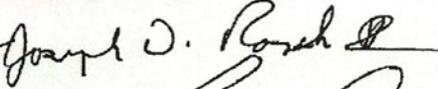
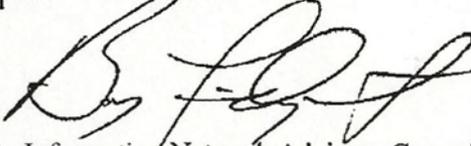


September 17, 2008

MEMORANDUM FOR: Roger Rufe  
Director for Operations, Plans, and Coordination

THROUGH: Elliott Langer  
Designated Federal Officer

FROM: Joe Rozek   
Chair  
Barry Lindquist   
Vice Chair

SUBJECT: Homeland Security Information Network Advisory Committee  
Strategic Recommendations

This memorandum with attachment provides the recommendations developed by the Homeland Security Information Network Advisory Committee (HSINAC) during its most recent meeting at the Bolger Conference Center (July 3] to Aug 1) for consideration by the Secretary of Homeland Security.

BACKGROUND:

These recommendations are the unanimous opinion of the HSINAC. They are operational in nature, creating a sound foundation for the successful development and implementation of the Next Generation of the Homeland Security Information Network. The HSINAC believes this set of operational recommendations is the most important set of recommendations the committee will make to ensure HSIN Next Generation is successfully implemented.

These recommendations serve as the HSINAC's best advice for how to evolve from strategic vision to operational implementation of HSIN Next Gen. The attachment includes four recommendations and a HSINAC concern. We feel strongly that a comprehensive and coordinated implementation plan must be developed from well articulated and written business polices, processes, and operational requirements; a supporting organization structure must be developed and properly resourced; and end users are fully and proactively engaged in providing input into the technology solution based on their day to day operational and crisis needs.

Ofnote, you will see the term "end user" is highlighted and underlined throughout the recommendations. Based on briefings received by the HSINAC from DHS IP, representatives of the ISACs, and committee members interaction with their regional and local critical infrastructure representatives, there exists today an "end perception that the sourceS for the requirements used for HSIN Next Oen Spiral 1 CriticalInfrastructure were not gathered from the "end user" community. To eliminate this perception gap in the future, DHS should ensure that the methodology used to gather requirements reaches down to the "end user" and not make



HSIN AC Recommendations  
July 31-August 1, 2008

I. Issue: The HSIN Outreach (Mission integration) initiative is immature and under-resourced based on the size of the partner/customer population and the initiative's stated goals.

Discussion: DRS provided a brief to the HSIN Advisory Committee on the HSIN Outreach (Mission Integration) initiative that evolved from the HSINAC developed outreach framework for communications with external partners: federal, state, local, tribal and private sector communities of interest. The Committee was impressed with the evolution of the initiative from this February conceptual framework. In this DRS clearly articulated its recognition that outreach - both in terms of gathering requirements and establishing an information flow between DHS and its HSIN partners/end user - is "key" to the success of HSIN Next Gen. The committee learned that much of this program is still conceptual and/or has yet to be implemented (Communications Strategy, Requirements Approval Process, etc.). Additionally, DHS briefed that vetted and approved requirements generated from this program will not be incorporated into the design and development of HSIN Next Generation until month of the projected 18 month implementation plan for HSIN Next Gen. This would appear to conflict with at least one of the DHS's Outreach Initiative's HSINAC Interviews Initial Findings, "End Users want to influence the technological solution and be consulted on future HSIN development to meet their day-to-day and crisis operational and to validate the finding, "DHS is sometimes unresponsive to local/state input and is not fully engaged with them." Finally the committee learned the total amount of manpower dedicated to the implementation of this massive and critical undertaking in terms of Advocates" is 7 personnel This is a total of 7 mission advocates (personnel) to implement this initiative for the 50 States, and the numerous local, tribal and other communities of interests located in these regions. The conclusion is that although this initiative is critical to success of HSIN Next Generation, the initiative itself is not fully implemented., there is at least an appearance if not a reality that there may be a lack of timely end user operational requirement input into HSIN Next Generation, and the outreach initiative itself is significantly under-resourced.

Recommendation: To ensure the success of HSIN Next Generation, DRS should:

- Conduct an immediate manpower survey of the outreach initiative to determine the staffing requirements needed for the successful implementation of the outreach initiative based on the articulated mission, business processes and HSIN implementation timeline
- Once manpower requirements are determined, the Outreach Initiative team should be immediately and adequately resourced before further development of any HSIN Next Generation spirals
- Review and adjust the current HSIN Next Generation implementation time line to reflect proactive and timely input from the outreach initiative of external partner/end user requirements prior to development and implementation of the various spirals. Further development of the HSIN Next Generation spirals on the current accelerated time line may not meet the needs of the end users or DRS.

II. Issue: The HSIN mission integration outreach initiative and implementation process focuses on a national platform that has States grouped into regions and communities of interest (i.e. HSIN Next Gen Critical Infrastructure Spiral One) rather than an a representative sample based on end user and DHS defined business processes and operational needs.

Discussion: HSIN Next Generation Spiral One implementation is on a single community of interest - the entire critical infrastructure sector. As briefed to the committee, the HSIN mission integration outreach initiative focuses on gathering requirements from an entire region by a single resource. The outreach initiative as briefed will take approximately 12 months of an 18 month implementation timeline for HSIN Next Generation before user input is generated into the requirements vetting process. This time frame would only allow a six month time period for the incorporation of this input into the architecture - such input if implemented would be reactive rather than proactive. Additionally, an unintended consequence of the current methodology may be the creation of separate stove pipes of information that limits the flow of information across communities of interest in a region and across the Nation.

An alternative method is to select a representative sample (subset of a community of interest) or one or two states from each region for the outreach initiative and develop of a proof of concept and implementation of a HSIN Next Generation pilot baseline system before full implementation to the larger community. Using this methodology, DHS could then gather lessons learned, implement the corrections to the pilot, and as appropriate, systematically expand HSIN Next Gen to a larger end user audience i.e. the specific community of interest, additional communities of interest and/or additional States. This is the type methodology used for the HS SUE implementation. This approach is conducive for ensuring that end users influence the technological solution, are consulted on the development of HSIN Next Generation to meet their day-to-day operational and crisis needs, and would visibly demonstrate DHS engagement and responsiveness to state, local, tribal and private organization needs - contributing to acceptance of HSIN Next Gen by the end users/partners, and thus would facilitate the implementation of HSIN Next Generation in a reduced timeframe.

Recommendation: DHS should consider modifying its current regional outreach initiative and its focus on an entire community of interest spiral implementation approach to: targeting a representative sample/subset of a region (one or two States in a region as listed in the Mission Advocate diagram) and its community of interest in order to more efficiently use its limited resources for targeted outreach; design processes of information flow across different communities of interest in a region; develop a proof of concept and implementation of a pilot program in an orderly, methodical manner ensuring the continuous incorporation of lessons learned into HSIN Next Generation; and the subsequent expansion to a greater audience with a proven solution that truly incorporates partner input and results in greater partner acceptance and use of HSIN Next Generation.

III. Issue: HSIN Next Generation lacks a fully articulated business strategy with prudent management controls that would significantly contribute to the successful development and implementation of this critical project.

Discussion: After 3 HSIN Advisory Committee meetings and a number of conference calls, DHS has not been able to articulate or produce a cohesive, written, vetted business plan with appropriate supporting plans to ensure success of this critical program. The committee has received numerous briefings on various aspects of the HSIN Next Generation project and found that the contents of many of these briefings on critical aspects of this project are either conceptual and/or only partially implemented (HMCC as an organization has yet to be staffed with State and local members) - yet DHS continues to not only move forward with implementation of Spiral One but with the current accelerated implementation time line. The analogy used in the development of the original version of HSIN of, "flying a plane while it is being built" appears to apply to HSIN Next Generation. There is an unexplained rush for implementation of this system without apparent adequate and judicious planning and implementation of procedures that would increase the chances of success. This is despite the existence and day to day operation of the current HSIN system which would seem to mitigate this rush, allowing DHS to take the necessary time to develop a cohesive plan, gather and vet requirements, develop architecture and a proof of concept, and implement a pilot followed by full implementation. The planning that is presented to the HSINAC seems to be ad hoc and disjointed. Some of the key business processes and control procedures missing are:

- Sound comprehensive written business policies, processes and operational requirements from DHS, Federal, State, Local, Tribal and private sector partners/end users that should drive the HSIN Next Generation business implementation plan
- A written, vetted business implementation plan that comprehensively explains HSIN Next Generation development that includes (this list is not inclusive) architectural development and implementation, coordinated timeline with milestones for implementation, communications, required resources, outreach, requirements gathering, requirements vetting and implementing, and institutional feedback

Recommendation: DHS should:

- Develop and articulate written business policies, processes and operational requirements that are representative of Federal, State, Local, Tribal and Private sector needs that will drive the development and implementation of the HSIN Next Generation business/implementation plan
- Develop a comprehensive, cohesive, written, vetted business/implementation plan that defines the role of HSIN Next Generation with respect to other systems, identifies and vets user requirements, establishes a judicious implementation methodology, incorporates user requirements, contains adequate measures for risk assessment and mitigation procedures for use in the development and implementation of HSIN Next Generation
- Develop the first draft of the HSIN Next Generation business implementation plan within 90 days of these recommendations and provide the draft plan to the HSINAC for independent review prior to finalization and publication. Provide the HSINAC subsequent draft updates

to the business/implementation plan for independent review as necessary prior to implementation of those updates.

- Immediately determine membership and manpower requirements for all the various organizations and committees used to support HSIN Next Generation, and then fully staff these organizations/committees before further development of any HSIN Next Generation spirals. (One example is the implementation of a HMCC with approved State and Local representation for the requirements vetting process for the next spiral development)

IV. Issue: HSIN Next Generation lacks interagency coordination and cooperation; a cohesive implementation plan; and a fully implemented end user requirements generation and validation process.

Discussion: The HSINAC believes there are significant deficiencies that must be immediately addressed and corrected. First, the HSINAC has consistently noted that there is inadequate definition of HSIN Next Generation's role with respect to other systems in DHS and other Federal government systems (RISS, LEO, etc). This lack of definition has resulted in confusion among various agency users and has resulted in the perception that these systems are redundant and competitive. Simultaneously, as HSIN Next Generation is being developed, other agency information sharing systems are evolving or new ones are being implemented. Federal, State, local, tribal and private sector end users cannot and will not afford the time, energy and resources to populate and use these various networks. Second, for an unknown reason, the urgent need to upgrade/replace HSIN Current with HSIN Next Generation has outpaced the planning and implementation of good management procedures to include a full compilation of user input into the overall design. Bottom line - the current methodology may develop and implement an optimal HSIN Next Generation technology architecture - but without resolving the issue of duplicative and redundant systems and developing and implementing sound management procedures it may not matter. For if the end users /partners do not feel that they were fully engaged in providing input into the technology solution for their day to day operational and crisis needs - as is the case with the current HSIN system - the end users may feel disenfranchised and select not to use it.

Recommendation:

- The White House Homeland Security Council, the Secretary of DHS, the Attorney General and the Director of National Intelligence should meet to resolve and layout the strategy for merging/eliminating redundant domestic intelligence and information sharing systems and to establish a deep and trusting relationship between DHS, DOJ and the ODNI PM-ISE. At a minimum, quarterly in-progress reviews should be provided to this Principals Committee on the implementation of their guidance by a Deputies Committee or a Policy Coordination Committee. Anything less than Principal involvement will result in more of the same
- The Secretary of DHS should meet with DHS Principals to resolve and layout a strategy for merging/eliminating redundant DHS intelligence and information sharing systems. At a minimum quarterly in-progress reviews should be provided to the DHS Secretary on the

implementation of his guidance by DHS Principals. Anything less than Principal involvement will result in more of the same

- The outreach initiative needs to be immediately and fully resourced and implemented to gather and vet user requirements upon which HSIN Next Generation should be developed
- Technical and operational fixes to the current HSIN system should be made as a stop gap while developing a plan to implement HSIN Next Generation
- No further funds should be expended for HSIN Next Generation except for the development and vetting of a cohesive business plan and implementation of a sound requirements generation and vetting process until the above deficiencies are rectified.

**HSINAC CONCERN:**

It is the concern of the HSINAC that the four strategic recommendations provided by the council at its first meeting (Oct 31/Nov 1) and were approved for exploration by the Acting Deputy Secretary of DHS (March 14, 2008), are still in an "exploratory" status as of the last in-person HSINAC meeting (July 31-August 1, 2008). The HSINAC requests regular and specific in-progress reviews by assigned points of contact on each and every recommendations submitted by the HSINAC at all future meetings for the Committee to determine its effectiveness.