practice since 2010. This provides additional confidence to Congress and the public that DHS took appropriate actions to implement these recommendations or otherwise to resolve any disagreements.

Component	Report Number	Report Title	Report Received Date	Rec #	Date Closed
Recommendation			Narrative of Implementation Status		
FEMA	OIG-16-10	FEMA Faces Challenges in Managing Information Technology	11/15/2015	1	9/1/2019
We recommend that the FEMA Chief Information Officer (CIO) finalize necessary information technology (IT) planning documents that reflect the current IT strategy of the organization and IT modernization initiatives.			On August 27, 2019, OIG issued a related final report, "FEMA's Longstanding IT Deficiencies Hindered 2017 Response and Recovery Operations" (OIG-19-58). Based on the findings disclosed in this latest audit report, OIG decided to administratively close the open recommendations from the 2015 report, OIG-16-10.		
FEMA	OIG-16-10	FEMA Faces Challenges in Managing Information Technology	11/15/2015	2	9/1/2019
We recommend that the FEMA CIO execute the planning documents, using the milestones and metrics included in them to evaluate FEMA's long-term progress in improving its IT management and operations.			On August 27, 2019, OIG issued a related final report, "FEMA's Longstanding IT Deficiencies Hindered 2017 Response and Recovery Operations" (OIG-19-58). Based on the findings disclosed in this latest audit report, OIG decided to administratively close the open recommendations from the 2015 report, OIG-16-10.		
FEMA	OIG-16-10	FEMA Faces Challenges in Managing Information Technology	11/15/2015	4	9/1/2019
We recommend that the FEMA CIO implement a plan of action and milestones to address the integration and reporting limitations of existing systems.			On August 27, 2019, OIG issued a related final report, "FEMA's Longstanding IT Deficiencies Hindered 2017 Response and Recovery Operations" (OIG-19-58). Based on the findings disclosed in this latest audit report, OIG decided to administratively close the open recommendations from the 2015 report, OIG-16-10.		
FEMA	OIG-16-10	FEMA Faces Challenges in Managing Information Technology	11/15/2015	5	9/1/2019
We recommend that the FEMA CIO implement and enforce a standardized, agency-wide process that sufficiently defines and prioritizes the acquisition, development, operation, and maintenance requirements for all systems.			On August 27, 2019, OIG issued a related final report, "FEMA's Longstanding IT Deficiencies Hindered 2017 Response and Recovery Operations" (OIG-19-58). Based on the findings		

Component	Report Number	Report Title	Report Received Date	Rec #	Date Closed
Recommendation			Narrative of Implementation Status		
			disclosed in this latest audit report, OIG decided to administratively close the open recommendations from the 2015 report, OIG-16-10.		
ICE	OIG-17-43-MA	Management Alert on Issues Requiring Immediate Action at the Theo Lacy Facility in Orange, California.	03/06/2017	2	9/12/2019
We recommend that ICE undertake a full review and inspection of the TLF and the Orange County Sherriff's Department's management of the facility to ensure compliance with ICE's 2008 PBNDS.			In November 2018, ICE's contract inspector completed its annual compliance inspection of the Theo Lacy Facility (TLF). The inspector found that the "facility is operating in accordance with applicable law and policy, and property and resources are efficiently used and adequately safeguarded for the deficiencies noted in the report." ICE previously had provided to OIG the ICE Office of Detention Oversight's 2017 assessment. ICE reviewed the inspection results and concluded that TLF complied with ICE's 2008 Performance-Based National Detention Standards (PBNDS). With the completed review of the TLF and the certification that TLF complied with 2008 PBNDS, ICE requested that the OIG consider this recommendation resolved and closed as implemented in March 2019. In that correspondence, ICE also notified the OIG that the Orange County Sheriff's Department intended to terminate its Intergovernmental Service Agreement with ICE, effective August 2019. OIG determined instead that it would close the recommendation once ICE terminated use of the TLF. As requested, ICE submitted documentation that it had discontinued its use of the TLF in August 2019.		

B. Recommendations “Open”

As of September 30, 2019, 194 OIG public recommendations were designated as “open” for a period of not less than 1 year (i.e., open as of September 30, 2018). These recommendations are listed below along with a description of the actions taken, ongoing, or planned to address the recommendations; an ECD; and a brief discussion of resource and budgetary implications, as appropriate.

Component	Report Number	Report Title	Report Received Date	Rec #	Estimated Completion Date (or Date Closed)
Recommendation			Narrative of Implementation Status		
CBP	OIG-11-16	Customs and Border Protection Implementation of the Western Hemisphere Travel Initiative at Land Ports of Entry	12/13/2010	3	9/30/2021
We recommend the Assistant Commissioner, Office of Field Operations finalize and issue WHTI full enforcement operational guidance that includes minimum inspection requirements and the specific procedures that CBP officers must follow to process WHTI-noncompliant travelers and to establish			CBP cannot implement full enforcement until it amends 8 CFR 235.1 to establish a user fee to cover the inspection costs of processing U.S. citizens seeking entry at U.S. land border ports of entry without Western Hemisphere Travel Initiative (WHTI)-compliant documents. The fee will permit CBP to fund the additional officers necessary to implement full enforcement without adversely affecting wait times and the entry of compliant lawful travelers. The amendment process requires issuance of a final rule in the Federal Register, which involves publication of an NPRM in the Federal Register followed by a 60-day public response period. A draft NPRM is pending OMB review. After OMB approval, the NPRM will be published with a 60-day public comment period. CBP will respond to comments, prepare the final rule, and obtain approval for final rule publication.		
CBP	OIG-11-16	Customs and Border Protection Implementation of the Western Hemisphere Travel Initiative at Land Ports of Entry	12/13/2010	4	9/30/2021
We recommend the Assistant Commissioner, Office of Field Operations Establish a firm target date for moving from informed compliance to full enforcement of WHTI land document requirements.			Full enforcement will begin 30 days after the Federal Register publishes a final rule establishing a processing fee that all WHTI-noncompliant U.S. citizens must pay.		
CBP	OIG-11-92	Efficacy of Customs and Border Protection's Bonding Process	06/27/2011	4	12/31/2022

Component	Report Number	Report Title	Report Received Date	Rec #	Estimated Completion Date (or Date Closed)
Recommendation			Narrative of Implementation Status		
<p>We recommend that Customs and Border Protection's Assistant Commissioners improve revenue risk management by developing a risk-based bonding methodology for use on high-risk revenue imports that incorporates continuous bonds and single transaction bonds.</p>			<p>CBP's OT has developed a risk-based bonding methodology for use on high-risk revenue imports for single transaction bonds (STB) for AD/CVD and delivered that to OT-Trade Policy & Programs (TPP). TPP, OT-Regulations & Rulings, and the Office of the Chief Counsel now are discussing implementation of it, including any regulatory changes that would be needed. The initial development is focused on risk of nonpayment or default on AD/CVD owed and will require the submission of an additional STB, sufficient to cover the additional risk presented to CBP, at time of cargo release for certain AD/CVD entries. The Trade will use the current STB formula (minus duties, taxes and fees as they are not available at cargo release) in conjunction with a risk factor multiplier to compute the additional STB. OT plans to expand the risk-based bonding model to other priority trade risk areas and to identify relevant risk factors to integrate into this risk-based bonding model. The full implementation of the risk-based bonding model will require additional automation work and possible regulatory changes. To extend this model to continuous bonds, there may be additional legal and technical requirements that need to be addressed prior to implementation.</p>		
CBP	OIG-12-132	CBP's Strategy to Address Illicit Cross-Border Tunnels	09/26/2012	2	10/17/2019
<p>Complete the planned Concept of Operations document describing how the identified capabilities need to function from across component perspective to support the Analysis of Alternatives for the Tunnel Detection and Technology Program.</p>			<p>OIG officially closed this recommendation in the time since the universe of open recommendations aged more than 1 year on 9/30/2019 was identified.</p>		
CBP	OIG-13-119	CBP's and USCG's Controls Over Exports Related to Foreign Military Sales	09/09/2013	2	12/31/2019

Component	Report Number	Report Title	Report Received Date	Rec #	Estimated Completion Date (or Date Closed)
Recommendation			Narrative of Implementation Status		
We recommend that the Acting Assistant Commissioner for the Office of Field Operations at U.S. Customs and Border Protection update the U.S. Customs Control Handbook for Department of State Licenses to reflect current export-related laws, regulations, and responsibilities; and provide formal training to CBP export officers on Foreign Military Sales policies and procedures.			CBP's OFO is finalizing the CBP Outbound Control Handbook. The draft handbook was sent to key stakeholders and OFO is still in the process of reviewing and responding to substantial comments. Once the review is completed, OFO will issue the revised handbook. OFO plans to distribute the finalized handbook by 12/31/2019. In addition, OFO is developing webinar training that will include a review of Foreign Military Sales policies and procedures. The CBP Handbook is undergoing internal review and approval, and CBP is developing Foreign Military Sales training.		
CBP	OIG-15-18	Audit of Security Controls for DHS Information Technology Systems at John F. Kennedy International Airport	01/16/2015	10	11/30/2019
We recommend that the CBP CIO designate the surveillance systems as CBP/DHS IT systems and implement applicable management, technical, operational controls, and privacy controls and reviews.			CBP's port director at JFK airport has signed MOAs with the terminal operators for Terminals 4 and 5. The security assessment for Terminal 5 was conducted in August. The Office of Information & Technology (OIT) is working with OFO to schedule and complete the IT security assessment for Terminal 4. OIT acknowledges the dependency on responsiveness of both OFO and the Terminal Operators to complete the assessments.		
CBP	OIG-16-123	CBP's Office of Professional Responsibility's Privacy Policies and Practices	08/29/2016	1	3/31/2020
That CBP revise the CBP OPR standard operating procedures for information sharing address its law enforcement priorities and to comply with all aspects of the CBP Privacy Directive.			CBP created a working group with stakeholders from OPR and the Office of Privacy and Diversity (PDO) to focus on the OPR SOPs for information sharing. The CBP Privacy Officer will continue to work with OPR on the status of the revised SOPs and will provide continued support until the updated SOPs are fully implemented. OPR is working to revise the SOPs for information sharing to		

Component	Report Number	Report Title	Report Received Date	Rec #	Estimated Completion Date (or Date Closed)
Recommendation			Narrative of Implementation Status		
			address its law enforcement priorities and to comply with all aspects of the CBP Privacy Directive. Due to staffing shortages, this process has taken longer than anticipated.		
CBP	OIG-16-123	CBP's Office of Professional Responsibility's Privacy Policies and Practices	08/29/2016	2	9/30/2019
That CBP require more specific training on Federal, departmental, and CBP privacy policies guidelines for CBP OPR personnel.			CBP has completed development of the privacy training program and has communicated the training requirement for all OPR staff through the OPR chain of command. This training was developed through collaboration between CBP's PDO and OPR and tailored to OPR-specific situations. CBP has provided supporting documentation to OIG and requested closure of this recommendation.		
CBP	OIG-16-51	CBP Needs to Better Plan Its Implementation of the DHS Prison Rape Elimination Act (PREA) Regulations	03/31/2016	4	3/31/2020
That the Commissioner, CBP determine, no later than July 2017, which holding facilities should be defined as overnight facilities, determine whether additional holding facilities should be audited, and ensure these facilities are audited by the July 2018 deadline.			Audits have taken place at 45 of the 51 holding facilities identified for audit during the first cycle. The sexual abuse investigations audit also has been conducted. Upon completion of the remaining audits, CBP will prepare and submit the audit reports, review the findings, and assess whether additional holding facilities should be audited and will provide the assessment to OIG.		
CBP	OIG-16-75	U.S. Customs and Border Protection (CBP) Needs Better Data to Justify Its Criminal Investigator Staffing	04/29/2016	1	11/30/2019
That the Asst Commissioner, Office of Internal Affairs, CBP should perform a position description review to ensure that all investigator			CBP completed its analysis of the position descriptions. CBP updated several position descriptions, and marked two as incumbent		

Component	Report Number	Report Title	Report Received Date	Rec #	Estimated Completion Date (or Date Closed)
Recommendation			Narrative of Implementation Status		
positions are properly described and classified based on a validation of major duties.			only as they will not be used for additional hiring. In October 2019, OIG requested further information on CBP's methodology and assumptions used in its analysis. CBP is working to gather this information for OIG.		
CBP	OIG-16-75	U.S. Customs and Border Protection (CBP) Needs Better Data to Justify Its Criminal Investigator Staffing	04/29/2016	2	12/31/2020
That the Asst Commissioner, Office of Internal Affairs, CBP identify and capture data elements necessary to perform a comprehensive workload analysis of its investigative workforce within its Office of Internal Affairs. The data elements should be based on major duties performed.			In October 2018, the Homeland Security Operational Analysis Center, an FFRDC operated by the RAND Corporation, began conducting a strategic analysis of the CBP OPR Investigative Operations Division organizational structure, workload, and staffing to develop a comprehensive staffing model. Estimated completion of this study and the issuance of the final report is scheduled for December 2019. In October 2018, CBP began a Business Progress Assessment of the JICMS to review CBP OPR's current business and workflow processes and to identify and recommend modernization enhancements that close process and data gaps. In February 2019, at the conclusion of the Business Progress Assessment, CBP's OIT presented to CBP and ICE OPRs an AoA. Upon review of the AoA and subsequent vendor demonstrations, CBP OPR, ICE OPR, and CBP OIT agreed not to move forward with the recustomization of JICMS and instead to move to a new case management platform.		
CBP	OIG-16-75	U.S. Customs and Border Protection (CBP) Needs Better Data to Justify Its Criminal Investigator Staffing	04/29/2016	3	12/31/2020

Component	Report Number	Report Title	Report Received Date	Rec #	Estimated Completion Date (or Date Closed)
Recommendation			Narrative of Implementation Status		
That the Asst Commissioner, Office of Internal Affairs, CBP develop and implement procedures to ensure investigative workload data elements are complete, accurate, and reliable.			Once recommendation 2 is complete, CBP will need time to allow data elements to be collected in the new case management system.		
CBP	OIG-16-75	U.S. Customs and Border Protection (CBP) Needs Better Data to Justify Its Criminal Investigator Staffing	04/29/2016	4	3/31/2021
That the Asst Commissioner, Office of Internal Affairs, CBP conduct a comprehensive workload analysis of its Investigative Operations Division, including a needs assessment, to determine the appropriate staffing levels to accomplish the office's mission efficiently and cost effectively.			In October 2018, the Homeland Security Operational Analysis Center, an FFRDC operated by the RAND Corporation, began conducting a strategic analysis of the CBP OPR Investigative Operations Division organizational structure, workload, and staffing to develop a comprehensive staffing model. The final report from the study is anticipated to be complete in December 2019.		
CBP	OIG-16-75	U.S. Customs and Border Protection (CBP) Needs Better Data to Justify Its Criminal Investigator Staffing	04/29/2016	5	3/31/2021
That the Asst Commissioner, Office of Internal Affairs, CBP develop performance measures and goals to ensure the Investigative Operations Division is meeting mission requirements efficiently and effectively.			CBP is in the process of developing a new case management platform. Once the system is in place, CBP will have the data elements needed to successfully measure performance goals more efficiently and effectively.		
CBP	OIG-17-114	CBP's IT Systems and Infrastructure Did Not Fully Support Border Security Operations	09/28/2017	5	12/31/2019
That the Chief of the U.S. Border Patrol, in collaboration with the Assistant Commissioner for OIT: Complete modernization plans for the e3 system to ensure adequate availability and functionality to support border security mission needs.			USBP is working with CBP's Office of Acquisition and DHS PARM on an accelerated/incremental acquisition approach, with the initial ADE for the Border Enforcement Coordination Network planned for the first quarter of FY 2020. Both the estimated completion date and the ADE were pushed back due to changing		

Component	Report Number	Report Title	Report Received Date	Rec #	Estimated Completion Date (or Date Closed)
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			timelines and challenges resulting from the border crisis. USBP has a program review with the CBP Component Acquisition Executive scheduled that will seek approval of this proposed plan.		
CBP	OIG-17-115-MA	Management Alert - Security and Safety Concerns at Border Patrol Stations in the Tucson Sector	09/29/2017	1	5/14/2022
We recommend that CBP promptly upgrade the infrastructure at Tucson Sector stations and ensure Border Patrol agent safety by providing the resources necessary to correct the urgent physical security issues.			Through engagement with USBP, CBP's Office of Facilities & Asset Management (OFAM) has identified a solution to the infrastructure upgrades. USBP has prioritized the Casa Grande Station as a new construction project to be funded in FY 2022. The new Casa Grande Border Patrol Station (BPS) will meet all CBP security requirements - secure parking and building, and physical and electronic security to include access control. OFAM and USBP are planning proactively for the allocation of funding for the construction of a new Casa Grande BPS. Additionally, OFAM will continue to assert the importance of the project to address all deficiencies at the current station, including OIG security findings.		
CBP	OIG-17-56	DHS Tracking of Visa Overstays is Hindered by Insufficient Technology	05/01/2017	5	3/31/2020
DHS CIO continue its efforts to evaluate the extent to which the data used to develop overstay estimates are accurate and reliable, identify and document any remaining gaps and limitations, and identify how the data may be improved.			CBP successfully made the new person-centric overstay status indicator available to Arrival and Departure Information System (ADIS) data consumers and users. CBP continues to work actively on the final milestone to reprocess selected historic events using updated person-matching rules. One key aspect of this process was detecting identities within ADIS that need to either be 'merged' or 'split.' Substantial analysis was needed to complete this step, which resulted in identifying hundreds of thousands of such identities requiring splitting or merging action. Based on the latest analysis		

Component	Report Number	Report Title	Report Received Date	Rec #	Estimated Completion Date (or Date Closed)
Recommendation			Narrative of Implementation Status		
			from the ADIS technical lead, the final milestone will not be finished until March 2020.		
CBP	OIG-17-99-MA	MANAGEMENT ALERT: CBP Wastes Millions Conducting Polygraph Examinations on Unsuitable Applicants	08/04/2017	1	10/31/2019
That the (Acting) Commissioner of CBP establish an in-person security interview well before the polygraph examination.			CBP's OPR has developed and piloted a Pre-Security Interview (PSI) to be administered to applicants in advance of the polygraph examination as another tool to determine whether applicants should continue to progress in the process, to include the polygraph examination. The FY 2019 deployment of the PSI was delayed due to changing timeframes as a result of the furlough, required updates needed for the language utilized in the interview and on the forms, and updates for privacy-related documents. Training for those conducting the PSI was deployed to the PALMS training system in September 2019. The announcement of the requirement of a PSI was included with vacancy announcements beginning 10/1/2019. CBP requested closure in October 2019.		
CBP	OIG-18-18	CBP's Use of Examination and Summons Authority Under 19 U.S.C. 1509	11/16/2017	1	12/31/2019
CBP should update the Special Agent Internal Operating Procedures immediately to reflect the guidance on the use of Section 1509 Summonses provided in the May 25, 2017 email referenced in this report from the Executive Director of CBP OPR's Investigative Operations Division.			CBP finalized the revised section, which reflects the guidance on the use of Section 1509 Summonses for the Investigative Operations Division Special Agent Internal Operating Procedures (IOP). This revised section was published in the updated IOP, released on 9/30/2019. CBP is in the process of requesting closure.		
CBP	OIG-18-18	CBP's Use of Examination and Summons Authority Under 19 U.S.C. 1509	11/16/2017	2	11/30/2019

Component	Report Number	Report Title	Report Received Date	Rec #	Estimated Completion Date (or Date Closed)
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The relevant CBP personnel should receive training on the proper use of Section 1509 Summonses as soon as practicable.			CBP has finalized the Use of Section 1509 Summonses training for employees. Training was provided to OPR agents starting April 2019. CBP also developed a webinar for individuals who could not attend the in-person training. The relevant staff have completed the training. CBP is in the process of requesting closure.		
CBP	OIG-18-79	CBP Has Not Ensured Safeguards for Data Collected Using Unmanned Aerial Systems	09/21/2018	2	12/31/2019
CBP Chief Information Officer develop a process for ensuring all information systems are included in the CBP Office of Information Technology inventory, along with notification to the CBP Privacy and Diversity Office when a system is added.			The CBP OIT systems are included in the official CBP/OIT Federal Information Security Management Act (FISMA) system inventory. OIT actively continues to scan the CBP network using Tanium endpoints and ingests the Tenable data into Splunk. The team continues to generate weekly Splunk Dashboards that show any unofficial/unauthorized systems detected via the Tanium scans. To date, all unauthorized systems identified by the Tanium scans were determined to be within the boundaries of existing approved FISMA systems. OIT is continuing to scan the network and is reviewing the evidence to ensure that the controls in place are effective.		
CBP	OIG-18-79	CBP Has Not Ensured Safeguards for Data Collected Using Unmanned Aerial Systems	09/21/2018	5	10/2/2019
CBP Chief Information Officer create and implement a process according to DHS policy for timely installing software patches on the VADER and Minotaur systems.			OIG officially closed this recommendation in the time since the universe of open recommendations aged more than 1 year on 9/30/2019 was identified.		
CBP	OIG-18-79	CBP Has Not Ensured Safeguards for Data Collected Using Unmanned Aerial Systems	09/21/2018	7	12/31/2019

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Recommendation			Narrative of Implementation Status		
CBP Chief Information Officer create a plan for filling key IT positions and allocating sufficient budget and staff resources to perform duties required to safeguard ISR Systems and the data it collects and stores.			CBP has filled the Security Controls Assessor position but is awaiting finalization of FY 2020 budget numbers in order to demonstrate that sufficient budgetary resources have been allocated to perform duties required to safeguard Intelligence, Surveillance, and Reconnaissance (ISR) Systems and the data that CBP collects and stores.		
CBP	OIG-18-80	Progress Made, but CBP Faces Challenges Implementing a Biometric Capability to Track Air Passengers Departures Nationwide	09/21/2018	1	9/30/2019
CBP Executive Assistant Commissioner, Office of Field Operations, take steps to coordinate with airport and airline stakeholders to increase bandwidth to meet the operational demands of biometric processing at the Nation's top airports.			On 8/1/2019 CBP's OFO held a teleconference with the OIG to discuss recommendation 1. During the meeting, it was agreed that the OIG would travel to the Atlanta airport later in August 2019 and while there, would observe flights boarding with facial recognition technology. If the OIG did not observe connectivity issues, the OIG agreed to consider closing the recommendation. On 9/9/2019, the OIG indicated that it had made the necessary observations during the visit to the Atlanta airport and intend to close this recommendation. CBP awaits formal notification.		
CBP	OIG-18-80	Progress Made, but CBP Faces Challenges Implementing a Biometric Capability to Track Air Passengers Departures Nationwide	09/21/2018	2	9/30/2019
CBP Executive Assistant Commissioner, Office of Field Operations, develop an internal plan to institute enforcement mechanisms or back-up procedures to prevent airlines from bypassing biometric processing prior to flight boarding.			On 3/5/2019, CBP advised the OIG that CBP, in partnership with airport and airlines stakeholders, will develop a plan to institute photo capture enforcement mechanisms. The plan will include operating parameters, SOPs, and an enforcement ramp-up period to allow travelers, airlines, and airports adequate time to adjust		

Component	Report Number	Report Title	Report Received Date	Rec #	Estimated Completion Date (or Date Closed)
Recommendation			Narrative of Implementation Status		
			operations and to ensure compliance with biometric air exit. CBP has 22 partnering agreements in place with major airlines and airports, enabling those partners to begin or to expand biometric exit processing of travelers. CBP acknowledges that the current process is voluntary, but CBP is engaging actively with airport and airline stakeholders to emphasize the benefits that biometric processing. In the event that an airline allows passengers to bypass biometric processes, CBP has created a plan for a back-up procedure to staff CBP Officers at every gate in the airport. CBP provided this plan to OIG, and in September 2019, requested closure of the recommendation.		
CBP	OIG-18-83/OIG-18-83 FOUO	CBP's International Mail Inspection Processes Need Improvement at JFK International Airport	09/24/2018	1	6/30/2020
The Executive Assistant Commissioners for Field Operations and Operations Support conduct an analysis to determine what additional staff, canines, x-ray scanning machines, and hand-held chemical analysis devices are needed to adequately address the threat from opioids arriving daily in the large volume of international mail.			CBP has increased staffing at the International Mail Facility using additional Flex Officers, as well as a permanent staffing increase of 10 officers. In March 2019 CBP anticipated additional analyzers to use and evaluate for a trial period, as well as additional permanent analyzers. CBP requested closure of the recommendation on 6/6/2019. On 9/17/2019, OIG notified CBP that it had declined to close this recommendation. OIG requested documentation of an analysis of what was needed to adequately address the threat from opioids and a cost benefit analysis would be performed. CBP is working to provide this additional evidence.		
CBP	OIG-18-83/OIG-18-83 FOUO	CBP's International Mail Inspection Processes Need Improvement at JFK International Airport	09/24/2018	2	6/30/2020

Component	Report Number	Report Title	Report Received Date	Rec #	Estimated Completion Date (or Date Closed)
Recommendation			Narrative of Implementation Status		
The Executive Assistant Commissioners for Field Operations and Operations Support assign and dedicate canine teams as appropriate to detect opioids at the international mail facility on a daily basis.			Currently, additional canine teams have been assigned as part of the congressional mandate, Consolidated Appropriations Act, 2019, and award of funds to add narcotic detection teams to International Mail Facilities (IMF) and Express Consignment Facilities. Tactical Operations Division allocated additional canine positions to JFK IMF. Ports are conducting interviews of candidates for the canine slots and are responsible for making the selections. After selections are finalized, ports will request seats in the next available canine class.		
CBP	OIG-18-83/OIG-18-83 FOUO	CBP's International Mail Inspection Processes Need Improvement at JFK International Airport	09/24/2018	3	4/30/2020
The Assistant Commissioner for the Office of Information and Technology (OIT) and Executive Assistant Commissioners for Field Operations and Operations Support jointly establish a process to inventory arriving international air mail received from USPS, scanned by CBP, and returned to USPS.			The Office of Field Operations is undertaking a comprehensive solution that will combine in line scanning, compliant databases, and the business requirements of all parties. A test site has been designated for this solution when designed and deployed.		
CBP	OIG-18-83/OIG-18-83 FOUO	CBP's International Mail Inspection Processes Need Improvement at JFK International Airport	09/24/2018	4	4/30/2020
The Executive Assistant Commissioners for Field Operations and Operations Support update CBP's International Mail Operations and Enforcement Handbook to reflect all types of arriving international mail.			CBP is currently collaborating internally to prescribe regulations pursuant to the Synthetics and Overdose Prevention Act of 2018, enacted into law on 10/24/2018. CBP is currently working on drafting an Interim Final Rule (IFR) for Title VIII, section 8003 – Mandatory Advance Electronic Information for Postal Shipments, which will expand 19 CFR 145 to include the categories of mail received from foreign postal operators. CBP is currently updating		

Component	Report Number	Report Title	Report Received Date	Rec #	Estimated Completion Date (or Date Closed)
Recommendation			Narrative of Implementation Status		
			CBP's International Mail Operations and Enforcement Handbook to reflect the same categories of mail that will ultimately be included in the IFR once finalized. Given the complexities related to CBP's efforts in prescribing regulations for section 8003, the Office of Trade has projected that the Interim Final Rule will not be published until early calendar year 2020.		
CBP	OIG-18-83/OIG-18-83 FOUO	CBP's International Mail Inspection Processes Need Improvement at JFK International Airport	09/24/2018	5	6/30/2020
The Executive Assistant Commissioners for Field Operations and Operations Support perform and document periodic 'Mail Flex' operations, including use of canine teams, to better determine the size and scope of the threat inherent in specific classes of mail and form specific countries.			CBP has increased the number of staff on the Trade Intelligence Enforcement Response (TIER)-Mail Team. This provides the International Mail Facility (IMF) with 24 hour targeting capability. The IMF works closely with CBP's National Targeting Center (NTC), other CBP ports of entry and Partner Government Agencies (PGA). A list of additional Pulse Surge operations at the IMF were provided to the OIG. In June 2019, CBP requested closure of this recommendation. On 9/17/2019, OIG notified CBP that it has declined to close this recommendation. OIG awaits evidence of a Pulse Surge operation targeting e-packets, mail flex operations focused on categories of mail other than express mail from specific countries in order to determine the threat inherent in specific classes of mail and from specific countries.		
CBP	OIG-18-83/OIG-18-83 FOUO	CBP's International Mail Inspection Processes Need Improvement at JFK International Airport	09/24/2018	7	8/31/2020
The Executive Assistant Commissioners for Field Operations and Operations Support jointly update the Seized Asset Management			On 11/28/2018, CBP's Office of Field Operations (OFO) issued a memorandum to the Assistant Directors of Field Operations who		

Component	Report Number	Report Title	Report Received Date	Rec #	Estimated Completion Date (or Date Closed)
Recommendation			Narrative of Implementation Status		
		and Enforcement Procedure Handbook and the International Mail Operations and Enforcement Handbook to outline all of the precautions necessary to safeguard suspicious mail prior to formal seizure.	have direct responsibilities and oversight of International Mail Facilities, which provided clear guidance for implementing uniform precautionary measures for the safeguarding of suspicious international mail items prior to formal seizure or release. CBP OFO is in the process of updating the chapters in the Seized Asset Management and Enforcement Procedures Handbook which will then be sent out to various offices for review before posting.		
CISA	OIG-15-108	Oversight Review of the National Protection and Programs Directorate, Internal Affairs Division	06/19/2015	1	3/31/2020
		We recommend that the Under Secretary of NPPD determine how allegations of criminal misconduct by NPPD employees will be investigated. If the Under Secretary decides to investigate such allegations through a specialized unit, we recommend that the Under Secretary obtain and delegate the authority to conduct criminal investigations to OCS.	The CISA Internal Affairs Division (IAD) was formally established in July 2019, with the installation of a Director. IAD continues to await delegation of investigative authority from senior leadership. IAD has determined that any criminal allegations of misconduct by CISA employees can currently be handled through memorandums of agreement (MOA) between CISA IAD and the Federal Protective Service (FPS) Office of Internal Investigations (OII) or the Federal Emergency Management Agency (FEMA) Office of Internal Investigations (OII). If it is determined at a later date, after all delegations are in place, we can deliberate on bringing the investigation of criminal allegations back to CISA IAD.		
CISA	OIG-18-10	Biennial Report on DHS' Implementation of the Cybersecurity Act of 2015	11/01/2017	2	3/31/2020
		Establish an acquisition strategy for obtaining the tools and technologies needed to provide a cross-domain solution for sharing and processing cyber threat information between the classified and repositories.	CISA project team met with the Office of Intelligence and Analysis (I&A), and conducted a demo/trial run of the tool meant to provide a cross-domain solution in July 2019 and encountered size limitations. Another tool from I&A is waiting for the Authority to Operate		

Component	Report Number	Report Title	Report Received Date	Rec #	Estimated Completion Date (or Date Closed)
Recommendation			Narrative of Implementation Status		
			(ATO) process to be completed and it is expected by 12/31/2019. While these tools await confirmation and completion, there is some consideration to set up a substitute until the other tools are ready. Once a decision has been made, CISA will inform OIG of the path forward.		
FEMA	OIG-12-18	FEMA's Process for Tracking Public Assistance Insurance Requirements	12/16/2011	3	9/30/2019
We recommend that the Associate Administrator, Response and Recovery: Modify EMMIE or EDW so that FEMA can use the data stored in EMMIE to determine if an applicant previously received disaster assistance for a damaged facility.			On 9/11/2019, FEMA met with OIG to provide additional information in support of the request for closure. FEMA awaits OIG's closure decision.		
FEMA	OIG-12-18	FEMA's Process for Tracking Public Assistance Insurance Requirements	12/16/2011	4	4/16/2020
We recommend that the Associate Administrator, Response and Recovery: Review and evaluate NEMIS and EMMIE data fields and update any location and insurance fields that are blank or contain erroneous information.			FEMA is on track to award the \$3 million contract in early 2020.		
FEMA	OIG-14-150-D	FEMA and the State of Louisiana Need to Accelerate the Funding of \$812 Million in Hazard Mitigation Grant Program Funds and Develop a Plan to Close Approved Projects	09/19/2014	3	8/29/2019
De-allocate all remaining unobligated funds (approximately \$812 million as of March 2014) after making funding determinations (finding A).			On 11/4/19, the OIG requested additional information concerning FEMA's closure request. On 11/8/19, FEMA provided the additional information to the OIG to include definitions for all 16 columns of the excel worksheet and then the formulas for each column, for totaling as appropriate. Region 6 still awaits a written		

Component	Report Number	Report Title	Report Received Date	Rec #	Estimated Completion Date (or Date Closed)
Recommendation			Narrative of Implementation Status		
			response to our 5/1/2019 request for closure, which is now 6 1/2 months old.		
FEMA	OIG-15-06-D	FEMA Needs To Track Performance Data and Develop Policies, Procedures, and Performance Measures for Long Term Recovery Offices	10/30/2014	2	6/30/2019
Implement standardized policies, procedures, and performance measures to establish, operate, and close Long Term Recovery Offices.			Field Operation Directorate Policy is meeting on 11/22/2019. Pending approval, the process for 508 and release will occur. The next CAP update will be submitted on 11/29/2019.		
FEMA	OIG-15-08	Ohio's Management of Homeland Security Grant Program Awards for Fiscal Years 2010 Through 2012	11/07/2014	8	12/31/2019
Direct Ohio to provide documentation that adequately supports the questioned \$3,559,066.76 for noncompliant procurements or return to FEMA the amount not supported.			FEMA Corrective Action Plan Update 9/18/19: On 3/26/2019 FEMA GPD issued a secondary NPDL, related to OIG audit report 15-08, for \$402,197.69 in questioned costs identified by the OIG as non-compliant with 44 CFR 13.36. OEMA requested and was granted an extension to the appeal period and submitted the appeal to FEMA on July 24, 2019. FEMA has reviewed the appeal and related source documents and have found \$75,939.10 of questioned costs to be compliant. Therefore, \$326,258.59 of the \$402,197.69 will be disallowed due to non-compliance with 44 CFR 13.36. Source materials supporting the \$75,939.10 allowed costs has been attached and includes FEMA's review comments. Of the original \$3,559,066.76 questioned costs in OIG report 15-08 recommendation #8, a total of \$2,838,424.38 will be recouped. a) In 1 month allotted time, FEMA completes composition of a Corrective Action Plan (CAP) Update to request closure of recommendation #8 and composes the final determination by		

Component	Report Number	Report Title	Report Received Date	Rec #	Estimated Completion Date (or Date Closed)
Recommendation			Narrative of Implementation Status		
			09/15/19 (add allotted time to previous milestone) b) In 1 month allotted time, FEMA completes concurrence process and delivers a GPD approved CAP Update to request closure of Recommendation #8 to FEMA Audit Liaison Office (ALO) by 10/15/2019 (add allotted time to previous milestone) c) In 1 month allotted time, FEMA ALO completes review of CAP Update and delivers to auditors by 11/15/19 (add allotted time to previous milestone [same as ECD]) d) In 1 month allotted time, FEMA GPD will issue the final determination to OEMA by 12/15/19. The complete CAP Update with documentation is attached. ECD remains 12/31/2019.		
FEMA	OIG-15-107	New York's Management of Homeland Security Grant Program Awards for Fiscal Years 2010-2012	06/19/2015	3	6/30/2018
We recommend that the FEMA Assistant Administrator, Grants Program Directorate require the Division of Homeland Security and Emergency Services to provide a budget and work plan for the Division of Military and Naval Affairs to account for its SHSP and UASI grant funds. The budget and work plan should specify the services to be provided and identify the location, and estimate the hours and number of National Guard members.			On 11/22/2019, FEMA received the OIG's analysis regarding FEMA's 10/31/2019 Corrective Action Plan Update. The OIG stated that they cannot close this recommendation until FEMA provides the OIG with additional budget information.		
FEMA	OIG-15-107	New York's Management of Homeland Security Grant Program Awards for Fiscal Years 2010-2012	06/19/2015	5	3/31/2020
We recommend that the FEMA Assistant Administrator, Grant Programs Directorate require the Division of Homeland Security and Emergency Services to provide documentation that adequately supports \$23,437,386 in questioned costs that are unsupported or return the amount not supported. Specifically, the documentation			On 11/22/2019, FEMA received the OIG's analysis regarding FEMA's 10/31/2019 Corrective Action Plan Update. The OIG stated that in order to support formal closure of this recommendation, FEMA should provide OIG with additional evidence that adequately satisfies the intent of the recommendation or shows that DHSES		

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should support: hours worked and locations for Task Force Empire Shield activities (\$18,731,021 in questioned costs); expenditures selected in a sample of costs for services that SUNY provided to DHSES under MOUs #432, #442, #443, and #468 (\$2,982,692 in questioned costs); costs related to non-HSGP grant programs for \$1,324,851 in salaries and \$318,813 in financial services; and the reasonability of \$180,009 to lease communication equipment.			properly accounted for expenditures related to the DMNA's Task Force Empire Shield support efforts.		
FEMA	OIG-15-107	New York's Management of Homeland Security Grant Program Awards for Fiscal Years 2010-2012	06/19/2015	6	3/31/2020
We recommend that the FEMA Assistant Administrator, Grant Programs Directorate require the Division of Homeland Security and Emergency Services to reimburse FEMA \$450,414 in questioned costs that are ineligible. Specifically, the Division of Homeland Security and Emergency Services should reimburse FEMA: \$261,748 for fringe benefits applicable to ineligible, non-HSGP grants programs; \$10,824 for claimed costs for maintenance contracts and warranties that extended beyond the performance period of the grant; and \$177,842 for overtime expenses not used for eligible activities and not federally requested.			On 11/22/2019, FEMA received the OIG's analysis regarding FEMA's 10/31/2019 Corrective Action Plan Update. The OIG stated that this recommendation will remain open and resolved until FEMA has provided the OIG with copies of separate Note of Potential Debt Letters applicable to each collection effort, pending any appeals from the State.		
FEMA	OIG-15-107	New York's Management of Homeland Security Grant Program Awards for Fiscal Years 2010-2012	06/19/2015	7	10/31/2019
We recommend that the FEMA Assistant Administrator, Grant Programs Directorate require the Division of Homeland Security and Emergency Services to provide budgets and work plans for all state agencies receiving HSGP funds, including the Division of			On 11/22/2019, FEMA received the OIG's analysis regarding FEMA's 10/31/2019 Corrective Action Plan Update. The OIG stated that they have review the FY 2018 state-level applications and determined the FY 2018 state-level applications included adequate and detailed descriptions of planned Homeland Security Grant		

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Homeland Security and Emergency Services, to ensure funds are allocable, allowable, and reasonable.			Program (HSGP)-funded activities. To close this recommendation, the OIG went on to state that FEMA should provide additional information to service as evidence that these grant applications were approved by DHSES program manager(s) from each State applying for HSGP.		
FEMA	OIG-15-107	New York's Management of Homeland Security Grant Program Awards for Fiscal Years 2010-2012	06/19/2015	12	3/31/2020
We recommend that the FEMA Assistant Administrator, Grant Programs Directorate require the Division of Homeland Security and Emergency Services to conduct an independent review of New York Police Department's \$42,844,265 in operational overtime for the protection of critical infrastructure during FYs 2010 through 2012. For all unallowable or unsupported costs, require the New York Police Department to return the funds.			FEMA provided its CAP Update with documentation to the OIG on 10/31/2019. To establish its findings for this review, the FMU reviewed the accounting, financial, and reporting practices for compliance with budget and reporting requirements, maintenance of accurate and reliable accounting records, and compliance with Federal, State, and DHSES allowable cost and documentation guidelines. The FMU concluded that the evidence obtained provided a reasonable basis for this conclusion. FEMA believes the intent of this recommendation has been met.		
FEMA	OIG-15-107	New York's Management of Homeland Security Grant Program Awards for Fiscal Years 2010-2012	06/19/2015	13	10/31/2019
We recommend that the FEMA Assistant Administrator, Grant Programs Directorate require the Division of Homeland Security and Emergency Services to provide sufficient justification and documentation that adequately supports questioned costs that are unsupported or return to FEMA the amount not supported. Specifically, the documentation should support the following: \$440,942 for a noncompetitive contract for architect and engineering services (to ensure it was reasonable and in accordance			On 11/22/2019, FEMA received the OIG's analysis regarding FEMA's 10/31/2019 Corrective Action Plan Update. The OIG acknowledged the steps FEMA has taken to collect the \$440,942 in disallowed costs by issuing a Notice of Potential Debt Letter to the DHSES in 1/20/2019. The OIG further stated that they cannot close this recommendation until FEMA has provided the OIG with evidence supporting its final determination. The recommendation remains resolved and open.		

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		with Federal grant guidance on procurement practices); \$87,075 for a camera and utility vehicle that were claimed, but not included in the approved budget.			
FEMA	OIG-15-128-D	FEMA's Process for Selecting Joint Field Offices Needs Improvement.	08/21/2015	2	3/1/2019
		OIG recommends that the Associate Administrator, Office of Response and Recovery, FEMA develop JFO operational procedures that effectively downsize the facility and associated support in a timely manner to reduce JFO costs. By right sizing to a smaller facility once staff levels declined as anticipated, FEMA could have saved approximately \$1.5 million on direct facility expenses for DR-4086-Hurricane Sandy - New Jersey.			FOD continues to push the Disaster Facility Setup Guide (DSFG) towards completion. FOD anticipates the final document by February 2020. FOD will respectfully request closure once the document is finalized.
FEMA	OIG-16-78-D	Colorado Should Give the City of Evans More Assistance in Managing FEMA Grant Funds	05/03/2016	1	1/1/2020
		Disallow \$2,958,047 (\$2,218,536 Federal share) as ineligible contract costs, unless FEMA grants an exception for all or part of the costs as 44 C.F.R.13.6(c) allows and determines the costs are reasonable (finding A).			The City of Evans submitted a partial closeout packet to the Colorado Division of Homeland Security and Emergency Management (CDHSEM). The packet is incomplete because it does not include costs associated with the City requesting a Letter of Map Revision (LOMR) from FEMA on 7/8/2019. CDHSEM is working with the City to have these costs submitted by 1/1/2020, which are the last the City will incur. Once received, CDHSEM will validate the costs, complete its closeout review, and submit the final packet to FEMA. FEMA Region VIII will then finalize its action plan and proceed with its final comprehensive review of the City's allowable and eligible costs to complete Recommendation 1 of OIG-16-78-D.

Component	Report Number	Report Title	Report Received Date	Rec #	Estimated Completion Date (or Date Closed)
Recommendation			Narrative of Implementation Status		
FEMA	OIG-16-100	FEMA's Grant Programs Directorate (GPD) Did Not Effectively Manage Assistance to Firefighters Grant Program - AFG Grants	06/09/2016	2	12/31/2019
We recommend Federal Emergency Management Agency's Assistant Administrator for Grant Programs Directorate review Assistance to Firefighters Grants for FYs 2010-2012 to identify and recover potentially disallowed expenditures of the \$7124,893 total questioned costs.			On 11/6/2019, FEMA informed the OIG that their Grant Programs Directorate is on track for 12/31/19 estimated completion date regarding this recommendation. FEMA plans to request formal closure of this recommendation at that time.		
FEMA	OIG-16-126-D	FEMA Can Do More to Improve Public Assistance Grantees' and Subgrantees' Compliance with Federal Procurement Rules	09/02/2016	2	6/18/2019
Undertake a review to assess all legally sanctioned remedies under 2 CFR 200.338 to enforce Federal procurement regulations and to deter noncompliance. Based on results of the assessment, develop tailored options to address certain forms of procurement noncompliance and the proper method to effect such changes through issuance of new guidance, policy, or regulations. Such as tailored options to include: a. When making reasonableness determinations, use the least-cost alternative to determine the allowable amount; b. When grantees and subgrantees use prohibited cost-plus-a percentage-of-cost contracts, disallow all or most of the markup portion of the contract; and c. Establish disincentives for grantees or subgrantees that violate congressionally mandated socioeconomic goals.			The OIG informed ALO that they had additional questions and may reach out to FEMA to clarify/confirm some points before moving forward to close out the recommendation. FEMA provided these documents to OIG and as of November 2019, OIG informed FEMA they consider this recommendation closed.		

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FEMA	OIG-16-127-D	FEMA Can Enhance Readiness With Management of its Disaster Incident Workforce	09/02/2016	1	12/15/2019
<p>Strengthen FEMA's capacity to respond to catastrophic disasters by bringing the Reservist workforce up to target workforce levels and creating internal performance goals that encourage FEMA management to reach and maintain those target workforce levels.</p>			<p>FEMA requested closure on this recommendation based on the following. FEMA reached 75% of its Reservist force structure as of 9/27 (8,149 of 10,873), an increase of more than 2,500 net personnel (beyond attrition) since the Agency's update in December 2016 (+45%). Through a variety of tactics, FEMA continues to aggressively hire and retain personnel in its incident management workforce, including Reservists. As discussed in July, FEMA recently completed the Incident Management Workforce Review, with the Administrator's approval of revised force structure targets for all 23 cadres, reflecting changes in business processes since the 2015 review as well as current and projected disaster activity over the three-year period of December 2018-2021. For all employee types, the new Incident Management force structure targets represent a roughly 8% increase, from 16,305 to 17,670, due to substantial increases in some cadres (e.g. long-term recovery cadres that have an outsized demand given large disasters from 2017 and 2018 such as Public Assistance) and right sizing in others due to streamlined positions and other factors. Reservist force structure is increasing by 12% (from 10,873 to 12,186), continuing their essential role in FEMA's disaster staffing. FEMA has established a Project Management Office to ensure the Agency achieves these targets – named HARNESS – that the Office of the Chief Component Human Capital Officer (OCCHCO) is leading with Field Operations Directorate's direct support.</p>		

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FEMA	OIG-16-127-D	FEMA Can Enhance Readiness With Management of its Disaster Incident Workforce	09/02/2016	2	8/15/2020
Develop, implement, and enforce a rigorous FEMA Qualification System-based performance system and tracking mechanism for all Reservists.			FEMA has requested closure of this recommendation. The Grants Management Manual we have provided OIG contains provisions that address Post-Award Responsibilities and Procedures (Chapter 5) and Closeout Responsibilities (Chapter 6). The Manual, which we issued in January 2018, includes the remedy tables with the exception of specific reductions for certain procurement violations, since the implementation of express reductions to grant amounts requires public notice and comment. The tables can be found at section 5.1.5 Actions to Address Noncompliance / 5.1.5.3 Remedy Actions and Tables. In addition, we initiated the process of adopting the full compliance tables as required in recommendation 2 at the same time		
FEMA	OIG-16-139-D	FEMA Should Implement Consistent Joint Field Office Guidance	09/27/2016	1	3/1/2020
Develop and implement consistent and specific JFO procedural guidance to facilitate a timely and successful joint Federal-state response and recovery operation.			FOD continues to push the Disaster Facility Setup Guide (DSFG) towards completion. FOD anticipates the final document by February 2020. FOD will respectfully request closure once the document is finalized.		
FEMA	OIG-16-139-D	FEMA Should Implement Consistent Joint Field Office Guidance	09/27/2016	2	3/1/2020
Require FEMA regional offices to develop a JFO selection strategy that includes working annually with General Services Administration and State governments to specify an acceptable selection of Primary Metropolitan Statistical Areas where JFO			FOD continues to push the Disaster Facility Setup Guide (DSFG) towards completion. FOD anticipates the final document by February 2020. FOD will respectfully request closures once the document is complete. FOD will respectfully request closure once the document is finalized.		

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could be located and determining the conditions needed for a timely opening of a JFO.					
FEMA	OIG-16-47	FEMA Does Not Provide Adequate Oversight of Its National Flood Insurance Write Your Own Program	03/08/2016	1	1/31/2020
OIG recommended that the Deputy Associate Administrator for the Federal Insurance and Mitigation Administration (FIMA), develop and implement procedures that will: (1) evaluate the results of the oversight performed as required by the Financial Control Plan; and (2) determine the overall effectiveness of the established NFIP internal controls.			The date of Full Operational Capability (FOC) for Pivot has been revised and now should be September 2020. The original selected regional pilot implementations will now be a nationwide rollout based on FEMA's recent actuary, market, operations and industry assessments.		
FEMA	OIG-16-98	FEMA's Grant Programs Directorate Did Not Effectively Manage Assistance to Firefighters Grant Program - SAFER Grants	06/08/2016	2	12/31/2019
OIG recommended Federal Emergency Management Agency's Assistant Administrator for Grant Programs Directorate review the Staffing for Adequate Fire and Emergency Response grants for FYs 2010-2012 to identify and recover potentially disallowed expenditures of the \$18,443,447 total questioned costs.			On 11/06/2019, FEMA informed the OIG that FEMA is on track with its estimated completion date of 12/31/2019 for this recommendation. FEMA plans to formally request closure of this recommendation at that time.		
FEMA	OIG-17-25-D	Victor Valley Wastewater Reclamation Authority in Victorville, California, Did Not Properly Manage \$32 Million in FEMA Grant Funds	01/24/2017	1	10/31/2019
Disallow \$31,713,569 (\$23,785,177 Federal share) in ineligible contract costs, unless FEMA grants an exception to administrative requirements, which include Federal procurement standards, as 44			Since June 2018, the OIG has had an open investigation related to this audit, the results of which would impact the completion of the CAP. In October 2018, FEMA Region 9 requested the ECD for		

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CFR 13.6(c) allows and determines the costs are eligible and reasonable.			open recommendations related to this audit be set for 30 days from the closeout of the OIG investigation. On 11/13/2019, FEMA Region 9 received an email from the OIG requesting the Region complete the CAP and provide an update. Regional Counsel and Recovery Division leadership are currently working with the OIG to clarify the request the week of 11/18/2019 and identify next steps.		
FEMA	OIG-17-25-D	Victor Valley Wastewater Reclamation Authority in Victorville, California, Did Not Properly Manage \$32 Million in FEMA Grant Funds	01/24/2017	2	10/31/2019
Review costs associated with the Authority's other large projects, especially Project 1136, and disallow any costs that are ineligible.			Since June 2018, the OIG has had an open investigation related to this audit, the results of which would impact the completion of the CAP. In October 2018, FEMA Region 9 requested the ECD for open recommendations related to this audit be set for 30 days from the closeout of the OIG investigation. On 11/13/2019, FEMA Region 9 received an email from the OIG requesting the Region complete the CAP and provide an update. Regional Counsel and Recovery Division leadership are currently working with the OIG to clarify the request the week of 11/18/2019 and identify next steps.		
FEMA	OIG-17-25-D	Victor Valley Wastewater Reclamation Authority in Victorville, California, Did Not Properly Manage \$32 Million in FEMA Grant Funds	01/24/2017	3	4/30/2019
Review the process the Authority used to procure its engineering contract to determine whether regulatory and ethical infractions or gross mismanagement occurred. If such infractions or gross mismanagement occurred, FEMA should work with the Department of Homeland Security Office of Inspector General and Suspension			Since June 2018, the OIG has had an open investigation related to this audit, the results of which would impact the completion of the CAP. In October 2018, FEMA Region 9 requested the ECD for open recommendations related to this audit be set for 30 days from the closeout of the OIG investigation. On 11/13/2019, FEMA		

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and Debarment Official to debar the responsible organizations and individuals so that they are excluded from receiving benefits from Federal programs, as well as prohibited from future contracting with any agency in the Executive Branch of the U.S. Government for a specified period under 2 CFR 180.125(b).			Region 9 received an email from the OIG requesting the Region complete the CAP and provide an update. Regional Counsel and Recovery Division leadership are currently working with the OIG to clarify the request the week of 11/18/2019 and identify next steps.		
FEMA	OIG-17-110	FEMA Needs to Improve Management of its Flood Mapping Programs	09/27/2017	1	11/1/2019
Implement a system of tracking regional cost allocations for flood map projects including studies and other investments, as well as the status of funds (expended and unexpended) and where they are in their lifecycle			OIG's unofficial closure notification was received on 11/4/2019; FEMA awaits OIG's closure action.		
FEMA	OIG-17-38-D	FEMA Needs to Improve its Oversight of the Sheltering and Temporary Essential Power Pilot Program	02/15/2017	2	12/31/2020
Work with New York State and New York City to close out the project. This includes ensuring that the final cost reconciliation accurately separates the costs for commercial residential properties.			FEMA continues to address this recommendation.		
FEMA	OIG-17-38-D	FEMA Needs to Improve its Oversight of the Sheltering and Temporary Essential Power Pilot Program	02/15/2017	3	12/31/2020
Ensure New York City made reasonable efforts when appropriate and allowed for under State and local laws to compel commercial building owners/operators to make permanent repairs to health and safety hazards and other housing code violations addressed by FEMA-funded emergency protective measures under this initiative, and to recover from commercial owners any Federal funds expended on emergency protective measures for facilities they own or operate.			FEMA continues to address this recommendation.		

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FEMA	OIG-18-08	FEMA and California Need to Assist CalRecycle, a California State Agency, to Improve its Accounting of \$230 Million in Disaster Costs	10/30/2017	1	12/31/2019
OIG recommend that the Regional Administrator, FEMA Region IX, Disallow as ineligible \$142,669,989 (\$107,002-492 federal share) in debris removal costs that did not comply fully with the Federal regulations, specifically project costs accounting, unless FEMA (1) grants an exception to this administrative requirement as 2 CFR 200.102 allows, or (2) determines that costs are as a result of the declared disaster, eligible for Federal funding, and fully documented (Finding A)			FEMA Region 9 is in the process of requesting closure for open recommendations and the audit.		
FEMA	OIG-18-08	FEMA and California Need to Assist CalRecycle, a California State Agency, to Improve its Accounting of \$230 Million in Disaster Costs	10/30/2017	2	12/31/2019
OIG recommend that the Regional Administrator, FEMA Region IX, direct California, as a recipient, to continue providing CalRecycle with technical assistance and monitoring to ensure compliance with all applicable Federal regulations and FEMA guidelines, specifically for project cost accounting, to avoid improperly funding any of the \$87,197,228 (\$65,397,921 Federal share) it expects to claim in cost overruns for the remaining debris removal work, for a total cost of \$230 million (Findings A and B)			FEMA Region 9 is in the process of requesting closure for open recommendations and the audit.		

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Recommendation			Narrative of Implementation Status		
FEMA	OIG-18-08	FEMA and California Need to Assist CalRecycle, a California State Agency, to Improve its Accounting of \$230 Million in Disaster Costs	10/30/2017	3	12/31/2019
OIG recommend that the Regional Administrator, FEMA Region IX, direct California, as a grantee, to ensure the Counties collect all insurance recoveries from private property owners and accurately report the amount of insurance proceeds to FEMA (Finding C)			FEMA Region 9 is in the process of requesting closure for open recommendations and the audit.		
FEMA	OIG-18-17	The Napa State Hospital Should Improve the Management of its \$6.7 Million FEMA Grant	11/16/2017	4	6/28/2020
OIG recommends that the Regional Administrator, FEMA Region IX, Deobligate \$6,384,656 (Federal share \$4,788,492) awarded under Project 181, unless the Hospital demonstrates its compliance with applicable insurance requirements.			FEMA Region 9 continues to work with the State of California to complete closure requirements on insurance. As of 9/24/2019, the audited project was not complete. FEMA Region 9 will provide the next 90-day CAP update to the OIG by 12/23/2019.		
FEMA	OIG-18-17	The Napa State Hospital Should Improve the Management of its \$6.7 Million FEMA Grant	11/16/2017	5	6/28/2020
OIG recommends that the Regional Administrator, FEMA Region IX, collaborate timely with Hospital , Department of General Services, and California Department of State Hospitals officials to identify and reconcile the differences between FEMA and the Hospital's project cost estimates.			FEMA Region 9 continues to work with the State of California to complete closure requirements on insurance. As of 9/24/2019, the audited project was not complete. FEMA Region 9 will provide the next 90-day CAP update to the OIG by 12/23/2019.		
FEMA	OIG-18-38	Unsupported Payments Made to Policyholders Who Participated in the Hurricane Sandy Claims Review Process	01/24/2018	1	5/31/2019

Component	Report Number	Report Title	Report Received Date	Rec #	Estimated Completion Date (or Date Closed)
Recommendation			Narrative of Implementation Status		
The Deputy Associate Administrator for the Federal Insurance and Mitigation Administration establish procedures to identify and address concerns identified by external parties, including Members of Congress and the media.			The OIG team is reviewing FIMA's request for closure and substantiation documentation. Early December 2019 was given as the earliest date of completion.		
FEMA	OIG-18-38	Unsupported Payments Made to Policyholders Who Participated in the Hurricane Sandy Claims Review Process	01/24/2018	2	5/31/2019
The Deputy Associate Administrator for the Federal Insurance and Mitigation re-evaluate existing controls, such as those in the Financial Control Plan, to identify and implement improvements, enabling confidence in the National Flood Insurance Program claims process			The OIG team is reviewing FIMA's request for closure and substantiation documentation. Early December 2019 was given as the earliest date of completion.		
FEMA	OIG-18-38	Unsupported Payments Made to Policyholders Who Participated in the Hurricane Sandy Claims Review Process	01/24/2018	3	5/31/2019
The Deputy Associate Administrator for the Federal Insurance and Mitigation Administration review all contracts that have executed the "flood disaster response" clause within their services contract to ensure that FEMA explicitly defines contractor requirements such as the scope of work, deliverables, and deadlines			The OIG team is reviewing FIMA's request for closure and substantiation documentation. Early December 2019 was given as the earliest date of completion.		
FEMA	OIG-18-38	Unsupported Payments Made to Policyholders Who Participated in the Hurricane Sandy Claims Review Process	01/24/2018	4	5/31/2019
The Deputy Associate Administrator for the Federal Insurance and Mitigation Administration review all contracts that have executed			The OIG team is reviewing FIMA's request for closure and substantiation documentation. Early December 2019 was given as the earliest date of completion.		

Component	Report Number	Report Title	Report Received Date	Rec #	Estimated Completion Date (or Date Closed)
Recommendation			Narrative of Implementation Status		
the "flood disaster response" clause within their services contract to ensure compliance with contract requirement					
FEMA	OIG-18-38	Unsupported Payments Made to Policyholders Who Participated in the Hurricane Sandy Claims Review Process	01/24/2018	5	5/31/2019
The Deputy Associate Administrator for the Federal Insurance and Mitigation Administration establish clear guidance for the review and adjustment of all flood claims. This guidance should be periodically updated and made available to the National Flood Insurance Program insurance providers and their policyholders			The OIG team is reviewing FIMA's request for closure and substantiation documentation. Early December 2019 was given as the earliest date of completion.		
FEMA	OIG-18-38	Unsupported Payments Made to Policyholders Who Participated in the Hurricane Sandy Claims Review Process	01/24/2018	6	5/31/2019
The Deputy Associate Administrator for the Federal Insurance and Mitigation Administration evaluate and implement methods to better inform policyholders of their flood insurance coverage under the Standard Flood Insurance Policy			The OIG team is reviewing FIMA's request for closure and substantiation documentation. Early December 2019 was given as the earliest date of completion.		
FEMA	OIG-18-38	Unsupported Payments Made to Policyholders Who Participated in the Hurricane Sandy Claims Review Process	01/24/2018	7	5/31/2019
The Deputy Associate Administrator for the Federal Insurance and Mitigation Administration develop and distribute clearer guidance to the policyholders as to what types of documentation are required for supplemental claims			The OIG team is reviewing FIMA's request for closure and substantiation documentation. Early December 2019 was given as the earliest date of completion.		

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Recommendation			Narrative of Implementation Status		
FEMA	OIG-18-62	Victor Valley Wastewater Reclamation Authority, California, Provided FEMA Incorrect Information for Its \$33 Million Project	04/26/2018	1	10/31/2019
<p>The Regional Administrator, FEMA Region IX, disallow the \$33,124,002 (Federal share \$24,843,002) in grant funds awarded to the Authority for Project 828; or \$1,410,433 (Federal share \$1,057,825) if FEMA disallows \$31,713,569 of ineligible costs we questioned in our previous report (OIG-17-25-D; January 2017; Recommendation 1).</p>			<p>Since June 2018, the OIG has had an open investigation related to this audit, the results of which would impact the completion of the CAP. In October 2018, FEMA Region 9 requested the ECD for open recommendations related to this audit be set for 30 days from the closeout of the OIG investigation. On 11/13/2019, FEMA Region 9 received an email from the OIG requesting the Region complete the CAP and provide an update. Regional Counsel and Recovery Division leadership are currently working with the OIG to clarify the request the week of 11/18/2019 and identify next steps.</p>		
FEMA	OIG-18-62	Victor Valley Wastewater Reclamation Authority, California, Provided FEMA Incorrect Information for Its \$33 Million Project	04/26/2018	2	10/31/2019
<p>The Regional Administrator, FEMA Region IX, not obligate the \$6,036,462 (Federal Share \$4,527,347) in additional funds Authority officials requested for project cost overruns.</p>			<p>Since June 2018, the OIG has had an open investigation related to this audit, the results of which would impact the completion of the CAP. In October 2018, FEMA Region 9 requested the ECD for open recommendations related to this audit be set for 30 days from the closeout of the OIG investigation. On 11/13/2019, FEMA Region 9 received an email from the OIG requesting the Region complete the CAP and provide an update. Regional Counsel and Recovery Division leadership are currently working with the OIG to clarify the request the week of 11/18/2019 and identify next steps.</p>		

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Recommendation			Narrative of Implementation Status		
FEMA	OIG-18-62	Victor Valley Wastewater Reclamation Authority, California, Provided FEMA Incorrect Information for Its \$33 Million Project	04/26/2018	4	10/31/2019
The Regional Administrator, FEMA IX, review the additional \$8.2 million in FEMA-awarded funding for the five projects outside of our audit scope for any ineligible costs; notify the OIG of the results; and timely disallow ineligible costs.			Since June 2018, the OIG has had an open investigation related to this audit, the results of which would impact the completion of the CAP. In October 2018, FEMA Region 9 requested the ECD for open recommendations related to this audit be set for 30 days from the closeout of the OIG investigation. On 11/13/2019, FEMA Region 9 received an email from the OIG requesting the Region complete the CAP and provide an update. Regional Counsel and Recovery Division leadership are currently working with the OIG to clarify the request the week of 11/18/2019 and identify next steps.		
FEMA	OIG-18-63	FEMA Should Recover \$20.4 Million in Grant Funds Awarded to Diamondhead Water and Sewer District, Mississippi	05/04/2018	3	12/31/2019
We recommend the Regional Administrator, Federal Emergency Management Agency Region IV, Disallow \$18,896,508 of ineligible replacement costs (finding B)			On 10/21/2019, requested additional information from the OIG regarding Hancock County reference in its formal adoption and enforcement of the Base Flood Elevation code prior to the disaster. In addition, FEMA is continuing to review the implications of the Civilian Board of Contract Appeals settlement agreement as it pertains to FEMA's authority to de-obligate funding if any errors are found. FEMA is reviewing the info they have in order to complete its review prior to 12/31/2019.		
FEMA	OIG-18-63	FEMA Should Recover \$20.4 Million in Grant Funds Awarded to	05/04/2018	4	12/31/2019

Component	Report Number	Report Title	Report Received Date	Rec #	Estimated Completion Date (or Date Closed)
Recommendation			Narrative of Implementation Status		
		Diamondhead Water and Sewer District, Mississippi			
We recommend the Regional Administrator, Federal Emergency Management Agency Region IV, disallow \$990.179 of ineligible contract costs that the District did not procure in accordance with Federal requirements, unless Federal Emergency Management Agency decides to grant an exception for all of part of the costs as 44 CFR 13.6(c) allows and determines that the costs are reasonable (finding C).			FEMA is continuing to review the contract and procurement documents provided by the District as well as the documents on file with FEMA. FEMA is reviewing the additional information in order to complete review prior to 12/31/2019.		
FEMA	OIG-18-63	FEMA Should Recover \$20.4 Million in Grant Funds Awarded to Diamondhead Water and Sewer District, Mississippi	05/04/2018	5	12/31/2019
We recommend the Regional Administrator, Federal Emergency Management Agency Region IV, disallow \$332,138 as unsupported contract costs unless the District provides additional documentation that Federal Emergency Management Agency determines is sufficient to support the costs (finding D).			FEMA reviewed the documentation on file as well as additional documents that were received from the District. The project was written for approximately \$36 million based on estimates as a capped improved project—and not based on actual incurred costs when the PW was written and awarded in 2010. The contract invoices that are referenced in the OIG audit were not incurred until 2015. Therefore, FEMA will review actual documented costs when the state submits the final inspection reconciliation for eligible costs incurred that do not exceed the cap. FEMA requested for closure sent on 10/21/2019, and is awaiting OIG response.		
FEMA	OIG-18-63	FEMA Should Recover \$20.4 Million in Grant Funds Awarded to Diamondhead Water and Sewer District, Mississippi	05/04/2018	6	12/31/2019

Component	Report Number	Report Title	Report Received Date	Rec #	Estimated Completion Date (or Date Closed)
Recommendation			Narrative of Implementation Status		
We recommend the Regional Administrator, Federal Emergency Management Agency Region IV, disallow \$172,861 as ineligible duplicate benefits that insurance provided and review the District's insurance policies to ensure Federal Emergency Management Agency has applied all proceeds to reduce applicable projects (finding E).			On 10/21/19, FEMA updated the OIG that FEMA and the District agree that an additional reduction in the amount of \$31,649.63 should be de-obligated from project 8067 for actual insurance proceeds received. The OIG identifies an additional reduction of \$35,411 which represents uncaptured depreciation hold-back funds. The District states that it was not aware of its ability to seek these funds and is prepared to file additional claims in an effort to obtain all proceeds potentially due. FEMA and the state are in agreement about de-obligating \$54,739 from project 6226 for anticipated insurance proceeds that should have been received; however, Section 705(a) of the Stafford Act, as amended by Sec 1216(c) of the Disaster Recovery Reform Act of 2018 (DRRA), bars FEMA from de-obligating funding more than three years after the final inspection has been submitted by the state. The final inspection for project 6226 was originally submitted on 7/5/2011, and the final inspection for project 8067 was originally submitted on 10/30/2015. Therefore, FEMA requested the OIG consider this recommendation resolved and closed.		
FEMA	OIG-18-71	SPECIAL REVIEW: FEMA Paid Employees Over the Annual Premium Pay Cap	07/31/2018	1	6/30/2019
Finalize OCCHCO's analysis of annual premium pay cap exceedances and potential underpayments after addressing outstanding issue including the correct time period for earnings, FLSA status, earnings from other agencies, and determination of years to analyze.			FEMA's OCCHCO is working to schedule a meeting with OIG to discuss closing the open recommendations based on work done to-date by OCCHCO (leaving aside the issue of processing years of possible over-payments or under-payments).		

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FEMA	OIG-18-71	SPECIAL REVIEW: FEMA Paid Employees Over the Annual Premium Pay Cap	07/31/2018	2	5/31/2019
Adhere to the responsibilities defined in FEMA's Premium Pay Policy and/or update the policy as needed to enact workable steps to enforce the annual premium pay cap.			FEMA's OCCHCO will meet with OIG to discuss closing the open recommendations based on work done to-date by OCCHCO (leaving aside the issue of processing years of possible over-payments or under-payments). FEMA's Office of Policy and Program Analysis will help OCCHCO expedite clearing the Guide now being finalized through the 112-12.		
FEMA	OIG-18-71	SPECIAL REVIEW: FEMA Paid Employees Over the Annual Premium Pay Cap	07/31/2018	3	6/30/2019
Establish processes to evaluate the FLSA status of FEMA employees during prior deployments and to track employees' work during future disasters in order to make FLSA determinations based on that work.			FEMA determined that FEMA would not extend the lapsed Completion Dates for the audit's three recommendations. Rather, FEMA will let OIG know when they are ready to meet with OIG to discuss closing Recommendations 1 and 3 based on work done to-date by OCCHCO (leaving aside the issue of processing years of possible over-payments or under-payments). With respect to Recommendation 2, FEMA is working on clearing the Guide now being finalized through the 112-12.		
FEMA	OIG-18-85	Management Alert - Observations of FEMA's Debris Monitoring Efforts for Hurricane Irma	09/27/2018	1	6/1/2020
Develop and implement clear and unambiguous rules, guidance, and procedures for debris removal operations, debris operations oversight, and contractor oversight, including contractor monitoring. This guidance may include but should not be limited			FEMA continues to work with Recipients and applicants to provide guidance and support with regard to the procurement of debris contracts and monitoring of debris removal operations. FEMA PDAT continues to provide guidance and outreach activities to		

Component	Report Number	Report Title	Report Received Date	Rec #	Estimated Completion Date (or Date Closed)
Recommendation			Narrative of Implementation Status		
		to, checklists, job aids, eligibility requirements, contract requirements, and debris management planning.	inform and support stakeholders in matters related to compliance with the federal procurement rules and improve contracting practices to make more effective and efficient use of federal funds. FEMA is currently drafting additional updated debris monitoring guidance to help ensure applicants can properly implement and manage debris monitoring activities. FEMA requests an extension of the estimated completion date to complete the guidance document and socialize it with the regions and field offices.		
FEMA	OIG-18-85	Management Alert - Observations of FEMA's Debris Monitoring Efforts for Hurricane Irma	09/27/2018	2	6/1/2020
		Develop a documented risk-based approach that Federal Coordinating Officers can use when determining appropriate cost-effective field presence required for debris oversight.	FEMA continues to work on updating debris monitoring guidance which Federal Coordinating Officers (FCO) can use to determine appropriate cost-effective field presence for debris oversight. FEMA requests an extension of the estimated completion date to complete the guidance document and socialize it with the regions and field offices.		
FEMA	OIG-18-85	Management Alert - Observations of FEMA's Debris Monitoring Efforts for Hurricane Irma	09/27/2018	3	6/1/2020
		Require applicant to identify a quality control method for verifying debris amounts collected and claimed for reimbursement. For example, verification methods may include, but are not limited to, digital photographs of each load to validate load tickets, digital photograph of trucks to verify truck certifications, and measurements of debris piles and mulch piles for comparison and verification against the photographs.	FEMA is currently drafting additional updated debris monitoring guidance, which will include content requiring applicants to identify a quality control method for verifying debris amounts collected and claimed for reimbursement. FEMA requested an extension of the estimated completion date to complete the guidance document and socialize it with the regions and field offices.		

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I&A	OIG-17-49	Review of Domestic Sharing of Counterterrorism Information	03/30/2017	4	3/31/2020
Formalize agreements that enable I&A field officials to develop intelligence reporting with DHS components in the field, based on pilot program results.			The Follow-up Corrective Action Plan Update Letter to the OIG is in process. DHS has a draft version of Instruction 264-01-006, DHS Intelligence Information Report Program in process. This instruction codifies standard reporting and release procedures across the Department. The instruction also codifies reporting coordination with other DHS Components, as well as with other law enforcement and non-law enforcement federal agencies.		
I&A	OIG-17-49	Review of Domestic Sharing of Counterterrorism Information	03/30/2017	5	9/30/2021
Develop and implement guidance for intelligence reporting in the field.			The Follow-up Corrective Action Update Letter to the OIG is in process. The Intelligence, Surveillance, and Reconnaissance Working Group is currently drafting policy instructions on procedures for requesting national level Geospatial Intelligence and Signals Intelligence collection support from the DHS Intelligence Enterprise (DHS IE) to the Intelligence Community. These national level policies and processes, along with DHS Instruction 264-01-006 DHS Intelligence Information Report Program, will be used to formulate a baseline for standardized Intelligence, Surveillance, and Reconnaissance training and procedure implementation by the ECD.		
I&A	OIG-17-49	Review of Domestic Sharing of Counterterrorism Information	03/30/2017	6	11/1/2018
Coordinate with the FBI to formalize guidance and policies for the reporting of terrorism and counterterrorism information.			DHS I&A requested closure of this recommendation with a 11/1/2018 CAP update. In I&A's 11/2018 update, I&A requested closure of this recommendation since the I&A Field Operations Division provided an updates and documentation showing guidance and procedures followed in the field, and shared with the Federal		

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Recommendation			Narrative of Implementation Status		
			Bureau of Investigation, regarding coordination efforts to de-conflict and prevent production and reporting issues. I&A awaits OIG's Compliance Memorandum.		
I&A	OIG-17-49	Review of Domestic Sharing of Counterterrorism Information	03/30/2017	7	6/30/2020
Develop and implement a formal mechanism for reviewing I&A intelligence reporting from the field, including a logging and tracking process.			I&A has completed the Certified Release Authority (CRA) process for the pre-publication review of raw intelligence. DHS Office for Civil Rights and Civil Liberties (CRCL) and DHS Privacy Office (PRIV) no longer conduct pre-publication reviews of raw intelligence from the Field. Although, they are available to and can be reviewed if asked by I&A. Regarding pre-publication reviews of I&A finished intelligence, while I&A personnel complete the CRA training process, CRCL and PRIV continue to conduct pre-publication reviews of finished intelligence reporting from the field. I&A anticipates completing the finished intelligence CRA training and evaluation process by 6/30/2020. Regarding internal accounting of the pre-publication reviews, as required by the OIG recommendation, I&A has implemented a formal mechanism for logging and tracking Office of General Counsel-Intelligence Legal Division (OGC-ILD) and I&A Intelligence Oversight (IO) review process of I&A intelligence reporting. The tracking tool screen snapshot that was previously provided to the OIG responds to the recommendation for a logging and tracking mechanism. I&A uses the tracking tool to log every pre-production review conducted, including reviews by the four DHS Clearing Offices, OGC-ILD, IO, CRCL, and PRIV.		
I&A	OIG-17-49	Review of Domestic Sharing of Counterterrorism Information	03/30/2017	8	3/31/2020

Component	Report Number	Report Title	Report Received Date	Rec #	Estimated Completion Date (or Date Closed)
Recommendation			Narrative of Implementation Status		
Develop and implement guidance for field officials granting them local release authority for intelligence reporting.			The Follow-up Corrective Action Plan Update Letter to the OIG is in process. DHS has a draft version of Instruction 264-01-006, DHS Intelligence Information Report Program in process. As previously noted, this instruction codifies standard reporting and release procedures across the Department. The instruction also codifies reporting coordination with other DHS Components, as well as with other law enforcement and non-law enforcement federal agencies.		
I&A	OIG-17-49	Review of Domestic Sharing of Counterterrorism Information	03/30/2017	9	11/1/2018
Develop and implement a plan that will allow DHS intelligence officials in the field practical access to classified systems and infrastructure above the Secret level.			DHS I&A requested closure of this recommendation with the 11/1/2018 CAP update. In I&A's 11/2018 update, I&A requested closure of recommendation number 9, since in this case, the I&A Security Management Branch provided updated actions and evidence of the deployment through the Homeland Security Information Network of DHS' Secure Facilities Interactive Map showing availability of Sensitive Compartmented Information Facilities to all 12 I&A Regional Directors, I&A Field Operations and DHS Intelligence Enterprise officials in the field. I&A awaits the OIG Compliance Memorandum.		
ICE	OIG-13-80	U.S. Immigration and Custom Enforcement's Enforcement and Removal Operations' Contract Funding and Payment Processes	04/24/2013	1	12/31/2019
Develop a plan in conjunction with the Office of Acquisition to ensure that ICE contracting officials provide written notification to vendors indicating that funds are available before the performance start date of services for all contracts with the SAF clause.			ICE developed a Joint Guidance Memorandum that instructs Contracting Officers (CO) not to accept services or supplies subject to the Subject to Availability of Funds (SAF) clause until the CO has given the contractor written notification that funds are available. The Joint Guidance Memorandum is included in the ICE Budget		

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Recommendation			Narrative of Implementation Status		
			Execution Handbook. ICE established SAF review procedures to ensure that all contracts with the SAF clause are tracked and reviewed, and held training for Contracting Officer's Representatives that addressed use of SAF. ICE submitted requests for closure with supporting documentation in December 2018 and June 2019. OIG considers the recommendation open, and ICE is working to provide supporting documentation that will address the OIG's requests.		
ICE	OIG-13-80	U.S. Immigration and Custom Enforcement's Enforcement and Removal Operations' Contract Funding and Payment Processes	04/24/2013	3	12/31/2019
Ensure timely and sufficient obligation of funds within the financial system, in compliance with laws and regulations.			ICE continuously monitors all facets of obligation management to comply with financial management and appropriations law, as well as financial reporting requirements. We also adhere to the DHS Financial Management Policy Manual (FMPM) as it pertains to obligations. Further, ICE uses existing legal authority, such as the protection of human life and property (31 U.S.C. § 1342, Limitation on Voluntary Services), to continue detention services in the event of a short-term Continuing Resolution (CR) or lapse of appropriations in the federal government. CRs result in having to continuously fund detention contracts for short terms (30 days or less). Over the past two fiscal years, ICE used exception apportionments to ensure funds are available for timely obligation. Having diligently monitored the status of appropriations, the timing of apportionments, and the distribution of funds, ICE submitted requests for closure with supporting documentation in December 2018 and June 2019. OIG considers the recommendation		

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			open, and ICE is working to provide supporting documentation that will address the OIG's requests.		
ICE	OIG-15-112	Follow-up to Management Alert - U.S. Immigration and Customs Enforcement's Facility, San Pedro, California	07/09/2015	1	6/30/2020
<p>OIG recommends that the Executive Director, ICE Office of Asset and Facilities Management, develop a long-term plan for this facility prior to spending more funds on renovations beyond the current life safety repairs identified in the Management Alert. The plan should include, at a minimum: 1. An assessment of whether it would be more cost effective to demolish the facility and construct a new building; and 2. How ICE plans to use the second and third floors</p>			<p>ICE's Office of Asset and Facilities Management and Homeland Security Investigations assessed the facility, and ICE signed a memorandum of understanding (MOU) with the U.S. Coast Guard (USCG) for the use of the facility in June 2019. USCG - Los Angeles/Long Beach owns the installation where this facility is located, and the MOU allows USCG to occupy the first floor of the main building, and undertake any repairs, renovation, modifications, or changes necessary. In the longer term, the arrangement serves as a stepping stone to potentially transfer the property in accordance with General Service Administration regulations. ICE submitted a request for closure with supporting documentation in August 2019. OIG reviewed ICE's submission, and will consider the recommendation open until USCG decides its long-term plans for the building. The MOU ends in February 2020, by which time USCG will determine how the facility fits into its plans.</p>		
ICE	OIG-17-51	ICE Deportation Operations	04/13/2017	1	12/31/2020
<p>Comprehensively review, revise, update, and maintain ICE Enforcement and Removal Operations policies, procedures, and guidance to address gaps and outdated information.</p>			<p>The ICE Enforcement and Removal Operation (ERO) Policy Review Working Group (PRWG) conducted an iterative, comprehensive review of policies to address this recommendation, including assuring compliance with Executive Orders 13767 and 13768. The PRWG previously identified 110 documents and 12 Broadcast Messages as outdated or obsolete, which were rescinded by the Executive Associate Director (EAD). 116 additional</p>		

Component	Report Number	Report Title	Report Received Date	Rec #	Estimated Completion Date (or Date Closed)
Recommendation			Narrative of Implementation Status		
			documents have been placed on a quarterly revision calendar, with 68 currently being worked on, and 21 either in the final clearance process or completed. The EAD approved a revision to the ERO Broadcast Message Standard Operating Procedure on March 25, 2019, which will expire and archive broadcast messages after a 1-year period as a long-term solution in preventing policy gaps and circulation of outdated information.		
ICE	OIG-17-51	ICE Deportation Operations	04/13/2017	2	3/31/2020
Comprehensively review Deportation Officer functions at field offices to determine staffing allocations for non-detained units and identify appropriately sized caseloads for Deportation Officers working with non-detained aliens.			ICE ERO's Law Enforcement Systems and Analysis (LESA) Division completed a field data call to collect qualitative and quantitative time-allocation data for Deportation Officers working with non-detained aliens. Analysis is ongoing and will incorporate data sources in addition to the data call, and leverage collaboration with several DHS components via a Post-Winter Study Working Group. LESA laid the ground work for identifying gaps in operational efficiency through assessing the current state of operations for apprehension process flows and has submitted a Program Decision Option (PDO) for Custody Operations to organize a unit whose primary responsibility would be reducing the existing caseload within the Non-Detained Docket. This review effort could make Non-Detained Docket workload manageable by designating which cases are immediately actionable and which are better designated as Cold Cases for reasons outside of ICE's control.		
ICE	OIG-17-51	ICE Deportation Operations	04/13/2017	3	12/31/2019
Based on a completed comprehensive review, develop a plan to identify and implement appropriate staffing of Deportation Officers.			ICE ERO's LESA Division continues to update and mature its staffing models to best inform hiring plans. Preliminary findings from LESA's statistical model to predict criminal recidivism can be used to inform case prioritization for non-detained aliens in the		

Component	Report Number	Report Title	Report Received Date	Rec #	Estimated Completion Date (or Date Closed)
Recommendation			Narrative of Implementation Status		
			field. LESA is working with ICE's Office of the Principal Legal Advisor (OPLA) to ensure the model receives approval for appropriate and legally sufficient use at field offices.		
ICE	OIG-17-51	ICE Deportation Operations	04/13/2017	4	1/31/2020
Develop and standardized training curriculum for all current and future Deportation Officers, including recurrent refresher training courses for docket review and detained and non-detained case management.			ICE Enforcement and Removal Operations (ERO) developed a standardized training curriculum for future Deportation Officers that is provided through the Basic Immigration Enforcement Training Program (BIETP) to newly hired employees. ERO developed the Deportation Officer Training Program (DOTP) to replace the Case Management Training as the transition training program for new hires who have previously completed a basic law enforcement training program outside ERO. Requirements to complete BIETP and DOTP are documented in ICE Policy 11158, "Completion of Mandatory Training," which was issued in July 2019. For follow-on and refresher training, the ERO Training Division (EROTD) is currently designing a nationally standardized OJT Program, which, when implemented, will address the practical tasks within the duties of a Deportation Officer. EROTD worked with the ICE Office of Human Capital to identify critical Deportation Officer job competencies and tasks, created a plan for design and development, and is moving forward with implementation.		
ICE	OIG-18-36	ICE Faces Challenges to Screen Aliens Who May Be Known or Suspected Terrorists	01/05/2018	1	10/10/2019
Assistant Director of Field Operations expand the Known or Suspected Terrorist Encounter Protocol (KSTEP) policy's scope to require periodic screening of aliens on the non-detained docket.			OIG officially closed this recommendation in the time since the universe of open recommendations aged more than one year on 9/30/2019 was identified.		

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Recommendation			Narrative of Implementation Status		
ICE	OIG-18-36	ICE Faces Challenges to Screen Aliens Who May Be Known or Suspected Terrorists	01/05/2018	2	4/30/2020
Assistant Director of ICE ERO Field Operations immediately correct the limitations and challenges identified with KSTEP by ensuring that ERO offices have the infrastructure necessary to communicate on known or suspected terrorists.			ICE is working on a plan to fully deploy systems and networks that ensure that Enforcement and Removal Operations (ERO) offices have the infrastructure necessary to communicate on known or suspected terrorists. Although ICE ERO's assessment indicated that access to classified networks, up to the Secret level, is available at all field offices, further upgrades may be required to facilitate access to intelligence and derogatory information accessible only in the Joint Worldwide Intelligence Communications Systems (JWICS) classified network.		
ICE	OIG-18-36	ICE Faces Challenges to Screen Aliens Who May Be Known or Suspected Terrorists	01/05/2018	3	1/31/2020
Assistant Director of ICE ERO Field Operations immediately correct the limitations and challenges identified by performing a resource assessment to determine how many additional officers they need and allocate resources that will ensure periodic Known or Suspected Terrorist Encounter Protocol screening of aliens on the non-detained docket.			ICE will be able to complete the resource assessment to determine the additional officers needed to ensure periodic screen of aliens on the non-detained docket once ICE ERO Law Enforcement Systems and Analysis and Custody Management divisions identify sub-groupings of the non-detained docket. The updated draft Known or Suspected Terrorist Encounter Protocol requires all ICE ERO Field Office Directors to ensure that the appropriate amount of personnel at the journeyman, supervisory, and management levels have access to classified networks and databases necessary for the management and decision-making processes for cases under this directive. Once the protocol is finalized, discussions among Field Office Directors regarding this requirement will determine any future resource needs necessary to ensure compliance with the protocol.		

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Recommendation			Narrative of Implementation Status		
ICE	OIG-18-36	ICE Faces Challenges to Screen Aliens Who May Be Known or Suspected Terrorists	01/05/2018	4	1/31/2020
Assistant Director of ICE ERO Field Operations strengthen internal controls as part of a comprehensive quality control program to achieve more effective Known or Suspected Terrorist Encounter Protocol oversight and implementation. This quality control program should include, among other elements - • Clear oversight responsibilities within ERO; • Performance measures and goals; and • Record keeping requirements.			ICE is strengthening its internal controls with an updated draft Known or Suspected Terrorist Encounter Protocol, which provides detailed roles and responsibilities regarding quality control efforts. The ICE ERO LESA Division will be responsible for developing and maintaining data management systems and conducting regular comprehensive quality control checks. The Combined Intelligence Unit will be responsible for providing programmatic oversight and guidance regarding the protocol. ERO Field Office Directors will be responsible for establishing internal controls within the field office to ensure oversight, compliance, supervision, and record keeping under the new protocol. Once the new protocol is finalized, ERO will determine appropriate record keeping requirements and performance measures and goals.		
ICE	OIG-18-67	"ICE's Inspections and Monitoring of Detention Facilities Do Not Lead to Sustained Compliance or Systemic Improvements."	06/27/2018	1	10/31/2019
Recommend the Assistant Director for ICE ERO Custody Management: Revise the inspection scope and methodology for annual and biennial contracted inspections to ensure that the inspection procedures are adequate to evaluate actual conditions at the facilities			ICE Enforcement and Removal Operations Custody Management re-evaluated the existing inspection scope and methodology in the statement of work for annual and biennial contracted inspections. ICE will announce a Request for Proposal (RFP) for its Detention Facilities Inspection Contract via FedBizOpps.gov. From the start date, the base period of performance will continue for eight months. The Government intends for the base eight months to include a one-month transition period, and seven months of full performance. The		

Component	Report Number	Report Title	Report Received Date	Rec #	Estimated Completion Date (or Date Closed)
Recommendation			Narrative of Implementation Status		
			base period may be followed by four twelve-month option periods, which may be exercised at the Government's discretion.		
ICE	OIG-18-67	"ICE's Inspections and Monitoring of Detention Facilities Do Not Lead to Sustained Compliance or Systemic Improvements."	06/27/2018	2	9/30/2019
The Assistant Director for ICE Enforcement and Removal Operations (ERO) Custody Management: 2. Reinstate a quality assurance program for contracted inspections of detention facilities to ensure the reported inspection results are thorough and accurate. Document all quality assurance conclusions.			ICE Enforcement and Removal Operations (ERO) Custody Management (CM) instated a quality assurance program for contracted inspections. The Assistant Director for CM hired additional journeyman level federal staff to conduct onsite quality assurance reviews; directed that Detention Standards Compliance Unit (DSCU) docket officers attend all exit-briefings with ICE's inspection contractor, the field office, and facility staff; and required monthly meetings with the inspections contractor to incorporate quality assurance. DSCU continues to attend all exit briefings. In July 2019, ICE hosted a workgroup with the inspection contractor and Quality Assurance Team (QAT) members in Washington, DC, to conduct quality assurance review refresher training and introduce the newest member of the QAT. The QAT is complete with four members, and completed its 10th quality assessment review in August 2019. ICE submitted a request for closure, including supporting documentation, on 9/19/2019.		
ICE	OIG-18-67	"ICE's Inspections and Monitoring of Detention Facilities Do Not Lead to Sustained Compliance or Systemic Improvements."	06/27/2018	4	12/31/2019
The Executive Associate Director for ICE ERO and the Assistant Director for ICE ERO Custody Management: 4. Update and			Within ICE ERO, Custody Management (CM) and Field Operations (FO) worked together to improve the corrective action process. ICE		

Component	Report Number	Report Title	Report Received Date	Rec #	Estimated Completion Date (or Date Closed)
Recommendation			Narrative of Implementation Status		
enhance current procedures to ensure verification of all corrective actions for identified deficiencies. Track all corrective actions by facility, responsible field office, and status of resolution.			no longer accepts Uniform Corrective Action Plans (UCAP) until the facility provides ICE with validating documentation to ensure compliance. UCAPs are now reviewed and signed by the relevant ERO Assistant Field Office Director to confirm corrective actions are appropriate. Copies of completed UCAPs are provided to Detention Service Managers, so they can validate their implementation; as well as to the Office of Detention Oversight in advance of its compliance inspections. CM is updating the Detention Management Control Program directive, including these compliance measures and ICE's corrective actions in response to recommendations 1, 2, and 5.		
ICE	OIG-18-67	"ICE's Inspections and Monitoring of Detention Facilities Do Not Lead to Sustained Compliance or Systemic Improvements."	06/27/2018	5	12/31/2019
The Executive Associate Director for ICE ERO and the Assistant Director for ICE ERO Custody Management: 5. Develop protocols for ERO field offices to require facilities to implement corrective actions resulting from Detention Service Managers' identification of noncompliance with detention standards			In June 2018, an ICE ERO headquarters working group began updating the Detention Management Control Program directive. The directive will include guidelines and requirements on how ERO field office staff will work with on-site Detention Service Managers to enhance and verify facility compliance to ICE detention standards. The working group will explore various options to enhance collaboration and support between field offices, facility staff, and on-site federal managers. In FY 2019, ERO CM provided field office compliance team training to 58 personnel, including Contracting Officer's Representatives, from 8 field offices. ERO CM plans to continue this training into FY 2020.		
ICE	OIG-18-76	Assaults on CBP and ICE Law Enforcement Officers	09/05/2018	2	10/31/2019

Component	Report Number	Report Title	Report Received Date	Rec #	Estimated Completion Date (or Date Closed)
Recommendation			Narrative of Implementation Status		
The Acting Director of ICE provide additional outreach and recurring familiarization training on official assault reporting systems.			The ICE Office of Firearms and Tactical Programs (OFTP) provides recurring training on assault reporting, as evidenced by the requirement for all armed LEOs to complete annual training on the Use of Force, Assaults and Discharges (UFAD) reporting system in the DHS Performance and Learning Management System (PALMS). Additionally, there is a “USE OF FORCE REPORTING” button on the OFTP website with instructions on how to report assaults and uses of force. These instructions correlate directly with ICE OFTP Information Notice 17-002, which provides guidance for assault and use of force reporting. To ensure all law enforcement officers complete required training, ICE added a UFAD module to the training program offered to new supervisors. The UFAD training module is now available in PALMS for agents and officers. ICE submitted supporting documentation and requested closure on 11/7/2019.		
ICE	OIG-18-76	Assaults on CBP and ICE Law Enforcement Officers	09/05/2018	4	10/31/2019
The Acting Director of ICE finalize the definition of reportable assaults to include attempted assaults, assaultive resistance, and assaults that result in minor of no injury.			In June 2018, the ICE Acting Director issued ICE Directive 17012.1, “Reporting and Investigation of Threats and Assaults Against ICE Employees,” which included a definition of assault. The definition of assault is broad and includes attempted assaults and assaults that result in minor or no injury, such as “assaultive resistance” as discussed in the draft report. In addition, the definition of threat includes, “Verbal or written statement, gesture, or action that causes an individual to reasonably believe that he or she will be harmed...” As employees are required to report any threat regardless of the intent, the directive covers assaultive resistance, when there may be no intent to harm. ICE submitted a request for closure to the OIG on 11/7/2019.		

Component	Report Number	Report Title	Report Received Date	Rec #	Estimated Completion Date (or Date Closed)
Recommendation			Narrative of Implementation Status		
ICE	OIG-18-76	Assaults on CBP and ICE Law Enforcement Officers	09/05/2018	8	12/31/2019
The Acting Director of ICE mandate that law enforcement officers complete refresher training quarterly, including training on individual threat assessments (to include pre-assault recognition), assault mitigation techniques, defensive tactics training, and scenario-based training exercises.			The new Firearms and the Use of Force Directive and Firearms and Use of Force Handbook took effect on November 8, 2019. The Acting Director notified all ICE employees of the new Directive and Handbook in an e-mail dated November 12, 2019. The Directive requires the provision of instruction on defensive tactics and intermediate force weapons through a variety of techniques, including scenario-based training and classroom and training room exercises. The Handbook expands the number of hours of training for officers and agents in the field to 8 hours for core requirements and 8 hours for enhanced requirements each quarter. ICE submitted a request for closure to the OIG on 11/25/2019.		
ICE	OIG-18-77	Lack of Planning Hinders Effective Oversight and Management of ICE's Expanding 287 (g) Program	09/19/2018	1	9/30/2019
Develop and execute a staffing plan to identify the resources necessary to support the expansion of the 287 (g) program.			ICE has developed and executed a staffing model strategy to support the expansion of the 287(g) Program. ICE 287(g) Program developed new staffing model strategy that considers spans of control, office proximity, potential workloads, and productivity; and also required position description amendments. In August 2019, the Criminal Alien Division (CAD) completed its revision of Addendum 3 of the Detention and Deportation Officer position description, which references the duties and responsibilities of the 287(g) Field Program Manager (FPM). Additionally, in July 2019, the Executive Associate Director for ICE Enforcement and Removal Operations (ERO) issued a re-delegation order that outlines the signatory authorities for the FPMs, providing much-needed		

Component	Report Number	Report Title	Report Received Date	Rec #	Estimated Completion Date (or Date Closed)
Recommendation			Narrative of Implementation Status		
			clarification for FPMs regarding their role in issuing certain immigration enforcement documents. The CAD also revised the Performance Work Plan elements specific to the FPMs, directly addressing the oversight concerns outlined by OIG regarding training, site visits, data quality, leadership meetings, inspection review, compliance, corrective action, and supervision of all delegated immigration enforcement functions. On 10/16/2019, ICE submitted this information and supporting documentation to the OIG as part of a request for closure.		
ICE	OIG-18-77	Lack of Planning Hinders Effective Oversight and Management of ICE's Expanding 287 (g) Program	09/19/2018	2	9/30/2019
Develop a reporting structure for the 287 (g) program that clearly defines the reporting structure for field program managers.			ICE 287(g) Program Unit completed improvements to ERO Policy Number 11152.01, "Field Oversight of the 287(g) Program" to more clearly define the reporting structure for FPMs. The ICE 287(g) Program Unit amended the FPM position description and provided a revised Performance Work Plan to the field offices. Additionally, the CAD revised Addendum 3 of the Detention and Deportation Officer position description, placing the FPM under the authority of the field office and stating that the FPM is responsible for immigration enforcement oversight functions including document issuance and review, and 287(g) Program compliance with law and policy. This change streamlines the 287(g) programmatic oversight by facilitating the direct communication between the 287(g) unit at Headquarters and the field offices. On 10/16/2019, ICE submitted this information and supporting documentation to the OIG as part of a request for closure.		

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Recommendation			Narrative of Implementation Status		
ICE	OIG-18-77	Lack of Planning Hinders Effective Oversight and Management of ICE's Expanding 287 (g) Program	09/19/2018	3	7/31/2019
Develop an IT Installation and infrastructure plan in coordination with the Office of the Chief Information Officer to identify efficiencies to reduce the installation timeline.			The 287(g) Program Management Office (PMO) and the Office of the Chief Information Officer (OCIO) Program Manager (PM) reviewed the IT installation and infrastructure processes, and leveraged efficiencies to ensure equipment is deployed in the most expeditious manner. A modification in the Headquarters coordination management responsibility and OCIO PM have reduced the deployment timeline. The PMO and OCIO PM have taken a more active oversight role in the deployment, including travel to the sites where IT equipment is deployed and direct communication with external stakeholders involved in the process. Additional changes included realigning the OCIO PM to physically sit within the PMO, allowing direct communication with the field IT management and staff to ensure all issues are identified and resolved quickly. In FY 2019, as a result of this increased oversight, five of six sites deployed in less than 180-days. Not all tasks necessary to deploy IT equipment are managed by ICE staff, which prohibits the program from guaranteeing a site is operational within 6-months. However, due to the effective oversight and realignment, the program has experienced success ensuring IT equipment is available in a timely manner. On 10/16/2019, ICE submitted this information and supporting documentation to the OIG as part of a request for closure.		
MGMT-CFO	OIG-15-80	DHS Should Do More to Reduce Travel Reservation Costs	04/24/2015	5	10/31/2020

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Recommendation			Narrative of Implementation Status		
Require components that have not implemented ETS to submit an exception request and annual business case reviews to GSA in compliance with the CFR.			USCG awarded their ETS2 task order on 09/30/2019 and held their kickoff on 10/09/2019. Their target go-live date is October 2020. The USSS has also resolved the exception requests and will no longer request a waiver from GSA. Based on the input above, DHS Financial Management requested closure from the OIG on 10/22/2019.		
MGMT-CFO	OIG-15-94	Department of Homeland Security's FY 2014 Compliance with the Improper Payments Elimination and Recovery Act of 2010	05/13/2015	4	9/30/2021
We recommend that the Chief Financial Officer, Department of Homeland Security ensure that the Risk Management and Assurance division follows Office of Management and Budget's (OMB) requirements for agencies not compliant with IPERA as stated in Appendix C of OMB Circular No. A-123.			In accordance with the OMB Circular A-123, Appendix C guidance and defined processes, OMB granted the Department's request for relief from the reporting for the DHS program that was reported as non-compliant in FY 2018. For the five DHS programs tested and reported in FY 2019, all applicable and published reduction targets were met. Per prior OIG remarks, this will not be considered closed until the OIG completes the FY 2019 IPERA audit and report (5/15/2020).		
MGMT-CFO	OIG-16-88	Department of Homeland Security's FY 2015 Compliance with the Improper Payments Elimination and Recovery Act of 2010	05/11/2016	1	7/31/2019
We recommend that the Chief Financial Officer, Department of Homeland Security ensure that the Risk Management and Assurance Division strengthens its oversight to ensure proper documentation of its review of the components' risk assessments.			In FY 2019, to drive efficiency and compliance with the DHS Improper Payments Elimination and Recovery Act (IPERA) guidance, Risk Management and Assurance (RM&A) has implemented and rolled out updated IPERA assessment templates. The changes to the Component templates provides additional proactive verification and validation review capabilities earlier in		

Component	Report Number	Report Title	Report Received Date	Rec #	Estimated Completion Date (or Date Closed)
Recommendation			Narrative of Implementation Status		
			the review process, thus further reducing the burden on manual review processes and assisting in ensuring consistent documentation and review processes going forward. Per prior OIG remarks, this will not be considered closed until the OIG completes the FY 2019 IPERA audit and report, estimated to be completed 5/15/2020.		
MGMT-CFO	OIG-17-09	DHS Drug Interdiction Efforts Need Improvement	11/08/2016	2	3/30/2020
Develop and implement a plan to ensure components develop outcome-based performance measures that adequately assess the success of drug interdiction efforts.			DHS is working with the Office of National Drug Control Policy (ONDCP) for development of a drug use reduction framework that will have outcome-based performance measures. DHS recommends engaging with ONDCP to learn more about their strategic results framework.		
MGMT-CFO	OIG-17-59	Department of Homeland Security's FY 2016 Compliance with the Improper Payments Elimination and Recovery Act of 2010 and Executive Order 13520, Reducing Improper Payments	05/12/2017	4	11/30/2018
The DHS CFO ensure that the Risk Management and Assurance Division is properly following existing DHS IPERA Guidance.			In order to drive efficiency and compliance with the DHS Improper Payments Elimination and Recovery Act (IPERA) guidance, DHS's Risk Management and Assurance (RM&A) has implemented and rolled out updated IPERA assessment templates. With this redesign, Component teams complete the majority of the value inputs in a structured template that has enhanced validation and verification controls and checks already incorporated. With the new structure and tool capabilities, Component teams get more real-time verification and validation feedback to assist in resolution prior to submission to DHS RM&A. Final Component packages will still undergo the DHS RM&A checklist review to ensure that all		

Component	Report Number	Report Title	Report Received Date	Rec #	Estimated Completion Date (or Date Closed)
Recommendation			Narrative of Implementation Status		
			required elements and considerations are adequately documented and included. The addition of the new automated verifications as well as the continuation of manual review by DHS RM&A strengthens the oversight and compliance with Departmental IPERA guidance. Per prior OIG remarks, this will not be considered closed until the OIG completes the FY 2019 IPERA audit and report, estimated to be completed 5/15/2020.		
MGMT-CFO	OIG-18-57	Fiscal Year 2016 Audit of the DHS Bankcard Program Indicates Moderate Risk Remains	03/06/2018	2	12/30/2019
We recommend that the Assistant Director for Bankcard and Review, DHS Office of the Chief Financial Officer, allow Coast Guard to update its version of the Purchase Card Transaction Worksheet and accompanying instructions to be more intuitive for the cardholder.			USCG finalized and approved updates to its version of the Purchase Card Transaction Worksheet and accompanying instructions. These updates make the worksheet and instructions more intuitive and user-friendly for the cardholder. However, USCG experienced delays in the release of the new form due to their forms process, which requires revised forms undergo a policy and 508 compliancy review. The DHS Office of the Chief Financial Officer Bankcard and Review Branch is also in the process of revising policy guidance, forms, and instructions to address the recent changes resulting from the Departments transition to a new bankcard provider and to comply with recent changes in law.		
MGMT-CFO	OIG-18-65	Special Report - Certain Findings Relating to the OIG's Investigation of Allegations Involving FLETC Senior Officials	05/22/2018	4	12/31/2019
All travel expenses incurred by all DHS Component Heads in excess of GSA rates be submitted for review to the DHS Under Secretary for Management (USM) on a quarterly basis. The travel			The DHS Office of the Chief Financial Officer (OCFO) conducts quarterly reviews of Component head travel and submits the report to the Office of the Under Secretary for Management. DHS OCFO		

Component	Report Number	Report Title	Report Received Date	Rec #	Estimated Completion Date (or Date Closed)
Recommendation			Narrative of Implementation Status		
expense data should be accompanied by any justifications provided in support of costs exceeding GSA rates. The USM should disallow any excess costs that are not properly justified.			is currently finalizing the FY 2019 Quarter 4 report and will request closure of the recommendation once they have submitted the report. DHS OCFO believes it is important to show a full FY to fully document the quarterly review.		
MGMT-CFO	OIG-18-72	Department of Homeland Security's FY 2017 Compliance With The Improper Payments Elimination and Recovery Act of 2010	08/09/2018	4	11/30/2018
The Chief Financial Officer, Department of Homeland Security, ensure that the Risk Management and Assurance Division strengthens its enforcement of the requirements of the DHS Improper Reduction Guidebook. (New Recommendation in FY 2017)			In order to drive Component accountability and compliance with the DHS Improper Payments Elimination and Recovery Act (IPERA) guidance, DHS's Risk Management and Assurance Division (RM&A) Division refined the criteria used for the Financial Management Health Assessment scores for IPERA to improve measurements regarding the quality and timeliness of submissions and, if applicable, responses from the Component. In FY 2019, RM&A enhanced and automated the Component templates' verification and validation review capability and enforce DHS Improper Payment Reduction Guidebook requirements. RM&A continues to enforce accountability through the scoring of Financial Management Health Assessment metrics and the newly automated verification and validation enhancements added to the templates allow for additional enforcement of quality data and information as well the consistent application of Departmental IPERA guidance. Per prior OIG remarks, this will not be considered closed until the OIG completes the FY 2019 IPERA audit and report, estimated to be completed 5/15/2020.		

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MGMT-CFO	OIG-18-72	Department of Homeland Security's FY 2017 Compliance With The Improper Payments Elimination and Recovery Act of 2010	08/09/2018	6	5/24/2018
The Chief Financial Officer, Department of Homeland Security, ensure that Risk Management and Assurance Division has adequate personnel to ensure the Department's compliance with IPERA requirements. (New Recommendation in FY 2017)			In FY 2018, the DHS Risk Management and Assurance Division (RM&A) Division underwent a reorganization to realign oversight of the Improper Payments Elimination and Recovery Act (IPERA) effort. In FY 2019, RM&A has incorporated additional contractor support into the IPERA process to enhance knowledge transfer and provide surge capabilities when needed. In order to drive efficiency and compliance with the DHS IPERA guidance, RM&A has implemented and rolled out the updated IPERA assessment templates to provide verification and validation review capabilities earlier in the review process, thus reducing manual review burden and assisting to ensure consistent documentation. DHS RM&A continues to monitor staffing needs for oversight reviews and will engage contractor assistance and surge as needed. Per prior OIG remarks, this will not be considered closed until the OIG completes the FY 2019 IPERA audit and report, estimated to be completed 5/15/2020.		
MGMT-CHCO	OIG-18-81	DHS Support Components Do Not Have Sufficient Processes and Procedures to Address Misconduct	09/27/2018	1	3/11/2020
The Under Secretary for Management assign responsibility for the management and oversight of all misconduct allegations across support components and evaluate the best method to ensure that items a through g are completed: a. Establish and implement a centralized oversight process for misconduct allegations;			The Executive Director for Human Resources Management and Services is responsible. Last interaction with OIG was on 9/29/2019. OIG has requested documentation that the working group, its allegation lifecycle process, and the Employee Relations Case Management Tracking System are established and operational, and		

Component	Report Number	Report Title	Report Received Date	Rec #	Estimated Completion Date (or Date Closed)
Recommendation			Narrative of Implementation Status		
b. Determine which support components identify or receive misconduct allegations; c. Provide written guidance and training on the handling of misconduct allegations; d. Develop a formal mechanism to communicate and collaborate regularly about misconduct allegations; e. Establish a comprehensive system of record or database to manage and track allegations of misconduct; f. Develop and implement a misconduct investigative process, including implementing and issuing written guidance on how to conduct misconduct allegation investigations; and g. Develop and implement procedures for receiving and reefing allegations to OIG.			documentation that training on the use of the new case management system has been provided to all users. The recommendation is on track for closure.		
MGMT-CHCO	OIG-18-81	DHS Support Components Do Not Have Sufficient Processes and Procedures to Address Misconduct	09/27/2018	6	11/29/2019
The Chief Human Capital Officer direct Human Resources Management and Services Employee Relations to develop control measures to ensure accountability and preserve the integrity of all prior, current, and future disciplinary and adverse action case files.			The Executive Director for Human Resources Management and Services is responsible. Last interaction with OIG was on 9/27/2019. OIG has requested documentation of the process for checking case files and the quarterly self-assessment review process. The recommendation is on track for closure.		
MGMT-CIO	OIG-17-101	Improvements Needed to Promote DHS Progress toward Accomplishing Enterprise-wide Data Goals	08/14/2017	1	4/30/2020
The Under Secretary for Intelligence and Analysis should ensure the Information Sharing and Safeguarding Governance Board (ISSGB) completes development of its implementation plan for each of the 19 remaining strategic objectives of the Enterprise Data Strategy, including assigned offices and timelines, by the end of FY 2017 as projected.			The Office of the Chief Technology Officer is in the process of establishing the Office of the Chief Data Officer. As this new Office is able to emplace resources, the strategy to address this recommendation will be developed.		

Component	Report Number	Report Title	Report Received Date	Rec #	Estimated Completion Date (or Date Closed)
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MGMT-CIO	OIG-17-56	DHS Tracking of Visa Overstays is Hindered by Insufficient Technology	05/01/2017	1	11/30/2019
DHS CIO continue to work with components to further eliminate duplication, improve information sharing, and properly align system access, especially for system modernization efforts, across DHS according to visa tracking mission requirements.			The Office of the Chief Technology Officer (OCTO) is coordinating Component-specific tasks; ICE has closed its actions and OCTO has formally requested updates on identified systems across ICE, CBP, and USCIS. Information requested for IT systems tracking visas relates to both modernization and interoperability efforts. OCTO plans to provide a final update to this OIG request in the 1st quarter of FY 2020.		
MGMT-CIO	OIG-17-56	DHS Tracking of Visa Overstays is Hindered by Insufficient Technology	05/01/2017	4	7/31/2019
DHS CIO continue to assess current plans to expedite development and implementation of a biometric exit system and ensure continued progress through dedicated reviews, acquisition oversight, and corrective action plans, as appropriate.			The Office of the Chief Technology Officer (OCTO) met with OIG on 07/17/2019 to clarify deliverables. It was determined CTO needed to provide supporting documentation that these systems were evaluated to close the recommendation. CTO submitted the CBP Biometric Entry-Exit Program Technical Assessment reports on 7/23/2019 and requested closure. OCTO is waiting for OIG's closure decision.		
MGMT-CPO	OIG-17-91	PALMS Does Not Address Department Needs	06/30/2017	6	12/31/2019
DHS CIO develop guidelines to ensure information technology contracts include clear definition of subscription services, pricing methodologies, and payment and acceptance terms.			The Office of the Chief Procurement Officer (OCPO) and the Office of the Chief Information Officer co-authored guidance that is currently under review. Once the guidance is released, OCPO will request closure of this recommendation.		

Component	Report Number	Report Title	Report Received Date	Rec #	Estimated Completion Date (or Date Closed)
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MGMT-CRSO	OIG-17-03	Air and Marine Office (AMO) and Coast Guard Maritime Missions Are Not Duplicative, But Could Improve With Better Coordination	10/14/2016	1	12/31/2019
That the Under Secretary for Management reestablish an oversight mechanism at the DHS level to ensure that AMO and the Coast Guard coordinate operations.			The Maritime Security Working Group's (MSCWG) Working Level Team met twice and received a briefing on how Joint Task Force – East is facilitating coordination between various DHS Components that operate in its Joint Operating Area (JOA). We are currently capturing information about the diverse coordinating bodies that currently work to coordinate operations conducted by DHS Components in the maritime domain. Once that data collection effort wraps up in November, the working level team leads will propose ways to indicate which coordination bodies merit deep-dive looks into how their coordination efforts/abilities can be enhanced. Our goal is to avoid creating any new coordination bodies while creating the sustained level of HQ-level coordination recommended by OIG and other overseers. Once we build a set of recommendations to present to the MSCWG principals, the working level team will move on to looking at field-level coordination mechanisms and making changes to the Maritime Operations Coordination Plan.		
MGMT-CRSO	OIG-17-03	Air and Marine Office (AMO) and Coast Guard Maritime Missions Are Not Duplicative, But Could Improve With Better Coordination	10/14/2016	2	12/31/2019
That the Coast Guard Commandant, CBP Commissioner, and ICE Director revise the Maritime Operations Coordination Plan (MOCP)			The remediation team shifted focus from the MSCWG to the Air and Maritime Program Review that was directed as part of the DHS Agency Reform Plan, in part because Audit OIG-17-03 was one of		

Component	Report Number	Report Title	Report Received Date	Rec #	Estimated Completion Date (or Date Closed)
Recommendation			Narrative of Implementation Status		
to include requirements for coordination and information sharing at all levels, especially the local level.			the OIG and GAO reports studied in that Program Review. The Program Review Team reported to the Deputy's Management Action Group (DMAG) in Spring 2018, and the DMAG endorsed the chartered efforts of the MSCWG. Program Analysis & Evaluation (PA&E) subsequently delivered a brief on 06/18/2018 to a group of OMB examiners on the Air and Maritime Program Review and reported that the MSCWG would "Review existing coordination frameworks and update the MOCP to establish coordination frameworks at the leadership level. The MSCWG will also recommend ways to institute recurring reviews of cross-Component coordination mechanism effectiveness." The remediation team is working on a new draft version of the MOCP.		
MGMT-CRSO	OIG-18-05	DHS' Controls Over Firearms and Other Sensitive Assets	10/25/2017	2	11/30/2019
We recommend that the Under Secretary for Management require components to re-train property custodians and employees on timeframes for updates to the property inventory records.			The Management Directorate's Office of the Chief Readiness Support Officer (OCRSO) directed (memo dated 03/28/2018) all Components to certify training has been conducted for all property officials and employees, as applicable, on DHS policy regarding updates to personal property records. On 10/18/2018, OIG responded to OCRSO's June 2018 update and stated "The Department's corrective action is responsive to the recommendation. The recommendation will remain resolved and open until we receive documentation that the training has been completed." As of 11/1/2019, all but one Component has certified that the required training was provided.		
MGMT-CSO	OIG-18-05	DHS' Controls Over Firearms and Other Sensitive Assets	10/25/2017	5	2/29/2020

Component	Report Number	Report Title	Report Received Date	Rec #	Estimated Completion Date (or Date Closed)
Recommendation			Narrative of Implementation Status		
We recommend that the Under Secretary for Management require that components assess the need and submit justifications to the Department for badges issued to non-law enforcement personnel and recommend components discontinue the use of non-law enforcement badges without adequate justification.			The Office of the Chief Security Officer (OCSO) continues to work to implement this recommendation. As of 9/30/2019, OCSO was still coordinating with and gathering additional information from the respective DHS Operational Components/Organizations for its preliminary recommendations. Due to anticipated communication with Operational Components/Organizations regarding the final decisions, the Expected Completion Date (ECD) has been adjusted to 2/29/2020, in order to complete the steps necessary to satisfy this recommendation. OCSO will provide an update to the DHS Office of Inspector General regarding the progress made toward implementing this recommendation and the necessary ECD adjustment.		
MGMT-CSO	OIG-18-51	Department-wide Management of the HSPD-12 Program Needs Improvement	02/14/2018	6	12/31/2019
The DHS Chief Security Officer Coordinate with CIO on ensuring that components PIV enable all unclassified information systems under their purview.			The Office of the Chief Information Officer's Identity Services Branch (ISB) Program Management Office (PMO) continues to collaborate with the Office of the Chief Security Officer's (OCSO) Enterprise Security Services Division (ESSD) to enforce personal identity verification (PIV) authentication to all unclassified DHS applications and track progress for leadership through the Strong Authentication Dashboard. In August 2019, the ISB PMO migrated reporting from SharePoint to Mobius and facilitated training for over 300 Information System Security Managers (ISSMs) and Officers (ISSOs) across DHS to accurately capture data and report in the Strong Authentication Dashboard. Shifting these reporting efforts enables ISSMs and ISSOs to quickly identify and report the strong authentication status for the applications under their authority. This new reporting channel also captures a more accurate landscape of the applications and data input from Components to		

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Recommendation			Narrative of Implementation Status		
			feed the Strong Authentication Dashboard for reporting. In September 2019, the Chief Information Officer and Chief Security Officer agreed to require Components to prioritize the strong authentication enforcement of all unclassified DHS applications and ensure the data is accurately reported within Mobius. The ISB PMO and ESSD program office will continue to track and update the Strong Authentication Dashboard and brief DHS leadership on the status for the Department as Components prioritize and enforce controls for PIV or Single Sign-On. The estimated completion date for enforcing strong authentication across all applications is currently to be determined.		
OGC	OIG-16-91	TSA Oversight of National Passenger Rail System Security	05/13/2016	2	12/31/2019
That DHS General Counsel (OGC) effectively coordinate with the Office of Management and Budget (OMB) to expedite the implementation of the remaining passenger rail requirements of the 9/11 Act.			DHS Office of General Counsel is working closely with TSA to finalize the Security Training for Surface Transportation Employees Final Rule. OGC expects to have a draft version of that rule available for leadership approval to send to OMB in the near future. TSA anticipates submission of an NPRM related to Vetting of Certain Transportation Employees by the end of the calendar year, subject to compliance with Executive Orders on regulatory reform ("2 for 1" and providing cost offsets). As TSA moves forward with publication of surface-related regulations, it is evaluating the extent to which guidance documents could be issued in the interim period. Such documents if significant, however, would be subject to OMB review.		

Component	Report Number	Report Title	Report Received Date	Rec #	Estimated Completion Date (or Date Closed)
Recommendation			Narrative of Implementation Status		
OGC	OIG-18-73	DHS Non-disclosure Forms and Settlements Agreements Do Not Always Include the Required Statements from the Whistleblower Protection Enhancement Act of 2012	08/10/2018	2	12/31/2019
Ensure that all DHS and component personnel settlement agreement templates and settlement agreements include the statement from the Whistleblower Protection Act of 2012 on disclosing information to permissible recipients			On 5/16/2019, the DHS General Counsel issued guidance regarding the WPEA and the inclusion in settlement agreements of plain language regarding applicants', employees', and former employees' rights to make protected disclosures. DHS Office of General Counsel (OGC) staff coordinated the guidance with the Office of Special Counsel (OSC). OIG requested statements from all chief counsels confirming compliance with the guidance. DHS is gathering that information to provide to OIG.		
OGC	OIG-18-73	DHS Non-disclosure Forms and Settlements Agreements Do Not Always Include the Required Statements from the Whistleblower Protection Enhancement Act of 2012	08/10/2018	3	12/31/2019
Develop and implement a method to track the use of settlement agreements throughout the Department and its components.			DHS continues to revise guidance regarding tracking employment case resolution. When the guidance is finalized, it will be shared with OIG for closure consideration.		
PLCY	OIG-15-140	DHS Can Strengthen Its Cyber Mission Coordination Efforts	09/04/2015	2	9/30/2020
Coordinate with the DHS Chief Human Capital Officer to develop the department-wide trainings for cyber analysts and special agents to perform their duties.			PLCY and CHCO continue to work together to address this recommendation. We are planning to submit the closure request by the end of this calendar year.		

Component	Report Number	Report Title	Report Received Date	Rec #	Estimated Completion Date (or Date Closed)
Recommendation			Narrative of Implementation Status		
PLCY	OIG-15-85	DHS Missing Data Needed to Strengthen its Immigration Enforcement Efforts	05/04/2015	1	9/30/2020
Develop and implement a plan to collect, analyze, and report data on the Department's use of prosecutorial discretion to assess immigration enforcement activities and improve future policy. The plan should take steps to ensure the completeness and accuracy of the prosecutorial discretion data.			OIG previously asked for clarifying information regarding prosecutorial discretion data. This report was issued during the Obama Administration, and since that time, the Trump Administration's Department of Justice has a different direction regarding prosecutorial discretion. As such, we are left to use current efforts to address a recommendation promulgated based on past efforts. We are requesting the OIG to consider this recommendation as Closed - Not Implemented due to different Administration priorities.		
PLCY	OIG-17-22	DHS Lacks Oversight of Component Use of Force	01/12/2017	1	1/31/2020
That the Deputy Secretary, Department of Homeland Security establish a formal entity at the Department level to oversee component use of force activities. Once established, the responsible personnel at the Department level should work with the components to: a. establish minimal requirements for what each component should report as a use of force incident and develop a process to collect and report the accurate number of incidents; b. develop a formal mechanism by which components can share lessons learned regarding use of force policies, training, and oversight; c. collaborate with the components and conduct a review or study to identify minimum standards or requirements for less-lethal use of force training, and require the components to implement the training; d. ensure each component has and uses a system of record to actively monitor completion of required recurring training; and e. continuously improve monitoring of training requirements,			PLCY anticipates providing a finalized charter and associated background and source documents to address the OIG recommendation by the ECD.		

Component	Report Number	Report Title	Report Received Date	Rec #	Estimated Completion Date (or Date Closed)
Recommendation			Narrative of Implementation Status		
address training challenges related to resource availability, optimize regional efficiencies, and identify opportunities for cooperation to meet training related goals.					
PLCY	OIG-18-07	DHS Needs a More Unified Approach to Immigration Enforcement and Administration	10/30/2017	1	9/30/2020
We recommend that the Secretary of DHS establish and oversee a formal department-level group comprising senior level officials from the Department's operational components and key headquarters organizations responsible for enforcement and administration of immigration laws. The responsible officials will facilitate long-term solutions to overarching and cross-cutting component immigration enforcement and administration challenges. The Department should research and follow similar successful structures from other Federal agencies to guide this endeavor. At a minimum, the designated responsible officials will - foster better awareness of roles and responsibilities; facilitate better coordination and communication among the involved components and guide current cross-component immigration initiatives; ensure components collect and report data for immigration activity and analyze the information to make decisions and reduce inefficiencies; and serve as mediators for conflicts regarding mission accomplishment and overarching legal, policy, and other issues.			Recommendation of closure is with OIG. PLCY is waiting on closure response.		
S&T	OIG-15-38	Science and Technology Directorate to Improve Its Contract Management Procedures	02/27/2015	3	12/31/2019

Component	Report Number	Report Title	Report Received Date	Rec #	Estimated Completion Date (or Date Closed)
Recommendation			Narrative of Implementation Status		
Review S&T contract portfolio to ensure all contract files contain sufficient evidence of program review to allow management to make well-informed decisions, including where programs are meeting intended objectives.			In lieu of the Program Management Guide which was to be published in June 2019, the leadership of S&T wished to issue the document directly in support of the effort to standardize program management efforts across S&T. Therefore, on 10/15/2019, SOPDUSST Bill Bryan distributed the S&T's Business Process Flow (BPF) which, developed in consultation with all S&T divisions, details S&T's core business process in support of S&T's Operating Model Blueprint (OMBP). The BPF further defines the required processes, steps and activities to ensure alignment to S&T's OMBP during execution, and also identifies key decision points throughout the process. The BPF standardizes our process and operationalizes our matrixed structure by bringing all relevant stakeholders and capabilities throughout S&T to bear as early on as possible. All offices and divisions play a role in supporting S&T through the business process in some form at varying points. S&T is preparing to submit a closure request to GAO.		
S&T	OIG-18-88	Review of Coast Guard's Oversight of TWIC Program	09/28/2018	1	9/30/2019
DHS Under Secretary for Science and Technology complete the TWIC program assessment required by Public Law 114-278 to evaluate the security value of the TWIC program.			S&T completed its assessment of the TWIC program in August 2019 and submitted a request for closure to OIG on 9/30/2019, but OIG continues to review the closure request and has not yet responded.		
TSA	OIG-14-132	Audit of Security Controls for DHS Information Technology Systems at Dallas/Fort Worth International Airport	09/05/2014	3	12/31/2020
We recommend that the TSA Chief Information Officer establish a process to report STIP computer security incidents to TSA SOC.			The delay in obtaining an Information System Security Officer (ISSO) has resulted in a modification in the estimated completion date to establish an Authority to Operate (ATO), which is now		

Component	Report Number	Report Title	Report Received Date	Rec #	Estimated Completion Date (or Date Closed)
Recommendation			Narrative of Implementation Status		
			planned in the Integrated Master Schedule (IMS) for December 2020. Despite this delay, TSA is making significant progress in the security authorization process and has officially established the Electronic Baggage Inspection Technology System (EBITS) as the EBSP's Federal Information Security Management Act (FISMA) boundary, allowing TSA to pursue an Explosives Detection System (EDS) technology specific ATO.		
TSA	OIG-14-142	Penetration Testing of Checked Baggage Screening	09/16/2014	5	12/31/2019
Accelerate development and deployment of a test kit to independently validate deployed explosive detection systems equipment performance.			TSA provided an update to OIG on 8/6/19 indicating our latest timelines for recommendation implementation. TSA expects to have the required test kits deployed by the end of calendar year 2019.		
TSA	OIG-15-88	Audit of Security Controls for DHS Information Technology Systems at San Francisco International Airport	05/07/2015	15	12/31/2020
Recommend that the TSA CIO improve operational, technical, and management controls for ensuring confidentiality, integrity, and availability of data stored, transmitted, and processed at SFO by updating the operating systems on Security Technology Integrated Program (STIP) servers to a vendor-supported version that can be patched to address emerging vulnerabilities.			The delay in obtaining an Information System Security Officer (ISSO) has resulted in a modification in the estimated completion date to establish an Authority to Operate (ATO), which is now planned in the Integrated Master Schedule (IMS) for December 2020. Despite this delay, TSA is making significant progress in the security authorization process and has officially established the Electronic Baggage Inspection Technology System (EBITS) as the EBSP's Federal Information Security Management Act (FISMA) boundary, allowing TSA to pursue an Explosives Detection System (EDS) technology specific ATO.		
TSA	OIG-16-134	TSA Needs a Crosscutting Risk-Based Security Strategy	09/09/2016	1	11/30/2019

Component	Report Number	Report Title	Report Received Date	Rec #	Estimated Completion Date (or Date Closed)
Recommendation			Narrative of Implementation Status		
Develop and Implement a crosscutting risk-based security strategy that encompasses all transportation modes. The strategy should, at a minimum: - define intelligence-driven, risk-based security; - identify objectives for an intelligence-driven, risk-based security approach; - identify steps for all transportation modes to achieve risk-based security objectives; - provide guidelines for aligning resources with risk; - establish priorities, milestones, and performance measures to gauge the effectiveness of the strategy; and - establish responsible parties and timelines for strategy implementation.			The Crosscutting Risk Based Security Strategy and the Addendum is under review with TSA leadership. Once finalized, it will be provided to the OIG.		
TSA	OIG-16-134	TSA Needs a Crosscutting Risk-Based Security Strategy	09/09/2016	3	11/30/2019
Establish a formal budget planning process that uses risk to help inform resource allocations.			The Crosscutting Risk Based Security Strategy and the Addendum is under review with TSA leadership. Once finalized, it will be provided to the OIG.		
TSA	OIG-16-87	IT Management Challenges Continue in TSA's Security Technology Integrated Program	05/09/2016	1	12/31/2020
Ensure that IT security controls are included in STIP system design and implementation so that STIP servers are not deployed with known technical vulnerabilities.			The delay in obtaining an Information System Security Officer (ISSO) has resulted in a modification in the estimated completion date to establish an Authority to Operate (ATO), which is now planned in the Integrated Master Schedule (IMS) for December 2020. Despite this delay, TSA is making significant progress in the security authorization process and has officially established the Electronic Baggage Inspection Technology System (EBITS) as the EBSP's Federal Information Security Management Act (FISMA) boundary, allowing TSA to pursue an Explosives Detection System (EDS) technology specific ATO.		

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Recommendation			Narrative of Implementation Status		
TSA	OIG-16-87	IT Management Challenges Continue in TSA's Security Technology Integrated Program	05/09/2016	2	12/31/2020
Ensure that STIP servers use approved operating systems for which the Department as established minimum security baseline configuration guidance.			The delay in obtaining an Information System Security Officer (ISSO) has resulted in a modification in the estimated completion date to establish an Authority to Operate (ATO), which is now planned in our Integrated Master Schedule (IMS) for December 2020. Despite this delay, TSA is making significant progress in the security authorization process and has officially established the Electronic Baggage Inspection Technology System (EBITS) as the EBSP's Federal Information Security Management Act (FISMA) boundary, allowing TSA to pursue an Explosives Detection System (EDS) technology specific ATO.		
TSA	OIG-16-87	IT Management Challenges Continue in TSA's Security Technology Integrated Program	05/09/2016	3	12/31/2020
Ensure that STIP servers have the latest software patches installed so that identified vulnerabilities will not be exploited.			The delay in obtaining an Information System Security Officer (ISSO) has resulted in a modification in the estimated completion date to establish an Authority to Operate (ATO), which is now planned in our Integrated Master Schedule (IMS) for December 2020. Despite this delay, TSA is making significant progress in the security authorization process and has officially established the Electronic Baggage Inspection Technology System (EBITS) as the EBSP's Federal Information Security Management Act (FISMA) boundary, allowing TSA to pursue an Explosives Detection System (EDS) technology specific ATO.		

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TSA	OIG-16-87	IT Management Challenges Continue in TSA's Security Technology Integrated Program	05/09/2016	4	12/31/2020
Ensure that IT security testing is performed so that STIP servers are not deployed with known technical vulnerabilities.			The delay in obtaining an Information System Security Officer (ISSO) has resulted in a modification in the estimated completion date to establish an Authority to Operate (ATO), which is now planned in our Integrated Master Schedule (IMS) for December 2020. Despite this delay, TSA is making significant progress in the security authorization process and has officially established the Electronic Baggage Inspection Technology System (EBITS) as the EBSP's Federal Information Security Management Act (FISMA) boundary, allowing TSA to pursue an Explosives Detection System (EDS) technology specific ATO.		
TSA	OIG-16-87	IT Management Challenges Continue in TSA's Security Technology Integrated Program	05/09/2016	5	2/28/2020
Ensure that authorized TSA staff obtain and change administrator passwords for all STIP servers at airports so that contractors no longer have full control over this equipment at airports.			TSA is awaiting TSA CIO and APM Assistant Administrator approval of the Rough Order of Magnitude (ROM) and associated recommendations.		
TSA	OIG-16-87	IT Management Challenges Continue in TSA's Security Technology Integrated Program	05/09/2016	6	2/28/2020
Implement a contractor oversight process so that only authorized and approved software, along with timely updates, is installed on STIP airport servers.			The delay in obtaining an Information System Security Officer (ISSO) has resulted in a modification in the estimated completion date to establish an Authority to Operate (ATO), which is now planned in our Integrated Master Schedule (IMS) for December 2020. Despite this delay, TSA is making significant progress in the		

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Recommendation			Narrative of Implementation Status		
			security authorization process and has officially established the Electronic Baggage Inspection Technology System (EBITS) as the EBSF's Federal Information Security Management Act (FISMA) boundary, allowing TSA to pursue an Explosives Detection System (EDS) technology specific ATO.		
TSA	OIG-16-87	IT Management Challenges Continue in TSA's Security Technology Integrated Program	05/09/2016	8	6/30/2020
Ensure an adequate operational recovery capability for STIP servers at DC1 in case DC2 becomes inaccessible.			The TSA Office of Information Technology (OIT) determined STIP will not migrate into a Gov Cloud, but will be moved from Data Center (DC)2 into Data Center (DC)1 by June 2020.		
TSA	OIG-16-87	IT Management Challenges Continue in TSA's Security Technology Integrated Program	05/09/2016	9	12/31/2020
Establish a process for providing STIP server vulnerability assessment reports to the Department so that DHS leadership may adequately monitor system compliance capability.			The delay in obtaining an Information System Security Officer (ISSO) has resulted in a modification in the estimated completion date to establish an Authority to Operate (ATO), which is now planned in our Integrated Master Schedule (IMS) for December 2020. Despite this delay, TSA is making significant progress in the security authorization process and has officially established the Electronic Baggage Inspection Technology System (EBITS) as the EBSF's Federal Information Security Management Act (FISMA) boundary, allowing TSA to pursue an Explosives Detection System (EDS) technology specific ATO.		
TSA	OIG-16-87	IT Management Challenges Continue in TSA's Security Technology Integrated Program	05/09/2016	10	12/31/2020

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Recommendation			Narrative of Implementation Status		
Ensure that IT security requirements are included in equipment procurement contracts for IT components of STIP and passenger and checked baggage screening equipment as required.			The delay in obtaining an Information System Security Officer (ISSO) has resulted in a modification in the estimated completion date to establish an Authority to Operate (ATO), which is now planned in our Integrated Master Schedule (IMS) for December 2020. Despite this delay, TSA is making significant progress in the security authorization process and has officially established the Electronic Baggage Inspection Technology System (EBITS) as the EBSP's Federal Information Security Management Act (FISMA) boundary, allowing TSA to pursue an Explosives Detection System (EDS) technology specific ATO.		
TSA	OIG-16-91	TSA Oversight of National Passenger Rail System Security	05/13/2016	1	12/31/2019
That the TSA Administrator ensures TSA develops and adheres to a detailed, formal milestone plan to deliver the remaining 9/11 Act Notices of Proposed Rulemaking to DHS.			DHS Office of General Counsel is working closely with TSA to finalize the Security Training for Surface Transportation Employees Final Rule. OGC expects to have a draft version of that rule available for leadership approval to send to OMB in the near future. TSA anticipates submission of an NPRM related to Vetting of Certain Transportation Employees by the end of the calendar year, subject to compliance with Executive Orders on regulatory reform ("2 for 1" and providing cost offsets). As TSA moves forward with publication of surface-related regulations, it is evaluating the extent to which guidance documents could be issued in the interim period. Such documents if significant, however, would be subject to OMB review.		
TSA	OIG-17-04	TSA Could Improve Its Oversight of Airport Controls over Access Media Badges	10/14/2016	2	1/30/2020

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Recommendation			Narrative of Implementation Status		
Issue guidance to U.S. airports clearly explaining how to determine whether an airport's lost, stolen, and unaccounted for access media badges are exceeding the 5 percent threshold.			TSA is preparing an update to the recommendation requesting closure. The National Amendment has been signed by the Administrator and will be issued to airports by January 2020.		
TSA	OIG-17-14	Summary Report on Audits of Security Controls	12/30/2016	2	12/31/2020
Establish a plan to conduct recurring reviews of the operational, technical, and management security controls for TSA IT systems at U.S. airports nationwide.			The delay in obtaining an Information System Security Officer (ISSO) has resulted in a modification in the estimated completion date to establish an Authority to Operate (ATO), which is now planned in our Integrated Master Schedule (IMS) for December 2020. Despite this delay, TSA is making significant progress in the security authorization process and has officially established the Electronic Baggage Inspection Technology System (EBITS) as the EBSP's Federal Information Security Management Act (FISMA) boundary, allowing TSA to pursue an Explosives Detection System (EDS) technology specific ATO.		
TSA	OIG-18-70	FAMS Need to Demonstrate How Ground Based Assignments Contribute to TSA 's Mission	07/27/2018	1	12/31/2019
The Administrator of the Transportation Security Administration develop performance measures for all activities in FAM's strategic plan as well as improve measurements for its Visible Intermodal Prevention and Response operations by fiscal year 2019.			An improved measurement for Visible Intermodal Prevention and Response (VIPR) operations was implemented 10/1/2019. TSA is working to address OIG feedback concerning Draft Performance Goals for Ground Based Assignments provided by LE/FAMS to ensure that the goals measure the overall success or accomplishment of agency initiatives. Next steps are being considered.		
TSA	OIG-18-70	FAMS Need to Demonstrate How Ground Based Assignments Contribute to TSA 's Mission	07/27/2018	2	12/31/2019

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Recommendation			Narrative of Implementation Status		
The Administrator of the Transportation Security Administration develop a method for tracking the Office of Law Enforcement/Federal Air Marshall Service's funding by operations.			Further refinement of tracking operations continues.		
USCG	OIG-17-74-IQO	Oversight Review of the United States Coast Guard Investigative Services	06/23/2017	2	9/30/2020
Articulate in policy what constitutes an OIG-referable allegation, train all necessary staff accordingly, and ensure that CGIS refers the requisite allegation to the OIG.			CGIS efforts to update the Investigations Manual by promulgating a new Operations Policy Manual, Operations Tactics/Techniques/Procedures, and a Mission Support Manual are underway. OIG-referable allegations will be defined within this revised policy.		
USCG	OIG-17-74-IQO	Oversight Review of the United States Coast Guard Investigative Services	06/23/2017	6	9/30/2020
Consult with the Coast Guard Directives and Publications Division, CG-612, and replace the existing Coast Guard Investigations Manual with a document that complies with Systems Manual requirements.			CGIS efforts to update the Investigations Manual by promulgating a new Operations Policy Manual, Operations Tactics/Techniques/Procedures, and a Mission Support Manual are underway.		
USCG	OIG-17-74-IQO	Oversight Review of the United States Coast Guard Investigative Services	06/23/2017	7	9/30/2020
Continue to update investigative policy and follow the Coast Guard clearance process outlined in M5215.6 prior to issuing new policy.			CGIS efforts to update the Investigations Manual by promulgating a new Operations Policy Manual, Operations Tactics/Techniques/Procedures, and a Mission Support Manual are underway.		
USCG	OIG-17-74-IQO	Oversight Review of the United States Coast Guard Investigative Services	06/23/2017	8	9/30/2019
Ensure that a Privacy Impact Assessment is conducted for FACTS and that all related requirements are properly addressed.			A copy of the completed FACTS Privacy Impact Assessment approved by the DHS Acting Deputy Chief Privacy Officer was provided to OIG and USCG requested closure of this recommendation on 10/28/2019.		

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USCG	OIG-17-74-IQO	Oversight Review of the United States Coast Guard Investigative Services	06/23/2017	10	9/30/2019
Provide training to FACTS users on navigating the system and policy requirements.			On 5/10/2018 and 5/7-8/2019, CGIS conducted FACTS refresher training for over 150 users via Homeland Security Information Network (HSIN) Connect virtual classroom. The navigation of FACTS systems and policy requirements was included in the training. Supporting documentation was provided to OIG and USCG requested closure of this recommendation on 10/28/2019.		
USCG	OIG-17-74-IQO	Oversight Review of the United States Coast Guard Investigative Services	06/23/2017	13	6/30/2020
Develop a structured training program to include: • Oversight to ensure appropriate compliance with all training requirements; • Policies and procedures to ensure all law enforcement personnel periodically qualify on all issued firearms and all weapons (shotguns, rifles) accessible through their posts of duty; • Policies and procedures regarding the proper documentation of all training to ensure compliance with basic, post-basic, recurring, and periodic training requirements; and • Policies and procedures regarding periodic training requirements for use of force, and essential law enforcement areas, such as legal updates, arrest techniques, defensive tactics, flying while armed, and intermediate weapons.			The CGIS Training Detachment (TRAD-ET) is responsible for developing, updating, and implementing training which is administered to all members of CGIS. Training is conducted initially when a new member is hired. All new members are required to attend the Criminal Investigator Training Program (CITP) and the Special Agent Basic Training Program (SABT) conducted at the Federal Law Enforcement Training Center (FLETC). Once assigned to a unit, CGIS special agents are required to complete biannual in-service training and annual online refresher training. Supporting documentation was provided to OIG and USCG requested closure of this recommendation on 10/28/2019.		
USCG	OIG-17-74-IQO	Oversight Review of the United States Coast Guard Investigative Services	06/23/2017	17	9/30/2019
Ensure field offices maintain an organized and updated property inventory system that would support a timeline for updating inventory records once items have been transferred or removed from an office.			USCG provided supporting documentation to OIG and requested closure of this recommendation on 10/28/2019.		

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USCG	OIG-17-74-IQO	Oversight Review of the United States Coast Guard Investigative Services	06/23/2017	23	9/30/2019
Ensure that all evidence is inventoried every 6 months as required.			USCG provided supporting documentation to OIG and requested closure of this recommendation on 10/28/2019.		
USCG	OIG-17-74-IQO	Oversight Review of the United States Coast Guard Investigative Services	06/23/2017	26	9/30/2019
Establish a transition plan before requiring CGIS locations to enter evidence into FACTS and provide employees with clear instructions on how to use the system for logging inventory to ensure consistent and accurate evidence record keeping across CGIS.			On 5/10/2018 and 5/7-8/2019, CGIS conducted FACTS refresher training for over 150 users via Homeland Security Information Network (HSIN) Connect virtual classroom. Proper evidence handling procedures were included in the training. Supporting documentation was provided to OIG and USCG requested closure of this recommendation on 10/28/2019.		
USCG	OIG-17-74-IQO	Oversight Review of the United States Coast Guard Investigative Services	06/23/2017	27	9/30/2019
Ensure evidence, including narcotics, is properly sealed to protect the integrity of the evidence.			USCG provided supporting documentation to OIG and requested closure of this recommendation on 10/28/2019.		
USCG	OIG-17-74-IQO	Oversight Review of the United States Coast Guard Investigative Services	06/23/2017	28	9/30/2019
Revise guidance to ensure evidence custodians verify contents of evidence bags and weigh narcotics as part of the periodic inventory of evidence.			USCG submitted additional supporting documentation to OIG on 10/28/2019 and USCG has requested closure of this recommendation.		
USCG	OIG-17-74-IQO	Oversight Review of the United States Coast Guard Investigative Services	06/23/2017	32	6/30/2020
We recommend the CGIS Director ensure that comprehensive reports that comply with CIGIE guidelines are produced for each investigation.			To comply with the intent of this recommendation, refresher training expanding on CGIS' existing Criminal Investigations Report Writing Standard Operating Procedures has been developed to make report writing more comprehensive. This training has been		

Component	Report Number	Report Title	Report Received Date	Rec #	Estimated Completion Date (or Date Closed)
Recommendation			Narrative of Implementation Status		
			forwarded to the SACs to conduct. In addition, this training will also be included in the FACTS online training modules for reference of all FACTS users.		
USCG	OIG-18-15	Coast Guard IT Investments Risk Failure Without Required Oversight	11/14/2017	1	3/31/2020
The Deputy Commandant Mission Support conduct a comprehensive analysis of related acquisition and information technology review processes to identify redundancies, gaps, and potential improvements; and make improvements accordingly			The updated IT Acquisitions Review instruction is in the concurrent clearance process and will be provided to GAO for closure of this recommendation when promulgated.		
USCG	OIG-18-15	Coast Guard IT Investments Risk Failure Without Required Oversight	11/14/2017	2	3/31/2020
The Deputy Commandant Mission Support evaluate all existing information technology investments to (1) identify and designate non-major information technology acquisitions programs, and (2) implement a verifiable process to identify non-major information technology acquisition programs. At a minimum, the process should: (a) state the frequency of the review; (b) identify the criteria used to identify procurements for review; and (c) denote the type of documentation that should be maintained.			GAO requested additional evidence showing that USCG has evaluated all existing information technology investments to identify non-major IT acquisition programs that may not have been previously identified. USCG is adjudicating this feedback from the auditors in order to again seek closure of this recommendation.		
USCG	OIG-18-88	Review of Coast Guard's Oversight of TWIC Program	09/28/2018	2	3/30/2020
Coast Guard's Assistant Commandant for Prevention Policy take action to more clearly define the applicable facilities that have certain dangerous cargo in bulk and which must implement the use of electronic TWIC readers as an access control measure			USCG will take action to more clearly define the applicable facilities that have CDC in bulk and which must implement the use of electronic TWIC readers as an access control measure, once the Department's review of the assessment submitted in August 2019 is completed and taking into consideration any changes resulting from the review.		

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USCG	OIG-18-88	Review of Coast Guard's Oversight of TWIC Program	09/28/2018	3	12/31/2019
Coast Guard's Assistant Commandant for Prevention Policy improve the Coast Guard's use of electronic TWIC card readers during annual inspections at regulated facilities by procuring new TWIC card readers.			Distribution of new TWIC readers to field units is anticipated to be completed by the end of CY19 after which USCG will request closure of this recommendation.		
USCG	OIG-18-88	Review of Coast Guard's Oversight of TWIC Program	09/28/2018	4	TBD
Coast Guard's Assistant Commandant for Prevention Policy revise and strengthen the Coast Guard TWIC Verification and Enforcement Guide. At a minimum, the policy should:			USCG and TSA have jointly developed a Corrective Action Plan (CAP) to address the results of the assessment currently under review by the Department. As identified in the CAP, USCG Office of Port and Facility Compliance is in the process of reviewing all applicable TWIC instructions, policies, and procedures to revise and update as needed.		
USCIS	OIG-17-42	H-2 Petition Fee Structure is Inequitable and Contributes to Processing Errors	03/06/2017	1	2/29/2020
Track H-2 petitions with named workers, including receipt numbers and time necessary for data entry, adjudication, background check, and fraud detection, If required, to determine on average how long it takes to process each worker so that USCIS can evaluate a more equitable fee structure.			In 2018, the OIG noted that to close this recommendation, USCIS, as part of revising its fee rule, could provide the OIG with the notice of proposed rulemaking (NPRM) if it identifies how USCIS plans to limit the number of workers that can be listed on each petition or otherwise implement a more equitable fee structure for H-2 petitions. The NPRM was submitted to OBM on 10/24/2019, and OMB has 90 days to review. USCIS expects the NPRM for the new fee rule to be published in the Federal Register in the December 2019 / January 2020 time frame.		

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USCIS	OIG-17-42	H-2 Petition Fee Structure is Inequitable and Contributes to Processing Errors	03/06/2017	2	2/29/2020
Consider limiting the number of named beneficiaries that can be listed on each H-2 petition to help address inequity between small and large petitions until a more comprehensive resolution can be instituted and to limit USCIS' exposure to large petitions subject to 15-day processing.			In 2018, the OIG noted that to close this recommendation, USCIS, as part of revising its fee rule, could provide the OIG with the notice of proposed rulemaking (NPRM) if it identifies how USCIS plans to limit the number of workers that can be listed on each petition or otherwise implement a more equitable fee structure for H-2 petitions. The NPRM was submitted to OBM on 10/24/2019, and OMB has 90 days to review. USCIS expects the NPRM for the new fee rule to be published in the Federal Register in the December 2019 / January 2020 time frame.		
USCIS	OIG-18-58	USCIS Has Unclear Website Information and Unrealistic Time Goals for Adjudicating Green Card Applications	03/09/2018	2	12/31/2019
Reassess the current green card application processing time goal of 120 days to determine whether it is reasonable and realistic and increase the timeframe if necessary.			USCIS established a Processing Time working group that analyzed various options for modifying the processing time goals for I-485s to be more realistic. USCIS has completed its analysis and options for changing the processing time goal will be briefed to USCIS program officials and leadership in November 2019.		
USCIS	OIG-18-78	USCIS' Medical Admissibility Screening Process Needs Improvement	09/21/2018	1	12/31/2019
USCIS Chief of the Regulatory Coordination Division for the Office of Policy and Strategy develop stricter ineligibility requirements for civil surgeon designations, which could include standards used by the Department of Health and Human Services			USCIS is examining various options to implement this recommendation, including requiring prospective civil surgeons to provide more robust documentation regarding their history of medical practice and any criminal charges, and/or requiring designated civil surgeons to report to USCIS within 15 days any		

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Office of Inspector General, and implement processes to strengthen the vetting process of physicians and active civil surgeons.			new facts that may affect eligibility criteria. Any new or expanded eligibility criteria established through an interim final rule or policy update will also be incorporated into USCIS' authority to revoke the designation of noncompliant civil surgeons.		
USCIS	OIG-18-78	USCIS' Medical Admissibility Screening Process Needs Improvement	09/21/2018	3	3/30/2020
The Associate Director for the Field Operations Directorate review grandfathered civil surgeons to confirm that they meet current eligibility requirements, and that USCIS maintain all required documents. At a minimum, the eligibility requirements should include: a. prompt review and identification of noncompliant civil surgeons; b. issuance of Intent to Revoke notices within 30 days of identification; and c. re-evaluation of active civil surgeons to determine whether they meet the newly developed requirements.			Based on an initial review of a sample of grandfathered civil surgeon records, USCIS requested additional information that was missing from the files to confirm continued interest in the civil surgeon designation and to establish continued eligibility. Once new requirements are developed (from Recommendation #1), they will be incorporated into the review process and applied to all active civil surgeons.		
USCIS	OIG-18-78	USCIS' Medical Admissibility Screening Process Needs Improvement	09/21/2018	4	9/30/2020
The Associate Director for the Field Operations Directorate evaluate the Medical Quality and Risk Reduction Branch services and implement applicable services to assist USCIS in making its civil surgeon determinations.			USCIS engaged with the Medical Quality and Risk Reduction Branch (MQRR) and internal working groups to determine how to utilize any derogatory information/adverse action information only available in the National Practitioners Data Bank (NPDB) in a manner that is feasible, cost effective, and appropriate for USCIS' needs. USCIS is in the process of issuing a statement of work for civil surgeon credential verification. In its statement of work, USCIS will require the verification of medical licenses four (4) times per year as well as monthly for expiring licenses. USCIS will also require continuous monitoring and reporting of derogatory information/adverse actions and standing of the designated Civil Surgeons twelve (12) times per year.		

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USCIS	OIG-18-78	USCIS' Medical Admissibility Screening Process Needs Improvement	09/21/2018	5	3/30/2020
<p>The Director for USCIS strengthen its training program on health admissibility by: a. providing focused training on what the USCIS Policy Manual considers a complete and accurate medical form; and b. developing a schedule for recurrent training for Immigration Services Officers, at least annually.</p>			<p>USCIS formed an internal working group to examine existing training materials, and added training slides that focused on a complete and accurate medical form. The training is undergoing a final working group review and will then be submitted to the USCIS Academy for final approval. Once approved, it will be incorporated into upcoming BASIC trainings for new immigration officers. The working group also drafted a training module that will be provided to Immigration Services Officers annually, and USCIS Human Capital and Training will begin development of this training module.</p>		
USCIS	OIG-18-78	USCIS' Medical Admissibility Screening Process Needs Improvement	09/21/2018	6	9/30/2020
<p>The Associate Director for Field Operations Directorate establish a process to ensure that Immigration Services Officers only accept complete and accurate medical forms, as required by written policy.</p>			<p>USCIS has reviewed form I-693 receipting business requirements to ensure confirmation that medical forms are sealed when received, and is developing an expanded checklist of review points for proper completion. USCIS is also developing the ELIS platform to accommodate the I-485 and related I-693. ELIS will incorporate these new checklist requirements into the I-693 ingestion process. In this new environment, the checklist review criteria will be required to be met in order for the I-485 to proceed to adjudication; the system would prevent issuance of a final decision until a complete, accurate form is received. Finally, full implementation of this recommendation is dependent on developing the ELIS platform.</p>		
USCIS	OIG-18-78	USCIS' Medical Admissibility Screening Process Needs Improvement	09/21/2018	7	12/31/2019

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The Office of Policy and Strategy update the USCIS Policy Manual so Immigration Services Officers are required to verify the authenticity of the civil surgeon's information, such as signature and designation status, on the medical form.			USCIS continues to review the applicable Policy Manual content to identify areas to improve adjudication of Form I-693, in particular comparing exemplar signatures and verifying other relevant data. Once completed, policy updates will be made as appropriate.		
USCIS	OIG-18-78	USCIS' Medical Admissibility Screening Process Needs Improvement	09/21/2018	8	9/30/2020
The Associate Director for Field Operations Directorate establish a process to track civil surgeon medical form errors to identify areas that need improvement. The process should include: a. tracking civil surgeons' accuracy in complying with CDC's Technical Instructions for Panel Physicians and Civil Surgeons; b. tracking the completeness of the forms; and c. establishing a system to ensure civil surgeons understand and follow the CDC's Technical Instructions for Panel Physicians and Civil Surgeons and to ensure civil surgeons who fail to fulfill their responsibilities face prompt revocation.			USCIS continues to examine where, within the overall process, errors can be identified. USCIS has reviewed the process of when the information is submitted and scanned upon receipt, and is developing an electronic checklist that can be incorporated into ELIS with mandatory fields for review and completion. This new checklist will be in force when the Form I-693 is directly ingested into ELIS and becomes active in that environment. There will also be a change in process that will be implemented when the I-485 form revision is updated and completed. This particular revision will require the Form I-693 to be filed concurrently with the Form I-485 to review the Form I-693 for accuracy and completeness in advance of any potential interview being scheduled.		
USSS	OIG-16-20	USSS Needs to Upgrade Its Radio Systems	01/22/2016	1	10/24/2019
Ensure that the Information Resource Management Division receives the resources needed to upgrade radios and related infrastructure.			OIG officially closed this recommendation in the time since the universe of open recommendations aged more than one year on 9/30/2019 was identified.		
USSS	OIG-16-20	USSS Needs to Upgrade Its Radio Systems	01/22/2016	2	10/24/2019
Require the Information Resources Management Division develop a strategy and timeline to continuously upgrade radio communication systems.			OIG officially closed this recommendation in the time since the universe of open recommendations aged more than one year on 9/30/2019 was identified.		

Component	Report Number	Report Title	Report Received Date	Rec #	Estimated Completion Date (or Date Closed)
Recommendation			Narrative of Implementation Status		
USSS	OIG-17-01	USSS Faces Challenges Protecting Sensitive Case Management Systems and Data	10/07/2016	5	4/30/2020
Appoint a full-time, senior-level Privacy Officer reporting directly to the USSS Director to ensure compliance with DHS guidance for implementing privacy protections.			The Secret Service is currently working to obtain concurrence from the Department of Homeland Security, Under Secretary for Management, in regard to the IGL policy elevating and realigning the Secret Service Privacy Officer position to report directly to the Assistant Director of IGL; however due to recent changes within the Department the Secret Service has revised the estimated completion date to allow for appropriate coordination.		
USSS	OIG-17-10 / OIG-17-47	The Secret Service Has Taken Action to Address the Recommendations of the Protective Mission Panel	11/10/2016	1	9/30/2020
Require all supervisors to complete the course, "Enhancing Workforce Communication" or a comparable training option on workforce communication.			The Secret Service, Office of Training, has demonstrated progress in the number supervisors who have completed the course, "Enhancing Workforce Communication" and will be requesting closure, to include supporting documentation shortly.		
USSS	OIG-17-10 / OIG-17-47	The Secret Service Has Taken Action to Address the Recommendations of the Protective Mission Panel	11/10/2016	2	9/30/2020
Expand training programs that regularly and consistently integrate all teams working at the White House Complex.			The Secret Service Office of Training has expanded training programs that regularly and consistently integrate all teams working at the White House Complex and will be requesting closure, to include supporting documentation shortly.		
USSS	OIG-17-10 / OIG-17-47	The Secret Service Has Taken Action to Address the Recommendations of the Protective Mission Panel	11/10/2016	4	9/30/2020

Component	Report Number	Report Title	Report Received Date	Rec #	Estimated Completion Date (or Date Closed)
Recommendation			Narrative of Implementation Status		
Determine the optimal arrangement, organizationally and operationally, to promote streamlined communication full information sharing, and inclusive decision making about the security of the WHC and protection of the First Family.			The Secret Service Office of Protective Operations (OPO) has partnered with the Office of Strategic Planning and Policy (OSP) to initiate a formal assessment to determine whether recent organizational changes and communication enhancements are successfully functioning as intended, or if there are other systemic issues that may necessitate an additional organizational change (or changes) in order to facilitate effective communication, information sharing, and inclusive decision making.		
USSS	OIG-17-10 / OIG-17-47	The Secret Service Has Taken Action to Address the Recommendations of the Protective Mission Panel	11/10/2016	5	9/30/2020
Complete a comprehensive evaluation to determine whether all the Secret Service's current missions and operational engagements benefit the primary protective mission.			The Secret Service will combine outside analysis, to include GAO's report, GAO-19-560SU, "U.S. Secret Service: Investigative Operations Confer Benefits, but Additional Actions Are Needed to Prioritize Resources," with our internal reports, to evaluate the best ways to sustain the prioritization of the protective mission, while enhancing the integration of the investigative mission.		

V. Recommendation Discrepancies

Since 2010, DHS strictly adheres to a self-imposed practice of not closing any GAO or OIG recommendations without first reaching agreement with GAO or OIG staff to do so. Specifically, DHS only closes recommendations in its database of record on the basis of monthly closures listings received from both GAO and OIG. This practice provides added confidence to Congress and the public that appropriate actions have been taken to implement these recommendations or otherwise to resolve any disagreements.

DHS reconciles its list of open and closed recommendations to OIG's semiannual report to Congress every 6 months, and to GAO's public website at least annually. DHS has not identified any significant discrepancies between its information and the OIG and GAO information. The few minor variances found during these reconciliations typically are due to database entry/update timing issues and are corrected easily by mutual agreement.

VI. Determining Whether to Implement Recommendations Less Than 12 Months Old

DHS prepares a formal management response letter to every draft audit report that has recommendations to the Department. DHS leadership, program officials, subject matter experts, and others, as appropriate, collaborate to determine whether the Department will concur (i.e., agree) or nonconcur (i.e., disagree) with a recommendation when writing these letters, which GAO and OIG include as an appendix to their final reports.

These letters address any significant accuracy and/or contextual concerns that could not be worked out during the audit. Additionally, DHS also clearly agrees or disagrees with each recommendation and identifies what actions have been taken, are ongoing, or are planned; identifies which specific office or individual (by title) is responsible for this activity; and includes an ECD, as appropriate. If an ECD is more than 12 months in the future, the response generally includes interim milestones.

DHS provides updated corrective action plans regarding audit recommendations via 180- and 90-day letters for GAO and OIG recommendations, respectively. In accordance with 31 U.S.C. § 720, “Agency Reports” (amended by P.L. 115-414), DHS provides Congress and OMB with updated corrective action plans on or before the 180th day after the date that final GAO reports with recommendations to DHS are received by DHS. Similarly, in accordance with DHS Instruction # 077-01-001, “Instruction on Follow-Up and Resolution for Office of Inspector General Report Recommendations,” DHS provides OIG with updated corrective action plans on or before the 90th day after the date of final OIG reports with recommendations to DHS.