



United States
Department of Homeland Security

Transition Plan
for the 2008/2009 Change in Administration

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Enclosures

Enclosure 1: Executive and Legislative Authorities regarding presidential transitions – Includes the Presidential Transition Act of 1963, as amended, Homeland Security Act of 2001, as amended, and Executive Order 13476 of October 9, 2008, *Facilitation of a Presidential Transition*.

Enclosure 2: Recommendations from the National Academy for Public Administration (NAPA) Report on *Addressing the 2009 Presidential Transition at the Department of Homeland Security* (June 2008)

Enclosure 3: Suggestions from the Council for Excellence in Government (CEG) – Describes the suggestions and recommendations from a series of panels and presentations given by the Council for Excellence in Government.

Enclosure 4: DHS Succession Order -- Provides the most up-to-date succession order of key departmental positions.

Enclosure 5: Training and Exercise Information -- Describes the transition-related exercises and training activities planned for senior career officials and incoming political appointees.

Enclosure 6: Political Senior Executive Service Positions Requiring Security Clearances -- Provides the number of senior political SES positions that require security clearances.

Enclosure 7: Major Milestone of DHS Transition Planning Efforts – Documents in chart format the progress made and milestones achieved on the four fronts of DHS's transition efforts.

Introduction

In January 2009, the Federal Government will undergo a transition from one Administration to the next. History suggests that terrorists seek opportunities to take advantage of real or perceived weakness in the months proceeding and following national elections. Any vulnerability resulting from extended vacancies in political positions and changes in leadership for key Department of Homeland Security (DHS) operating units—particularly when combined with terrorist motives to affect the outcome of the election or the success of the newly elected administration—could substantially increase the risk that a terrorist attack will be attempted in the United States.

At DHS, we are doing everything necessary to ensure we are prepared for the upcoming presidential transition and that there will be no gaps in our leadership team, planning efforts, or mission success. The Transition process will also facilitate sound project planning, functional processes, and organizational alignment. Recognizing the potential for increased risk at any time from the start of the general election contest through the post-inauguration period, DHS determined it must have in place a cadre of leaders who are familiar with the Department, its authorities, and the roles and responsibilities for incident management, particularly with respect to working with other Federal Government partners, State and local governments, the private sector and non-government organizations. Additionally, as quickly as possible, the appointees of the new administration must be equipped with the resources needed to fulfill their day-to-day duties, as well as those added responsibilities attendant to a national incident.

Given DHS's vital mission to lead the unified national effort to secure the country and preserve our freedoms, it is paramount that DHS efficiently and effectively accomplish its missions. Because this is the first transition for DHS, many stakeholders are closely monitoring the progress of the Department in its transition preparation efforts. Indeed, collaborative relationships and open communications with many of these stakeholders, including the American public, Congress, the private sector, State and local governments, other Federal entities and foreign partners, are essential to the accomplishment of the DHS mission.

DHS will aggressively prepare for the facilitation of a seamless transition from one presidential administration to the next. A DHS Presidential Transition Team will oversee a comprehensive transition effort covering four major fronts: 1) Internal Processes, 2) Briefing Materials, 3) Training and Exercises, and 4) Strategic Communications and Outreach. We will also take steps to document and archive decisions made, lessons learned, and other best practices as we embark on the Department's first presidential transition.

Authorities, Roles, and Goals

The Homeland Security Act of 2002, as amended, identified the Under Secretary for Management (USM) as the Executive Lead for Transition. USM will distribute a guidance memorandum to Component heads requiring the identification of Component transition officers for each major office and Component.

The role of USM for Transition is to set the vision for the DHS presidential transition efforts and to lead overall transition planning efforts. In addition, that individual is charged with ensuring operational continuity through the change in presidential administration. As required, USM will name a Director of Transition for DHS. The Director will manage the day-to-day transition efforts with the support of a small Core Transition Team, made up of senior career officials detailed from around the Department. The Director will plan and coordinate the development of informational materials and facilitate briefings, training, and other orientation activities to ensure smooth transition for the new leadership.

In addition, DHS will assemble a cadre of careerists focused on transition, designated as Senior Transition Officers (STOs) and Deputy Transition Officers (DTOs), from each DHS Component. STOs and DTOs will work closely with our Core Transition Team to ensure operational effectiveness during the transition and maintain open lines of communication between the Core Transition Team and the Components.

The primary goals of the DHS presidential transition effort are to ensure operational continuity through the change of presidential administration and ensure response readiness should a national incident occur during the time of the election, inauguration, or appointment of senior officials in the new administration.

Independent, Third-Party Recommendations

In 2007, DHS engaged third-party resources to review DHS' transition planning efforts and provide further suggestions to DHS, including the National Academy of Public Administration (NAPA) and the Council for Excellence in Government (CEG). The congressionally mandated independent study conducted by NAPA, *Addressing the 2009 Presidential Transition at the Department of Homeland Security*, offers several recommendations, some of which require action from Congress and the President-Elect. Those recommendations are summarized, along with DHS's responsive actions to date, in Enclosure 2.

DHS also engaged CEG to work together with the Federal Emergency Management Agency and assist with transition training efforts for senior career officials, and facilitate the transfer of operational knowledge should a national incident occur. To guide this work, the Council established a bi-partisan panel of homeland- and national-security practitioners and experts. Through a series of panels and presentations, CEG provided numerous suggestions to assist in the transition effort. These are summarized in Enclosure 3.

DHS Transition Plan for the 2008/2009 Change in Administration

Informed by input from these reports and other sources, DHS transition efforts will advance along four fronts:

1. Internal Processes,
2. Briefing Materials,
3. Training and Exercises, and
4. Strategic Communications and Outreach.

These four fronts are graphically represented below:



Figure 1: Four Fronts of DHS Transition

From the onset, the DHS Core Transition Team will form at least one “Tiger Team” for each of the four fronts. Each Tiger Team will be led by a senior executive, generally at the Senior Executive Service-level, supported by a GS 15-level subject matter expert, who will ensure tasks are completed accurately and on time. Each Team will also incorporate additional subject-matter experts from various DHS Components. The Teams will concentrate on the work identified within the four fronts and will develop appropriate plans to meet the identified requirements.

Front 1: Internal Processes. To ensure continuity of operations throughout the transition period, DHS will ensure that necessary internal processes are well-established.

Exit Process. The exit process will ensure outgoing executives, whether career employees or political appointees receive proper check out. Exiting processes will be documented in a comprehensive “Guide for Exiting Political Appointees,” which will be communicated via Town Hall Meetings. During the Town Hall Meetings, senior executives will be briefed on ethics guidelines, records management responsibilities, and legal restrictions on seeking post-government employment. DHS will also collect equipment and property and ensure that collections are properly documented.

Onboarding. Onboarding will ensure incoming political appointees and career employees are brought into their new positions efficiently and effectively. Onboarding activities will include orientation sessions to communicate the Department’s overall mission and goals, its ability to respond to and manage incidents, and roles and responsibilities to build effective working relationships. Activities include facility tours, security processing, and Component briefings. Additionally, DHS will properly provision equipment, tools, and space.

Succession Planning. Succession planning ensures that is a cornerstone of planning for the upcoming presidential transition. A DHS succession plan will be a “living document” that will be updated prior to Inauguration and provided to the new administration in January 2009. The succession plan will document the actions described below.

- The first succession planning activity will be to identify positions critical to a smooth and effective transition (i.e. Component leadership, principals and deputies for each Component, and key positions associated with mission critical functions) and assessed risk for these positions. DHS will identify interim senior career executives to serve in an “acting” capacity for each senior political appointee and, as appropriate, for non-executive political appointees. An analysis and categorization will be completed to fill personnel gaps and to train candidates. Personnel designations and training will be completed in a timely manner.
- The second succession planning activity will involve a review of critical decision-making authorities to determine where it is appropriate to temporarily delegate decision-making authority to appropriately trained and qualified career officials during the transition period. The purpose of such delegations is to ensure that critical decision-making occurs on a consistent basis and in a timely manner.

Directives Scrub and Records Management. The Department of Homeland Security uses directives to document its policies formally. As part of the larger effort to ready the Department for the presidential administration transition, DHS will inventory its directives and identify those that could be combined or that should be revised. DHS will work to complete revisions to directives prior to inauguration of the next president. Completed directives will be available via the DHS Intranet.

Finally, we will provide incoming employees training on records management, and we will ensure exiting officials are briefed on their records management responsibilities.

Front 2: Briefing Materials. Central to our transition planning effort will be the development of a portfolio of materials for a briefing binder that will serve as a key resource to transfer knowledge to the incoming Secretary and his or her team. This binder will outline the organizational structure, authorities, key roles and responsibilities of DHS Components; budget; programs; and cross-cutting issues of the Department. A classified annex may be developed to convey information on classified processes and programs.

Additionally, a binder for the post-election transition team, known as the “Parachute Team,” will be developed with publicly available information to help inform the initial post-election transition team about the Department. Lastly, DHS will develop a document that details topics on which the new administration may want to focus during the initial months in office. This document will provide the new administration with information regarding critical issues and decision facing the Department during and after the transition timeframe.

DHS anticipates that once the members of the Parachute Team arrive, they will request additional, detailed analyses and responses regarding Department functions. The Transition Team will develop a process through which these requests are received, entered into a tracking system, and disseminated for response. Responses will be archived for ease of retrieval. This information-delivery process will enable DHS to provide accurate and complete responses in the timeliest manner possible.

In addition to transferring knowledge through the briefing binder and written responses to requests for additional information, DHS will provide verbal briefings. Content for the briefings will be extracted from existing agency documents and supplemented by other transition materials. Examples of briefing topics derived from the binder may include DHS program overviews, information on specific programs and projects, and resource management. Verbal briefings may also address the spectrum of threats and hazard scenarios facing the Department.

Front 3: Training and Exercises. The Training and Exercises effort is critical for executives acting in leadership positions and incoming appointees because it will familiarize them with the existing emergency response framework in the event of a national incident, especially during the transition period. In addition to the National and Principal Level Exercises, DHS will host a series of leadership conferences and training opportunities to prepare senior level officials, including current careerists and future appointees, for Transition. The Transition Team will prepare a robust curriculum of training opportunities in a variety of formats, including online, classroom, and “train the trainer” teams. The National Security Professional training will be a key element of the curriculum.

Throughout the Transition, DHS will offer joint workshops for incoming appointees and career leadership designed to promote collaboration and mutual understanding of the Department’s goals, objectives, mission, and vision. By fostering a collaborative relationship between appointed and career executives, the Department will be better positioned to implement those actions in a timely and efficient manner.

In addition to pre-arranged training and exercise activities, DHS will seek joint training and exercise opportunities, with partners such as U.S. Northern Command and the National Guard Bureau. A more detailed description of training and exercises appears in Enclosure 5.

Front 4: Strategic Communications and Outreach. Strategic communications and outreach is critical to a successful Transition. DHS will proactively communicate transition efforts and progress internally and externally.

Internal communications to DHS employees will figure largely into the strategic communications and outreach efforts. Messages to employees from the Secretary or USM describing the transition plan and the processes underway will both communicate the status of the transition and describe how those activities may affect them. Emphasis will be placed on ensuring the continuity of activities as well as support of the incoming Secretary and leadership. Articles in DHS's Department-wide newsletter, *DHS Today*, will reinforce those messages.

DHS will provide senior staff with a DHS transition message package, which will give them the tools and resources needed to communicate to external audiences messages regarding the upcoming transition, should they be asked during external audience meetings, events, or interviews with members of the media. A transition message package will be provided and will include the key message points and public affairs guidance.

Information will also be communicated through a variety of mechanisms and channels, such as Homeland Security Advisor calls and meetings, briefings for homeland-security stakeholders, speaking engagements by senior leadership, Congressional briefings and testimony, and private-sector outreach, including invitational roundtables and joint meetings.

Updates and information sharing will also be provided to DHS's partners and external stakeholders, such as Congress, the White House, the Homeland Security Council, other Federal Agencies, State and local governments, private-sector entities, and the Intelligence Community.

Overall, communications efforts will be designed to achieve the following:

- Alleviate concerns and address questions regarding continuity, career successors, and policy issues;
- Provide updates as the President-elect and his homeland security team are put in place, including succession information and political appointees, changes in departmental structures and Department policies;
- Continue to address concerns and issues as the administration transitions; and
- Convey assurance that partnerships will continue with major stakeholders.

A documented communication and outreach strategy that enables new senior leadership to reach out to Federal, State, and local partners shortly after they assume their positions will be an additional outcome of the strategic communications work.

DHS anticipates that several organizations will be included in the Department's outreach effort. Following is a list of some of those intended audiences:

Multi-Sector Private Organizations

- U.S. Chamber of Commerce
- National Association of Manufacturers
- National Federation of Independent Business
- Business Roundtable
- National Retail Federation
- Business Executives for National Security
- ASIS International
- International Security Managers Association
- Border Trade Alliance
- American Red Cross
- National Association of Women Business Owners
- Infraguard National
- National Safety Council
- Society of Human Resource Managers
- American Council on International Personnel
- The Heritage Foundation
- The Aspen Institute
- National Press Club
- Texas A&M
- Council for Excellence in Government
- National Academy of Public Administration

Public-Private Partnerships

- Chicago First
- Greater Houston Partnership
- Pacific Northwest Economic Region
- Partnership for Critical Infrastructure Security

Sector-Specific Associations

- American Bankers Association
- American Hotel and Lodging Association
- American Trucking Association
- PHRMA
- American Public Health Association
- Information Technology Association of America
- Travel Industry Alliance
- National Restaurant Association
- National Business Travel Association
- Terminal Corporation

State and Local Associations

- National Governors Association

- National Conference of State Legislatures
- National Association of Counties
- Council of State Governments
- National League of Cities
- United States Conference of Mayors
- International City/County Management Association
- International Emergency Management Association
- National Emergency Management Association
- International Association of Chiefs of Police
- National Sheriffs Association
- Big City Emergency Managers Forum
- Washington DC Homeland Security Roundtable
- Joint Forces Headquarters – National Capital Region

Federal Partners

- Department of Defense
- Department of Commerce
- Department of Transportation
- Domestic Readiness Group
- U.S. Northern Command
- National Guard Bureau
- General Services Administration
- Office of Management and Budget
- Government Accountability Office
- National Security Agency
- Homeland Security Advisory Council
- Office of Personnel Management – Presidential Management Fellows Program
- DHS Programs and Partners
 - Homeland Security Institute
 - DHS Fellows
 - DHS SES Candidate Program

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2^D SESSION**S. 2705****[Report No. 106-348]**

To provide for the training of individuals, during a Presidential transition, who the President intends to appoint to certain key positions, to provide for a study and report on improving the financial disclosure process for certain Presidential nominees, and for other purposes.

IN THE SENATE OF THE UNITED STATES

JUNE 8, 2000

Mr. THOMPSON (for himself, Mr. LIEBERMAN, Mr. AKAKA, Ms. COLLINS, Mr. DURBIN, Mr. LEVIN, and Mr. VOINOVICH) introduced the following bill; which was read twice and referred to the Committee on Governmental Affairs

JULY 18, 2000

Reported by Mr. THOMPSON, without amendment

A BILL

To provide for the training of individuals, during a Presidential transition, who the President intends to appoint to certain key positions, to provide for a study and report on improving the financial disclosure process for certain Presidential nominees, and for other purposes.

1 *Be it enacted by the Senate and House of Representa-*
2 *tives of the United States of America in Congress assembled,*

1 **SECTION 1. SHORT TITLE.**

2 This Act may be cited as the “Presidential Transition
3 Act of 2000”.

4 **SEC. 2. AMENDMENTS TO PRESIDENTIAL TRANSITION ACT**
5 **OF 1963.**

6 Section 3(a) of the Presidential Transition Act of
7 1963 (3 U.S.C. 102 note) is amended—

8 (1) in the matter preceding paragraph (1) by
9 striking “including—” and inserting “including the
10 following:”;

11 (2) in each of paragraphs (1) through (6) by
12 striking the semicolon at the end and inserting a pe-
13 riod; and

14 (3) by adding at the end the following:

15 “(8)(A)(i) Payment of expenses during the
16 transition for briefings, workshops, or other activi-
17 ties to acquaint key prospective Presidential ap-
18 pointees with the types of problems and challenges
19 that most typically confront new political appointees
20 when they make the transition from campaign and
21 other prior activities to assuming the responsibility
22 for governance after inauguration.

23 “(ii) Activities under this paragraph may in-
24 clude interchange between such appointees and indi-
25 viduals who—

1 “(I) held similar leadership roles in prior
2 administrations;

3 “(II) are department or agency experts
4 from the Office of Management and Budget or
5 an Office of Inspector General of a department
6 or agency; or

7 “(III) are relevant staff from the General
8 Accounting Office.

9 “(iii) Activities under this paragraph may in-
10 clude training in records management to comply
11 with section 2203 of title 44, United States Code,
12 including training on the separation of Presidential
13 records and personal records to comply with sub-
14 section (b) of that section.

15 “(iv) Activities under this paragraph may in-
16 clude training in human resources management and
17 performance-based management.

18 “(B) Activities under this paragraph shall be
19 conducted primarily for individuals the President-
20 elect intends to nominate as department heads or
21 appoint to key positions in the Executive Office of
22 the President.

23 “(9)(A) Development of a transition directory
24 by the Administrator for activities conducted under
25 paragraph (8).

1 “(B) The transition directory shall be a com-
2 pilation of Federal publications and materials with
3 supplementary materials developed by the Adminis-
4 trator that provides information on the officers, or-
5 ganization, and statutory and administrative au-
6 thorities, functions, duties, responsibilities, and mis-
7 sion of each department and agency.

8 “(10)(A) Notwithstanding subsection (b), con-
9 sultation by the Administrator with any candidate
10 for President or Vice President to develop a systems
11 architecture plan for the computer and communica-
12 tions systems of the candidate to coordinate a tran-
13 sition to Federal systems, if the candidate is elected.

14 “(B) Consultations under this paragraph shall
15 be conducted at the discretion of the Adminis-
16 trator.”.

17 **SEC. 3. REPORT ON IMPROVING THE FINANCIAL DISCLO-**
18 **SURE PROCESS FOR PRESIDENTIAL NOMI-**
19 **NEES.**

20 (a) IN GENERAL.—Not later than 6 months after the
21 date of enactment of this Act, the Office of Government
22 Ethics shall conduct a study and submit a report on im-
23 provements to the financial disclosure process for Presi-
24 dential nominees required to file reports under section
25 101(b) of the Ethics in Government Act of 1978 (5 U.S.C.

1 App.) to the Committee on Governmental Affairs of the
2 Senate and the Committee on Government Reform of the
3 House of Representatives.

4 (b) CONTENT OF REPORT.—

5 (1) IN GENERAL.—The report under this sec-
6 tion shall include recommendations and legislative
7 proposals on—

8 (A) streamlining, standardizing, and co-
9 ordinating the financial disclosure process and
10 the requirements of financial disclosure reports
11 under the Ethics in Government Act of 1978 (5
12 U.S.C. App.) for Presidential nominees;

13 (B) avoiding duplication of effort and re-
14 ducing the burden of filing with respect to fi-
15 nancial disclosure of information to the White
16 House Office, the Office of Government Ethics,
17 and the Senate; and

18 (C) any other relevant matter the Office of
19 Government Ethics determines appropriate.

20 (2) LIMITATION RELATING TO CONFLICTS OF
21 INTEREST.—The recommendations and proposals
22 under this subsection shall not (if implemented)
23 have the effect of lessening substantive compliance
24 with any conflict of interest requirement.

1 (c) AUTHORIZATION OF APPROPRIATIONS.—There
2 are authorized to be appropriated such sums as may be
3 necessary to carry out this section.

Enclosure 1: Executive and Legislative Authorities Regarding Presidential Transitions (cont)

SEC. 2405. UNDER SECRETARY FOR MANAGEMENT OF DEPARTMENT OF HOMELAND SECURITY.

(a) Responsibilities- Section 701(a) of the Homeland Security Act of 2002 (6 U.S.C. 341) is amended--

(1) by inserting `The Under Secretary for Management shall serve as the Chief Management Officer and principal advisor to the Secretary on matters related to the management of the Department, including management integration and transformation in support of homeland security operations and programs.' before `The Secretary';

(2) by striking paragraph (7) and inserting the following:
` (7) Strategic management planning and annual performance planning and identification and tracking of performance measures relating to the responsibilities of the Department.'; and

(3) by striking paragraph (9), and inserting the following:

` (9) The management integration and transformation process, as well as the transition process, to ensure an efficient and orderly consolidation of functions and personnel in the Department and transition, including--

` (A) the development of a management integration strategy for the Department, and

` (B) before December 1 of any year in which a Presidential election is held, the development of a transition and succession plan, to be made available to the incoming Secretary and Under Secretary for Management, to guide the transition of management functions to a new Administration.'

Enclosure 1: Executive and Legislative Authorities Regarding Presidential Transitions (cont)



For Immediate Release
Office of the Press Secretary
October 9, 2008

Executive Order: Facilitation of a Presidential Transition

By the authority vested in me as President by the Constitution and the laws of the United States of America, including section 7301 of title 5, United States Code, and the Intelligence Reform and Terrorism Prevention Act of 2004 (Public Law 108-458) (IRTPA), and in order to further the purposes of the Presidential Transition Act of 1963, as amended, and to assist the presidential transition, it is hereby ordered as follows:

Section 1. Presidential Transition Coordination. (a) To assist and support the transition efforts of the transition teams for the "major party" "candidates," as those terms are used in the IRTPA and defined in section 9002(2) and (6) of the Internal Revenue Code of 1986 (26 U.S.C. 9002(2), (6)), and the President-elect, there is established a Presidential Transition Coordinating Council (Council).

(b) The Council shall be composed of the following officials or their designees:

- (i) Chief of Staff to the President, who shall serve as Chair;
- (ii) Assistant to the President and Deputy Chief of Staff for Operations, who shall serve as Vice Chair;
- (iii) Assistant to the President and Deputy Chief of Staff for Policy;
- (iv) Counsel to the President;
- (v) Assistant to the President for Presidential Personnel;
- (vi) Assistant to the President for National Security Affairs;
- (vii) Assistant to the President for Homeland Security and Counterterrorism;
- (viii) Assistant to the President for Economic Policy and Director, National Economic Council;
- (ix) Attorney General;
- (x) Director of National Intelligence;
- (xi) Director of the Office of Management and Budget;
- (xii) Director of the Office of Personnel Management;
- (xiii) Administrator of General Services;

(xiv) Archivist of the United States;

(xv) Director of the Office of Government Ethics; and

(xvi) Such others as the President or the Chair of the Council may select.

(c) The Council shall assist the major party candidates and the President-elect by making every reasonable effort to facilitate the transition between administrations. This assistance may include, among other things, providing information relevant to facilitating the personnel aspects of a presidential transition and such other information that, in the Council's judgment, is useful and appropriate, as long as providing such information is not otherwise prohibited by law.

(d) In order to obtain a wide range of facts and information on prior transitions and best practices, the Council, its members, or their designees may, from time to time, seek information from private individuals, including individuals within outside organizations, who have significant experience or expertise in presidential transitions. The Council, its members, or their designees shall endeavor to obtain such facts and information from individuals representing a range of bipartisan or nonpartisan viewpoints. If the Council, its members, or their designees find it necessary to seek advice from private individuals or outside organizations, such counsel should be sought in a manner that seeks individual advice and does not involve collective judgment or deliberation.

(e) It shall be the policy of the Council to provide appropriate information and assistance to the major party candidates on an equal basis and without regard for party affiliation.

Sec. 2. Transition Activities and Materials. (a) At the direction of the Council or its designee(s), the Administrator of General Services shall coordinate orientation activities with the appropriate agencies, including the Office of Government Ethics and the Office of Personnel Management, for key prospective presidential appointees.

(b) At the direction of the Council or its designee(s), the White House Office of Presidential Personnel shall supplement as appropriate and necessary the electronic record of all title 5 presidentially appointed positions provided by the Office of Personnel Management to the major party candidates pursuant to section 8403(b) of IRTPA.

(c) The Suitability and Security Clearance Performance Accountability Council shall coordinate with the Council when performing those functions authorized by Executive Order 13467 of June 30, 2008, that are necessary to assist in transition-related activities.

(d) At the direction of the Council or its designee(s), executive departments and agencies shall prepare a set of briefing materials for new political appointees before the inauguration of the President-elect. The current Administration shall work with the incoming transition team to provide copies of all such materials.

(e) At the direction of the Council or its designee(s) and consistent with the Presidential Transition Act of 1963, as amended, the Administrator of General Services, in consultation with the Archivist of the United States and other appropriate agencies, shall develop a Transition Directory. This directory shall include Federal publications and other materials that provide information on each executive department and agency.

Sec. 3. Transition Agreements. To assist and support the transition, transition agreements between the White House or appropriate executive branch departments and agencies and the transition teams for the major party candidates and the President-elect will be entered into, as necessary, regarding transition procedures and identification of transition contacts.

Sec. 4. General Provisions. (a) In order to take appropriate account of the transition reforms made by IRTPA and to further update and clarify the presidential transition process, this order supersedes Executive Order 13176 of November 27, 2000.

(b) Nothing in this order shall be construed to impair or otherwise affect:

(i) authority granted by law to a department or agency, or the head thereof; or

(ii) functions of the Director of the Office of Management and Budget relating to budget, administrative, or legislative proposals.

(c) This order is intended only to facilitate the transition and is not intended to, and does not, create any right or benefit, substantive or procedural, enforceable at law or in equity, by any party against the United States, its agencies, instrumentalities, or entities, its officers, employees, or agents, or any other person.

(d) Unless extended by the President, this order shall expire on February 20, 2009.

GEORGE W. BUSH

THE WHITE HOUSE,

October 9, 2008.

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Enclosure 2: Recommendations from the National Academy for Public Administration

No.	Recommendation	Status	Comments
1	Appoint a <u>full-time</u> Transition Director reporting to the Under Secretary (or Deputy) for Management and responsible and accountable for the complete and timely implementation of the transition plan	Completed	DHS appointed Rear Admiral John C. Acton, U.S. Coast Guard (Retired), as Transition Director effective July 2008. He will serve as the Transition Director through Summer 2009.
2	Develop a <u>comprehensive transition plan</u> that sets forth objectives, goals and milestones for each initiative and transition training, and ensures overall coordination of transition activities	Completed	Version 1.0 is complete. We will continue to refine and evolve the plan.
3	Enhance and continue to refresh existing DHS transition initiatives, specifically: <ul style="list-style-type: none"> a) Develop an order of succession for the Deputy Secretary b) Complete implementation and address component disagreements with the Operational Coordination Initiative c) Analyze and complete the critical position database and develop action plans to ensure information in the critical position database is used. 	Completed	<p>a) The recent Delegation 0106 addresses this recommendation.</p> <p>b) The implementation of the new Office of Operations Coordination and Planning is complete. Among its other responsibilities, this component is responsible for the strategy and guidance associated with the period of heightened alert.</p> <p>c) The critical position database has been updated twice since the initial version was provided to NAPA. Given the dynamic nature of workforces in general, the database will never be static ("complete" per se). The information contained in the succession planning for critical positions database is used primarily by components as they ensure capable talent exists to backfill critical positions. Secondly, the information is used to help determine which DHS employees should received training in incident management.</p>
4	Identify specific key high-level non-career executive positions for which leadership continuity is critical, consistent with the Intelligence Reform and Terrorism Prevention Act. The act called for early identification of individuals for the Deputy and Under Secretary positions by the incoming administration. At DHS, this would comprise the Deputy Secretary, Under Secretary for the National Protection and Programs Directorate, Under Secretary for Intelligence and Analysis, Under Secretary for Management, and Under Secretary for Science and Technology—all positions located in DHS' headquarters. It would also include the Administrator of FEMA. However, as discussed in Chapter 5, the Academy Panel believes that other positions also may be critical, including the heads of the major operational agencies.	Completed	DHS has developed a top-level org chart. While it also contains some career positions at component leadership levels (e.g., USCG, USSS, and FLETC), it indicates the top level of executive non-career positions, as well as some non-head-of-component positions (e.g., CFO) that should be considered for leadership continuity.
5	Develop an overall plan to ensure that qualified executives are responsible for the duties and responsibilities of all non-career executive positions as they are vacated during the transition period, and to fill current executive vacancies on a timely basis. The focus	Completed	The recent Delegation 0106 addresses this recommendation.

	should be on critical non-career positions.		
6	Develop a comprehensive transition training plan that specifies the objectives, time frames, and participants, required resources for various individual training programs under development and officials accountable for each training effort	Completed	The Training Charter has been promulgated and a Concept Plan (CONPLAN) has been completed. DHS began the transition education/training effort in Feb08 with an off-site workshop in Cambridge, MD to increase cross-departmental knowledge. Follow-on training to increase incident management awareness among careerists who may be in acting positions was conducted at the Federal Law Enforcement Training Center (FLETC) in Glynco, GA in May08. Training participants were identified by using Delegation 0106 and the critical positions succession planning database. Similarly succession information was used to identify participants for an Incident Management seminar held in Sept08. The training plan has evolved to become a multi-module curriculum.
7	Implement on-schedule transition training for career executives who may serve in "acting" roles and new career executives; ensure that training and joint exercises begin no later than Summer 2008.	On-going	DHS has already held extensive training off-sites at Cambridge, MD (Feb08); at FLETC in Glynco, GA (May08); and at Herndon, VA (Sep08). An Incident Management workshop is planned for mid-November. This training effort will continue through Jun09, and will leverage the series of exercises currently scheduled in the National Exercise Program. This substantial exercise effort will be augmented by a curriculum of online and classroom training delivered by the Emergency Management Institute (EMI) and U.S. Northern Command, among others.
8	Offer other departments with homeland security responsibilities information and guidance with respect to plans and preparations it has made for transition training. There must be collaboration and sharing on training career and non-career executives to prevent and respond to national incidents during the transition. There also could be opportunities for collaboration with regard to executive staffing needs through the use of details and joint duty assignments.	Completed	The DHS Transition Team has met and collaborated with federal partners such as the Department of Transportation (DoT) and the FAA, the Department of Defense (DoD and NORTHCOM), Department of State, Department of Commerce, Health and Human Services (HHS), the Homeland Security Council (HSC), GSA, GAO, OMB and the National Capital Region (NCR). That effort is continuing with the state and local level, and with private industry. Joint training and exercise opportunities are being actively coordinated. In late September, OMB hosted the first

			Agency Transition Coordination meeting, which will afford an ideal opportunity to enhance collaboration for joint training and exercises.
9	Develop an evaluation plan for transition training; obtain participant reactions to and suggestions for the training; measure what participants have learned through pre- and post-tests.	Completed	DHS used extensive participant surveys to gauge effectiveness of its leadership off-sites and to seek recommendations for improvement. For the Transition Leadership Training Workshop, DHS engaged the Homeland Security Institute (HSI), its Federally-Funded Research and Development Center (FFRDC), to conduct an evaluation based on participant feedback and independent observations.
10	Ensure that the allocation of SES positions adequately considers field executives needed, especially given the increased responsibility in the border protection and immigration missions at ICE, CBP and CIS. Consider using some of its current SES allocations—(b)(5) —to help meet this need. In addition, any additional requests for SES positions should include an appropriate number of field positions.	On-going	The Department has been working to reduce the number of vacant positions and, as of 24 Oct 2008, the number of vacant executive resources positions had been lowered to 90. All executive positions are currently allocated and the Deputy Secretary is directly involved in reviewing requests for changes to existing allocations and in reviewing requests for new allocations. The Department supports the addition of SES positions where appropriate, including additional positions in the field, and is working with the components to identify such positions. (b)(5)
11	Fill more FEMA executive positions with career executives to foster increased leadership continuity and expertise, especially the Regional administrator position. For some PAS and PA positions, this will require working with the Administration and Congress to revise the legislative requirements for these positions	On-going	The Department is preparing to conduct a comprehensive, Department-wide assessment of its executive resource needs by the end of the calendar year, which will examine existing executive resources

			as well as new and emerging needs. It will also provide an opportunity to assess the balance of field and headquarters allocations, and provide an opportunity to review the designation of executive resources to determine if they should be identified as career reserved positions (only filled by career appointees) or as a general positions. At the end of the assessment, if it is determined that additional resources are needed in the Department, a request will be sent through the proper channels for action.
12	Ensure that vacant SES positions are filled as quickly as possible, especially those most critical to crisis prevention and management as identified in the updated critical position database. In addition, new DHS executive appointments need to enhance executive diversity.	On-going	DHS is eager and committed to filling key vacancies quickly. At the time of the NAPA report, our vacancy rate for all executive resources positions was 18%. As of October 24, the vacancy rate had dropped to 11%. With regard to diversity, we are working to increase the diversity of applicant pool and of selection committees.
13	(b)(5)	Not Applicable	This recommendation applies to the White House
14	DHS work with relevant agencies to ensure background investigations are conducted and security clearances are granted to homeland security transition team officials	On-going	The DHS Security Office has identified suitability examinations for incoming transition team members as a high priority and stands at the ready to complete them rapidly.
15	(b)(5)	Not Applicable	This recommendation applies to the President-elect and Congress
16	(b)(5)	Not Applicable	This recommendation applies to the President-elect

17	<p>DHS ensure that transition training occurs for potential executive appointees which includes:</p> <ul style="list-style-type: none"> a) activities to build trust between career executives and new appointees b) joint exercises related to homeland security crisis management with existing non-career and career executives c) orientation to the department, administrative matters and ethical requirements 	Planned	<ul style="list-style-type: none"> a) Post-inauguration exercises will include new appointees and career executives. b) DHS senior leadership off-sites in February and May brought together both non-career and career executives. c) The onboarding process will address orientation, administrative matters and ethical requirements.
18	<p>As directed by the White House, DHS plan and implement a comprehensive scenario exercise with agency partners, state and local governments and the private sector to be conducted early in the new Administration</p>	Planned	<p>JAN '09 – Principal level exercise (IED). APR '09 - Principal level exercise (Major Hurricane). JUL '09 - Principal level exercise (International Terrorism).</p>
19	<p>Continue joint training and exercises related to homeland security crisis management with career executives and new appointees/nominees to strengthen their operational knowledge and build a culture of trust between career executives and new appointees</p>	Planned	<p>An Incident Management Table-top exercise has been developed for repeated scheduling. Post-inauguration exercises will include new appointees and career executives.</p>
20	<p>As noted in recommendation 18, conduct a comprehensive scenario exercise early in the new Administration. This capstone activity will provide a real-time evaluation of the effectiveness of transition planning, training and overall operational readiness</p>	Planned	<p>As noted in comments 18 and 19, several exercises are planned for the transition and early in the administration. These will be followed by National Level Exercise 09 which is planned for July 2009.</p>
21	<p>Promote leadership continuity and develop a strong working bond between political and career executives; work with the executive branch and Congress to continue filling several non-career positions with career appointees, including:</p> <ul style="list-style-type: none"> a) all deputy or similar "second-in-charge" b) various FEMA positions, including all Regional Administrators other executives identified by DHS, including the Chief Financial Officer, Chief Human Capital Officer, and Director of the Interagency Programs Division in Science and Technology. 	On-going	<p>DHS is one of six departments with the lowest percent of non-career executives. In October 2007, DHS refined successor lists for each component head position. As part of succession planning efforts, DHS identified at least one backup, and sometimes two or three for each component head position. As part of transition readiness, jobs formerly held by political appointees have been filled by career appointees. Examples include the appointment of Jayson Ahern as Deputy Commission at CBP and Gale Rossides as Deputy Administrator at TSA.</p> <p>As stated in the NAPA report, a number of Regional Administrator positions at FEMA have already been converted from non-career to career. The Region IX Administrator is a senior career executive (b)(6) [redacted] to stand in readiness to serve as the acting head of FEMA as political appointees depart. At the Domestic Nuclear Detection Office, the Deputy</p>

			Director is a long-time career civil servant who will serve as the acting Director should the director position become vacant. At the National Protection and Programs Directorate, the chief operating officer is the senior career executive who will become acting director.
22	(b)(5)		Not Applicable N/A. This is a policy decision for DHS Leadership.

Enclosure 3: Suggestions from the Council for Excellence in Government

No.	Recommendation	Status	Comments
1	Ensure critical roles, responsibilities and protocols are understood, executed and coordinated by federal agencies, state and local governments, and appropriate private sector leaders.	On-going	Internally, DHS Careerists and Incoming appointees will receive training on roles, responsibilities, and protocols. Additionally, DHS will lead a number of Interagency exercises through the FEMA National Exercise Program. DHS will participate in state in local government exercise (b)(5) [redacted] and will invite state, local and private sectors to DHS exercises. Additionally, through NIMS, DHS enables state and local government incident management readiness.
2	Utilize emergency response framework, including scenario response mapping of roles and responsibilities, provided by CEG, to use in training workshops for career leaders in critical positions and new appointees in 2009.	On-going	The first such workshop was delivered September 15, 2008. Next workshop is planned for mid-November and additional workshops will follow.
3	Incorporate guidelines and templates provided by CEG that specify roles, responsibilities and operational procedures to mitigate risks and ensure turnkey operations during the transition period.	On-going	The roles, responsibilities, and operational procedures guidelines and templates developed by CEG will be distributed widely through DHS.
4	Incorporate CEG course curricula, material, and interactive workshops for acting career officials, transition leaders and incoming appointees.	On-going	The first workshop was delivered September 15, 2008. Next workshop is planned for mid-November and additional workshops will follow.

Enclosure 4: Succession Order and Order for Delegation (as of October 31, 2008)

Component/Position Incumbent

U.S. Coast Guard		
Commandant	Admiral Thad W. Allen	S
Vice Commandant*	Vice Admiral Vivien Crea	C
Chief of Staff	Vice Admiral Cliff Pearson	C
Commander, Pacific Area	Vice Admiral David Pekoske	C
Commander, Atlantic Area	Vice Admiral Bob Papp	C
Federal Emergency Management Agency		
Administrator	R. David Paulison	S
Deputy Administrator and Chief Operating Officer*	Harvey E. Johnson	S
Deputy Administrator, National Preparedness	Dennis R. Schrader	S
Associate Deputy Administrator	Robert Shea	C
Director, Office of Policy & Planning Analysis	Marko Bourne	N
Region V Administrator	Edward G. Buikema	N
Region VI Administrator	William Peterson	N
Region VII Administrator	Richard Hainje	N
Region IX Administrator	Nancy Ward	C
Region I Administrator	Arthur Cleaves	N
U.S. Secret Service		
Director	Mark Sullivan	C
Deputy Director	Keith Prewitt	C
Assistant Director, Administration	Lisa Riley	C
Assistant Director, Protective Operations	Nicholas Trotta	C
Assistant Director, Investigations	Michael Merritt	C
Assistant Director, Protective Research	Paul Morrissey	C
Assistant Director, Human Resources and Training	Alvin Smith	C
Assistant Director, Professional Responsibility	George Luczko	C
Assistant Director, Government and Public Affairs	Michael Stenger	C
Immigration and Customs Enforcement		
Assistant Secretary	Julie Myers	S
Deputy Assistant Secretary, Operations*	John Torres	C
Director, Office of Investigations	Marcy Forman	C
Director, Office of Detention & Removal Operations	James Hayes	C
Director, Office of the Principal Legal Advisor	Michael Neifach	N
Deputy Assistant Secretary, Management	Theresa C. Bertucci	C
U.S. Citizenship and Immigration Services		
Director	Vacant	S
Deputy Director*	Jonathan Scharfen	N
Associate Director, Domestic Operations	Michael Aytes	C
Associate Director, National Security & Records Verification	Gregory B. Smith (Acting)	C
Chief Financial Officer	Rendell Jones	C
Director, New York District	Andrea Qurantillo	C

* = First Assistant, pursuant to the Federal Vacancy Reform Act
 S = Presidential Appointee with Senate Confirmation
 P = Presidential Appointee G=Gener
 N = Non-Career SES or Schedule C
 C = Career

L= Limited term appointee
 T = Scientific Professional
 al

Component/Position Incumbent

U.S. Customs and Border Protection		
Commissioner	Ralph Basham	S
Deputy Commissioner*	Jayson Ahern	C
Chief, Border Patrol	David Aguilar	C
Assistant Commissioner, Field Operations	Thomas Winkowski	C
Assistant Commissioner, Air and Marine	Michael Kostelnik	C
Director, Field Operations, New York	Robert Perez	C
Sector Chief, El Paso	Victor Manjarrez	C
Director, Field Operations, Houston	Jeffrey Baldwin	C
Sector Chief, Tucson	Robert Gilbert	C
Sector Chief, San Diego	Michael Fisher	C
Director, Field Operations, Miami	Harold Woodward	C
Transportation Security Administration		
Assistant Secretary / Administrator	Edmund (Kip) Hawley	S
Deputy Administrator*	Gale Rossides	C
Assistant Administrator, Office of Transportation and Sector Management	John Sammon	L
Assistant Administrator, Office of Security Operations	Morris McGowan	C
Assistant Administrator, Office of Law Enforcement/ Federal Air Marshal Service	Robert Bray	C
Federal Security Director, Los Angeles International Airport	Lawrence Fetters	C
Federal Security Director, Orlando International Airport	Lee Kair	C
Management		
Under Secretary	Elaine Duke	S
Deputy Under Secretary*	Vacant	C
Chief Financial Officer	David L. Norquist	S
Chief Information Officer	Richard Mangogna	P
Chief Human Capital Officer	Thomas Cairns	P
Chief Procurement Officer	Thomas Essig	C
Chief Administrative Officer	Donald G. Bathurst	C
Chief Security Officer	Jerry Williams	C
Science and Technology		
Under Secretary	Jay M. Cohen	S
Deputy Under Secretary*	Bradley Buswell	C
Director, Transition Division	Rich Kikla	C
Director, Interagency Programs Division	Randal Zeller	L
Director, Innovation Division	Roger McGinnis	C
Division Head, Explosives Division	James Tuttle	C
Division Head, Borders & Maritime Security Division	Anh Duong	C
National Protection and Programs Directorate		
Under Secretary	Robert Jamison	S
Deputy Under Secretary*	Scott Charbo	P
Chief Operating Officer for NPPD	Vacant	C
Assistant Secretary, Infrastructure Protection	Robert Stephan	P
Assistant Secretary, Cybersecurity & Communications	Gregory Garcia	N
Director for US-VISIT	Robert Mocny	C
Director of Resource Administration for NPPD	Michael Capps	C
Deputy Assistant Secretary, Infrastructure Protection	Vacant	C
Deputy Assistant Secretary for Cyber Security and Communications	Michael A. Brown	C
Deputy Director for US-VISIT	Shonnie Lyon	C
Office of Policy		
Assistant Secretary	Stewart Baker	S
Principal Deputy Assistant Secretary*	Paul Rosenzweig	N

Component/Position Incumbent

Assistant Secretary, Policy Development	Richard Barth	N
Assistant Secretary, International Affairs	Carol Haave	N
Assistant Secretary, Private Sector	Alfonso Martinez-Fonts	N
Assistant Secretary, State and Local Law Enforcement	Ted Sexton	L
Deputy Assistant Secretary (Screening Coordination)	Kathleen Kraninger	L
Deputy Assistant Secretary (Strategic Plans)	Alan Cohn	C
Executive Director, Homeland Security Advisory Council	Jeffrey Stern	N
Director, Office of Immigration Statistics	Michael Hoefler	C
Office of Intelligence and Analysis		
Under Secretary, Chief Intelligence Officer	Charles E. Allen	S
Deputy Under Secretary*	Roger Mackin	C
Deputy Under Secretary, Operations	Chet Lunner	C
Assistant Deputy Under Secretary, Intelligence	Mary Connell	C
Assistant Deputy Under Secretary, Mission Integration	James Chaparro	C
Office of Operations Coordination		
Director	Roger T. Rufe, Jr.	L
Deputy Director	Robert Cohen	C
Director, National Operations Center	Frank DiFalco	C
Chief of Staff (Acting)	Rachel Canty	C
Director, Incident Management & Interagency Planning	Richard Burke	C
Office of Health Affairs		
Assistant Secretary (Acting) and Chief Medical Officer	Jon Krohmer, M.D.	S
Principal Deputy Assistant Secretary, Deputy Chief Medical Officer*	Til Jolly, M.D.	C
Chief of Staff and Director of Operations	Steve Lenkart	C
Deputy Assistant Secretary for WMD & Biodefense	Robert Hooks	C
Associate Chief Medical Officer for Medical Readiness (Acting)	Terry Adirim, M.D.	C
Federal Law Enforcement Training Center		
Director	Connie L. Patrick	C
Deputy Director	D. Kenneth Keene	C
Assistant Director, Training	Mark Fallon	C
Assistant Director, Field Training	Cynthia J. Atwood	C
Assistant Director, Training Innovation & Management	Michael Hanneld	C
Assistant Director, Administration	Marcus Hill	C
Assistant Director, Chief Financial Officer	Alan Titus	C
Assistant Director, Chief Information Officer	Sandy Peavy	C
Senior Associate Director, Washington Operations	John C. Dooher	C
Domestic Nuclear Detection Office		
Director	Vayl Oxford	P
Deputy Director	Charles Gallaway	C
Assistant Director, Mission Management	Huban Gowadia	C
Assistant Director, National Technical Nuclear Forensics Center	William Daitch	C
Assistant Director, Transformational & Applied Research	William Hagan	C
Assistant Director, Product Acquisition & Deployment	Ernest Muenchau	C

Component/Position Incumbent

Component/Position Incumbent

Office of the General Counsel		
General Counsel	Vacant	S
Principal Deputy General Counsel*	Gus P. Coldebella	N
Deputy General Counsel, Career	Joseph B. Maher	C
Associate General Counsel, General Law	Vacant	G
Associate General Counsel, Legal Counsel	Mark Patton	N
Associate General Counsel, Regulations	Mary Kate Whalen	C
Chief Counsel, TSA	Francine Kerner	C
Director of Field Legal Operations, West/ICE OPLA	William B. Odencrantz	C
Office of Legislative Affairs		
Assistant Secretary	Lee Morris	N
Deputy Assistant Secretary, Operations	James Howe	C
Deputy Assistant Secretary, Senate Liaison	Vacant	G
Deputy Assistant Secretary, House Liaison	Jeffrey Sural	N
Director, Intelligence & Analysis/Operations	Christopher Guilford	N
Director, National Protection & Programs Directorate	David Hess	C
Office of Public Affairs		
Assistant Secretary	J. Edward Fox	N
Deputy Assistant Secretary for Media Relations	William (Russ) Knocke	N
Deputy Assistant Secretary for Public Affairs	Kathleen Montgomery	N
Director, Incident Communications	Jeff Karonis	C
Office of Inspector General		
Inspector General	Richard L. Skinner	S
Deputy Inspector General*	James L. Taylor	C
Deputy Inspector General for Emergency Management Oversight	Matt Jadacki	C
Counsel to the Inspector General	Richard N. Reback	C
Assistant Inspector General, Audits	Anne Richards	C
Assistant Inspector General, Investigations	Thomas Frost	C
Citizenship and Immigration Services Ombudsman		
Ombudsman	Michael Dougherty	N
Deputy	Luke Bellocchi	N
Chief of Staff	Richard Flowers	C
Chief, Policy	Wendy Kamenshine	C
Chief, Intake Evaluations & Problem Resolution	James Reaves	C
Chief Privacy Officer		
Chief Privacy Officer, Chief Freedom of Information Act Officer	Hugo Teufel III	N
Deputy Chief Privacy Officer, Privacy	John W. Kropf	C
Deputy Chief FOIA Officer, Freedom of Information Act	Catherine Papoi	C
Senior Advisor	Toby Levin	C
Civil Rights and Civil Liberties		
Civil Rights and Civil Liberties Officer	Daniel W. Sutherland	P
Deputy Officer, Programs and Compliance	Timothy Keefer	C
Deputy Officer, Equal and Employment Opportunity Programs	Stephen Shih	C
Executive Officer	Matt Konieczny	C
Office of Counternarcotics Enforcement		
Director	Uttam Dhillon	S
Chief of Staff*	John L. Leech	C
Principal Asst Director	Scott Chronister	C

Enclosure 5: Training and Exercises

DHS Leadership Conference, February 19 – 21, 2008

The DHS Leadership Conference will provide attendees opportunities to interact, discuss, and participate in presentations and demonstrations aimed at increasing understanding of the ways the Department fulfills its mission. Senior leaders, primarily career executives, will be presented examples of front-line collaboration between Department Components and other agencies to bring greater effectiveness to homeland security programs.

DHS Transition Readiness Conference, May 13 – 15, 2008

The purpose of this three-day conference will be to broaden the perspectives of the Department's senior career leaders about the multiple missions of the Department: prevent, protect, respond and recover. The Federal Law Enforcement Training Center (FLETC) will host the event. The conference will help participants gain an understanding of how DHS Components operate on a daily basis and build relationships that will be critical during a crisis. The Conference will include an incident management exercise for career leaders run by the National Exercise Program. The Conference will convey foundational knowledge of the Department including an understanding of Homeland Security Presidential Directives, the National Response Framework (NRF), the National Homeland Security Strategy, and the legal authorities for the Departments activities.

Transition Leadership Training Workshop, September 15, 2008

The Transition Leadership Training Workshop will increase participants' understanding of the structure of Federal incident management; the roles and responsibilities of principal actors in prevention, protection, mitigation, response, and recovery; and the key points of coordination and information sharing at the intradepartmental, interagency, local, State, private sector, and nongovernmental organization levels. Subject matters addressed will include:

- The authorities outlined in Homeland Security Presidential Directive (HSPD) 5 and HSPD 8, and the implications of these directives for incident response.
- The roles, responsibilities, and actions described in the National Response Framework, including: officials such as the Principal Federal Official and Federal Coordinating Officer who are designated for a specific incident; the role of the National Operation Center and National Response Coordination Center; the establishment and organizational structure of a Joint Field Office; and the trigger points and process for activating Emergency Support Functions.
- The process for activating the Stafford Act when State and local resources are overwhelmed by an incident.
- The Crisis Action process, including the role of the Secretary's office and key decision support functional offices.
- The interagency coordination process in a response, including the roles of the Homeland Security Council and National Security Council.
- The trigger points and authorities for activating the National Guard, and other parts of the Department of Defense, to aid with a response.

Man-Portable Air Defense Systems Threat Senior Official Exercise, September 16, 2008

The purpose of the Man-Portable Air Defense Systems (MANPADS) Threat Senior Official Exercise will be to provide senior Federal officials an interagency forum to examine the MANPADS threat against civil aviation and the strategic implications if such an attack were to occur. It will also serve as a validation of the draft Interagency MANPADS Strategic Concept of Operations Plan.

The MANPADS exercise will promote discussion revolving around a series of scenario vignettes encouraging the participants to make decisions according to current plans, protocols, and procedures. The exercise will emphasize prevention coordination, resource allocation, as well as restoration and recovery issues for the National Airspace System.

Nuclear Radiological Principal Level Exercise, September 30, 2008

This interagency exercise will be conducted by FEMA, National Preparedness Directorate, National Exercise Division, in support of the National Security Council and the Homeland Security Council. It will be designed to examine the Federal Government's plans and policies related to nuclear terrorism prevention activities. The exercise will address surge detection, search, and render-safe procedures, which are based upon time-phased intelligence, investigative information, and the decisions of the players. The exercise will heighten the participants' awareness of issues that may become paramount during the prevention of national nuclear terrorism activities.

Pandemic Influenza Exercise, October 28, 2008

This discussion-based tabletop exercise will be held October 28, 2008, to exercise the Draft Department of Homeland Security Pandemic Influenza (PI) Contingency Plan (December 2006). The participants in this exercise will include members of the Senior Executive Service, Flag Officers, Deputy Director-level personnel, Pandemic Influenza policy personnel, pre-designated Pandemic Influenza Principal Federal Officials, Federal Coordinating Officials and Infrastructure Protection Liaisons. In response to a scenario, participants will exercise their roles, responsibilities and authorities when responding to a PI event. Specific exercise objectives will include: exercising the operational relationships among the DHS Components in accordance with the draft DHS Department-Level PI Contingency Plan, reviewing information requirements and expectations among DHS Components during a PI event, and exercising the roles and responsibilities of the DHS Components within the National Response Framework.

Incident Management Fundamentals Workshops, November 19, 2008

These workshops will provide career successors and incoming appointees with awareness of incident management doctrines, structure, processes and coordination with intergovernmental, private sector, international and non-governmental organizations.

This one-day training event will consist of a morning seminar detailing the principles of incident management and an afternoon tabletop exercise that will allow participants to apply the information presented in the morning seminar. The learning objective will be to identify and

select the appropriate structure, processes, authorities, and functions of national incident management to respond to a threat or national incident.

The intent is to hold incident management fundamentals workshops multiple times throughout the transition period.

Hurricane Preparedness Exercises, 2009

Several spring 2009 exercises will be geared toward preparations for hurricane season. A principal level exercise on hurricanes will be planned for April and the U.S. Northern Command (NORTHCOM) will be conducting "Terminal Fury."

Included in this are preparations for the National-Level Exercises (NLE-09) scheduled for July with several "building block" exercises that will lead up to NLE-09. Departmental Components will also plan a series of training and exercise activities to prepare their own senior leadership for NLE-09, the capstone event. This will be a full-scale exercise that focuses on a terrorist event, and will involve Interagency, State, local, international and private sector participation in several venues throughout the nation.

Third-Party Exercises, 2009

Close to Inauguration, numerous exercises will be planned by the National Exercise Program and NORTHCOM on terrorist scenarios. The National Exercise Program will hold an Interagency Principal Level Exercise on Improvised Explosive Devices (IEDs) and NORTHCOM will hold "Able Warrior" along with several regional exercises.

The Principal Level Exercise will be a discussion-based exercise designed to address plans, policies, and procedures relating to an IED bombing campaign against nationally significant targets and critical infrastructure. PLE 1-09 will provide senior Federal officials with a forum to identify actions required to address public reactions to such attacks, and evaluate the U.S. Government's overall public notification process.

The National Guard Bureau and NORTHCOM will work with DHS to identify additional training and exercises with State and local interaction to better integrate Homeland Security and Homeland Defense missions. NORTHCOM and National Guard representatives will be part of the Department's team on training and exercises.

In addition, the Department will work with other departments and agencies, such as the Department of Energy which is planning exercise "Empire 09" with a regional emphasis in New York and New England States.

A host of State and regional exercises will be planned through the transition period. Many of these exercises will involve DHS and consistently reinforce training on incident management and provide opportunities for leadership to experience "real world" conditions.

Enclosure 6: DHS Political SES Positions Requiring Security Clearances

DHS is responsible for the clearances of individuals who will work in the department – other than the Secretary, Deputy Secretary, and the Under Secretary for Management (see below). Once individuals receive a tentative job offer, they will be vetted in accordance with laws and regulations governing suitability for Federal employment and security clearances..

	Component	Subcomponent	ent
1	MGMT	Office of the Chief Human Capital Officer - MGT	
2	CBP	Customs and Border Protection	
3	CNE	Counter-narcotics Enforcement	
4	FEMA	Office of the Administrator - FEMA	
5	FEMA	Office of the Administrator - FEMA	
6	FEMA	Office of the Administrator - FEMA	
7	FEMA	Office of the Administrator - FEMA	
8	I&A	Office of Intelligence & Analysis	
9	ICE	US Immigration and Customs Enforcement	
10	MGMT	Office of the Chief Financial Officer - MGT	
11	NPPD	National Protection and Programs Directorate	
12	OHA	Office of Health Affairs	
13	OIG	Office of Inspector General	
14	CRCL	Office Civil Rights & Civil Liberty	
15	DNDO	Immediate Office - DNDO	
16	MGMT	Office of the Chief Information Officer - MGMT	
17	PLCY	Office of Policy	
18	S&T	Science & Technology	
19	TSA	Transportation Security Administration	
20	USCG	US Coast Guard	
21	CBP	Office of the Commissioner - CBP	
22	CBP	Office of International Affairs - CBP	
23	CBP	Office of Public Affairs - CBP	
24	CBP	Office of Congressional Affairs - CBP	
25	CIS	Office of the Director - CIS	
26	CIS	Office of the Director - CIS	
27	CIS	Office of General Counsel - CIS	
28	CIS	Office of Policy and Strategy - CIS	
29	CIS	Office of Citizenship - CIS	
30	DNDO	Immediate Office - DNDO	
31	FEMA	Office of the Administrator - FEMA	
32	FEMA	Office of the Administrator - FEMA	

(b)(2)(high)

33 FEMA Office of Policy and Program
Analysis - FEMA
34 FEMA Disaster Assistance - FEMA

35 FEMA Disaster Operations - FEMA
National Continuity Programs -
36 FEMA FEMA
National Preparedness Directorate
37 FEMA - FEMA
National Capital Region, NPD -
38 FEMA FEMA

39 FEMA FEMA Regions

40 FEMA FEMA Regions
41 FEMA FEMA Regions
42 FEMA FEMA Regions
43 FEMA FEMA Regions
44 FEMA FEMA Regions
45 FEMA FEMA Regions

46 GCR Gulf Coast Reconstruction - GCR
Office of the Assistant Secretary -
47 ICE ICE

48 ICE Office of General Counsel - ICE

49 MGMT Office of the Under Secretary
50 OS Immediate Office of the Secretary
51 OS Immediate Office of the Secretary
Immediate Office of the Deputy
52 OS Secretary
Immediate Office of the Deputy
53 OS Secretary

54 OS Office of the Chief of Staff

55 OS Office of the Chief of Staff
56 OS Office of the Privacy Officer
57 OS Office of the Executive Director
Officer for Civil Rights and Civil
58 OS Liberties
Assistant Secretary for Legislative
59 OS Affairs
Assistant Secretary for Legislative
60 OS Affairs
Assistant Secretary for Public
61 OS Affairs
Assistant Secretary for Public
62 OS Affairs
Assistant Secretary for Public
63 OS Affairs

(b)(2)(high)

(b)(2)(high)

64	OGC	Office of the General Counsel
65	OGC	Office of the General Counsel
66	OGC	Office of the General Counsel
67	OGC	Office of the General Counsel
68	OGC	Office of the General Counsel
69	OGC	Office of the General Counsel
70	POLICY	Immediate Office of the Assistant Secretary for Policy
71	POLICY	Assistant Secretary for Private Sector - POLICY
72	POLICY	Assistant Secretary for Policy Development - POLICY
73	POLICY	Assistant Secretary for Policy Development - POLICY
74	POLICY	Assistant Secretary for International Affairs - POLICY
75	NPPD	Office of the Under Secretary for NPPD
76	NPPD	Office of the Under Secretary for NPPD
77	NPPD	Assistant Secretary for Infrastructure Protection - NPPD

Enclosure 7: Major Milestones of DHS Transition Planning Efforts

(b)(5)



(b)(5)



President-Elect's Agency Review Team Orientation

Block 1 (3.5 hours)

8:30 -9:00 AM Check-in and completion of administrative forms

9:00 – 9:30 AM Opening Remarks and DHS Transition Overview
Rear Admiral John Acton, Director, DHS Presidential Transition Team

9:30 – 9:45 AM Welcome to the NAC (facility overview, emergency procedures)
Mr. Robert House, Office of the Chief Administrative Officer

9:45 – 10:00 AM NAC Security Presentation
Matt Guy, Office of the Chief Security Officer

10:00 – 11:30 AM Second Stage Processing – Rotation of the President-Elect's Team members to badge office (Bldg 7) and workspace (Room 13046, 3rd Floor Bldg 1S) for badge processing and IT Set up.

11:30 – Noon DHS Transition Overview
RADM John Acton and the Undersecretary for Management, Elaine Duke

Lunch (90 Minutes) No-host Lunch (~\$10 per person)

Block 2 (2.5 hours)

1:30 - 1:45 PM Presentation by Deputy General Counsel Joseph Maher

1:45 – 2:00 PM Presentation of Request For Information Process

2:00 – 3:00 PM Way Ahead

3:15 – 4:00 PM DHS Presentation



DHS Agency Review Team Welcome Aboard Guide





**Homeland
Security**

November 17, 2008

Dear Agency Review Team Member:

On behalf of the many employees engaged in preparing the Department of Homeland Security for the next presidential administration, I would like to welcome you to our team. I know you'll be busy during the next few weeks and months as you assist with bringing President-elect Obama's Administration into office. I can assure you that the members of the DHS Presidential Transition Team stand ready to assist you with these efforts. In fact, DHS has been preparing for the presidential transition on a number of key fronts since the Spring of 2007.

Specifically, over the course of the past many months we have been working on four main fronts related to transition:

- Internal Processes
- Briefing Materials
- Training and Exercises
- Strategic Communication and Outreach

As we move forward, we will continue to focus our efforts in these areas, while also doing whatever we can to help you complete your work in a timely and efficient manner. In order to ensure that we meet your needs, we have prepared this guidebook that will help get you started by providing a central resource for many of your basic administrative needs, while also explaining the process we have established to get you the information and briefs that you need for your mission. I hope you find that the resources and processes we have put in place are attentive to your needs.

The DHS transition staff and I look forward to working with you to ensure our homeland security.

Sincerely

A handwritten signature in blue ink that reads "John C. Acton".

Rear Admiral John C. Acton (USCGR)
Director, DHS Presidential Transition Team

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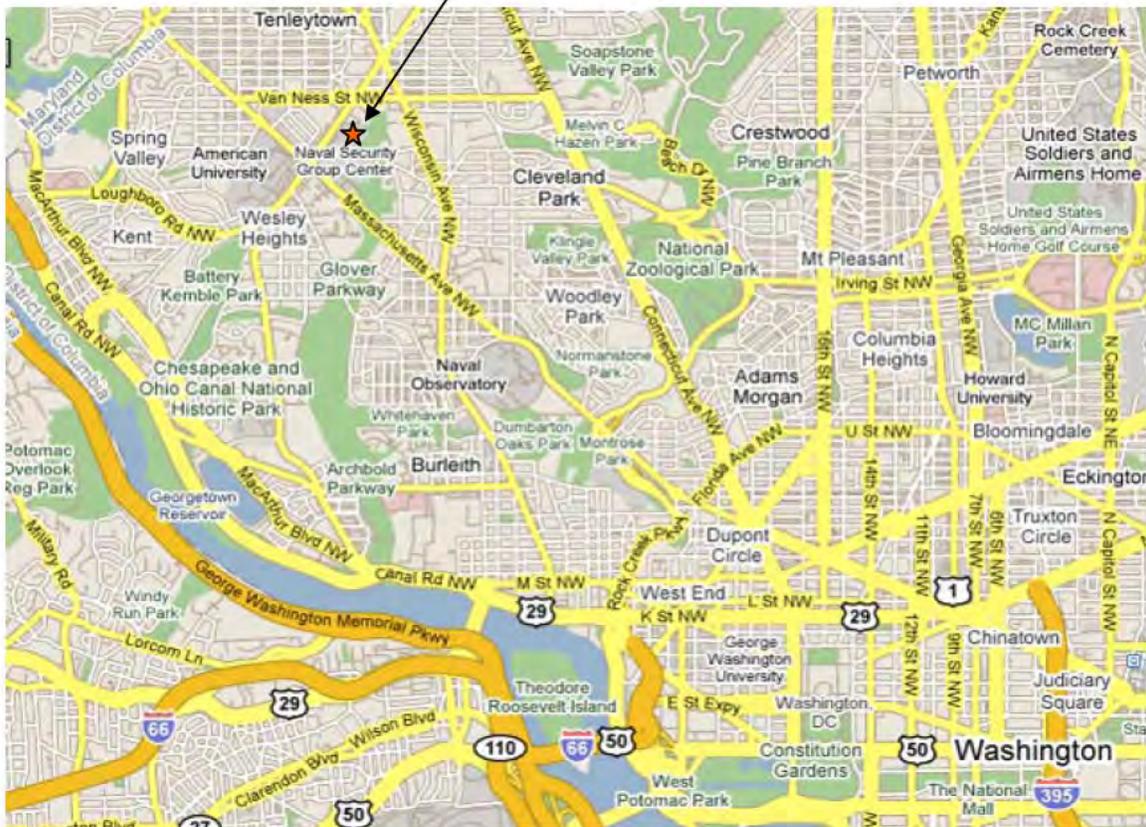
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3. General Administration

B. Overview of the Nebraska Avenue Complex (NAC)

DHS Headquarters is located at 3801 Nebraska Avenue NW, Washington, DC 20016. The property is located on the site of the old Naval Security Group Center at the intersection of Nebraska Avenue and Massachusetts Avenue in the Northwest neighborhood of Washington, DC. This site is readily accessible from both metro (Tenleytown) and major roadways around Washington, DC. The following maps provide additional overviews of the NAC and surrounding neighborhood.

DHS Nebraska Avenue Complex
3801 Nebraska Ave NW
Washington, DC 20016



(b)(2)(high)



B. Office Location

DHS is providing a suite of office spaces that are reserved for the DHS Agency Review Team. Arranged with a combination of private and public spaces, this suite can seat a maximum of 17 people. The suite is located in room **(b)(2)high** on the third floor of building **(b)(2)** near the main entrance to the NAC. A diagram showing the primary building entrance and stairways is included in this section.

Room **(b)(2)high** is outfitted with a conference table with speaker phone and network connectivity. Larger meeting space can be arranged through the facility liaisons **(b)(2)(low)**, **(b)(6)** as needed.

The DHS Agency Review Team's main phone number is: **(b)(2)high, b(6)**
The DHS Agency Review Team's fax numbers are: **(b)(2)high, b(6)**

(b)(2)(high)

**Ground Floor entrance to DHS Agency Review Team Office
(NAC Building **(b)(2)high** entry is through building **(b)(2)high**)**

C. Emergency Procedures

The Nebraska Avenue Complex (NAC) Occupant Emergency Plan provides for the safety and protection of Department of Homeland Security personnel, contractors, and visitors. Emergencies such as fires, unknown odors, and suspicious packages require building evacuation. During events such as tornadoes, hurricanes, or a hazardous material release it may be safer to stay inside the building. In these cases building occupants may be instructed to shelter-in-place by remaining in the building and congregating in designated locations.

The Building Emergency Response Team will be available to assist occupants and visitors. If you shelter-in-place during an emergency at a different location than your identified shelter, if possible, inform your Presidential Transition Team contact of your location.

In case of emergency, the most expedient way to get emergency services on the NAC is to (b)(2)(high)

The contract guard force has an Emergency Medical Technician assigned and there is a nurse on campus during the day shift located in building (b)(2) next to the gym.

In the event of an emergency, please contact:

DHS Security Command Center

(b)(2)(high)

D.C. First Responders

(b)(2)(high)

Inclement Weather/Operating Status

202-606-1900

www.opm.gov/operating_status_schedules/

*Note: If you call the Security Command Center, they will notify 911. If you call 911, you will also need to call the Security Command Center to ensure gate access.

In the event that you have to evacuate your work space, the meeting location is assembly

(b)(2)(high)

In the event that you are asked to shelter-in-place, your shelter-in-place location is the

(b)(2)(high)

on the ground floor of building (b)(2)

(b)(2)(high)



Evacuate to area (b)(2)(high)

(b)(2)(high)



Shelter-in-Place in building (b)(2), (b)(2)(high) (b)(2)(high)

D. Continuity of Operations (COOP)/Continuity of Government (COG)

The DHS Agency Review Team will follow the General Services Administration's lead for COOP and COG planning and execution.

If an incident occurs that requires the Department of Homeland Security to implement COOP/COG procedures, the DHS Agency Review Team should report to the GSA designated site and await further instructions. At the time of printing, the Agency Review Team's point of contact at GSA for COOP/COG was not determined. GSA's lead for COOP/COG is (b)(6)

Alternately, GSA's director for Emergency Response and Recovery is (b)(6). It is anticipated that the DHS Agency Review Team lead will receive a call from the Director or Deputy Director of the DHS Presidential Transition Team as soon as possible after activating the COOP/COG.

E. Administrative Support

The following paragraphs describe the administrative support structure that has been put in place to assist the DHS Agency Review Team. In order to ensure timely and thorough response, the Department of Homeland Security has appointed liaison officers who service as the principle point of contact for the team's administrative questions. Each of the following sections list the contact numbers for the principle liaisons as well as additional contacts for the principal technical lead in each area.

Information Technology Support

The DHS Agency Review Team is being outfitted by GSA with a laptop, blackberry, and web hosting. DHS will provide a laptop wireless connection air card and a standalone Internet line to access the GSA-provided site. In addition, DHS will provide local print, phone, and copy capability. The DHS Chief Information Officer is outfitting the Team with this equipment, as well as providing the necessary support for accessing the network and printing/copying.

Each member of the Team must sign a form (see appendix) acknowledging receipt of the DHS-provided air card. When a person is no longer assigned to the DHS Agency Review Team, he or she will be required to return the air card because these are government property.

For questions or help with the DHS IT support, please contact:

Name	Phone	Cell	Email
Liaisons:			
(b)(2)low, b(6)			

IT Support:			
b(2)low, b(6)			

Facility Support

At the NAC the Office of Administrative Services operates the DHS Service Center, which is staffed during normal business hours.

The following lists the types of calls the Service Center handles:

- Replacement of lights
- Housekeeping issues
- Facility or workspaces problems
- Any facility/building-related problems

DHS Service Center

(b)(2)(low)

7:30a.m. to 5:30p.m., Monday - Friday

After Hours Facility Emergency Contact

(b)(2)(low)

After hours calls are handled by a 24-hour Call Center managed by GSA. You will be asked to provide the date, description of the problems, and your telephone number.

For questions or help with facility issues, please contact:

Name	Phone	Cell	Email
Liaisons:			
b(2)low, b(6)			

F. Security

Badges

The photo badges provided permit access through the main gate, access to common areas on the NAC, and use of the DHS shuttle. If DHS Agency Review Team members are sent to other sites for meetings, they will have to follow the normal visitor procedures, which will be arranged by the Senior and Deputy Transition Officers (STOs/DTOs) serving as the meeting hosts. DHS Agency Review team members will also be granted parking privileges outside the gate at the NAC. In addition, a swipe lock has been set up on the main entry door to room (b)(2)high. This lock will allow the DHS Agency Review Team to lock their space upon departure.

Visitor Policy

Only DHS employees with offices at the NAC may authorize visitor access. Only visitors who have a valid relationship with DHS are permitted access to the facility and only in accordance with the scope of that visit. Examples include but are not limited to authorized government (military and civilian), contractors, consultants, temporary employees, and other authorized vendors. While we do not expect that the DHS Agency Review Team will host guests at NAC facilities, if special circumstances require an exception, please follow the guidance below.

The following procedures apply for hosting visitors at the NAC:

1. At least 24 hours prior to arrival: Submit the name, date of birth and social security number to (b)(2)low, b(6) or Force Protection at (b)(2)low, for processing.
2. Once Security has cleared the name, (b)(6) will contact the requestor with a confirmation.
3. Cleared visitors will be directed to the Visitors Center, building 11 to check in, obtain a visitor's badge, and be cleared through security screening.
4. Visitors arriving on Weekends and after 1800 hrs Monday through Friday will have to go to Building 88 to be processed. Weekend visitors should call 202-282-8009. All visit requests for visitors on the weekend should be submitted by 1200 on the preceding Friday.

Given the need to maintain vigilant security procedures at the NAC, visitor requests for arrivals less than 24 hours in advance are unable to be honored.

Visitor Center: Building 11
 Hours of operation: 7:00 AM to 6:00 PM
 Phone Number: 202-282-8963

Name	Phone	Cell	Email
Liaisons:			
(b)(2)low, b(6)			
Secondary Point of Contact	(b)(2)(low)		

G. Transportation

Parking

The DHS Agency Review Team will be as signed up to a maximum of 10 reserved parking spaces on the NAC campus, (b)(2)(high) (b)(2)(high) (b)(2)(high). The parking spaces will be assigned to DHS

Agency Review team members after filling out the appropriate parking request forms. Once personnel are no longer working as part of the DHS Agency Review team, they will be required to return their parking pass, which can then be reissued to another DHS Agency Review team member.

Name	Phone	Cell	Email
Liaisons:			
(b)(2)(low), b(6)	[REDACTED]	[REDACTED]	[REDACTED]
[REDACTED]	[REDACTED]	[REDACTED]	[REDACTED]
[REDACTED]	[REDACTED]	[REDACTED]	[REDACTED]
[REDACTED]	[REDACTED]	[REDACTED]	[REDACTED]

Shuttles

With the yellow DHS NAC badge, the DHS Agency Review Team members will be able to use the DHS shuttles for transit to Tenley town metro and/or other DHS offices. A shuttle schedule and map is included in the appendix, page 13.

4. Process Descriptions

Request for Information or Briefs

The DHS Presidential Transition Team has established a robust process for organizing and expediting requests from the DHS Agency Review Team members for information and briefings on DHS issues. The focus of this process is to ensure that the DHS Agency Review Team receives timely, complete, and accurate responses to information and briefing requests. The process will allow request to get to the right subject matter experts with the expertise necessary to answer the question while allowing DHS Presidential Transition Team members to track the timeliness of component responses. To submit requests for information or a briefing, please email (b)(2)(low) [REDACTED].

Daily Schedule

The transition period promises to be a dynamic period for both the DHS Presidential Transition Team and the DHS Agency Review Team. In order to facilitate information flow during this dynamic period and respond promptly to issues or concerns we propose that the DHS Agency Review Team Lead meet twice daily with the DHS Presidential Transition Team to discuss progress and resolve any outstanding issues.

Appendix: Shuttle Schedule

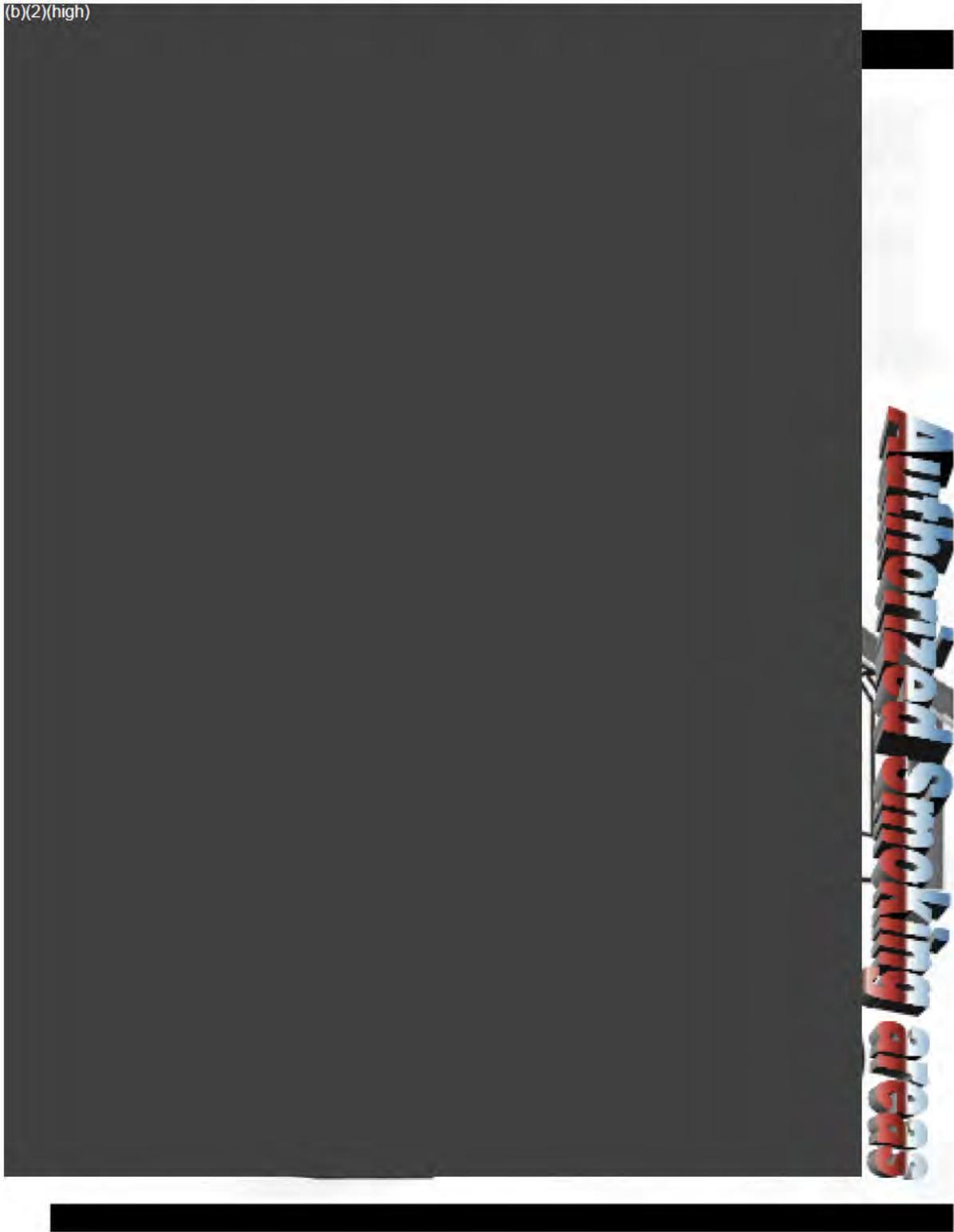
DHS provides shuttle service among the NAC, the Tenleytown Metro stop, and nearby restaurants and shopping on Wisconsin Avenue. In addition, there are shuttles that run between the NAC and other DHS office spaces.





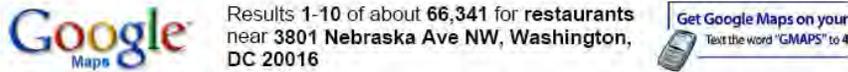
Appendix: Authorized Smoking Locations on NAC

(b)(2)(high)

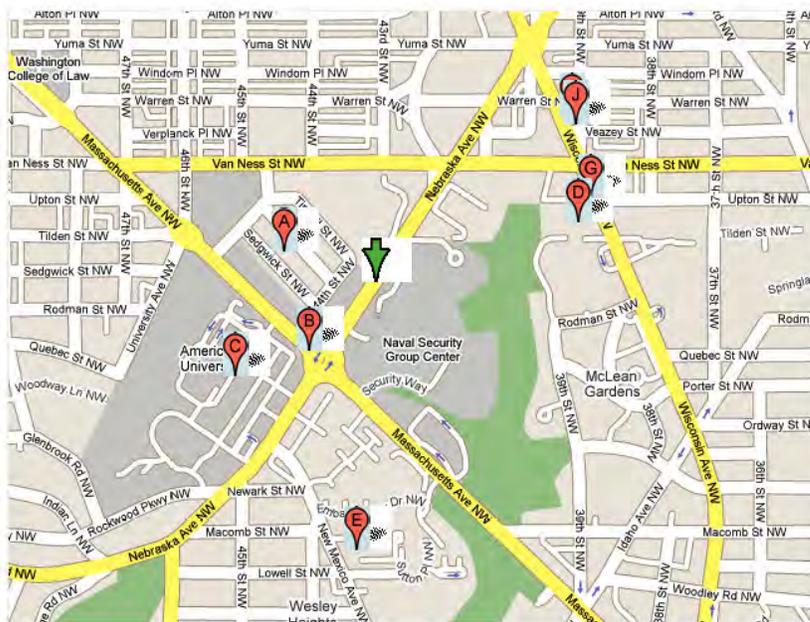


Appendix: Nearby Restaurants

While the NAC provides cafeteria services, there are no shortages of good restaurants in the area for either a quick lunch or late night business dinner. The following pages list some of the nearby restaurants. In addition to the restaurants, coffee can be found at Starbucks, and groceries at Whole Foods, both of which are adjacent to Tenleytown Metro.

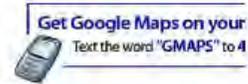


- | | |
|--|--|
| A. Pizza Boli's
(202) 244-2800
1 review | B. Jamba Juice
4400 Massachusetts Ave NW, Washington, DC
(202) 885-3198 |
| C. McDonald's American University
4400 Massachusetts Ave NW, Washington, DC
(202) 966-1636 | D. Cafe Ole
4000 Wisconsin Ave NW, Washington, DC -
(202) 244-1330
7 reviews |
| E. Chef Geoff's
3201 New Mexico Ave NW, Washington, DC -
(202) 237-7800
33 reviews | F. Taco Bell
4000 Wisconsin Ave NW, Washington, DC -
(202) 363-8933 |
| G. Ruby Tuesday
4200 Wisconsin Ave NW # 109, Washington,
DC - (202) 363-7005
5 reviews | H. Jandara Restaurant
4237 Wisconsin Ave NW, Washington, DC -
(202) 237-1570
4 reviews |
| I. Blimpie Subs & Salads
4200 Wisconsin Ave NW, Washington, DC -
(202) 364-0788 | J. Armand's Chicago Pizzeria
4231 Wisconsin Ave NW, Washington, DC -
(202) 363-6268
2 reviews |

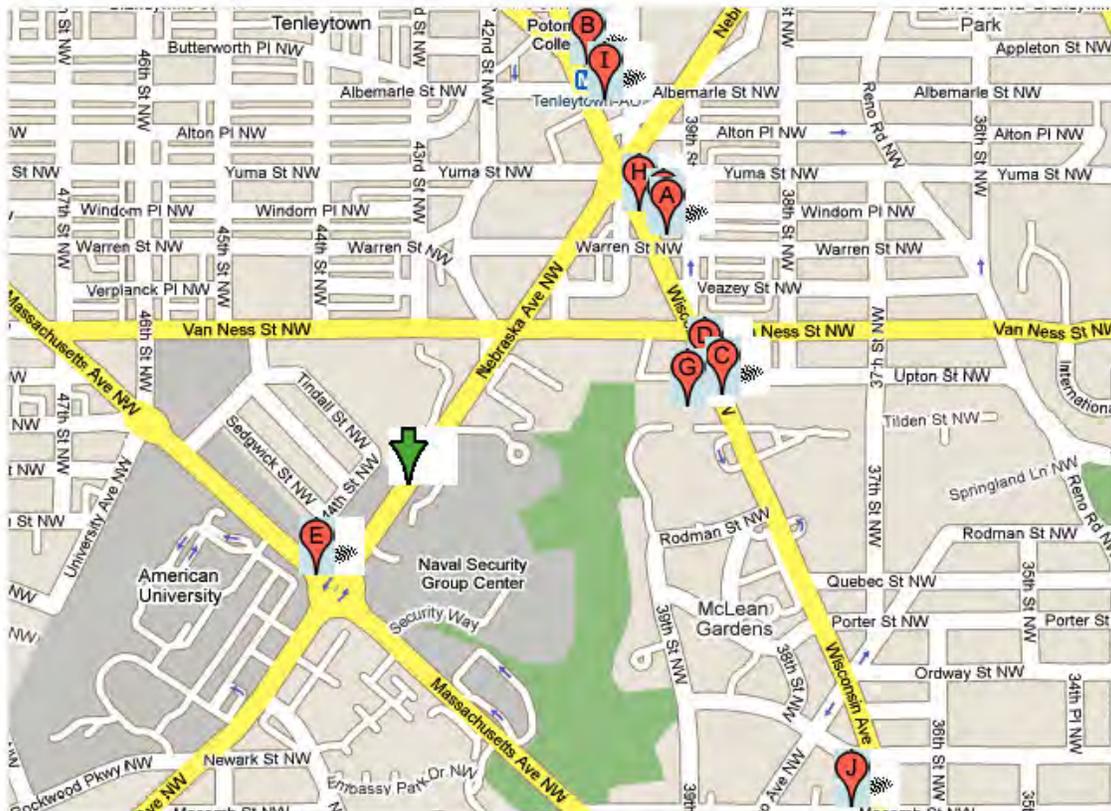




Results 11-20 of about 66,341 for **restaurants** near **3801 Nebraska Ave NW, Washington, DC 20016**



- A. **Chipotle Mexican Grill**
4301 Wisconsin Ave NW # B, Washington, DC - (202) 237-0602
2 reviews
- B. **GUAPOS RESTAURANT**
4515 WISCONSIN AVE NW, WASHINGTON, DC - (202) 686-3588
★★★★☆ 12 reviews
- C. **McDonalds of Tenley Circle**
4130 Wisconsin Ave NW, Washington, DC - (202) 363-3955
- D. **www.comequickly.com**
4200 Wisconsin Ave, NW #145, Washington, DC - (202) 248-4600
- E. **Subway**
4400 Massachusetts Ave NW, Washington, DC - (202) 885-6319
- F. **Popeye's Famous Chicken**
4309 Wisconsin Ave NW, Washington, DC - (202) 966-6131
- G. **Franklyn Grille**
4000 Wisconsin Ave NW # 8, Washington, DC - (202) 686-6318
- H. **Mc Donald's**
4323 Wisconsin Ave NW, Washington, DC - (202) 363-3955
- I. **Neisha Thai Cuisine**
4445 Wisconsin Ave NW, Washington, DC - (202) 966-7088
3 reviews
- J. **Two Amys**
3715 Macomb St NW, Washington, DC - (202) 885-5700
★★★★☆ 78 reviews

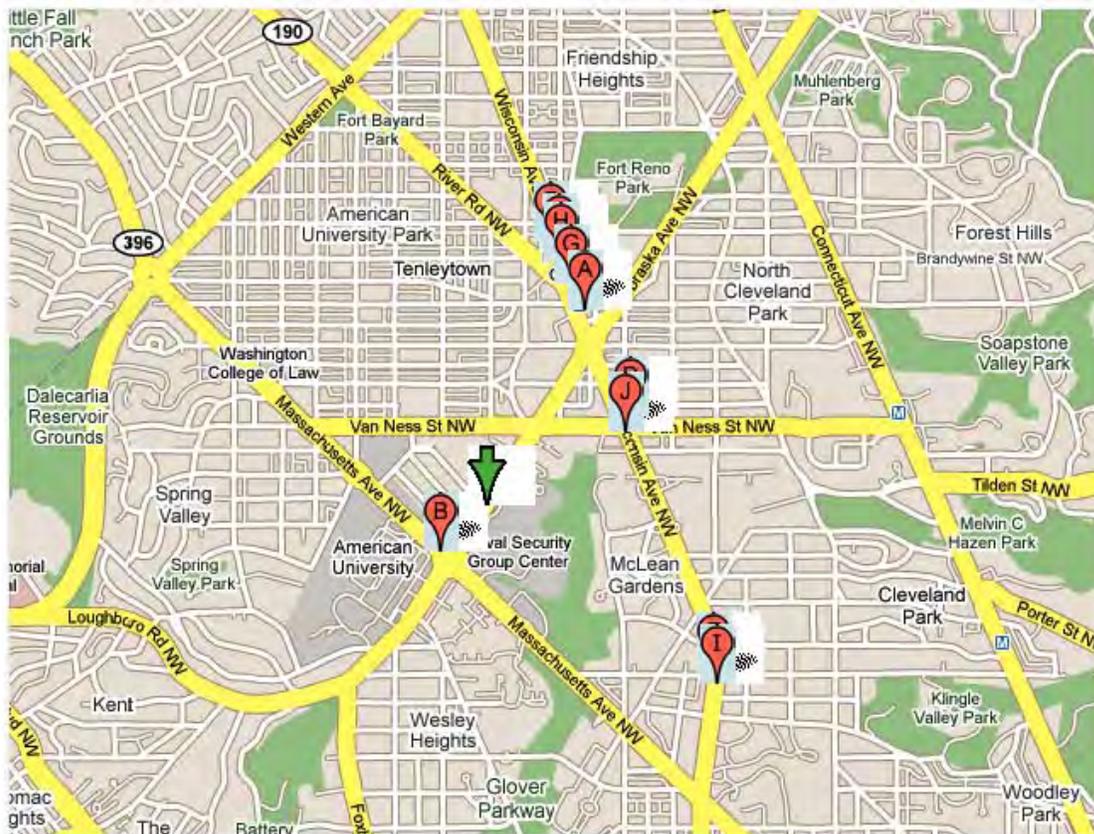




Results 21-30 of about 66,341 for restaurants near 3801 Nebraska Ave NW, Washington, DC 20016



- A. Subway Sandwiches
4441 Wisconsin Ave NW, Washington, DC -
(202) 537-6061
- B. Megabytes Cafe
4400 Massachusetts Ave NW, Washington, DC
- (202) 885-6111
- C. Dancing Crab **Restaurant**
4615 Wisconsin Ave NW, Washington, DC -
(202) 244-1882
5 reviews
- D. Cultural Division Taipei Economics
4201 Wisconsin Ave NW, Washington, DC -
(202) 362-1441
- E. Cactus Cantina
3300 Wisconsin Ave NW, Washington, DC -
(202) 686-7222
★★★★☆ 44 reviews
- F. Murasaki **Restaurant**
4620 Wisconsin Ave NW # D, Washington, DC
- (202) 966-0023
7 reviews
- G. Robeks Juice
4523 Wisconsin Ave NW, Washington, DC -
(202) 244-1784
- H. Domino's Pizza: American University
4538 Wisconsin Ave NW, Washington, DC -
(202) 362-7500
- I. Cafe Deluxe
3228 Wisconsin Ave NW, Washington, DC -
(202) 686-2233
★★★★☆ 32 reviews
- J. Manny's Olga's Pizza Inc
4268 Wisconsin Ave NW, Washington, DC -
(202) 364-8050



Appendix: Forms – IT Asset Inventory Form

(b)(2)(high)



Forms – Badge Request Forms

(b)(2)(high)



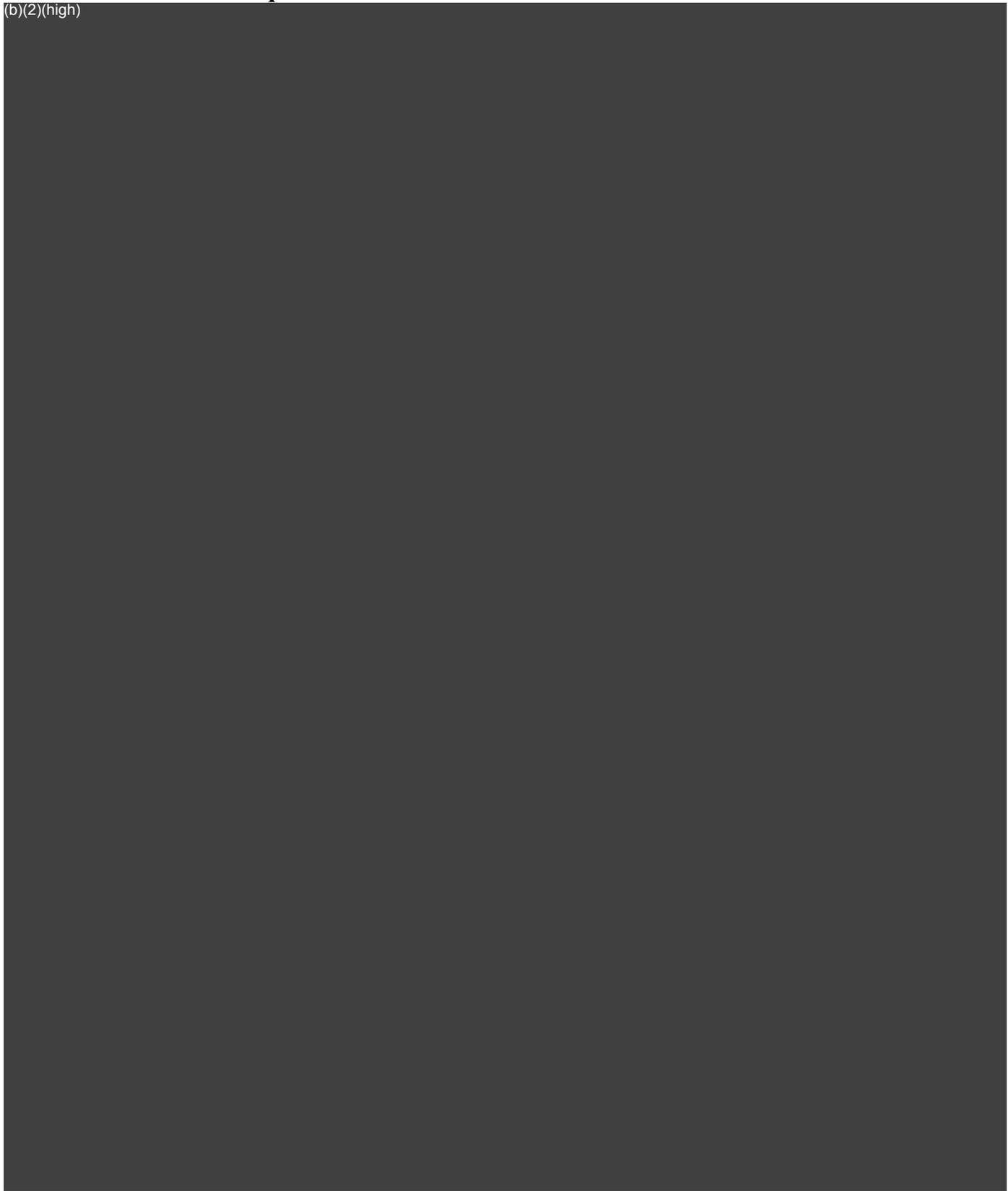
Forms – Parking Permit Form

(b)(2)(high)



Forms – Visitor Request Form

(b)(2)(high)





**TESTIMONY OF ELAINE C. DUKE
U.S. DEPARTMENT OF HOMELAND SECURITY**

September 18, 2008

Thank you Mr. Chairman, Ranking Member Voinovich and members of the Committee. It's my pleasure to appear before you today for the first time as the Under Secretary for Management in the Department of Homeland Security (DHS). I especially want to thank you for giving me the opportunity to highlight the actions the Department of Homeland Security is taking to ensure we are completely prepared before the election through the inauguration and beyond.

In January 2009, the Federal government will undergo a transition from one Administration to the next. Historically, we know terrorists perceive government transitions to be periods of increased vulnerability. The attacks in Madrid in 2004, in London in 2005, and in Glasgow in 2007 all took place during transitions. The first World Trade Center attack in 1993, as well as the September 11th attacks occurred within the first year of new Administrations. At DHS, we are doing everything necessary to ensure we are prepared for the upcoming Presidential transition and that there will be no gaps in our leadership team, planning efforts, or mission success.

Our employees and military members will continue their vital efforts to protect our country today, tomorrow and right throughout the transition without hesitation. However, we are taking this time to focus on, and improve, our day-to-day business operations as well as to maximize our readiness and incident response capabilities.

The Department's transition efforts have garnered a great deal of attention, both inside and outside the Department. Inside the Department, we have been busy ensuring a seamless transition will occur. We are reviewing and making changes to our internal processes. We are preparing briefing and confirmation materials for the incoming Administration. We are conducting training and exercises to ensure the leadership in place is prepared for any threat. We are focused on change management and communicating our plans to our employees.

Today's hearing on our progress is a fine example of our efforts to inform and work with stakeholders and partners outside the Department. Moreover, we are working with our government partners with respect to security clearances, exercises, and inter-agency coordination. We are working with independent experts such as the National Academy of Public Administration, the Council for Excellence in Government, and the Homeland Security Advisory Council to ensure that our transition efforts are properly focused.

Our transition efforts actually began in the Spring of 2007. By this time last year, we were identifying critical positions that support component priorities and using our own Critical Position Succession Planning template to ensure a pipeline of successors to critical positions, which are viewed as corporate assets and monitored on a regular basis. As part of this process, components identified senior career civil servants who will assume responsibility for political positions during the time of transition. Components have identified key competencies needed for success in these positions, assessed successor pools, prepared development plans, assessed our ability to recruit externally, and identified critical positions that are vacant or have high succession risk.

In September 2007, Secretary Chertoff asked the Homeland Security Advisory Council (HSAC) to establish an Administration Transition Task Force to provide recommendations and best practices to the Department. The members shared their knowledge and experience in leading change and managing transitions within their own public and private organizations. The Task Force also engaged public and private sector subject matter experts involved in organizational transformations and transitions.

The Task Force made several recommendations and grouped their recommendations into seven categories: Threat Awareness, Leadership, Congressional Oversight/Action, Policy, Operations, Succession and Training. Although they did not rank their recommendations within each category, they did indicate that all their recommendations "constitute national imperatives and must be expeditiously implemented."

Some of the Task Force's recommendations that are under the "Congressional Oversight and Action" section, and certain others in the report, are not within the Department's ability to implement, such as recommendations to consider and expeditiously approve the new Administration's Secretary of Homeland Security, or to implement the 9/11 Commission recommendation to reduce from 86 the number of Congressional oversight committees and subcommittees claiming some jurisdiction over the Department. The Department is encouraged by these recommendations and looks forward to Congress taking them into consideration for implementation. We took the Task Force's recommendations to heart and have incorporated many of them into our current planning process. For instance, we are taking full advantage of the period between now and November 2008 as an important time to establish and standardize processes and procedures.

We also organized a cadre of individuals focused on transition. Our cadre consists of Senior and Deputy Transition Officers who are working closely with my core transition team to evaluate internal processes, develop briefing materials to ensure operational effectiveness during the

anticipated surge of incoming and exiting employees, and develop and implement a training exercise plan.

In November 2007, we joined Congress in requesting that the National Academy of Public Administration (NAPA) prepare an independent report on our transition planning efforts. We asked NAPA to provide a frank assessment of where we stand and areas where we need to improve. We welcomed the report's findings, which noted that the Academy Panel was "pleased ... that the department has taken some steps to help it to be well positioned for the transition." The NAPA report also made several important recommendations, most of which we have either implemented or will implement prior to the transition.

For example, we have now established a transition plan for our components, ensuring that the top leadership in each component includes career executives who will preserve continuity of operations before, during and after the administration transition. Of our 22 component agencies and program offices, 14 have career Civil Servants in the number one or number two positions while seven component agencies or program offices have only career civil servants in senior leadership positions.

We are also providing improved processes to equip new appointees with the tools they need as well as the information and relationships required to be effective in their jobs. To lead this effort, we have appointed Coast Guard Rear Admiral John Acton to serve as our full-time transition director.

But, as the report notes, it is critical that "to the greatest extent possible, incoming DHS leadership – including the Secretary and key staff – must be in place on Inauguration Day or shortly thereafter." This would require swift action by the new Administration as well as Congress.

In December 2007, the Department focused efforts at the interagency level by engaging with the Council on Excellence in Government (CEG). Emphasis for CEG will be on the Department's homeland security training and intergovernmental interactions with other federal, state and local governments. We asked CEG to establish a small bi-partisan panel of experienced practitioners and experts to help channel this work.

In concert with the Federal Emergency Management Agency (FEMA) and other parts of DHS, the Council support our training and exercise plans. With these exercises, inter-agency participants will not only practice their roles but also build working relationships and rapport with other key decision makers in a variety of emergency scenarios. This effort will strengthen participants' knowledge of national homeland security protocols and interfaces with other departments as well as state, local, and tribal governments to ensure that we are collectively prepared.

In May of this year, we held a DHS Senior Career Leaders Transition Readiness Conference at the Federal Law Enforcement Training Center in Glynco, Ga., to prepare the Department for the changeover. Approximately 100 senior career employees attended a three-day conference which included remarks from Deputy Secretary Paul Schneider, presentations from various offices, team-building activities, and a table-top exercise. We made major progress during this conference in furthering cross-organizational and cross-functional relationships that will carry us

well beyond the transition. To offer the public an inside view of the DHS transition preparations, we even brought a CNN reporter to cover the conference.

Transition handbooks will be developed for major programs and significant operational areas. Each handbook will address top priorities, key challenges and issues relevant to the identified program or operational area. The handbooks will provide a “nuts and bolts” approach to address all of the items that must be transitioned from one leadership team to another during the 2009 administration change. The handbooks will also cover records management to ensure necessary documents are retained and accessible.

Because more than 99 percent of the Department’s 216,000 employees are career employees or military members, and not political appointees, I believe the change in administration will have little, if any, impact on our critical frontline operations. Our employees will continue to seamlessly do their jobs as they do now, protecting our country every day.

Thank you for your leadership and continued support of the Department of Homeland Security and its management programs. I look forward to working together with you in shaping the future and success of DHS with energy and enthusiasm. I am honored to be here today, and welcome the opportunity answer any questions you may have.



Homeland
Security

DHS Transition Planning

Ensuring Operational Continuity
Through Change of Presidential
Administration

HSAC ATTF Teleconference

25 NOV 2008

Presented by:

RADM John C. Acton

U.S. Department of Homeland Security



DHS Transition Workstreams

To prepare for Transition, DHS is advancing on 4 fronts:

Knowledge Transfer

1

Internal Processes

Exiting

Outgoing Executives
Proper Check Out

Onboarding

Pres-elect transition team,
Incoming Appointees, current
careerists w/ new duties

Records Management

*Ensure awareness of record
keeping responsibilities (incl
email) as required by law*

Directives Scrub

*Ensure directives are in good
order prior to end of current
administration*

Succession Planning

Career Leadership for each
DHS component

2

Briefing Materials

Homeland/National Security Info

*HSPDs and NSPDs, NIMS,
Preparedness Center, etc.*

DHS Info

*Organization, Budget,
Component / Cross-Cutting
Issue overviews*

Component Info

*Organization, Budget,
Accomplishments, Priorities,
Key Issues,
Stakeholders & their concerns*

X-Cutting Issues

Classified Ops/Programs

30-60-90 Day Issues

3

Training & Exercises

DHS Leadership Off-site Cambridge, MD

DHS Senior Employees
*Increase cross-department
knowledge*

DHS Leadership Off-site FLETC, Glynco, GA

DHS Senior Career Employees
*Increase cross-department
knowledge and response
awareness*

Training & Exercises

Top Federal Officials,
State and Local Officials,
Private Sector Reps

Response Awareness Seminars

Senior Careerists,
Incoming Appointees,
President-Elect Trans Team

4

Strategic Communication

Congress

*House and Senate Homeland
Security Committees;
House and Senate
Appropriations Committees*

Homeland Security Council

*Inter-agency coordination on
Homeland Security Transition
Planning and Training*

Other Federal Organizations (OMB, GAO, GSA)

State and Local Govts

International Partners

Private Industry Partners

**Press
Web-site
DHS Employees**

Draft DHS Transition Exercise Opportunities

UNCLASSIFIED



FY 09

Oct Nov Dec 09 Jan Feb Mar Apr May Jun Jul Aug Sep

NLE

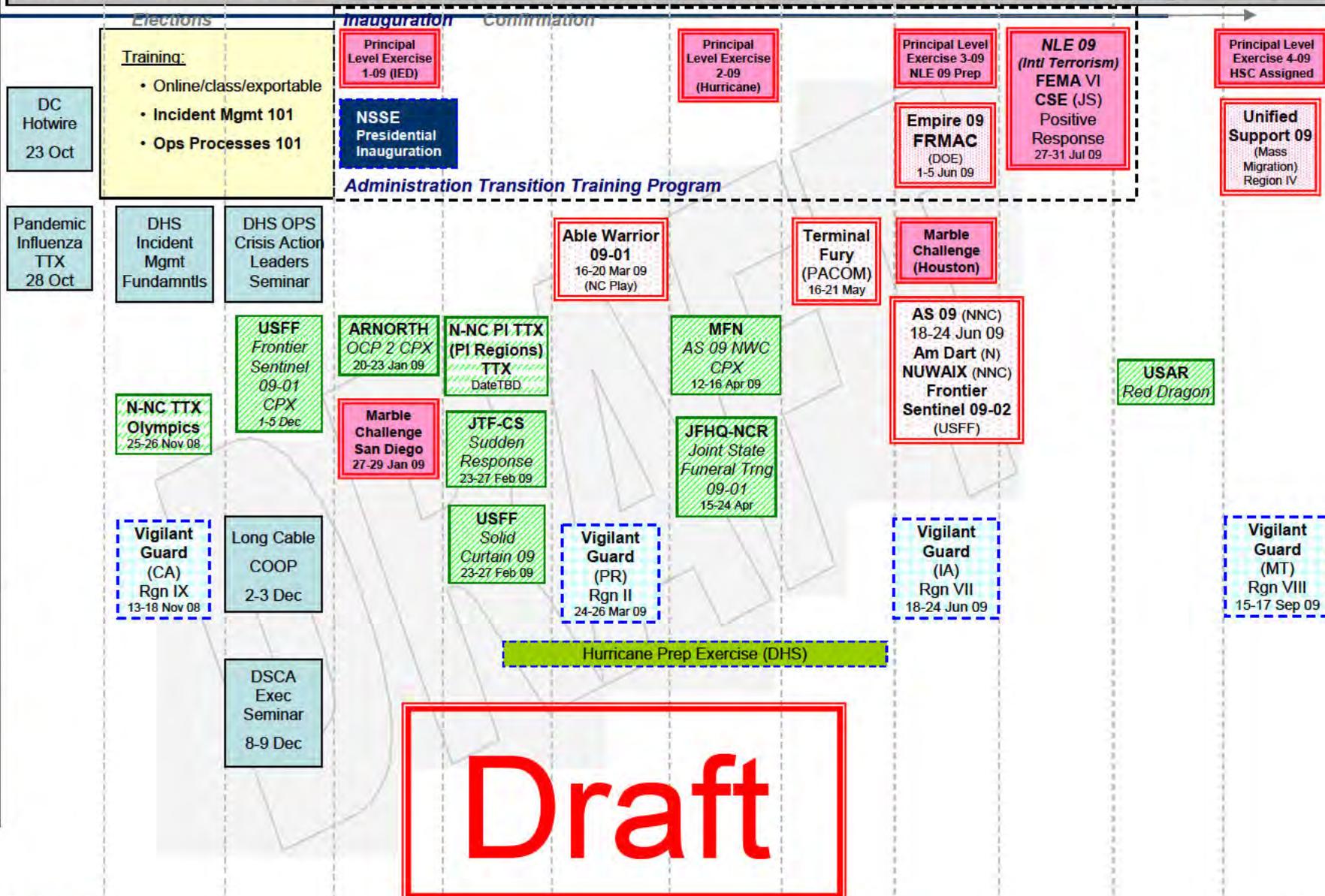
- Tier 1
- Tier 2
- Tier 3

N-NC

- N-NC (Tier I)
- N-NC (Tier II)
- N-NC (Tier III)

VIGILANT GUARD

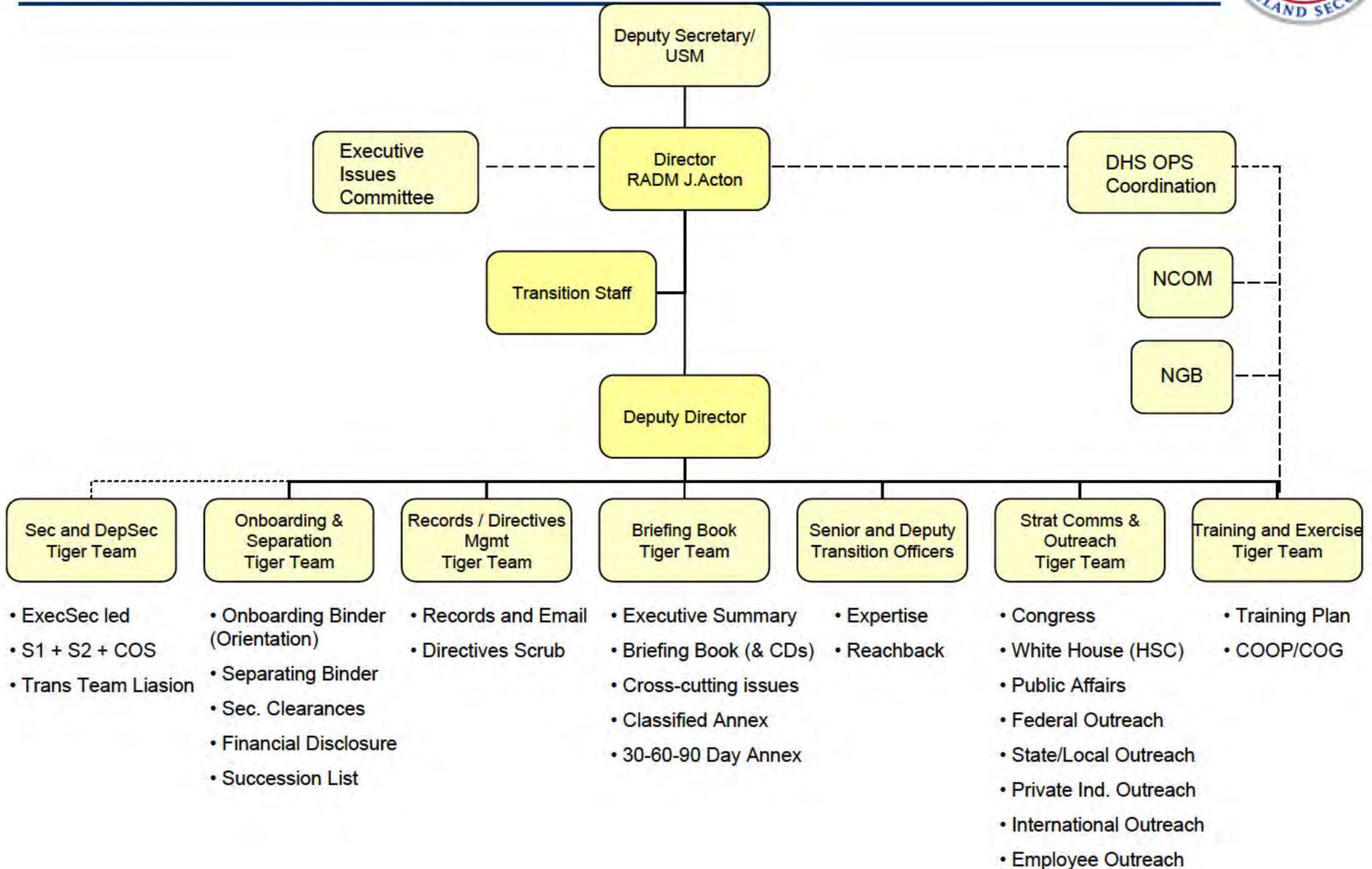
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Draft



DHS Transition Organization



Questions?



Rear Admiral John Acton

(b)(2)(low), (b)(6)



DHS Transition Briefing Binder

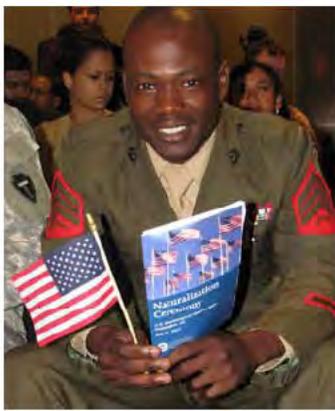


Homeland
Security

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Introduction



Homeland Security

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Executive Summary

Created in January 2003, the U.S. Department of Homeland Security (DHS) is charged with the critical mission of protecting, preventing and preparing the Nation for catastrophic events, whether natural or man-made, while facilitating legitimate travel and trade. DHS was created via the consolidation of twenty-two agencies and now employs over 218,000 individuals located in every State and many foreign countries, making it the third largest cabinet-level department.

As the country's newest cabinet-level department, DHS is facing the challenges of change in administration for the first time with the 2008/2009 Presidential election. Due to the critical nature of the Department's mission, it is important to ensure a seamless and agile transition to new leadership and maximize the new leadership's ability to quickly assume operational control of the Department. The need for operational continuity is heightened by the fact that recent history has demonstrated potential vulnerabilities during transition periods (e.g., Madrid train bombings on March 11, 2004, and the bombings in the United Kingdom on June 30, 2007). Historically, the period of heightened vulnerability stretches from six months prior to the election through six months after Inauguration.

This Briefing Binder will help ensure operational continuity of the full spectrum of national homeland security operations by providing an overview of the Secretary's authorities and responsibilities and the Department's structure and operations. This Binder is intended to be an overview of DHS for the incoming administration's transition team.

Contents

Tab 1: Introduction. This section provides an overview of DHS transition efforts and the period of heightened alert during the transition.

Tab 2: DHS Overview. This section provides an overview of the Department, its organization and workforce characteristics.

Tab 3: FY 2009 Budget Overview. This section provides an overview of the FY 2009 budget and appropriations accounts.

Tab 4: DHS Organizations. This section provides an overview of the 20 headquarters Directorates and Offices and the seven Component organizations of DHS.

Tab 5: Reference Materials. This section includes a list of important reference materials for the Department, a legal authorities summary, and a status update of the *Implementing Recommendations of the 9/11 Commission Act of 2007*.

DHS Presidential Transition Effort

The primary goals of the DHS Presidential Transition effort are to:

- Ensure operational continuity through the change of Presidential Administration, and
- Ensure response readiness should a national incident occur during the time of the election, inauguration, or appointment of senior officials in the new Administration.

Background

In the spring of 2007, DHS launched its internal efforts to ensure readiness for the Presidential administration transition of January 2009. These efforts focused on five prongs, as described below:

1. **Order of Succession:** In compliance with a White House Executive Order and a DHS Delegation of Authority memo, DHS finalized the succession order for the Secretary and Component leaders.
2. **DHS Succession Planning:** DHS identified critical DHS positions and assessed risk for these positions. DHS also identified “acting” career executives for senior political appointees and interim career employees for lower-level political appointees. Finally, DHS ensured compliance with the recommendations listed in the National Academy of Public Administration June 2008 report, which was funded by Congress.
3. **Cross-Government Collaboration:** DHS recognized the need to ensure senior career employees, incoming appointees, and leaders of other Departments and Agencies critical to homeland security are prepared to respond should a national incident occur. As part of this cross-government collaboration effort, DHS engaged the Council for Excellence in Government (CEG) to collaborate on incident management workshops, in concert with the Federal Emergency Management Agency (FEMA) and other parts of DHS.
4. **Best Practices:** At the request of DHS, the Homeland Security Advisory Council formed an Administration Transition Task Force, which delivered a report in January 2008 that included multiple recommendations to help ensure DHS readiness for the Administration change. DHS is actively working to integrate these recommendations in our transition plans and activities.
5. **Administrative Transition Guidance:** By January 2009, DHS will have evaluated internal processes to address a surge of incoming and exiting staff, updated directives, strengthened records management, and developed briefing materials to convey to career executives and incoming appointees the requisite information and knowledge to maintain operations.

In the spring of 2008, with several prongs of these prongs complete or nearing completion and the appointment of Rear Admiral John Acton as the Director of the DHS Presidential Transition Team, DHS formed a new organizing construct for its transition effort, based on four work fronts. The four work fronts are:

1. **Internal Processes:** Recognizing the importance of ensuring continuity of operations throughout the period of transition and its attendant dynamic environment, DHS is working to ensure internal processes are well-honed. Onboarding and exiting processes have been scrutinized to ensure proper ethics and other briefings are delivered to departing and incoming political officials; that officials understand their records management responsibilities; and that equipment, tools, and space are provisioned or correctly collected. Key management directives that guide departmental operations are being reviewed and brought up to date as necessary. The succession planning information mentioned above is regularly refreshed and is being leveraged to ensure operational continuity and appropriate backfill in the case of a national incident.
2. **Confirmation and Briefing Materials:** The development of a briefing binder that will serve as a key resource to transfer knowledge to the incoming Secretary of the Department of Homeland Security and his/her team is a primary thrust of the DHS approach to transition readiness. This binder outlines the key roles and responsibilities of DHS Component offices, organizational structure, budget, and cross-cutting issues of the Department.
3. **Training and Exercises:** In addition to the National-Level Exercises and Principals-Level Exercises conducted by the National Exercise Division of FEMA, DHS is hosting leadership conferences and training opportunities to prepare senior-level officials, including current careerists and future appointees, to govern during the transition.
 - In February, 2008, DHS hosted a leadership conference that brought together both career and non-career leadership from all Components, including field-based employees.
 - In May, 2008, the Department hosted a DHS-wide, career-only leadership conference at the Federal Law Enforcement Training Center in Georgia in which participants were engaged in a national incident table top exercise led by FEMA.
 - CEG is contributing to the training and exercises component of DHS transition readiness efforts. They have assisted in the development of workshops for senior careerists and incoming appointees who may not have extensive exposure to incident management.
 - DHS leaders have participated in a number of table-top exercises including:
 - DC “Hotwire,” exercising a blackout scenario in the Nation’s capital.
 - Pandemic influenza table-top exercise.
 - 7-9 exercises planned over the next several months.

4. **Strategic Communications and Outreach:** DHS is working to proactively communicate transition efforts and progress to key stakeholders, including: Congress; the White House; the Homeland Security Council; other Federal Agencies such as Office of Management and Budget, General Services Administration, Government Accountability Office, and National Security Agency; State and local governments; private sector partners; international partners; and the Press. DHS is also reaching out to other Agencies, such as the Department of Defense, the Department of State, the Department of Transportation, and the Department of Energy, to leverage opportunities for combined exercises and to share best practices.

Current Status

DHS has made significant progress in each of the four work fronts of its transition effort. A description of our current efforts on each front is listed below:

- **Internal Processes:** DHS has evaluated its onboarding and exiting processes and has delivered proper ethics and other separation briefings to exiting political appointees. DHS has developed briefings needed for onboarding new political appointees. DHS has updated its records management guidance and is in the process of deploying mandatory training for all DHS employees. By January 2009, DHS will have completed the review of its Managing Directives and Instructions. Finally, DHS is maintaining and making appropriate use of succession planning information.
- **Confirmation and Briefing Materials:** Briefing materials are being created.
- **Training and Exercises:** By January 2009, DHS will have completed all planned training and exercises for career leaders and will have developed a schedule for training and exercises for incoming political appointees.
- **Strategic Communications and Outreach:** DHS is continuing to work to proactively communicate transition efforts and progress to all key stakeholders. DHS developed a Federal Strategic Guidance Statement for a period of heightened alert during the 2008/2009 Presidential transition.

Milestones

- Election to Inauguration:
 - External communication and coordination (e.g., with President-elect Transition Team).
 - Begin and facilitate onboarding process for new appointees.
 - Ongoing activities to train senior career officials and incoming political appointees in incident management.
 - Develop calendar of imminent issues and decisions that require the immediate attention of the new Secretary within a 30-60-90 day period.

- Post–Inauguration:
 - Exercise and train new political officials on national incident management.
 - Continue smooth onboarding process for new political appointees.

Points of Contact

- Rear Admiral John Acton, Director, DHS Presidential Transition Team,
b(2), b(6)
- Tiffany Lightbourn, Deputy Director, DHS Presidential Transition Team,
b(2), b(6)

Period of Heightened Alert

The 2008 Presidential election and subsequent Presidential transition beginning in August 2008 (pre-election preparation) and concluding in July 2009 may be seen as a period of opportunity for an attack on our Nation. Our intent is to remain at a consistently high state of readiness during this transition. Departments and Agencies continue to build, strengthen, and sustain the necessary coordination relationships to prevent, protect against, prepare for, respond to, and recover from emergencies that may occur during this period of heightened alert (POHA). To assess and mitigate risks during the POHA, DHS and the Federal interagency have undertaken a deliberate planning process, starting with a Strategic Guidance Statement (SGS) signed by Secretary Chertoff and resulting in a series of Operational Plans for specific Departments and Agencies.

The POHA Concept Plan (CONPLAN) is a coordinated Federal document that identifies key mission area enhancements to be implemented during this period of increased risk.

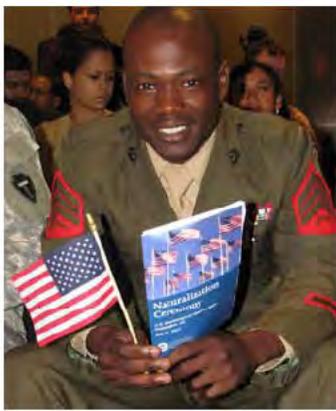
The first purpose of this plan is to ensure the uninterrupted leadership capability to prevent, protect, respond to, and recover from incidents that occur during the POHA, as described in the Federal SGS and Strategic Plan.

Secondly, the CONPLAN addresses how the U.S. Government intends to implement its strategic objectives across the homeland security spectrum of operations (prevention, protection, response, and recovery) throughout the various identified POHA phases. POHA planning documents do not supersede existing emergency plans or jurisdictional authorities, nor do they alter or impede the ability of Federal Departments and Agencies to carry out their authorities and assigned statutory responsibilities.

The implementation of the Federal Concept Plans and Operational Plans will enhance the Nation's capability to prevent or protect against significant multi-hazard threats and incidents, including terrorist attacks, and to expeditiously recover and reconstitute critical services while mitigating damage to public safety and health, the economy, and national security during the period of transition.

Point of Contact

- Richard Burke, Director of the Plans Division, Office of Operations Coordination and Planning, **b(2), b(6)**



DHS Overview



Homeland Security

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DHS Mission and Vision

The Department of Homeland Security's primary and urgent mission is to lead the unified national effort to secure the country and preserve our freedoms. While the Department was created to secure our country against terrorism, our charter also includes preparation for and response to *all* hazards, both natural and man-made. The citizens of the United States must have the utmost confidence in the Department's ability to execute all its missions.

The Department leverages resources within Federal, State, and local governments, coordinating multiple agencies and programs into a single, integrated agency focused on protecting the American people and their homeland. More than 87,000 different governmental jurisdictions at the Federal, State, and local level have homeland security responsibilities. DHS seeks to develop a complementary system connecting all levels of government, addressing gaps without duplicating effort.

Background

Following substantial debate about how the government would organize to most effectively address challenges to U.S. domestic security, the Department of Homeland Security was established by the *Homeland Security Act of 2002* and began operations on March 1, 2003. DHS represented the consolidation of all or part of over 22 Federal Departments and Agencies with personnel now totaling over 218,000. This Transition Briefing Book sets forth the Department's current organization, programs, and activities.

Vision

The vision of the Department is "A secure America, a confident public, and a strong and resilient society and economy".

Mission

We will lead the unified national effort to secure America. We will:

- Prevent and deter terrorist attacks,
- Protect against, and respond to, threats and hazards to the Nation, and
- Secure our national borders while welcoming lawful immigrants, visitors, and trade.

The 2008 Strategic Plan

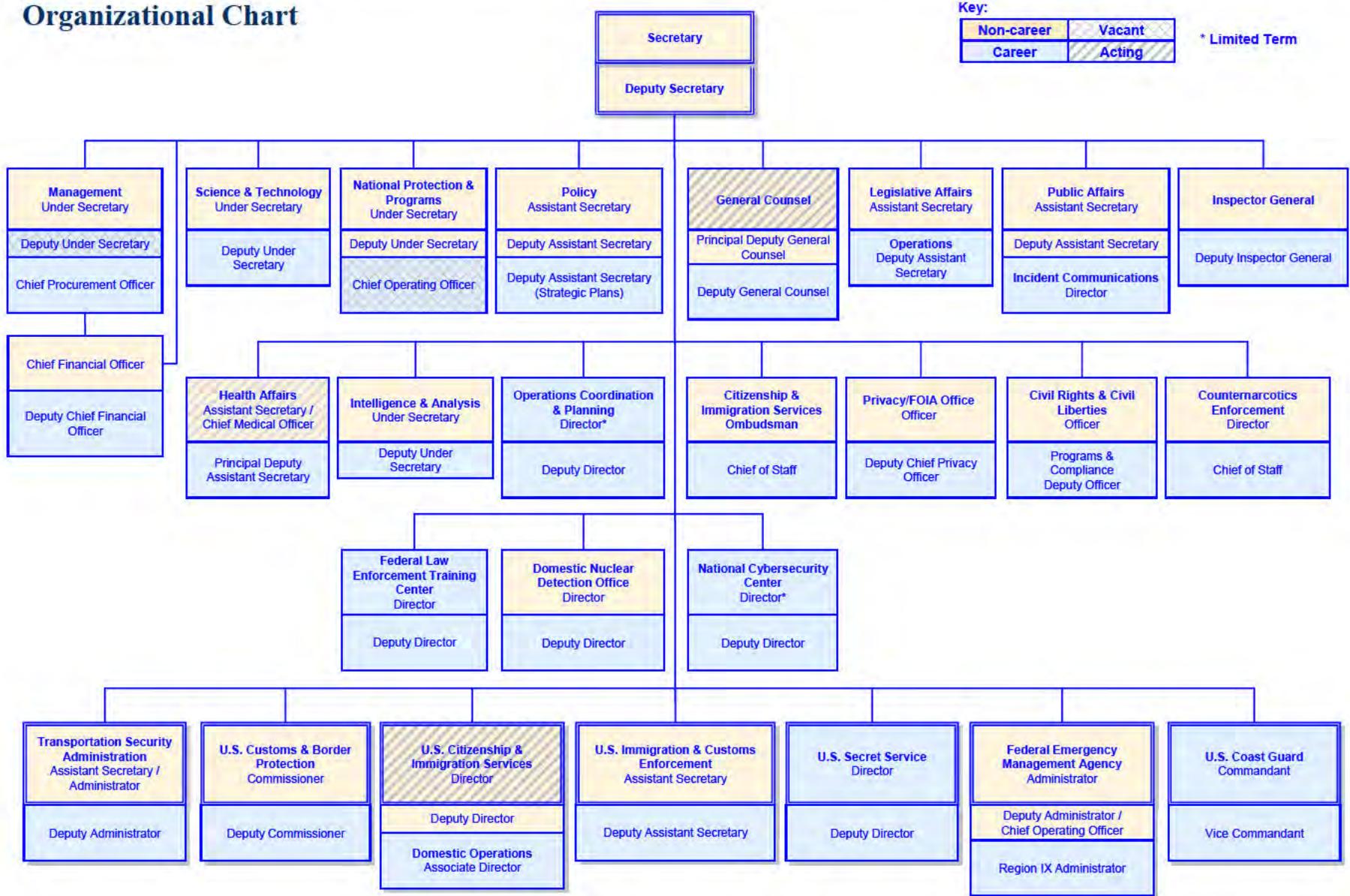
Securing the Homeland: The Department of Homeland Security Strategic Plan, Fiscal Years 2008-2013 serves to focus the Department's mission and sharpen operational effectiveness, particularly in delivering services to support Department-wide initiatives and the other mission goals. It identifies the goals and objectives by which we continually assess our performance. The Department uses performance measures at all levels to monitor our strategic progress and program success. This process also keeps the Department's priorities aligned, linking programs

and operations to performance measures, mission goals, resource priorities, and strategic objectives.

Point of Contact

- **Alan Cohn**, Deputy Assistant Secretary for Policy (Strategic Plans), b(2), b(6)

Organizational Chart



DHS Organization History

This paper provides an overview of the structure and organization of the Department of Homeland Security (DHS). The Department has experienced a number of significant changes since its creation in 2003. Some of these changes were mandated by statute while others came about through administrative action under an authority (i.e., “section 872”) that is no longer operative.

Current Status

The Department is made up of the following Components, which report directly to the Office of the Secretary. Two of these Components, the Military Advisor’s Office and the Executive Secretariat, are located within the Office of the Secretary.

- Citizenship and Immigration Services Ombudsman
- Civil Rights and Civil Liberties
- Office of Counternarcotics Enforcement
- Domestic Nuclear Detection Office
- Executive Secretariat
- Federal Law Enforcement Training Center
- Chief Financial Officer
- Office of the General Counsel
- Recovery and Rebuilding of the Gulf Coast Region (created by Executive Order)
- Office of Health Affairs
- Office of Inspector General
- Office of Intelligence and Analysis
- Office of Legislative Affairs
- Management*
- Military Advisor’s Office
- National Protection and Programs Directorate*
- Office of Operations Coordination
- Office of Policy
- Chief Privacy Officer
- Office of Public Affairs
- Science and Technology*
- U.S. Citizenship and Immigration Services+
- U.S. Coast Guard+
- U.S. Customs and Border Protection+
- Federal Emergency Management Agency*+
- U.S. Immigration and Customs Enforcement+
- U.S. Secret Service+
- Transportation Security Administration+

* = Indicates the “Directorates” of the Department

+ = Indicates Operational Components, also referred to as “Gang of Seven.”

History

On November 25, 2002, President George W. Bush signed the *Homeland Security Act of 2002*, Public Law 107-296. The *Homeland Security Act* created the Department of Homeland Security. DHS became operational on January 24, 2003, sixty days after the President signed the *Homeland Security Act* into law. It brought together many pre-existing programs and agencies:

- United States Customs Service
- Immigration and Naturalization Service
- Federal Protective Service
- Transportation Security Administration
- Federal Law Enforcement Training Center
- Animal and Plant Health Inspection Service
- Office of Domestic Preparedness
- Office of Emergency Preparedness
- Federal Emergency Management Agency
- Strategic National Stockpile
- National Disaster Medical System
- Nuclear Incident Response Team
- Domestic Emergency Support Teams
- National Domestic Preparedness Office
- Chemical, Biological, Radiological & Nuclear Countermeasures Programs
- Environmental Measurements Laboratory
- Environmental Research Program
- National BW Defense Analysis Center
- Plum Island Animal Disease Center
- Federal Computer Incident Response Center
- National Communications System
- National Infrastructure Protection Center
- Energy Security and Assurance Program
- Critical Infrastructure Assurance Office
- Integrated Hazard Information System
- Metropolitan Medical Response System (HHS)
- Chemical and biological national security and supporting programs (Energy)
- Nuclear smuggling programs and activities (Energy)
- Nuclear assessment program and activities (Energy)
- U.S. Coast Guard
- U.S. Secret Service

The *Homeland Security Act* also created a number of wholly new Directorates within the Department: Border and Transportation Security (BTS), Emergency Preparedness and Response (EPR), Information Analysis and Infrastructure Protection (IAIP), Management (MGMT), and Science and Technology (S&T).

Section 872 Authority

The *Homeland Security Act* provided certain flexibility for the Secretary of Homeland Security to establish, consolidate, alter, or discontinue organizational units within the Department. Congress authorized the mechanism for implementing these changes in section 872 of the *Homeland Security Act*. Changes made pursuant to section 872 required notifications to Congress and a waiting period of 60 days for the changes to take effect.

The *Homeland Security Fiscal Year 2008 Appropriations Act* (Public Law 110-161) has prohibited the use of appropriated funds to carry out the section 872 authority. The *Consolidated Security, Disaster Assistance, and Continuing Appropriations Act, 2009* continues this prohibition.

Prior to the Appropriations Act prohibition, the Department exercised its section 872 authority numerous times. Secretary Ridge and Secretary Chertoff made the following changes pursuant to this authority:

- Established an Office of Security (May 23, 2003).
- Moved the Federal Air Marshal Program and Explosives Unit from the Transportation Security Administration to U.S. Immigration and Customs Enforcement (Sept. 2, 2003).
- Consolidated the Office for Domestic Preparedness with the Office of State and Local Government Coordination and consolidated the grant award functions exercised by the Under Secretary for Emergency Preparedness and Response and the Administrator of the Transportation Security Administration within the Office of State and Local Government Coordination (Jan. 26, 2004).
- Replaced the terms “Bureau of” with “United States” with respect to the Bureau of Citizenship and Immigration Services (June 23, 2004) (also added “U.S.” to ICE and CBP).
- Moved the Air and Marine Operations from U.S. Immigration and Customs Enforcement to U.S. Customs and Border Protection (Sept. 24, 2004).
- Established the Domestic Nuclear Detection Office (April 13, 2005).
- Realigned the Department of Homeland Security to increase its ability to prepare, prevent, and respond to terrorist attacks and other emergencies. This reorganization was named the Second Stage Review (2SR). 2SR reorganized, consolidated, or altered a number of existing Directorates and Components. Some of the changes are listed below. (July 13, 2005).
 - The Secretary established an Office of Policy, consisting of various organizational units including the Border and Transportation Security Policy and Planning Office and elements of the Border and Transportation Security Office of International Enforcement.

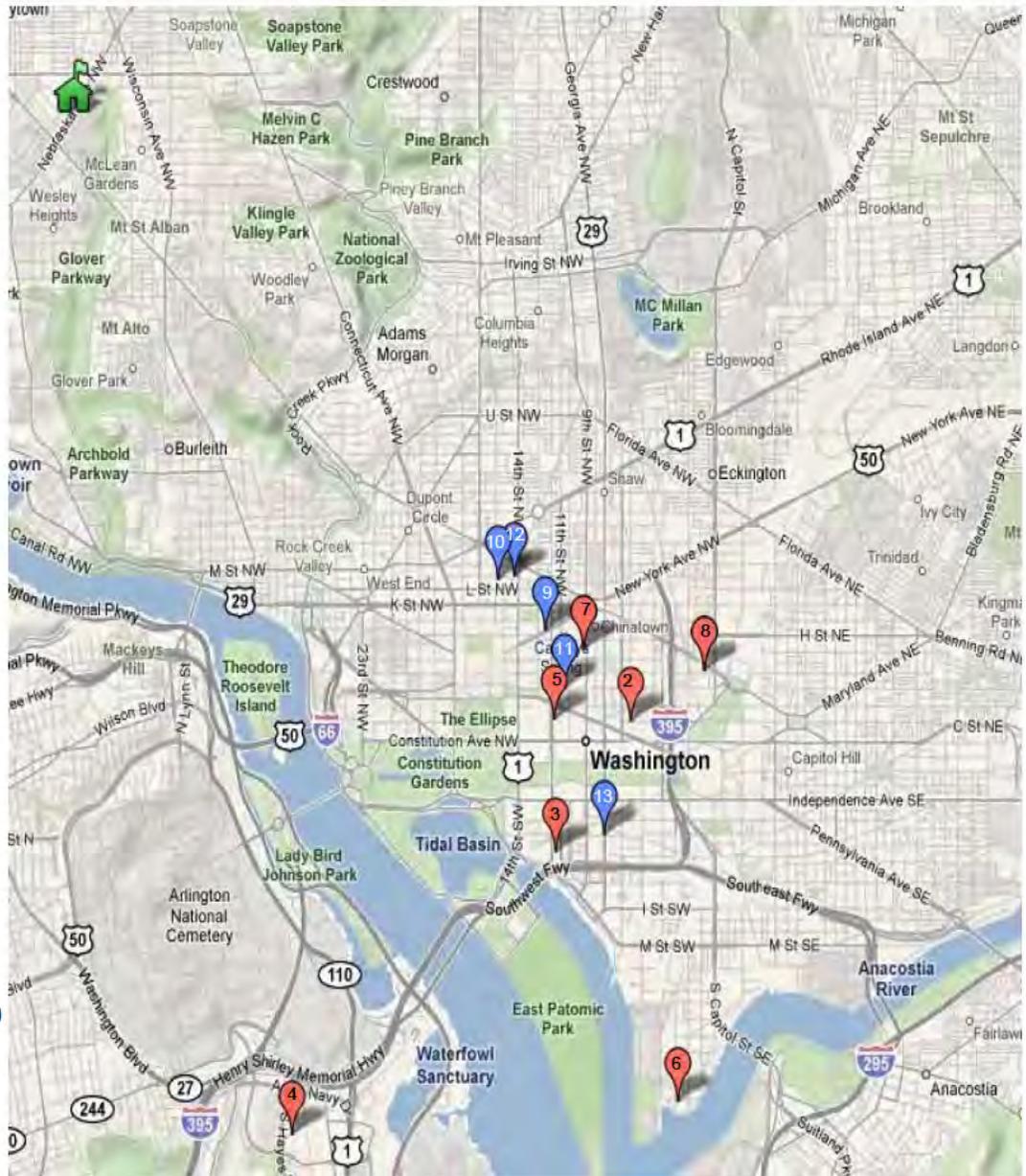
- The Office of Operations Coordination was established to provide the Secretary with improved crisis and operational management tools.
- The realignment changed the Directorate of Emergency Preparedness and Response (EP&R). Previously, the directorate had consolidated preparedness, response, and recovery into a single directorate. As part of the realignment, the Secretary separated the preparedness resources from response and recovery and combined them in the Directorate of Information Analysis and Infrastructure Protection, which was renamed the Directorate for Preparedness.
- The realignment transferred the Federal Air Marshal Program and Explosives Unit from U.S. Immigration and Customs Enforcement back to the Transportation Security Administration.
- 2SR elevated the largest intelligence office, Information Analysis, which was combined with Infrastructure Protection in a single directorate, to a stand-alone office reporting directly to the Secretary. It was renamed the Office of Intelligence and Analysis.
- Replaced the title of the office and position of the Under Secretary of Emergency Preparedness and Response with the title of Under Secretary for Federal Emergency Management (April 4, 2006).
- As part of the *Homeland Security Fiscal Year 2007 Appropriations Bill* (Public Law 109-295), the President signed into law the *Post Katrina Emergency Reform Act* (PKEMRA). PKEMRA, and additional changes made pursuant to section 872 (as a complement to the statutorily-mandated changes), transferred numerous functions of the Preparedness Directorate to FEMA and renamed the Preparedness Directorate the National Protection and Programs Directorate (NPPD). The Chief Medical Officer did not, however, transfer to NPPD; instead, the reorganization created a new Office of Health Affairs (Sept. 11, 2007).

Point of Contact

- Joseph B. Maher, OGC Deputy General Counsel, b(2), b(6)

Locations by Leadership

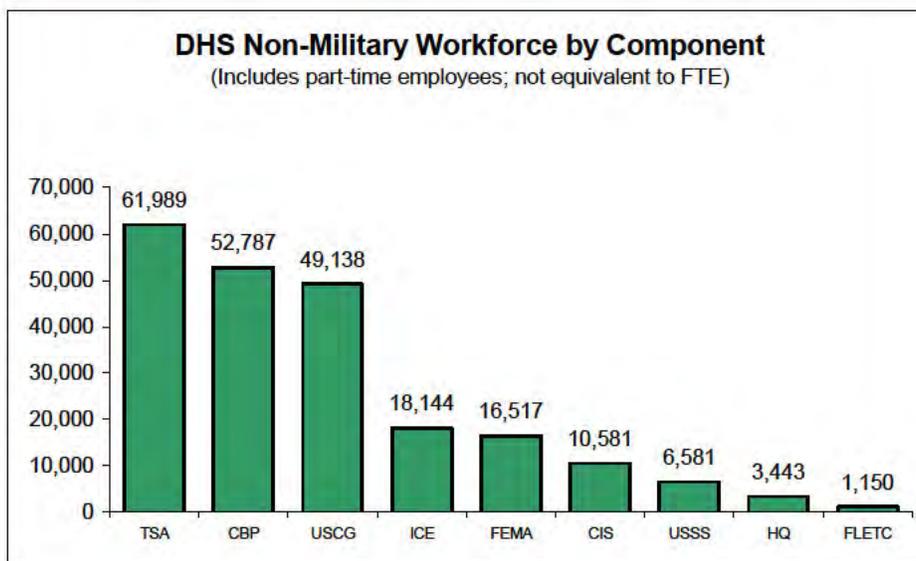
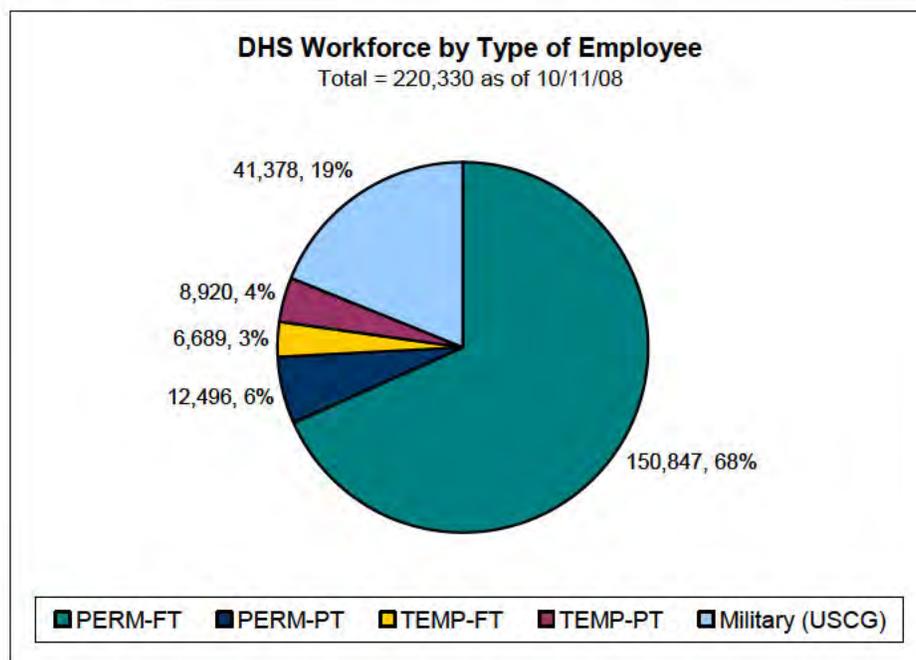
1. **DHS Hdqtrs – Nebraska Avenue Complex**
 - a. OES – NAC (b)(2)(high)
 - b. OGC – NAC (b)(2)(high)
 - c. OMAS – NAC (b)(2)(high)
 - d. OIA – NAC (b)(2)(high)
 - e. OPA – NAC (b)(2)(high)
 - f. OPS – NAC (b)(2)(high)
 - g. OSEC – NAC (b)(2)(high)
 - h. COS – NAC (b)(2)(high)
 - i. PLCY – NAC (b)(2)(high)
 - j. PRIV – NAC (b)(2)(high)
 - k. NPPD – NAC (b)(2)(high)
2. **FEMA** – 500 C St., SW
3. **ICE** – 500 12th St., SW
4. **TS&A** – 601-701 S. 12th St.
5. **CBP** – 1300 Penn Ave., NW
6. **USCG** – 2100 2nd St., SW
7. **USSS** – 950 H St., NW
8. **CIS** – 20 Mass Ave., NW
9. **CISO** – 1225 New York Ave., NW
- CRCL** – 1225 New York Ave., NW
10. **DNDO** – 1125 15th Street, NW
11. **FLETC** – 555 11th St., NW
12. **OHA** – 1120 Vermont Ave., NW
- OIG** – 1120 Vermont Ave., NW
- S&T** – 1120 Vermont Ave., NW
13. **CNE** – 700 D St., SW
- OLA** – 700 D St., SW
- USM** – 700 D St., SW
- Front office – 7th & D St., SW
- Admin Service (OCAO) – 7th & D St., SW
 - a. NAC (b)(2)(high)
- Info Services (CIO) – 7th & D St., SW
 - a. NAC (b)(2)(high)
- Human Capital (CHCO) – 1225 New York Ave., NW
 - a. NAC (b)(2)(high)
- Chief Security (CSO) – 7th & D St., SW
 - a. 1120 Vermont Ave., NW
 - b. NAC (b)(2)(high)
- Chief Financial (CFO) – 7th & D St., SW
 - a. NAC (b)(2)(high)
- Chief Procurement (CPO) – 7th & D St., SW
 - a. NAC (b)(2)(high)



Workforce Overview

The creation of the Department of Homeland Security brought together the workforces of 22 distinct Agencies and programs, representing hundreds of occupations, from chemists to customs and border patrol agents to economists. The Department's workforce includes civilian, military, and law enforcement personnel.

Although their responsibilities vary greatly, the Department's employees are united in carrying out the Department's mission to protect the American people, reduce the risk of terrorist attacks, and enhance the Nation's preparedness and response capabilities.



Types of Employee Positions

Federal “employee” status is determined by an individual’s (i) appointment by one of several designated officials, (ii) performance of a Federal function, and (iii) supervision in the performance of those duties by a Federal official. 5 U.S.C. § 2105(a).

The majority of DHS positions are in the competitive service and authorized by Title 5. Employee positions within the Transportation Security Administration (TSA), however, are authorized by the *Aviation and Transportation Security Act* (Pub. L. 107-71).

A. Career Employees Classified by *Type* of Appointment

1. **Competitive Service.** 5 U.S.C. § 2102. Comprises most of the Federal workforce. Applicants must compete and are evaluated according to objective standards for these positions requiring testable-type skills. Competitive service employees must serve a one-year probationary period.
2. **Excepted Service.** 5 U.S.C. § 2103. Historically about 20% of the Federal workforce. These positions are excepted from competition by law, executive order, or by the Office of Personnel Management (OPM). Excepted service positions are designated as Schedule A (e.g., lawyers), Schedule B (e.g., work study programs), or Schedule C (e.g., most political appointees below the subcabinet level). Non-preference eligible excepted service appointees must serve a two-year trial period.
3. **Excepted Service (TSA).** Pub. L. 107-71. TSA’s personnel management system as established under the provisions of 49 U.S.C. 40122 such that TSA is excepted from most provisions of Title 5 of the U.S. Code. Although its implementing legislation placed TSA outside of Title 5 hiring rules, TSA policies and procedures mirror Title 5 in significant ways. In addition, DHS and OPM established a civil service Interchange Agreement for TSA in accordance with Civil Service Rule 6.7. This agreement enhances the opportunities for Federal employees to transfer to TSA as well as for TSA employees to transfer to positions with other Federal agencies. TSA employees serve a trial period.
4. **Senior Executive Service (SES).** 5 U.S.C. § 2101a and 3132(a)(2). Comprises less than one-half of one percent of the Federal workforce. These are managerial, supervisory, and/or policy positions classified above the GS-15 level. They can be career or noncareer. Veterans’ preference does not apply. SES appointees must serve a one-year probationary period.
5. **Transportation Security Executive Service (TSES).** Pub. L. 107-71 (TSA). TSES appointments are similar to the SES and can be career or noncareer. Career appointees must be approved by OPM’s Qualifications Review Board. TSES appointees must serve a one-year probationary period.

B. Non-career Employees Classified by *Type* of Appointment

1. **Presidential Appointments Requiring Senate Confirmation (PAS).** 5 U.S.C. §§ 5312-5316. These are the Federal government's top executive positions including Cabinet members, deputy secretaries, undersecretaries, assistant secretaries, and certain other key officials. These positions are covered by the *Vacancy Reform Act*, including rigorous "Acting" and reporting requirements.
2. **Senior Executive Service (SES-PA)/TSES Noncareer Appointees.** 5 C.F.R. §§ 317.601-605 and Pub.L. 107-71 (TSA). Agencies with OPM appointing authority and the express approval of the White House Office of Presidential Personnel may make appointments under this authority without regard to competition and set pay levels for such appointees. Noncareer SES/TSES appointees serve at the pleasure of the appointing authority; limited term appointments may not exceed three years, but incumbents may be terminated prior to the end of their term.
3. **Schedule C Appointees/TSA Political Appointees.** 5 C.F.R. § 213.3301 and Pub.L. 107-71 (TSA). These positions are politically appointed because of the incumbents' unique policy-determining responsibilities and/or confidential relationship to key officials. Most of these positions are at the GS-15 level and below. Appointments require advance approval by the White House Office of Presidential Personnel and OPM but are otherwise exempt from any competition requirements. These appointees serve at the pleasure of the sitting Administration or appointing authority and typically end when the incumbent's relationship with the key official terminates.
4. **Temporary Transitional Schedule C Appointees.** 5 C.F.R. § 213.3302 specifically aimed at accommodating the special needs of a Presidential transition, OPM has delegated authority to agencies to establish a limited number of these positions during the initial year of a new Administration or during the 1-year period immediately following the appointment of a new agency head. These appointments may be made for up to 120 days in duration and extended once for an additional 120 days. There are strict OPM reporting requirements for these appointments, the vacating of such positions, and converting incumbents to regular Schedule C appointments.
5. **Experts and Consultants.** 5 U.S.C. § 3109. This authority provides agencies with a means to engage the limited services of individuals who are specially qualified by education or experience to perform difficult and challenging tasks beyond the usual range of achievement of competent persons in a particular field. These appointments are not authorized "in anticipation of giving that individual a career appointment" but may be utilized as bridge employment pending a Schedule C appointment if the appointee otherwise meets the qualifications of a subject matter expert. 5 C.F.R. § 304.103(b)(6). They are otherwise exempt from competition and are paid at a rate not to exceed the daily equivalent of a GS-15, Step 10. Appointments for services on an intermittent basis are not limited as to duration; all other appointments under this authority are temporary and may not exceed one year. 5 C.F.R. § 304.103.

C. Employees Classified by *Pay Authorities*: 5 U.S.C. Chapter 53 and Pub. L. 107-71

1. **General Schedule employees.** 5 U.S.C. chapters 51-53. This is the historical GS-1 through GS-15 grading system that applies to most of the Federal workforce. Salaries are based on substantially equal pay for substantially equal work within each designated locality.
2. **Prevailing rate employees (“wage system”).** 5 U.S.C. §§ 5341-5349. This pay system covers trade, craft, labor, and other blue-collar positions. Workers are graded WG-1 through WG-15; leaders are graded WL-1 through WL-15; and supervisors, WS-1 through WS-15. These hourly pay rates are based on prevailing rates for each particular trade in a given locality.
3. **Senior Executive Service (SES) employees.** 5 U.S.C. §§ 5381-85 and Pub.L. 107-71 (TSA). The SES and TSES pay rates are set by the President with a minimum rate of at least 120% of the lowest rate for a GS-15.
4. **Executive Schedule.** Levels I-IV. 5 U.S.C. §§ 5311-5318. This authority covers the Federal government’s top executives including Cabinet members, deputy secretaries, undersecretaries, and assistant secretaries. In 2008, the annual pay rates for the Executive Schedule ranged from \$139,600 (Level V) to \$191,300 (Level I).
5. **Nonappropriated fund employees (“NAFE”).** There are no NAFE employees at DHS. These appointments are used principally in support of the military services, e.g., employees of military exchanges, clubs, commissaries.
6. **TSA Core Compensation System.** Pub. L. 107-71 (TSA). TSA’s compensation management program covering all non TSES employees, which outlines the policies, procedures and guidelines that TSA will use to determine the compensation of employees in those positions. Positions in the core compensation system are in pay plan SV. This system represents a pay for performance program that encompasses 13 separate pay bands.

D. Employees Classified by Eligibility for *Veterans’ Preference*

This statutory preference does not require agencies to hire veterans for every vacant Federal job, but they are entitled to certain preferences in terms of hiring and retention decisions. 5 U.S.C. § 2108.

Additionally, employees absent from their regular government jobs because of active military duty are further protected in terms of job retention, seniority and promotion rights by the *Uniformed Services Employment and Reemployment Act (USERRA)*, 38 U.S.C. §§ 4301-4333.

Points of Contact

- Joseph B. Maher, OGC Deputy General Counsel, b(2), b(6) [REDACTED]
- Randy Kruger, CHCO, Director, Executive Services, b(2), b(6) [REDACTED]
- Gene Sexton, CHCO, Director, Human Capital Operations & Services, b(2), b(6) [REDACTED]

Hiring History and Projections for Mission Critical Occupations

(Includes part time employees; not equivalent to full time equivalent.)

Mission Critical Occupation	Series	FY 2003 End Count	FY 2008 End Estimate
TSA - Total			
Transportation Security Officer	1802	46,784	50,200
Federal Air Marshal	1801	Classified	Classified
CBP - Total			
Border Patrol Agent	1896	10,678	17,819
CBP Officer	1895	17,947	19,700
CBP Agriculture Specialist	401	1,482	2,188
CBP Air Interdiction Agent	1881	459	760
CBP Marine Interdiction Agent	1801	85	153
Notes:			
<ol style="list-style-type: none"> 1. FY 2003 - Population as of 10/5/2003 when the transition to CBP was completed. 2. FY 2003 - CBPO Officer was a combination of Customs Inspector, Immigration Inspector, and Canine Enforcement Officer. The new occupation was established in FY 2004. 3. CBP Agriculture Specialist was established in FY 2004. Prior to that they were in the 436 series (Agriculture Specialist or Plant Protection and Quarantine Officer). 4. CBP Air Interdiction Agent was established in FY2006. Prior to that they were Pilots, series 2181. 5. CBP Marine Interdiction Agents were established in FY2006. Prior to that they were Marine Enforcement Officers, series 1801. In FY 2004 they were in ICE. 6. Data is based on "all" employees. 			
ICE			
Immigration Enforcement Agent	1801	N/A	3,734
Deportation Officer / Detention & Deportation Officer	1801	N/A	2,402
FEMA			
Personnel Management	0201	39	101
Misc. Admin & Program	0301	462	806
Telecommunications	0391	107	145
Financial Management	0505	2	10
General Engineering	0801	8	5
Architecture	0808	1	3
Civil Engineering	0810	48	52
Contracting	1102	45	146
Insurance Examining	1163	18	19
Training Instruction	1712	102	116
Information Technology Specialist	2210	294	492

Mission Critical Occupation	Series	FY 2003 End Count	FY 2008 End Estimate
CIS			
Adjudications Officer and Application Adjudicators	1801	3,211	4,789
USCG			
Engineering and Architecture (all series)	08XX	554	580
Contracting	1102	281	320
IT Management	2210	357	475
USSS			
Special Agent	1811	3,139	3,405
Uniformed Division Officers	0083	1,182	1,293
FLETC			
Instructor	1801	379	480*
* Count as of July 16, 2008. Fluctuation in numbers over the fiscal years is due to the hiring/separation of reemployed annuitants.			
OIG			
Criminal Investigators	1811	109	170
Auditors	0511	179	154
Program Analyst (Auditing & EMO)	0343	13	111
Program Analyst (Inspections)	0343	10	36
DHS-Wide			
IT Specialist	2210		589*
Contract Specialist	1102		1,094
HR Specialist	201		979
Leadership (Managers, Supervisors and SES)			21,613
* These numbers represent only certain specialties within the 2210 series, specifically, IT Project Management, IT Security, Enterprise Architecture and Solutions Architecture.			

Vacancies as of October 24, 2008

Agency or Component	Abbreviation	Total Executive Resources**	Filled Executive Resources***	Total Vacant Executive Resources	Selections Made	% Vacant Executive Resources
Office of the Assistant Secretary for Policy	POLICY	23	22	1	0	4%
Office of the General Counsel	OGC	20	16	4	1	20%
Office of the Under Secretary for Intelligence & Analysis	IA	24	19	5	2	21%
Citizenship and Immigration Services	CIS	52	49	3	2	6%
Federal Emergency Management Agency	FEMA	78	69	9	1	12%
Office of the Inspector General	IG	13	13	0	0	0%
U.S. Immigration and Customs Enforcement	ICE	69	59	10	6	14%
U.S. Coast Guard	USCG	15	15	0	0	0%
Director, Nuclear Detection Office	DNDO	7	7	0	0	0%
Office of Operations Coordination & Planning Directorate	OCPD	13	12	1	0	8%
U.S. Customs and Border Protection	CBP	108	102	6	2	6%
Office of the Under Sec. for National Protection & Programs	NPPD	29	20	9	1	31%
Under Secretary for Management	MGMT	49	41	8	3	16% ****
Office of Health Affairs/Chief Medical Officer	OHA/CMO	11	9	2	0	18%
Federal Law Enforcement Training Center	FLETC	9	9	0	0	0%
Office of the Sec., Deputy Secretary, and Immediate Offices	OS	24	22	2	1	8%
Office of the National Cyber Security Center	NCSC	7	2	5	0	71%
Office of the Under Secretary for Science and Technology	ST	37	35	2	0	5%
U.S. Secret Service	USSS	51	51	0	0	0%
Gulf Coast Reconstruction	GCR	2	2	0	0	0%
Transportation Security Administration (includes Federal Air Marshals)	TSA	166	143	23	4	14%
TOTAL		807*****	717	90	23	11%

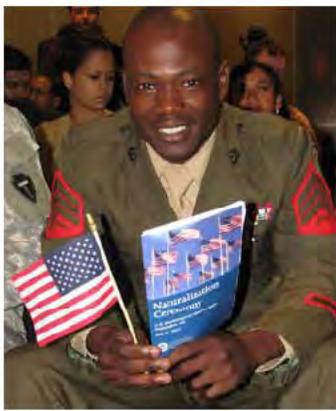
* Total Executive Resources includes PAS, PA, career and political SES positions and SL and ST positions

** There are 85 PAS, PA and non-career SES positions

*** Filled Executive Resources on board will never exceed the OPM approved allocation

**** MGMT includes 1 corporate SL resources

***** Total Executive Resource allocation is 773. The December 1, 2007 report reflected a Total Executive Resource allocation of 723. The difference is an additional 50 allocations from OPM plus a modest addition in excess of our ceiling to cover for projected attrition.



FY2009 Budget Overview



U.S. DEPARTMENT OF
**Homeland
Security**

For Official Use Only

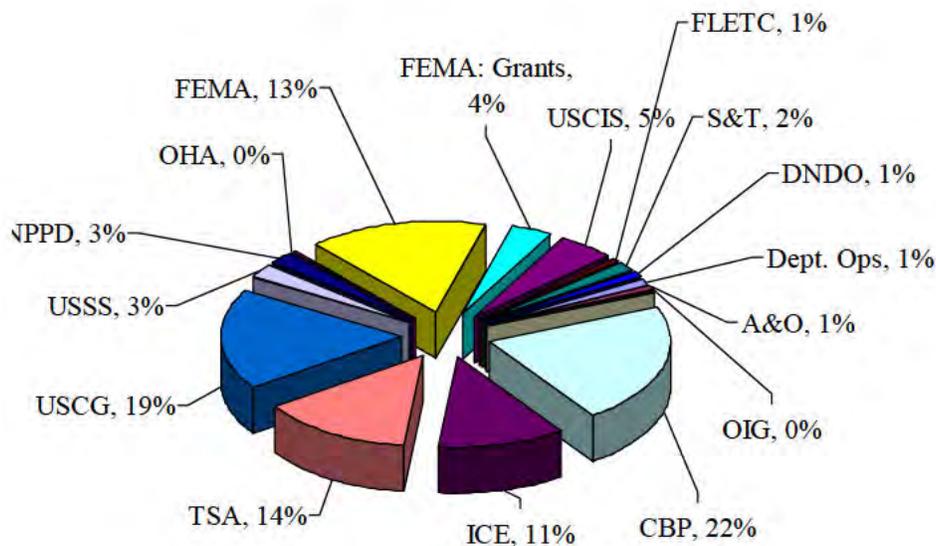
Fiscal Year 2009 Budget Overview

The President’s Fiscal Year (FY) 2009 Budget Request was transmitted to Congress on February 4, 2008. The Secretary and the leadership of the major DHS components testified before Congress on the Department’s budget request in the Spring, 2008. The House and Senate Appropriations Committees each passed their own versions of the FY 2009 Department of Homeland Security Appropriations Bill, and a final, consolidated bill was passed by Congress and enacted on September 30, 2008. The DHS Chief Financial Officer (CFO) assembles and transmits the annual budget request for DHS and coordinates the effort to secure Congressional approval.

Background

- The total FY 2009 budget for the Department of Homeland Security is **\$52.0 billion** in funding; a **10% increase** over the FY 2008 enacted level, excluding emergency funding.
 - Excluding certain mandatory and fee-funded accounts, such as retirement pay or immigration user fees, the Department’s FY 2009 gross discretionary budget is **\$43.2 billion**, a **14% increase** over the FY 2008 (excluding emergency funding).
 - Further, excluding airport passenger security fees which are used to offset the cost of operations, the Department’s FY 2009 net discretionary budget is **\$40.1 billion**.
- The below pie chart shows the percent of DHS total budget request by component.

FY 2009
Percent of Total Budget Authority by Organization
\$52,036,823,000



Notes: The following offices are less than one percent of the total budget authority and are not labeled in the chart above: Office of the Inspector General, and Office of Health Affairs.

Current Status

- The FY 2009 *Department of Homeland Security Appropriations Act* (P.L. 110-329) was signed by the President on September 30, 2008.
- The statute provides funding for the Department’s Components and programs through September 30, 2009, though some programs were provided multi-year funds.

Challenges

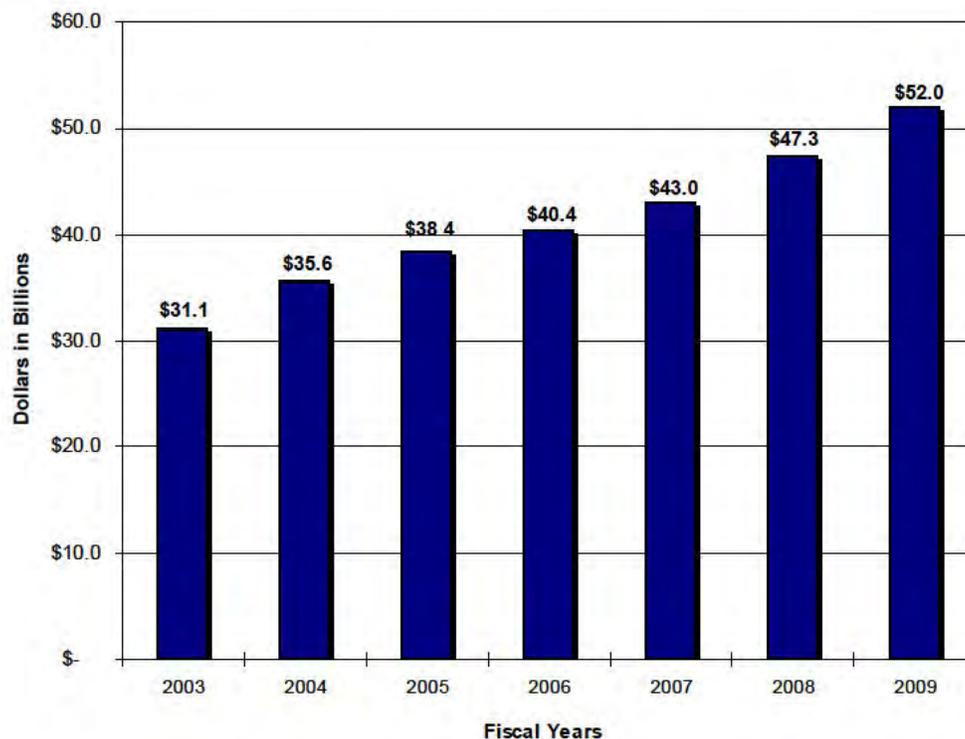
- The Department is now complying with requirements and activities funded by P.L. 110-329.
- Of the funds provided and as of October 17, 2008, over \$1.8 billion is withheld pending the completion and congressional approval of expenditure plans and other requirements.

Milestones

- October 1, 2008 – Beginning of FY 2009.
- September 30, 2009 – End of FY 2009.

FY 2009 Budget – Key Programs

The graph below shows DHS Funding History, Total Budget Authority in billions of dollars:



Following are key issues and their appropriations for FY 2009:

St. Elizabeths Headquarters Consolidation

- \$97.6 million included in U.S. Coast Guard account.

Secure Border Initiative

- Fully funds request of \$775 million, but withholds \$400 million until an expenditure plan is submitted and approved by Committee.

CBP Border Patrol Agents

- Fully funds request of \$442.4 million for 2,200 additional Border Patrol Agents.

Western Hemisphere Travel Initiative

- Fully funds request of \$140 million for Western Hemisphere Travel Initiative.

ICE Detention Beds

- 1,400 new detention beds for a total of 33,400 which is 400 more than requested.

TSA Secure Flight

- Fully funds request of \$82 million for Secure Flight.

USCG National Security Cutter

- Funds \$353.7 million for new National Security Cutter as requested by the Budget.

NPPD / U.S. Visitor and Immigrant Status Indicator Technology (US-VISIT)

- US-VISIT is funded at \$300 million, \$90 million below Budget Request; however, \$125 million in FY 2008 funds will be available in FY 2009.

NPPD National Command and Coordination Capability

- Provides \$6 million, \$55 million below the request.

OHA BioWatch

- Fully funds request of \$111.6 million for BioWatch.

FEMA Disaster Relief Fund

- Provides a total of \$9.4 billion for the Disaster Relief Fund.

REAL ID Hub

- Fully funds request of \$50 million for REAL ID hub.

Following is general background on some of the Department's key programs:

- **Disaster Relief.** Provides assistance to individuals and households; public assistance; and hazard mitigation to Presidentially declared major disaster areas. Lead agency is the Federal Emergency Management Agency.
- **The Coast Guard's Integrated Deepwater System (IDS).** Critical multi-year program to modernize and replace the Coast Guard's aging ships and aircraft, and improve command and control and logistics systems. IDS will provide the Coast Guard with a significantly improved ability to detect, identify and respond appropriately to all activities in the maritime arena, as well as the improved ability to intercept and engage those activities that pose a direct challenge to U.S. sovereignty and security. Lead agency is the U.S. Coast Guard.
- **Secure Border Initiative.** A comprehensive approach to achieving full control of the border and interior immigration enforcement, based on two overarching priorities—national security and public safety. Lead agency is the US Customs and Border Protection.
- **Detention and Removal.** Promotes public safety and national security by ensuring the departure of all removable aliens from the United States through the fair enforcement of the nation's immigration laws. Lead agency is the Immigration and Customs Enforcement.
- **E-Verify.** Allows employers to use an automated system to verify name, DOB, and SSN. Lead agency is the U.S. Citizenship and Immigration Services.
- **State and Local Law Enforcement Support (287g).** A force multiplier for Immigration and Customs Enforcement agents who train, certify, supervise, and delegate authority to state and local law enforcement officers to enforce Federal immigration laws. Lead agency is Immigration and Customs Enforcement.
- **Secure Flight.** Enhances the security of domestic commercial air travel within the United States through the use of improved watch list matching. Lead agency is the Transportation Security Administration.
- **Western Hemisphere Travel Initiative.** Design, development, and implementation of a new land border application to read, validate and process Passport Cards and other WHTI compliant documents at land and sea border ports of entry. Lead agency is the US Customs and Border Protection.
- **Next Generation BioWatch.** An early warning system that can rapidly detect trace amounts of pathogen-specific nucleic acid in the air whether intentionally released into or naturally present in the environment. Lead agency is the Office of Health Affairs.
- **Protective Terrorist Countermeasures.** The latest state-of-the-art equipment that will be used in the event of an explosive, chemical, biological, or radiological attack. Lead agency is the U.S. Secret Service.

- **Secure the Cities.** Design and implement an architecture for the coordinated and integrated detection and interdiction of illicit radiological/nuclear materials that may be used as a weapon within a major urban area. Lead agency is the Domestic Nuclear Detection Office.
- **U.S. Visitor and Immigrant Status Indicator Technology (US-VISIT).** Collects, maintains and shares information, including biometric identifiers, on foreign visitors to assist in determining whether an individual should be prohibited from entering the United States; can receive, extend, change or adjust immigration status; has overstayed or otherwise violated the terms of admission; should be apprehended or detained for law enforcement action; or needs special protection or attention. Lead agency is the National Protection and Programs Directorate.
- **National Cyber Security Division.** Partnership with the private sector, government, military and intelligence stakeholders in risk assessment and mitigation of vulnerabilities and threats to critical IT assets and activities that affect the operation of the critical infrastructures of the U.S.; and provides cyber threat and vulnerability analysis, early warning, and incident response assistance for public and private sector constituents. Lead agency is the National Protection and Programs Directorate.

Points of Contact

- David Norquist, Chief Financial Officer, b(2), b(6)
- Debi Schilling, Director, Budget Office, b(2), b(6)

DHS Appropriations and Funds

Department of Homeland Security (DHS) Components are currently operating under the *Fiscal Year (FY) 2009 DHS Appropriations Act* (P.L. 110-329). DHS's annual appropriations center around each Component's programs, projects and activities, with approximately 65 appropriation types and 255 separate line items within those appropriations. Appropriation types consist of directly appropriated discretionary dollars plus mandatory fees and special funds, such as immigration service fees and border crossing fees. Some fees, such as in aviation security, are used to offset the cost of operations, while others are a direct fee for service, such as in immigration application processing.

Background

- The Department's total budget authority for FY 2009 is **\$52.0 billion**, a **10% increase** over the FY 2008 enacted level (excluding emergency funding) and \$1.5 billion over the FY 2009 request. Total budget authority includes all direct appropriations plus mandatory fees and special funds.
 - Excluding mandatory and fee funded accounts, such as retirement pay or immigration user fees, the Department's FY 2009 gross discretionary budget is **\$43.2 billion**, a **14% increase** over FY 2008.
 - Further, excluding airport passenger security fees which are used to offset the cost of operations, the Department's FY 2009 net discretionary budget is \$40.1 billion.
- DHS also received emergency funds for FY 2009 which are not part of the annual budget authority and are not shown in tables that follows. The emergency funds include:
 - \$7.96 billion for Federal Emergency Management Agency's (FEMA's) Disaster Relief Fund;
 - \$300 million for repairs to U.S. Coast Guard Gulf Coast facilities after recent hurricanes; and
 - \$100 million for repayment to the American Red Cross for disaster aid.

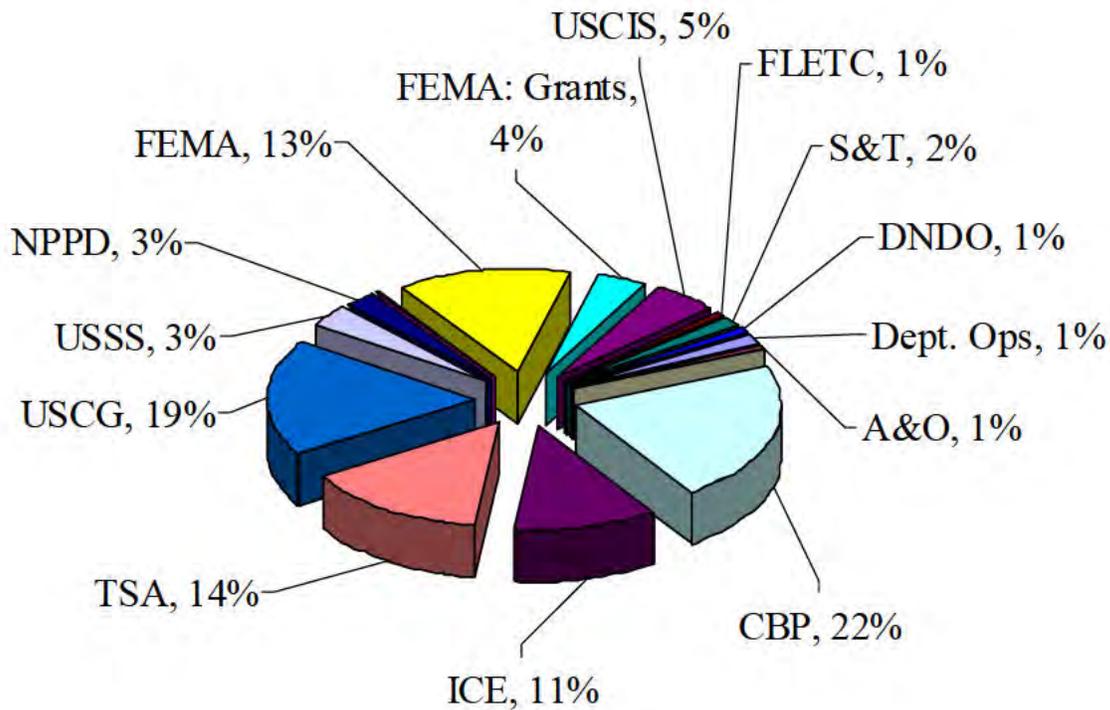
Appropriations Listings

The following table shows FY 2008 and FY 2009 total budget authority by component.

Component (Dollars in Millions)	FY 2008	FY 2009
U.S. Customs and Border Protection	\$9,307	\$11,269
U.S. Immigration and Customs Enforcement	\$5,054	\$5,928
Transportation Security Administration	\$6,820	\$6,978
Federal Law Enforcement Training Center	\$268	\$333
U.S. Coast Guard	\$8,741	\$9,361
U.S. Secret Service	\$1,595	\$1,413
Federal Emergency Management Agency	\$9,640	\$10,215

Component (Dollars in Millions)	FY 2008	FY 2009
U.S. Citizenship and Immigration Services	\$2,540	\$2,691
National Protection and Programs Directorate	\$902	\$1,158
Office of Health Affairs	\$116	\$157
Science and Technology Directorate	\$830	\$932
Domestic Nuclear Detection Office	\$485	\$514
Analysis and Operations	\$306	\$327
Departmental Management	\$572	\$645
Office of the Inspector General	\$109	\$115
TOTAL	\$47,285	\$52,036

The pie chart provided below shows the percent of DHS total FY 2009 funding by Component.



Appropriations by Component

The following pages provide a breakdown of the total budget authority by appropriation for DHS components.

Title I – Departmental Operations (Dollars are in thousands)

Office of the Secretary and Executive Management	FY 2008 Enacted	FY 2009 Enacted
Immediate Office of the Secretary	\$2,540	\$3,140
Immediate Office of the Deputy Secretary	\$1,122	\$1,400
Chief of Staff	\$2,639	\$2,693
Executive Secretary	\$4,722	\$7,448
Office of Policy	\$33,000	\$43,263
Office of Public Affairs	\$6,650	\$5,991
Office of Legislative Affairs	\$4,900	\$4,997
Office of General Counsel	\$13,500	\$20,114
Office of Civil Rights and Liberties	\$14,200	\$17,417
Citizenship & Immigration Svcs Ombudsman	\$5,900	\$6,471
Privacy Officer	\$5,500	\$6,804
Office of Counternarotics Enforcement	\$2,680	\$3,718
Total	\$97,353	\$123,456

Office of the Under Secretary for Management	FY 2008 Enacted	FY 2009 Enacted
Immediate Office of the Under Secretary for Management	\$2,012	\$2,654
Office of the Chief Security Officer	\$53,490	\$60,882
Office of the Chief Procurement Officer	\$28,495	\$39,003
Office of the Chief Human Capital Officer	\$18,811	\$38,827
Salaries and Expenses	\$41,430	\$44,427
Nebraska Avenue Complex (NAC)	\$6,000	\$6,000
St Elizabeths Project	\$0	\$0
Unspecified Reduction	(5,000)	
Total	\$145,238	\$191,793

Office of the Chief Financial Officer	FY 2008 Enacted	FY 2009 Enacted
Office of the Chief Financial Officer	\$31,300	\$55,235
Total	\$31,300	\$55,235

Office of the Chief Information Officer	FY 2008 Enacted	FY 2009 Enacted
Salaries and Expenses	\$81,000	\$86,928
Information Technology Services	\$56,200	\$44,945
Security Activities	\$124,900	\$92,623
Homeland Secure Data Network	\$33,100	\$47,673
Total	\$295,200	\$272,169

Analysis and Operations	FY 2008 Enacted	FY 2009 Enacted
Salaries and Expenses	\$306,000	\$327,373
Total	\$306,000	\$327,373

* OPS budget is classified at the Secret level. Please see the classified budget annex for additional detail.

Office of the Federal Coordinator for Gulf Coast Rebuilding	FY 2008 Enacted	FY 2009 Enacted
Salaries and Expenses	\$2,700	\$1,900
Total	\$2,700	\$1,900

Office of the Inspector General	FY 2008 Enacted	FY 2009 Enacted
Audit, Inspections, and Investigations Program	\$108,711	\$114,513
Total	\$108,711	\$114,513

Title II – Security, Enforcement, and Investigations

Customs and Border Protection	FY 2008 Enacted	FY 2009 Enacted
Salaries and Expenses (S&E)	\$6,479,560	\$7,603,206
Automation Modernization	\$476,609	\$511,334
Border Security, Fencing, Infrastructure and Technology	\$172,000*	\$775,000
Air and Marine Operations	\$476,047	\$528,000
Construction	\$287,363	\$403,201
Prior Year Rescission ¹	[\$25,621]	\$0
Total, Appropriations	\$7,891,579	\$9,820,741
Total, Estimated Fee Collections + Small Airports User Fees	\$1,415,146	\$1,448,145
Total	\$9,306,725	\$11,268,886

¹ For FY 08, Rescission of \$25.6 million of prior year unobligated balances (P.L. 110-161)

* An additional \$1,053M for Border Security, Fencing, Infrastructure, and Technology was provided in Emergency Funding.

Immigration and Customs Enforcement	FY 2008 Enacted	FY 2009 Enacted
Salaries and Expenses	\$4,171,117	\$4,927,210
Federal Protective Service (offsetting)	\$613,000	\$640,000
Automation Modernization	\$30,700	\$57,000
Construction	\$6,000	\$5,000
Total, Appropriations	\$4,820,817	\$4,989,210
Total, Estimated Fee Collections	\$233,500	\$299,000
Total	\$5,054,317	\$5,928,210

Transportation Security Administration	FY 2008 Enacted	FY 2009 Enacted
Aviation Security ¹	\$4,808,741	\$4,754,793
Aviation Security Capital Fund	\$250,000	\$250,000
Surface Transportation Security ²	\$46,613	\$49,606
Transportation Threat Assessment and Credentialing	\$171,490	\$156,018
Transportation Security Support	\$523,515	\$947,735
Federal Air Marshals ¹	\$769,500	\$819,481
Checkpoint screening security fund	\$250,000	-
Rescission of Prior Year Balances	[\$4,500]	[\$31,000]
Total	\$6,819,859	\$6,977,633

United States Coast Guard	FY 2008 Enacted	FY 2009 Enacted
Operating Expenses	\$5,931,047	\$6,194,925
Environmental Compliance and Restoration	\$13,000	\$13,000
Reserve Training	\$126,883	\$130,501
Acquisition, Construction, and Improvements (AC&I) ¹	\$892,019	\$1,494,576
Alteration of Bridges	\$16,000	\$16,000
Research, Development, Test and Evaluation	\$25,000	\$18,000
Health Care Contribution (non-add)	\$272,111	\$257,305
Retired Pay (mandatory)	\$1,184,720	\$1,236,745
Trust Fund	\$280,273	TBD*
Total	\$8,741,053	\$9,361,052

¹ FY09 Enacted includes \$97,578,000 for Coast Guard Headquarters at St Elizabeths.

* Hill does not enact these fees. Amounts are derived by standing legislation and/or component estimates / requirements.

United States Secret Service	FY08 Enacted	FY09 Enacted
Salaries and Expenses	\$1,381,771	\$1,408,729
Acquisition, Construction, and Improvements	\$3,725	\$4,225
Retired Pay (mandatory- trust fund)	\$210,000	TBD*
Total	\$1,595,496	\$1,412,954

* Hill does not enact these fees. Amounts are derived by standing legislation and/or component estimates / requirements.

Title III – Preparedness and Recovery

National Protection and Programs Directorate	FY 2008 Enacted	FY 2009 Enacted
Management and Administration	\$47,346	\$51,350
Infrastructure Protection and Information Security	\$645,730	\$806,913
U.S. Visitor and Immigrant Status Indicator Technology (US-VISIT)	\$200,000	\$300,000
Total	\$902,076	\$1,158,263

Office of Health Affairs	FY 2008 Enacted	FY 2009 Enacted
Biowatch	\$77,108	\$111,606
National Biosurveillance Integration Program	\$8,000	\$8,000
Rapidly Deployable Chemical Detection System	\$2,600	\$2,600
Planning and Coordination	\$4,475	\$5,775
Salaries and Expenses	\$24,317	\$29,210
Total	\$116,500	\$157,191

Federal Emergency Management Agency	FY 2008 Enacted	FY 2009 Enacted
Management and Administration ¹	\$724,000	\$943,037
State and Local, AFG, EMPG, and Training Grants	\$3,367,800	\$3,470,700
Assistance to Firefighter Grants (AFG)	\$750,000	\$775,000
Radiological Emergency Preparedness Program	(\$997)	(\$505)
United States Fire Administration ¹	\$43,300	\$44,979

Federal Emergency Management Agency	FY 2008 Enacted	FY 2009 Enacted
Disaster Relief Fund	\$1,324,000	\$1,278,400
Direct Assistance Disaster Loan Program	\$875	\$295
Flood Map Modernization Fund	\$220,000	\$220,000
National Flood Insurance (offsetting)	\$111,000	\$156,599
National Flood Insurance (mandatory)	\$2,833,000	\$3,037,000
National Flood Mitigation Fund (by transfer)	[\$34,000]	-
National Pre-Disaster Mitigation Fund	\$114,000	\$90,000
Emergency Food and Shelter	\$153,000	\$200,000
Total	\$9,639,978	\$10,215,505

Title IV – Research and Development, Training, and Services

U.S. Citizenship and Immigration Services	FY 2008 Enacted	FY 2009 Enacted
Discretionary	\$973	\$151,740
Fee Accounts	\$2,538,872	\$2,539,186
Total	\$2,539,845	\$2,690,926

Federal Law Enforcement Training Center	FY 2008 Enacted	FY 2009 Enacted
Salaries and Expenses	\$221,076	\$246,530
Acquisition, Construction and Improvements	\$46,590	\$86,456
Total	\$267,666	\$332,986

Science and Technology	FY 2008 Enacted	FY 2009 Enacted
Management and Administration	\$138,600	\$132,100
Research, Development, Acquisition, and Operations	\$691,735	800,487
Total	\$830,335	\$932,587

Domestic Nuclear Detection Office	FY08 Enacted	FY09 Enacted
Management and Administration	\$31,500	\$37,500
Research, Development and Operations	\$323,500	\$323,200
Systems Acquisition	\$129,750	\$153,491
Total	\$484,750	\$514,191

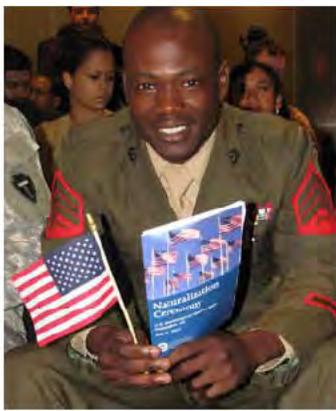
The following table provides the details of the FEMA State and Local Grant Programs, including Assistance to Firefighters Grants, EMPG, and Training.

Budget Activity (Dollars in Thousands)	FY 2007	FY 2008		FY 2009	
	Revised Enacted*	Request	Enacted	Request	Enacted
Homeland Security Prevention and Protection Programs	\$2,339,000	\$1,506,000	\$2,697,500	\$1,523,000	\$2,707,500
Urban Area Security Initiative (UASI)	770,000	800,000	820,000	825,000	837,500
State Homeland Security Grant Program (SHSGP)	525,000	250,000	890,000	173,000	890,000
Law Enforcement Terrorism Prevention Program (LETPP)	375,000	-	-	-	-
Stonegarden **	-	-	60,000	-	60,000
National Security and Terrorism Prevention Grants	-	-	-	110,000	-
REAL ID Grants**	-	-	50,000	-	50,000
Buffer Zone Protection Grants (BZP)	50,000	50,000	50,000	-	50,000
Transportation Infrastructure Protection Programs	619,000	406,000	827,500	405,000	820,000
Port Security Grants*	320,000	210,000	400,000	210,000	400,000
Rail/Transportation Security Grants*	275,000	175,000	400,000	175,000	400,000
Over-the-Road Bus Security Grants	12,000	12,000	11,500	12,000	12,000
Trucking Industry Security Grants	12,000	9,000	16,000	8,000	8,000
Homeland Security Response and Recovery Programs	995,000	515,000	1,206,000	515,000	1,266,000
Assistance to Firefighters Grants (AFG)^	662,000	300,000	750,000	300,000	775,000
Fire Grants	547,000	300,000	560,000	300,000	565,000
SAFER Grants	115,000	-	190,000	-	210,000
Emergency Management Performance Grants*	250,000	200,000	300,000	200,000	315,000
Citizen Corps Program (CCP)	15,000	15,000	15,000	15,000	15,000
Metropolitan Medical Response System (MMRS)	33,000	-	41,000	-	41,000
Regional Catastrophic Preparedness*	35,000	-	35,000	-	35,000
Interoperable Emergency Communication Grants	-	-	50,000	-	50,000
Emergency Operations Centers	-	-	15,000	-	35,000
Other State and Local Support Programs	349,500	175,000	324,300	145,000	272,200
Commercial Equipment Direct Assistance Program	50,000	-	25,000	-	8,000
Continuing Training Grants	31,000	3,000	31,000	-	31,000
Demonstration Training Grants	30,000	-	28,000	-	-
National Domestic Preparedness Consortium	88,000	38,000	88,000	32,000	102,000
Center for Domestic Preparedness	57,000	48,500	57,000	47,000	57,000
Noble Training Center	5,500	5,500	5,500	-	5,500
National Exercise Programs	49,000	50,000	50,000	40,000	40,000
Counterterrorism and Cyber Crime Center	-	-	-	-	1,700
Rural Domestic Preparedness Consortium	12,000	-	8,800	-	-
Technical Assistance Program*	8,000	6,000	12,000	10,000	11,000
Evaluations and Assessments (PPPA)	19,000	19,000	19,000	16,000	16,000
Management and Administration	-	5,000	-	-	-
TOTAL	\$3,683,500	\$2,196,000	\$4,227,800	\$2,183,000	\$4,245,700

* FY07 Revised Enacted includes \$297 million emergency funding (P.L. 110-28); ** FY08 Enacted includes \$110 million in emergency funding (P.L. 110-161); ^ Assistance to Firefighters Grants are funded under a separate appropriation. ^^ Included in SHSGP.

Points of Contact

- David Norquist, Chief Financial Officer, **b(2), b(6)**
- Debi Schilling, Director, Budget Office, **b(2), b(6)**

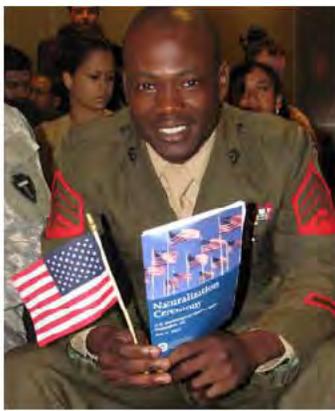


DHS Organizations



Homeland Security

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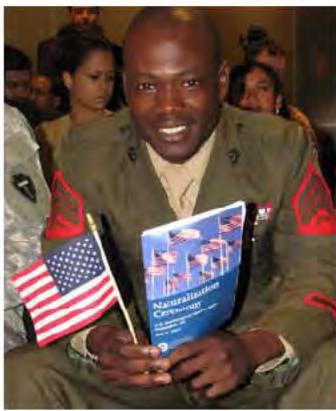


DHS Organizations: Immediate Office of the Secretary



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Office of the Secretary



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Office of the Secretary

The Office of the Secretary is authorized 12 personnel and in FY 2008 had a budget of \$2.5 million. For FY 2009 this was increased to \$3.1 million. The majority of personnel assigned to the Office of the Secretary are political appointees and Schedule Cs.

Mission

Personnel assigned to the Office of the Secretary in FY 2008 include:

- A Confidential Assistant to the Secretary.
- Three Counselors, who advise the Secretary on policy matters and provide counsel on cross-cutting Departmental issues.
- A Confidential Assistant to the Counselors.
- Three Special Assistants to the Secretary.
- Two Military Assistants; the primary is a Coast Guard Captain assigned by the U.S. Coast Guard. The second is a Lieutenant Commander on a reimbursable detail from the Coast Guard, who serves as a back up to the Military Assistants for the Secretary and Deputy Secretary.
- A U.S. Secret Service agent on a non reimbursable detail, who serves as an additional Special Assistant to the Secretary and advises the Secretary on law enforcement matters. This agent is separate from the assigned protection detail.

Key Senior Executive Officials

- Chris Button, Deputy Executive Secretary, **b(2), b(6)**
- Steve Dove, Director, Congressional Actions, **b(2), b(6)**

Michael Chertoff

Secretary

On February 15, 2005, Judge Michael Chertoff was unanimously confirmed by the Senate and sworn in as the second Secretary of the Department of Homeland Security. He formerly served as United States Circuit Judge for the Third Circuit Court of Appeals, after his June 2003 Senate confirmation.

Secretary Chertoff was previously confirmed by the Senate in 2001 to serve as Assistant Attorney General for the Criminal Division at the Department of Justice. As Assistant Attorney General, he oversaw the investigation of the 9/11 terrorist attacks. He also formed the Enron Task Force, which produced more than 20 convictions, including those of CEOs Jeffrey Skilling and Ken Lay.

Before joining the George W. Bush Administration, Chertoff was a partner in the law firm of Latham & Watkins. From 1995 to 1996, he served as special counsel for the U.S. Senate Whitewater Committee.

Prior to that, Chertoff spent more than a decade as a Federal prosecutor, including service as U.S. Attorney for the District of New Jersey, First Assistant U.S. Attorney for the District of New Jersey, and Assistant U.S. Attorney for the Southern District of New York. As a federal prosecutor, Chertoff investigated and personally prosecuted significant cases of political corruption, organized crime, and corporate fraud. Among them was the “Mafia Commission” case, in which the leaders of La Cosa Nostra were all convicted and sentenced to 100 years in prison for directing the criminal activities of the American Mafia.

Chertoff graduated magna cum laude from Harvard College in 1975 and magna cum laude from Harvard Law School in 1978. From 1979-1980 he served as a clerk to Supreme Court Justice William Brennan, Jr.

Paul A. Schneider

Deputy Secretary

Paul A. Schneider was confirmed by the Senate as Deputy Secretary for the Department of Homeland Security on June 5, 2008. He has previously served the Department as Acting Deputy Secretary and as the Under Secretary for Management, in which role he was responsible for all the Department's budget, appropriations, expenditure of funds, accounting and finance; procurement; human resources and personnel; information technology systems; facilities, property, equipment, and other material resources; and identification and tracking of performance measurements.

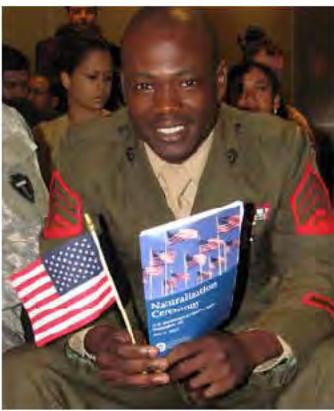
Prior to coming to DHS, Schneider served as a defense and aerospace consultant where he led a congressionally directed study for NASA on the costs, risks, and benefits of human space flight and a study of open architectures for the U.S. Navy. He led an independent review of the presidential helicopter replacement program, played a role in the administration's effort to develop the plan for the Next Generation Air Transportation System and led reviews of Defense network centric warfare and interoperability programs.

Schneider served as the Senior Acquisition Executive of the National Security Agency (NSA) from October 2002 to September 2003, where he was responsible for oversight and execution of signals intelligence and information security development and acquisition programs.

Schneider served as the Principal Deputy Assistant Secretary of the Navy for Research, Development and Acquisition from July 1998 to September 2002. From October 1994 to June 1998 Schneider served as the Executive Director and Senior Civilian of the Naval Sea Systems Command, the Navy's largest shore organization. In this position, he was responsible for the day-to-day operations of an \$18 billion a year, 70,000-person organization, including shipyards, laboratories, and engineering and test facilities.

Schneider began his career in 1965 at the Portsmouth Naval Shipyard as a Project Engineer in the Submarine Propulsion and Auxiliary Machinery systems branch. Schneider holds a degree in nuclear engineering and is a member of the American Society of Naval Engineers, Armed Forces Communications and Electronics Association, Association of Scientists and Engineers, Navy League, Association of Old Crows and the Naval Institute.

During his service with the Federal Government, Schneider has been the recipient of the Department of the Navy Superior Civilian Service Award and the Distinguished Civilian Service Award; the Department of Defense Distinguished Civilian Service Award (twice) and the President's Award for Distinguished Civilian Service. He also received three Presidential Rank Awards.



Office of the Chief of Staff



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Office of the Chief of Staff

The Office of the Chief of Staff is authorized 12 personnel and in FY 2008 had a budget of \$2.6 million. The FY 2009 budget remained unchanged at \$2.6 million. Eight of the personnel assigned to the Chief of Staff are with the Office of Scheduling and Advance (S&A), which is managed for the Chief of Staff by the Executive Secretary. Available funds have permitted the Chief of Staff to maintain personnel strength at a slightly higher level than authorized, generally 15. Worth noting is that only two personnel—the Protocol Officer and the U.S. Coast Guard (USCG) detailee, both assigned to Scheduling and Advance—are career employees; the remainder are political appointees and Schedule Cs.

Mission

The Chief of Staff oversees DHS activities, assists the Deputy Secretary in managing DHS operations, and supports the Secretary in achieving the Department's goals.

Personnel assigned to the Office of the Chief of Staff include:

- The Deputy Chief of Staff;
- A Special Assistant to the Chief of Staff and Deputy Chief of Staff;
- Eight personnel assigned to S&A, which is managed for the Chief of Staff by the Executive Secretary. S&A maintains the Secretary's daily official schedule of all meetings and appointments, ensuring informed and timely decisions are made and communicated to all parties. This office also coordinates advance preparations for the Secretary's visits to in-town events, domestic locations, and international destinations. Also assigned to S&A are a career protocol officer and a USCG detailee, who serves as Assistant Protocol Officer; and
- Four personnel assigned to the Office of the White House Liaison (WHL), which manages all aspects of DHS political personnel and serves as a resource to senior leadership and White House staff.

Also reporting to the Chief of Staff is the Office of the Military Advisor. The Military Advisor to the Secretary is a USCG Flag Officer, selected by the Secretary. The Military Advisor's Office is staffed by a special assistant and an administrative assistant to the Military Advisor. The two Military Assistants to the Secretary, and the Military Assistant to the Deputy Secretary also report to the Military Advisor.

The Military Advisor's Office is responsible for providing counsel to the Secretary and DHS Components in affairs relating to the facilitation, coordination, and execution of policy, procedures, preparedness activities and operations between the Department of Homeland Security and Department of Defense. Specifically, this means that the Military Advisor's Office proactively advises, coordinates, and enables integrated and synchronized efforts toward mutual understanding and unity of purpose during routine and contingency operations.

Key Senior Executive Officials

- Chris Button, Deputy Executive Secretary, **b(2), b(6)**
- Steve Dove, Director, Congressional Actions, **b(2), b(6)**

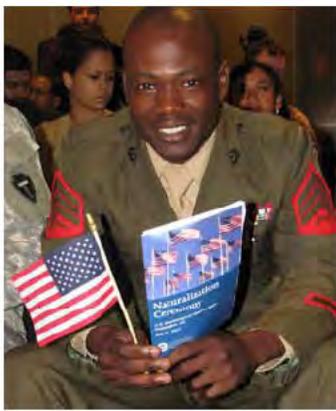
Chad Sweet

Chief of Staff

Chad Sweet serves as the Department of Homeland Security's Chief of Staff. Prior to becoming Chief of Staff, Mr. Sweet served as the Deputy Chief of Staff and as a Special Assistant to the Secretary.

Mr. Sweet is credited with coordinating interagency planning and policy on a number of high priority issues for the Department. He also orchestrated an improvement in management performance metrics and information flow processes within the Department and among the Department, the White House and Congress. Additionally, Mr. Sweet acted as the Secretary's primary representative to implement Operation Jump Start – the President's initiative to deploy 6,000 national guardsmen to enhance U.S. border security.

Mr. Sweet graduated with honors from Columbia University and brings more than twelve years of private sector experience with Fortune 500 companies, as well as an understanding of the intelligence community from his service at the Central Intelligence Agency.



Office of the Military Advisor



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Office of the Military Advisor to the Secretary

The primary responsibility of the Military Advisor to the Secretary and support staff is to provide counsel and support to the Secretary, Deputy Secretary, senior DHS staff, and Components in affairs relating to the facilitation, coordination and execution of policy, procedures, preparedness activities and operations between the DHS and the Department of Defense (DOD). The Office of the Military Advisor to the Secretary (the Office) does not own major programs within DHS, but supports the advancement of select programs and initiatives of other DHS senior staff and Components. The Military Advisor serves as the DHS board member on the United States – Canada Permanent Joint Board on Defense.

The Office of the Military Advisor to the Secretary includes six U.S. Coast Guard (USCG) detailees: the Military Advisor to the Secretary with two support staff, and the three Military Assistants to the Secretary and Deputy Secretary. Military Advisor has oversight of an additional eight USCG detailees in the Executive Secretariat and the Executive Dining Facility. The Office of the Military Advisor also includes the Senior DHS Advisor to DOD, located at the Pentagon.

In support of the Secretary, Deputy Secretary, senior staff, and Components, the Office of the Military Advisor hosts, directly liaises with, and supports DOD detailees at DHS, including those from the Office of the Assistant Secretary of Defense for Homeland Defense and Americas' Security Affairs, North American Aerospace Defense Command – U.S. Northern Command, U.S. Southern Command, U.S. Special Operations Command, and the National Guard Bureau.

The Office was created in early 2003 during the stand-up of DHS to provide dedicated military advice, serve as a focal point for DHS-DOD collaboration, and enable coordination through fostering of relationships. Funding is provided primarily by the sponsoring organizations (USCG and DOD).

Mission

Proactively advise, coordinate, support and enable integrated and synchronized efforts to ensure mutual understanding and unity of purpose during routine and contingency operations.

Major Supporting Efforts and Initiatives

- Supports interaction between DHS and DOD to advance complementary goals and priorities through a collaborative, cooperative, and coordinated approach to homeland security, homeland defense, and incident management.
- Coordinates across the extensive partnership between DHS and DOD involving policy and procedure development, information and resource exchanges, and operational matters.

- Deploys at the direction of the Secretary for major incidents or other contingencies; supports coordination of assistance between DOD and DHS Components including support to incident command structures.
- Facilitates action involving USCG component level issues for maximum responsiveness as the senior USCG officer resident at DHS Headquarters.
- Provides USCG Military Assistant, Executive Secretariat support, and Executive Dining Facility services to the Secretary and Deputy Secretary.

Key Senior Executive Officials

- RADM Dan Lloyd, Military Advisor to the Secretary, b(2), b(6)
 (Senior Transition Officer)
- Wayne Parent, Senior DHS Advisor to DOD, b(2), b(6)

Rear Admiral Daniel B. Lloyd

Military Advisor to the Secretary

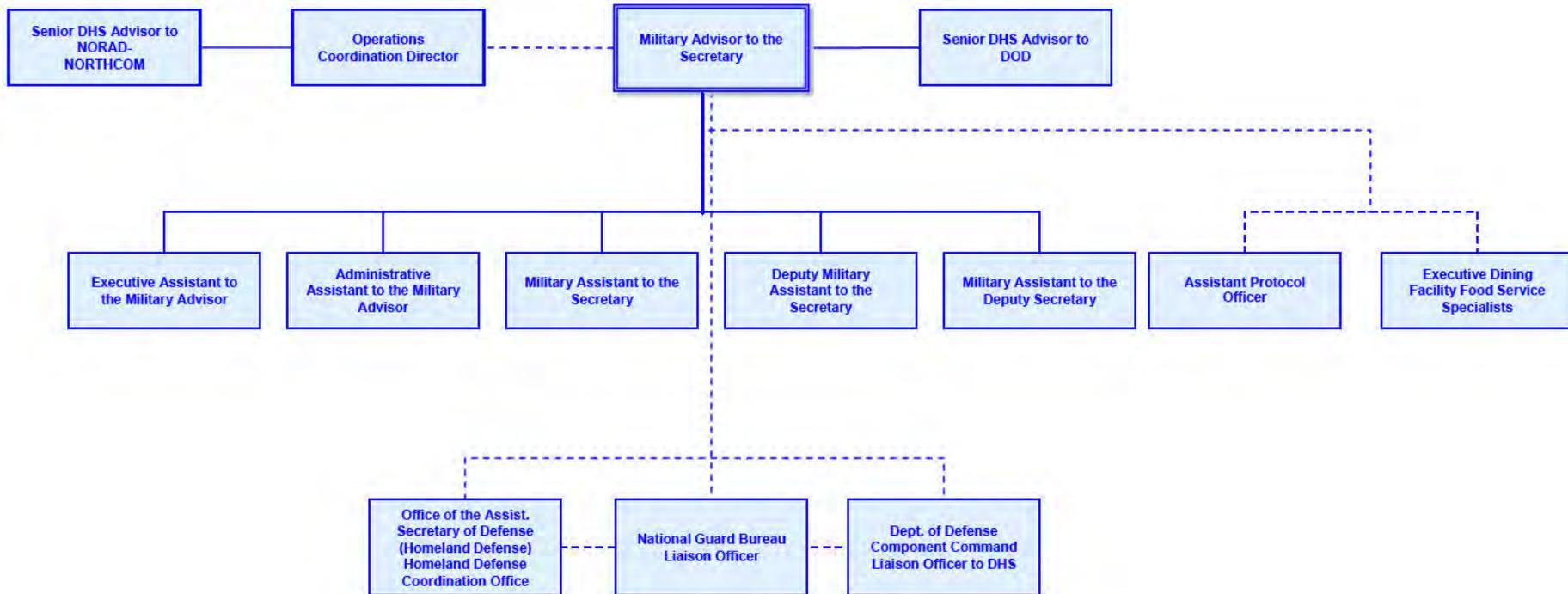
Rear Admiral Daniel B. Lloyd assumed the duties of Military Advisor to the Secretary, DHS, in June of 2006. In this role, he is responsible for advising the Secretary on matters involving coordination between the Department of Homeland Security and all branches of the military.

After graduation from the U.S. Coast Guard Academy, Rear Admiral Lloyd served aboard the CGC STEADFAST, followed by completion of Naval Flight Training as a Distinguished Graduate. Early Aviation tours included stations in California, Alaska, and Air Station Washington, DC, where he flew worldwide missions in a Gulfstream II aircraft for the Secretary of Transportation and the U.S. Coast Guard Commandant. His command tours include Coast Guard Air Station Houston, Texas, a deploying HH-65 helicopter unit, and Air Station Clearwater, Florida, the Coast Guard's largest operational unit operating HH-60 helicopters and HC-130H aircraft. His past staff tours include Aide to the Commandant, Deputy Program Manager for the Coast Guard's Deepwater Capabilities Replacement Program, and Chief, Law Enforcement & Security Division, Interagency Coordination Directorate, North American Aerospace Defense Command (NORAD) and United States Northern Command (USNORTHCOM). Rear Admiral Lloyd's first assignment as a flag officer was as Senior DHS Advisor to the Commander, NORAD and USNORTHCOM.

Rear Admiral Lloyd has a Master of Science degree in National Resource Strategy from the Industrial College of the Armed Forces, a Master of Business Administration from George Washington University, and a Bachelor of Science in Mathematical Sciences from the United States Coast Guard Academy.

Rear Admiral Lloyd's personal awards include the Defense Superior Service Medal, the Legion of Merit (two awards), and the Department of Transportation 9/11 Medal.

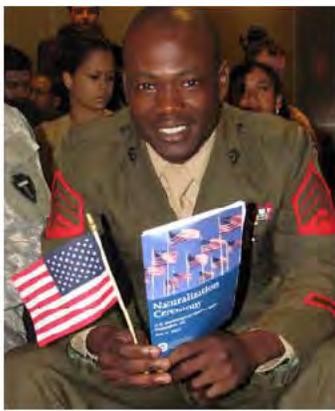
Organizational Chart



Key:

Career

Approved: January 29, 2007

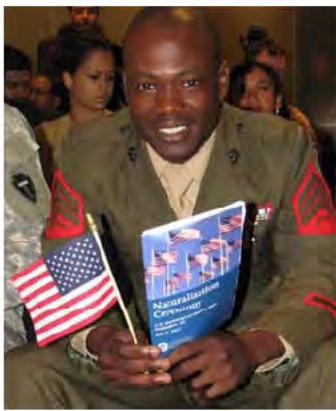


DHS Organizations: Components



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Transportation Security Administration



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Transportation Security Administration

The Transportation Security Administration (TSA) is an agency of over 50,000 dedicated employees, with approximately \$6.98 billion in budget authority, substantial regulatory and law enforcement authority, and a nationwide and international presence.

TSA was created in the wake of 9/11 to strengthen the security of the Nation's transportation systems while ensuring the freedom of movement for people and commerce. Within a year, TSA assumed responsibility for security at the Nation's airports and deployed a Federal workforce to meet challenging Congressional deadlines for screening all commercial airline passengers and baggage. In March 2003, TSA transferred from the Department of Transportation to the Department of Homeland Security.

TSA employs a risk-based, layered approach to security in all modes of transportation. In the aviation system, there are 20 layers of security, each capable of stopping an attack; in combination their security value is multiplied, creating a much stronger, formidable system more likely to pre-empt or deter terrorists (see attached diagram, "20 Layers of Aviation Security").

TSA works closely with stakeholders in aviation, rail, transit, highway, and pipeline sectors to employ a risk-based strategy and close critical security gaps. The agency will continuously set the standard for excellence in transportation security through its people, processes, technologies and use of intelligence to drive operations.

Mission

The Transportation Security Administration protects the Nation's transportation systems to ensure freedom of movement for people and commerce.

Major Policy/Program Initiatives

- **Checkpoint Evolution** is the first major change to the airport security checkpoint since 9/11 and includes risk-based re-training of the entire workforce, enhanced technology to better detect threats, and process changes to provide better security including behavior detection and enhanced identity verification.
- **Workforce Improvements**, including the Pay for Performance Accountability and Standards System (PASS), full-time health benefits for part-time employees, and career progression have been enacted to retain and reward our valuable employees.
- **Security Technology** provides Transportation Security Officers with added capabilities to detect threat items at the checkpoint, in checked baggage, and randomly throughout the airport and other transportation sector environments.
- **Vetting and Credentialing** focuses on vetting individuals who require access to the Nation's critical infrastructure, including pilots, flight crews, airport and airline employees, HAZMAT truck drivers, and port workers. Secure Flight will take over

watch-list matching from airlines to vet all commercial airline passengers and in the future will vet private aircraft passengers and crew.

- **Surface Transportation Security** efforts include risk-based partnering with stakeholders to secure mass transit systems, freight rail, passenger rail, highways, and pipelines.
- **Federal Air Marshals (FAMs)** play a critical role in ensuring security on commercial airline flights.

Key Senior Executive Officials

- Gale Rossides, TSA Deputy Administrator, [redacted]
- Howard Goldman, TSA Senior Transition Officer, [redacted]

20 Layers of Aviation Security



Kip Hawley

Administrator, Transportation Security Administration

President Bush nominated Kip Hawley to be Administrator of the Transportation Security Administration (TSA) on May 6, 2005, and he was sworn in on July 27, 2005. In this role Hawley has carried out Secretary Chertoff's risk-based approach to security in the transportation sector.

Hawley's tenure at TSA has included a strong focus on workforce initiatives and enhancements. These initiatives include career progression, increased benefits for part-time employees, improved pay for performance incentives, and giving frontline employees a voice in TSA decision making through a national employee advisory council and a web-based tool to collect ideas to improve the workplace.

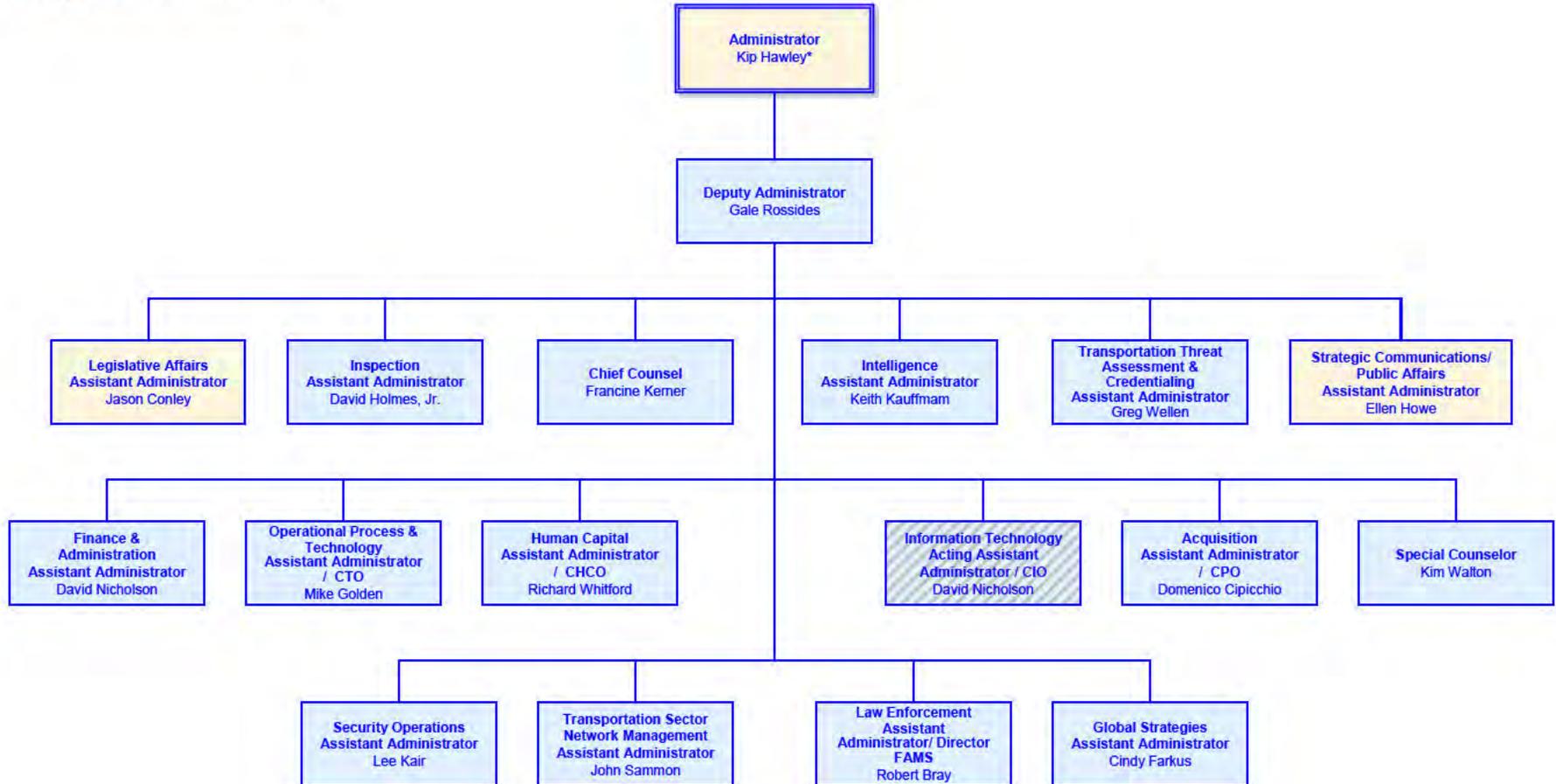
Today improvised explosive devices are the number-one threat to the transportation sector. Hawley has moved the organization to increase the focus on Improvised Explosive Device (IED) detection. Each Transportation Security Officer has completed rigorous training in IED detection and regularly receives recurrent explosives detection training.

This year TSA has announced Checkpoint Evolution, the most significant change to passenger screening since 9/11 and even since the checkpoint was first established in the 1970s, in an effort to calm down the checkpoint environment, enabling security officers to increase passenger interaction. This will result in heightened security and a better experience for travelers. A chaotic, noisy, congested checkpoint is a security nightmare because it makes it easier for the person intending to do harm to hide.

Hawley returned to government from a career in technology and transportation where he worked for companies including Arzoon, Skyway, and Union Pacific. After the terror attacks of 2001, he was part of the startup of TSA when it was formed in 2001 as part of the U.S. Department of Transportation. He previously worked in the Administration of President Ronald Reagan and he was appointed by President George Herbert Walker Bush to the National Commission on Intermodal Transportation.

Hawley earned a J.D. degree from the University of Virginia Law School and a B.A. from Brown University.

Organizational Chart

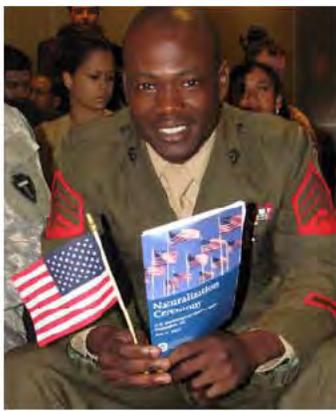


Key:

Non-career	Acting
Career	* Senate Confirmed

Date: October 20, 2008

Consult Pending with Another DHS Component



U.S. Customs and Border Protection



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U.S. Customs and Border Protection

U.S. Customs and Border Protection (CBP) is the unified border agency responsible for the management, control and protection of our Nation's borders at and between the official ports of entry. Upon its creation in 2003, CBP combined elements of all of the previous border law enforcement agencies, including the inspection and Border Patrol functions from the Immigration and Naturalization Service, the Customs Service, and the Animal Plant and Health Inspection Service. CBP employs over 54,000 employees and has a budget authority of approximately \$9.8 billion.

CBP is charged with keeping terrorists and terrorist weapons out of the country while enforcing the immigration, customs, agriculture, export, and other laws of the United States at the borders, and collecting duties and tariffs. At the ports of entry, CBP uses a layered approach that includes overseas screening, advanced information, targeting, and industry partnerships. In between the ports of entry, CBP works to gain control of the border through the deployment of the proper mix of people, technology, and tactical infrastructure. CBP's air and marine assets support the interdiction mission on land, carry out the interdiction mission in the maritime and air environments, and conduct other missions such as long-range counterdrug operations. Through increased intelligence-driven operations and programs such as the Secure Border Initiative (SBI), CBP is aggressively building on its anti-terrorism and border security operations and capabilities.

Mission

CBP is charged with the dual responsibilities of securing our Nation's borders while facilitating legitimate trade and travel. CBP's priority mission is to keep terrorists and terrorist weapons out of the United States.

Major Policy/Program Initiatives

- **Further secure the border between the ports of entry.**
 - Continue to increase the number of Border Patrol Agents in 2009.
 - Develop and deploy technological tools and tactical infrastructure, such as vehicle barriers or fencing, and establish and maintain a robust air and marine interdiction and support capability.
- **Prevent the entry of dangerous people at the ports of entry.**
 - Increase the number of CBP Officers — plans also call for increasing the number of CBP Officers to 20,457 in FY 2009, almost double the FY 2003 level of 10,538.
 - Continue efforts to gain greater access to advance traveler information, secure travel documents, and risk-based targeting (e.g. WHTI, ESTA, APIS/PNR, etc.).
- **Strengthen global supply chain security.**
 - Continue to improve our risk-based and layered approach that includes the use of advanced electronic information and automated systems to assess the risk of cargo

entering our country (e.g. 10+2, ATS, etc.), enhancing personnel and technology to inspect and scan all high-risk cargo (e.g. next generation non-intrusive inspection), and partnerships with industry and foreign governments to ensure the security of supply chains beyond our nation's border (e.g. the Customs-Trade Partnership Against Terrorism and overseas screening programs such as the Container Security Initiative and the Secure Freight Initiative).

- **Make CBP an intelligence-driven organization and strengthen workforce integrity.**
 - To enhance border awareness and operational capability, CBP will obtain, analyze, and efficiently disseminate intelligence information throughout the organization.
 - Continue to build a robust internal affairs capability within CBP to ensure the integrity of our workforce.

Key Senior Executive Officials

- Jayson Ahern, CBP Deputy Commissioner, b(2), b(6)
- Christine Gaugler, CBP Sr. Transition Officer, b(2), b(6)

W. Ralph Basham

Commissioner, U.S. Customs and Border Protection

W. Ralph Basham was sworn in by President George W. Bush on June 6, 2006, to serve as the second Commissioner of U.S. Customs and Border Protection (CBP), the agency within the Department of Homeland Security responsible for managing, controlling, and securing our Nation's borders.

Mr. Basham brings a distinguished record of public service in law enforcement to U.S. Customs and Border Protection. Prior to joining CBP, he served as the director of the United States Secret Service since 2003. A 28-year veteran of the Service, Mr. Basham also served as director of the Federal Law Enforcement Training Center and chief of staff of the Transportation Security Administration.

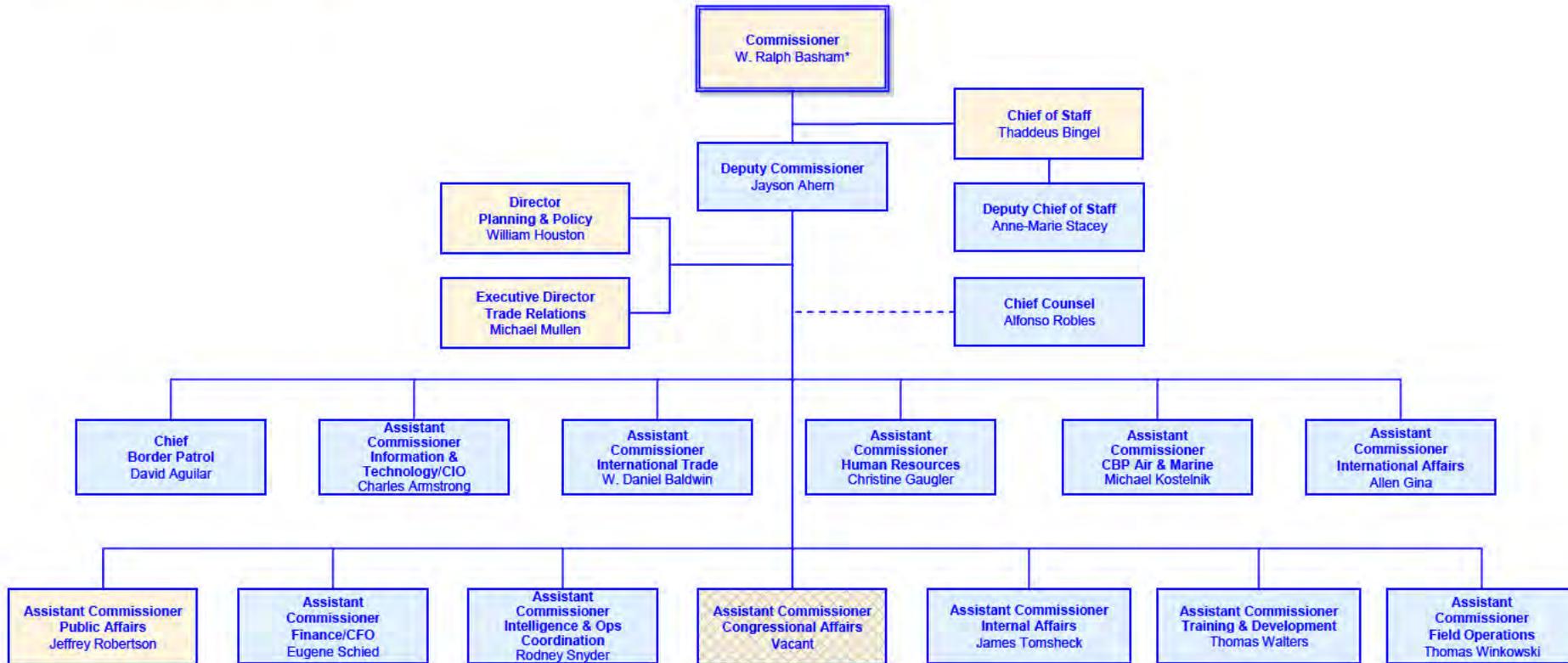
Mr. Basham began his career with the Secret Service in 1970 when he was appointed as a special agent in the Washington Field Office. He rose rapidly to the managerial level while serving in a variety of assignments reflecting the Service's diverse interests and responsibilities. Mr. Basham has served in supervisory positions in both protective and investigative assignments, serving as special agent in charge of the Cleveland Field Office, the Washington Field Office and the Vice Presidential Protective Division. Mr. Basham also served as the deputy assistant director of the Office of Training and as assistant director of the Office of Administration, where he managed the agency's administrative division.

In January 1998, Mr. Basham was appointed director of the Federal Law Enforcement Training Center (FLETC). The center, located in Glynco, Georgia, and Artesia, New Mexico, provides training for nearly all of the nation's federal law enforcement officers, including Secret Service recruits. FLETC also serves the State, local and federal law enforcement communities with training programs tailored to their specific needs.

Mr. Basham was named chief of staff for the Transportation Security Administration (TSA) in January 2002. Among his responsibilities at TSA, Mr. Basham oversaw the hiring of federal security directors for the Nation's 429 airports.

A native of Owensboro, Kentucky, Mr. Basham received a Bachelor's degree from Southeastern University in Washington, D.C. Mr. Basham's numerous honors include the 1992, 2000, and 2008 Meritorious Presidential Rank Awards.

Organizational Chart

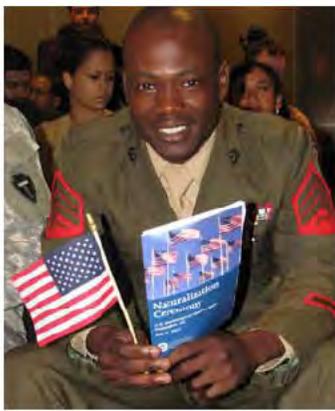


Key:

Non-career	Vacant
Career	* Senate Confirmed

Date: October 20, 2008

Consult Pending with Another DHS Component



U.S. Citizenship and Immigration Services



Homeland Security

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U. S. Citizenship and Immigration Services

U.S. Citizenship and Immigration Services (USCIS) is comprised of approximately 18,000 Federal and contract employees serving in more than 200 offices around the globe, with budget authority of \$2.7 billion for FY 2009. Fees collected from applicants and petitioners account for more than \$2.5 billion of the \$2.7 billion.

Daily, USCIS conducts 135,000 national security background checks; processes 30,000 applications for immigration benefits; issues 7,000 Permanent Resident Cards; and naturalizes 3,200 new citizens, including members of the U.S. Armed Forces.

USCIS is actively modernizing its processes to make them more efficient and transparent and is moving from a paper-based system to an electronic platform with a user-friendly, online account system. Concurrently, there is a consistent focus on fraud detection and national security.

Working in conjunction with partner agencies, including the Federal Bureau of Investigation (FBI), USCIS screens all immigrants that apply to become U.S. citizens. This agency's top priorities are to maintain exemplary customer service and satisfaction, achieve operational efficiency, and, simultaneously, uphold the highest level of national security.

Mission

USCIS is responsible for the administration of the immigration and naturalization adjudicative functions of DHS and the establishment of departmental immigration services policies and priorities.

Major Policy/Program Initiatives

- **Planning for Immigration Reform** began in 2006 and continues as USCIS looks to the future of immigration issues in the United States. Proposed legislation is monitored and becomes the basis for a USCIS response.
- **Expansion of E-Verify** to include additional data sources verified through the program. The program includes a photo screening tool that allows employers to visually compare the photo presented to them on USCIS issued documents to database photos. This is used to protect against fraud and abuse and to detect illegal activity.
- **Transformation** is modernizing current paper-based systems into a person-centric modern operating environment to improve national security through information sharing, customer service, and operational efficiency.
- **Management of National Security Cases** has received extraordinary attention at USCIS. Specially trained personnel have been deployed to almost every office. Interagency collaboration has focused attention on vetting cases with outstanding results.

Key Senior Executive Officials

- Michael Aytes, USCIS Acting Deputy Director, b(2), b(6) [REDACTED]
- Nancy Guilliams, USCIS Senior Transition Officer, b(2), b(6) [REDACTED]
[REDACTED]

Jonathan “Jock” Scharfen

Acting Director, U.S. Citizenship and Immigration Services

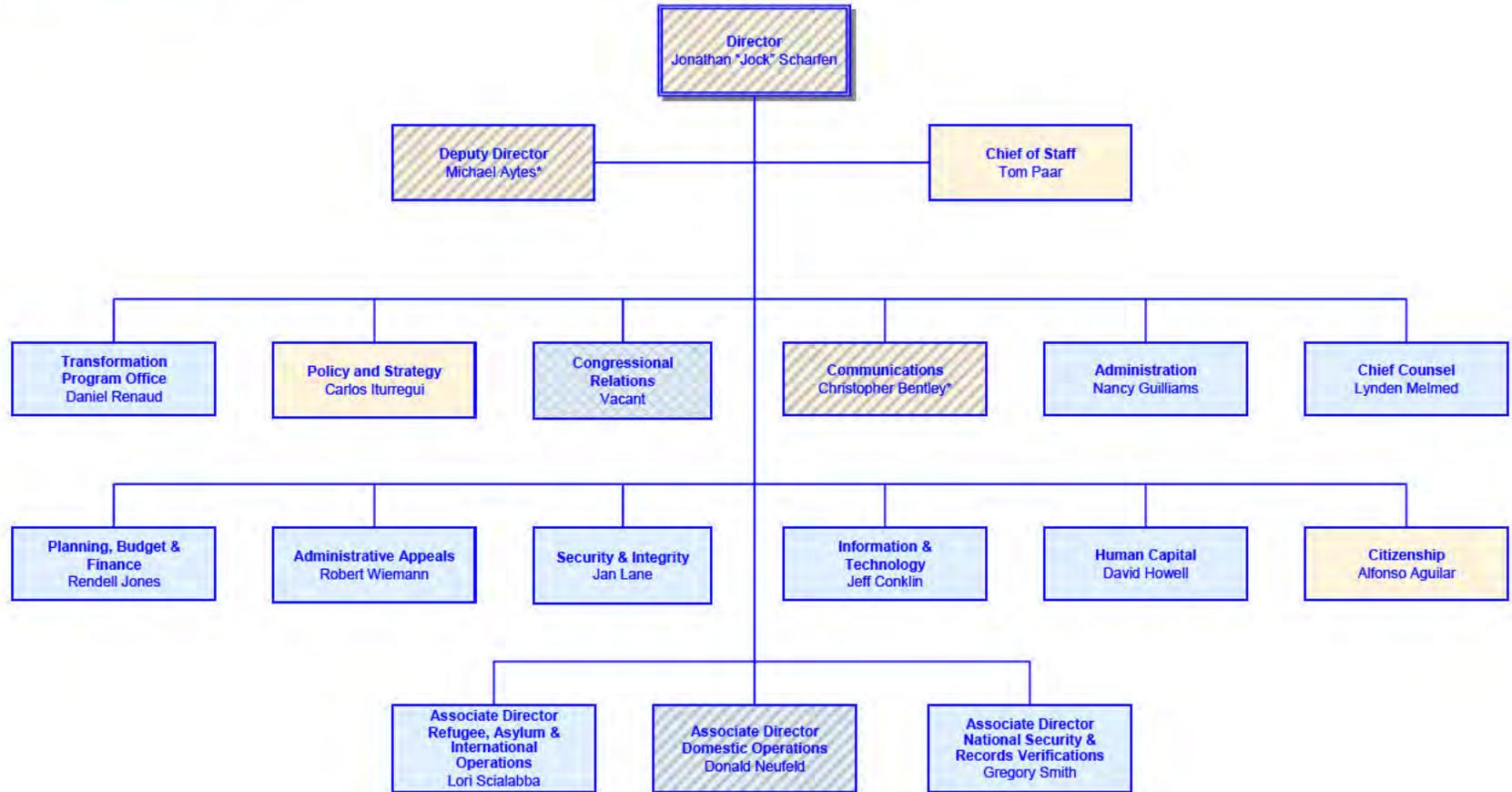
Jonathan “Jock” Scharfen is currently serving as Acting Director of U.S. Citizenship and Immigration Services (USCIS) as of April 21, 2008. Prior to this, Mr. Scharfen was appointed as the Deputy Director USCIS on June 22, 2006 by USCIS Director Emilio Gonzalez. In that position, he served as the Chief Operating Officer of the agency and oversaw the day-to-day operations of the agency. Jock was responsible for managing all USCIS Directorates, including all Headquarters office components and reports to the USCIS Director.

Mr. Scharfen retired from the United States Marine Corps in August 2003 after 25 years of active duty service and served as Chief Counsel/Deputy Staff Director of the House International Relations Committee (HIRC) until July 2006. Prior to joining the HIRC, he served as the Deputy Legal Adviser on the National Security Council staff, where he served three separate tours and three presidents during the course of his Marine Corps career.

Jock Scharfen held a number of leadership and legal positions in the Marines. From 1978 to 1983 he served as a Marine infantry officer in various leadership billets. From 1985 to 1988 he served on the National Security Council, first as a legal fellow until 1986 and then returned as Staff Counsel and Assistant Legal Advisor until 1988. He served as trial counsel and staff judge advocate for various commands at Marine Corps Base, Camp Pendleton, from 1988 to 1991, and deployed with the 5th Marine Expeditionary Brigade for Operation Desert Storm. From 1992 to 1995, Jock served as Special Counsel, Environmental Law, Western Area Counsel Office. He then served as Associate Counsel, Land Use, Office of the Counsel for the Commandant of the Marine Corps. In 1998, he was selected to command Company A, Marine Security Guard Battalion, which had oversight of twenty U.S. Embassy and Consulate Marine Security Guard Detachments throughout the U.S. European Command’s area of responsibility, including Central Asia. He was responsible for the opening of 12 new security detachments in addition to the twenty existing detachments. In 2000, he returned to the National Security Council staff as Deputy Legal Advisor and Director until he assumed the role as Chief Counsel of the House International Relations Committee in April 2003 and Deputy Staff Director in 2006.

Jock Scharfen received his B.A. from the University of Virginia, his J.D. from the University of Notre Dame, and his LL.M. from the University of San Diego. Jock also attended the U.S. Army War College in Carlisle, Pennsylvania, where he studied National Security Strategy. He is married to the former Diane Pauahi Lee and has three children.

Organizational Chart



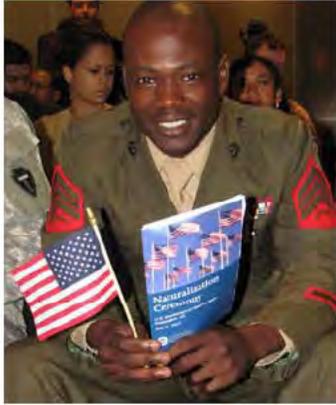
Key:

Non-career	Vacant
Career	Acting

* Political position with an acting career incumbent

International Operations





U.S. Secret Service



U.S. DEPARTMENT OF
**Homeland
Security**

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United States Secret Service

The United States Secret Service (Secret Service) is mandated by statute and executive order to carry out two significant missions: protection and criminal investigations. The Secret Service has over 6,500 dedicated employees with approximately \$1.6 billion in budget authority, substantial regulatory authority, extensive law enforcement authority, and a significant nationwide and international presence.

The Secret Service, an agency dating back to American Civil War, has a rich tradition of service to the Nation and its people. In 1865, one-third of the currency in circulation was counterfeit. That same year, the Secret Service would be established and charged with the mission of returning integrity to the Nation's financial system. The agency continued to evolve, adding a variety of duties to its original charter. The Presidential protection mission was added in 1901, after the assassination of President William McKinley. Today, the Secret Service continues to protect our Nation's leaders, visiting world leaders, and the integrity of the Nation's financial systems. In March 2003, the Secret Service was transferred from the Department of Treasury to the Department of Homeland Security.

The Secret Service's unique investigative and protective missions are sustained by a strong, multi-tiered infrastructure of science, technology and information systems; administrative, professional and technical expertise; and management systems and processes.

Mission

The mission of the Secret Service is to safeguard the Nation's financial infrastructure and payment systems to preserve the integrity of the economy and to protect national leaders, visiting heads of state and government, protect designated sites, and assume the lead role in National Special Security Events (NSSEs).

Major Policy/Program Initiatives

- **Information Technology Transformation Program:** The Secret Service is pursuing a phased program to migrate from the present information technology and communication infrastructure to a modernized, server-oriented architecture supporting the agency's protective and investigative missions.
- **Cyber Infrastructure Protection Program:** The Secret Service operates under a comprehensive criminal investigative authority involving computer crimes, financial fraud and threats to our Nation's infrastructure. Due to the exponential growth and increasing complexity of domestic and international cyber and financial crimes, the Secret Service is pursuing a Cyber Infrastructure Protection initiative. This multi-pronged initiative will target evolving technological threats to our Nation's financial infrastructure.
- **Protective Countermeasures Program:** Since the events of September 11, 2001, the level, complexity, and variety of threats directed at Secret Service protectees have

increased exponentially. Over the same time period the number of Secret Service protectees has more than doubled to over 40. The Secret Service plans to modernize the White House access control system to ensure the safety of the President and Vice President and other Secret Service protectees and seeks to acquire pay parity to recruit and retain Uniformed Division Officers to support the agency's protective mission.

Key Senior Executive Officials

- Mark Sullivan, Director, U.S. Secret Service, **b(2), b(6)**
- Keith Prewitt, Deputy Director, U.S. Secret Service, **b(2), b(6)**

Mark Sullivan

Director, United States Secret Service

Mark Sullivan was sworn in as the 22nd Director of the United States Secret Service on May 31, 2006.

Mr. Sullivan was named Deputy Director in January 2006. Prior to that, he served as the Assistant Director for the Office of Protective Operations where he managed all protective activities for the agency, encompassing 12 divisions and 2,300 employees.

A native of Arlington, Massachusetts, Mr. Sullivan began his Secret Service career as a special agent assigned to the Detroit Field Office in 1983, after having served for three years as a special agent in the Office of the Inspector General for the Department of Housing and Urban Development. In 1990, Mr. Sullivan was transferred to the Fraud Division in Washington, D.C., where he coordinated and monitored multi-jurisdictional criminal investigations involving credit card fraud, bank fraud, and similar criminal activity. In 1991, Mr. Sullivan received his first assignment to the Presidential Protective Division, where he served for four years.

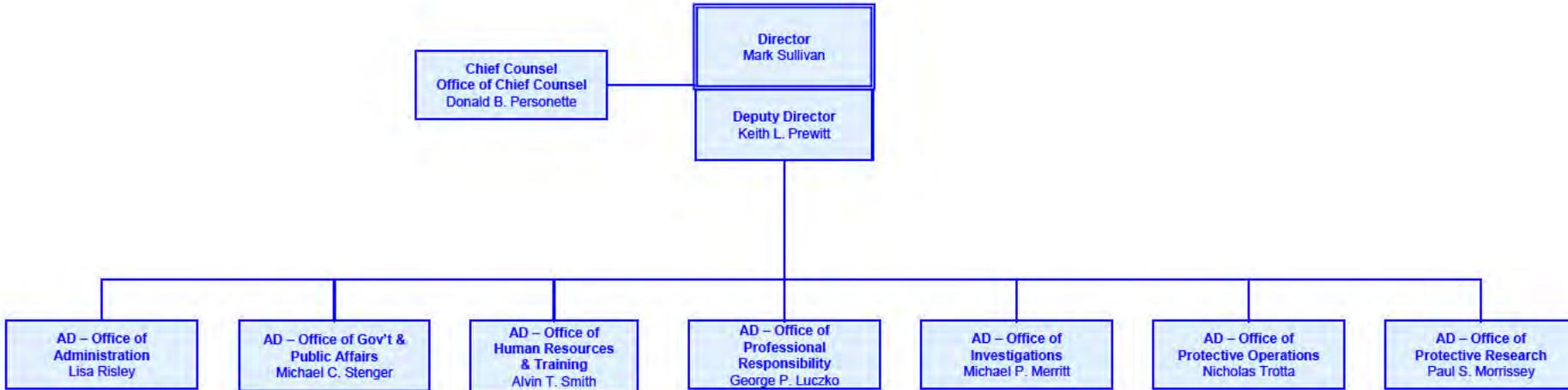
In 1996, Mr. Sullivan entered the agency's supervisory ranks with his selection as Assistant Special Agent in Charge of the Office of Protective Operations. He returned to the field in 1997 as the Resident Agent in Charge of the Columbus Resident Office, which oversaw all Secret Service activities in Central Ohio. Twenty months later, Mr. Sullivan was promoted and transferred back to Washington, D.C., as Deputy Special Agent in Charge of the Counterfeit Division, where he managed the agency's investigative activities related to the criminal production and distribution of counterfeit currency and other financial instruments. In July of 1999, he returned to the Presidential Protective Division, this time as an Assistant Special Agent in Charge.

Mr. Sullivan was promoted into the Federal Senior Executive Service in July of 2000, when he was selected as a Deputy Assistant Director in the Office of Protective Operations. In 2002, he was reassigned to the position of Deputy Special Agent in Charge of the Vice Presidential Protective Division. A year later, he was reassigned to the position of Deputy Assistant Director, Office of Human Resources and Training.

Mark Sullivan has been the recipient of numerous awards for superior performance throughout his 25-year tenure with the Secret Service and his 30-year career in Federal law enforcement. Most recently, he was awarded a 2005 Distinguished Presidential Rank Award.

Mr. Sullivan received his bachelor's degree from Saint Anselm College in Manchester, New Hampshire.

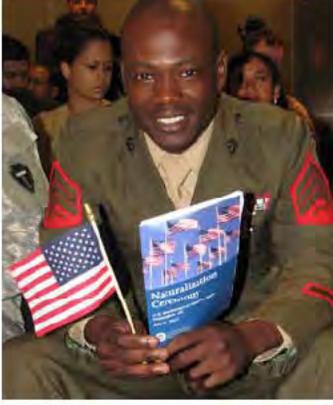
Organizational Chart



Key:

Career

Consult Pending with Another DHS Component



Federal Emergency Management Agency



Homeland Security

For Official Use Only

Federal Emergency Management Agency

The Federal Emergency Management Agency (FEMA) was formed in 1979 by a Presidential Executive Order directing the combination of Federal programs that addressed emergency management for all types of incidents into a single agency. The FEMA Administrator is the principal advisor to the President and the Secretary on all matters regarding emergency management whose authority is principally derived from the *Robert T. Stafford Act*, *Homeland Security Act*, and Title 44 of the Code of Federal Regulations.

Lessons learned from disasters during the post-9/11 era justify the need for a robust, all-hazards, and forward-leaning Federal Emergency Management Agency (FEMA) that provides more effective assistance to States, communities, and individuals. With the passage of the *Post-Katrina Emergency Management Reform Act of 2006*, a number of missions and functions were transferred to FEMA from DHS and several requirements were imposed designed to:

- Expand the mission scope to include all-hazards preparedness and protection along with the traditional missions of mitigation, response and recovery;
- Improve core competencies and strengthen the Regions;
- Build and enhance the Agency's human capital;
- Engage new constituencies, such as the Law Enforcement Community;
- Establish a National Emergency Management and Preparedness System; and
- Deploy a quick and effective coordinating and disaster assistance presence.

Mission

FEMA's mission is to reduce the loss of life and property and protect the Nation from all hazards, including natural disasters, acts of terrorism, and other man-made disasters, by leading and supporting the Nation in a risk-based, comprehensive emergency management system of preparedness, protection, response, recovery, and mitigation.

Major Policy/Program Initiatives

- **New FEMA Transformation** — Establishing a new ethos with evolved doctrine, building new capabilities, strengthening core competencies, and growing to become the Nation's preeminent emergency management and preparedness Agency.
- **Preparedness Integration** — Connecting the assessment, planning, training, exercising, grant-making, and technical assistance programs throughout the Agency, among the Regions, and with our key stakeholders and partners to enhance the nation's capabilities to prevent, protect against, respond to, and recover from all-hazards.
- **Logistics Management** — Enable FEMA to perform the role of the National Logistics Coordinator across the supply chain of services, commodities, infrastructure, personnel, and systems to quickly and effectively support national response and recovery operations.

- **Business Processes** — Incorporating best program and project management practices to improve customer and employee services, modernize systems, recruit and retain a skilled workforce, and improve efficiencies.
- **Recovery Partnerships** — Establish improved partnerships with other Federal Agencies, volunteer organizations, communities, and the private sector to better engage in helping communities and individuals recover from disasters.

Key Senior Executive Officials

- R. David Paulison, Administrator, b(2), b(6)
- Harvey E. Johnson, Deputy Administrator, b(2), b(6)
- Nancy Ward, Career Senior Transition Officer and Regional Administrator, Region IX , b(2), b(6)

R. David Paulison

Administrator, Federal Emergency Management Agency

R. David Paulison serves as the Administrator of the Federal Emergency Management Agency (FEMA). Appointed by President George W. Bush, Administrator Paulison reports directly to the Secretary of Homeland Security. The Administrator may also be called upon by the President to serve as a member of the Cabinet in the event of natural disasters, acts of terrorism, or other man-made disasters.

Serving under the Administrator are two Deputy Administrators, nine Assistant Administrators, and 10 Regional Administrators.

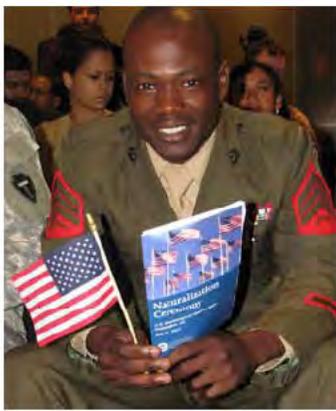
Administrator Paulison has more than 35 years of experience in emergency management. He began his career as a firefighter and paramedic, rising to serve as Fire Chief in Miami-Dade, Florida. Since 2001, he has held a number of senior positions within the Federal Government, including the Director of the Preparedness Division of the Emergency Preparedness and Response Directorate and the U.S. Fire Administrator. In 2006, he was confirmed by the U.S. Senate as Director of FEMA and, with the 2007 Reorganization, continues to lead FEMA as Administrator.

As a career firefighter, the Administrator began as a rescue firefighter and climbed the ranks of rescue lieutenant commander, district chief of operations, division chief, assistant chief and then deputy director for administration before becoming the Miami-Dade Fire Chief. He is a certified paramedic and, as fire chief, oversaw the Miami-Dade Urban Search and Rescue Task Force. His emergency management experience includes Hurricane Andrew and the crash of ValuJet Flight 592. He is also past president of the International Association of Fire Chiefs.

A native of Miami, Florida, Mr. Paulison earned a bachelor of arts from Florida Atlantic University and completed the Program for Senior Executives in State and Local Government at Harvard University's John F. Kennedy School of Government. In 2004, he received the Mason Lankford Fire Service Leadership Award from the Congressional Fire Service Institute. Additionally, he has received the LeRoy Collins Distinguished Alumni Award and has been inducted into the Miami-Dade Community College Hall of Fame. Mr. Paulison was selected as Fire Chief of the Year by his colleagues from the State of Florida in 1993 and holds positions in several professional associations.

Regional Office Structure





U.S. Coast Guard



Homeland Security

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United States Coast Guard

The Coast Guard is the principal Federal agency responsible for maritime **safety, security, and stewardship**. As such, the Coast Guard protects the Nation's vital interests, including the safety and security of the maritime public, our natural and economic resources, the global marine transportation system, and the integrity of our maritime borders. The Coast Guard's ability to deploy versatile cutters, aircraft, boats, and personnel with broad authorities is the U.S.

Government's most important strength in the maritime environment. The Coast Guard is unique in the Nation and in the world.

The Coast Guard is one of the five Armed Services of the United States and the only military organization within DHS. With over \$9 billion in FY 2008 budget authority, the Coast Guard is made up of nearly 42,000 active duty military personnel, over 8,000 military reservists, and over 7,000 civilians.

Mission

The Coast Guard protects the public, the environment, and U.S. economic and security interests in any maritime region at risk. The Coast Guard's 11 statutory missions include *Search and Rescue; Marine Safety; Aids to Navigation; Ice Operations; Marine Environmental Protection; Living Marine Resources; Drug Interdiction; Migrant Interdiction; Other Law Enforcement; Ports, Waterways, and Coastal Security; and Defense Readiness*.

Major Policy/Program Initiatives

- **Coast Guard Modernization** is a systems approach to strategically organize and optimize the Service's operational forces, mission support functions, business practices, and doctrine to improve interoperability, standardize operational procedures, increase readiness and eliminate redundancies.
- **Recapitalization of Aging Assets** is our effort to modernize the Service's aging and obsolete assets. Our \$24 billion Deepwater acquisition project includes the National Security Cutter, the Off-shore Patrol Cutter, the Fast Response Cutter, the HC-130J maritime patrol aircraft, the HC-144A maritime patrol aircraft, and supporting command and control and logistics systems.
- **Border and Transportation Security Risk Mitigation** continually improves information-sharing, intelligence collection, border control operations, vessel tracking, and statutory authorities to address unprecedented demand for our services and emerging security threats to our Nation's border and transportation systems.
- **Maritime Domain Awareness** is a powerful combination of intelligence and situational awareness in the maritime domain. In light of dramatic marine transportation system growth and the post-9/11 environment, the Coast Guard leverages technology and partnerships to improve information-sharing and our ability to see and understand what is happening in our ports and waterways, in the Polar Regions, and on the high seas.

- **Marine Safety Enhancement** is an initiative to build capacity across the broad range of marine safety operations, including vessel inspections, marine investigations, pollution response, and incident management, to ensure we keep pace with and meet the safety and security needs of the maritime industry.
- **Global Persistent Presence** is a responsibility of all armed services to defeat threats and set conditions for stability worldwide. The Coast Guard seeks to provide a floor of capabilities based on our unique skill sets, assets, and authorities to support strategic objectives in cooperation with combatant commanders and partner nations.

Key Senior Executive Officials

- ADM Thad W. Allen, Commandant, b(2), b(6)
- VADM Vivien S. Crea, Vice Commandant, b(2), b(6)

Admiral Thad W. Allen

Commandant, U.S. Coast Guard

Admiral Thad W. Allen assumed the duties of the 23rd Commandant of the U.S. Coast Guard on May 25, 2006. As such, he leads the largest component of the Department of Homeland Security (DHS), comprised of about 42,000 men and women on Active Duty, 7,000 civilians, 8,000 Reservists and 34,000 volunteer Auxiliarists.

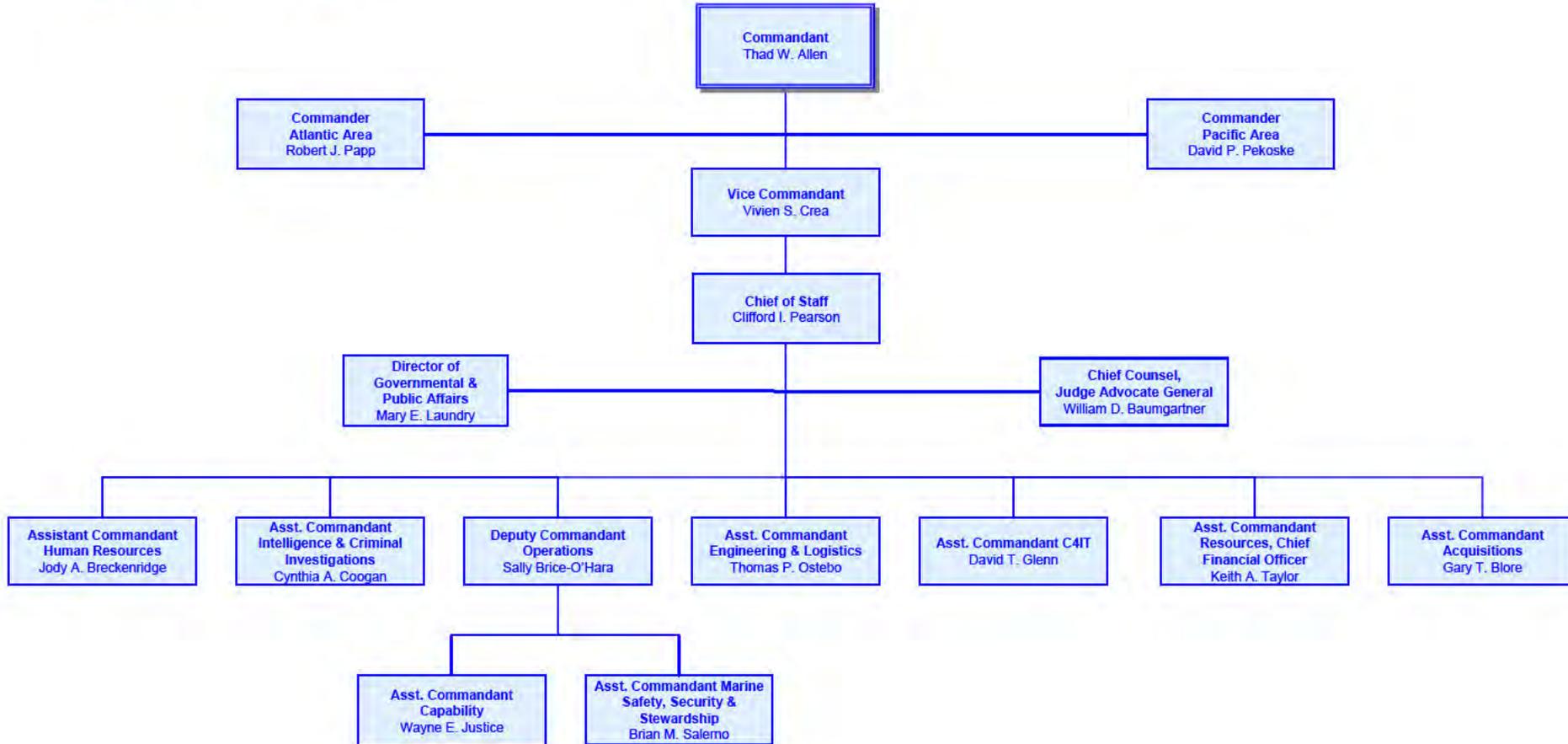
The Coast Guard is America's oldest continuous seagoing service and is a Federal law enforcement agency as well as a branch of the armed forces. The Coast Guard serves the American people by saving lives and property at sea; ensuring the safety of thousands of professional mariners and millions of recreational and commercial vessels; protecting our ports and maritime infrastructure from terrorism, securing our borders, maintaining aids to navigation, responding to natural disasters, defending our Nation, conducting humanitarian operations, protecting our marine environment, and keeping shipping routes open and clear of hazards. The Coast Guard is "Semper Paratus" – Always Ready to respond to All Hazards – All Threats.

In his 38 years of service, Admiral Allen has held operational command both at sea and ashore, conducting missions to support the maritime safety, security and environmental stewardship interests of the Nation. As a Flag Officer, he served as the Principal Federal Official for response and recovery operations for Hurricanes Katrina and Rita, while also serving as the Coast Guard Chief of Staff. He was responsible for leading Coast Guard forces as Commander of the Atlantic Area and U.S. Maritime Defense Zone Atlantic. Prior to that he commanded the Seventh Coast Guard District, where he directed all operations in the Southeastern United States and Caribbean. He served aboard cutters *Androscoogin* and *Gallatin* and commanded the *Citrus*. He wore a dual hat as Commanding Officer of Group Long Island Sound and Captain of the Port, and he commanded Group Atlantic City and Long-Range Aids to Navigation (LORAN) Station Lampang, Thailand. Today, Admiral Allen is leading the Coast Guard through significant modernization to better organize, train, equip, and deploy our men and women to meet the challenges of the 21st Century.

Admiral Allen graduated from the U.S. Coast Guard Academy in 1971, and holds a Master of Public Administration degree from the George Washington University, and received their Alumni Achievement Award in 2006. He also holds a Master of Science degree from the Sloan School of Management of the Massachusetts Institute of Technology, is a Fellow of the National Academy of Public Administration, and is a member of the Council on Foreign Relations. In 2007, Admiral Allen was awarded an Honorary Doctorate of Science from the National Graduate School.

He is a native of Tucson, Arizona and the son of retired Coast Guard Chief Damage Controlman Clyde and Mrs. Wilma Allen. Admiral Allen and his wife, Pam, have three children and two grandchildren.

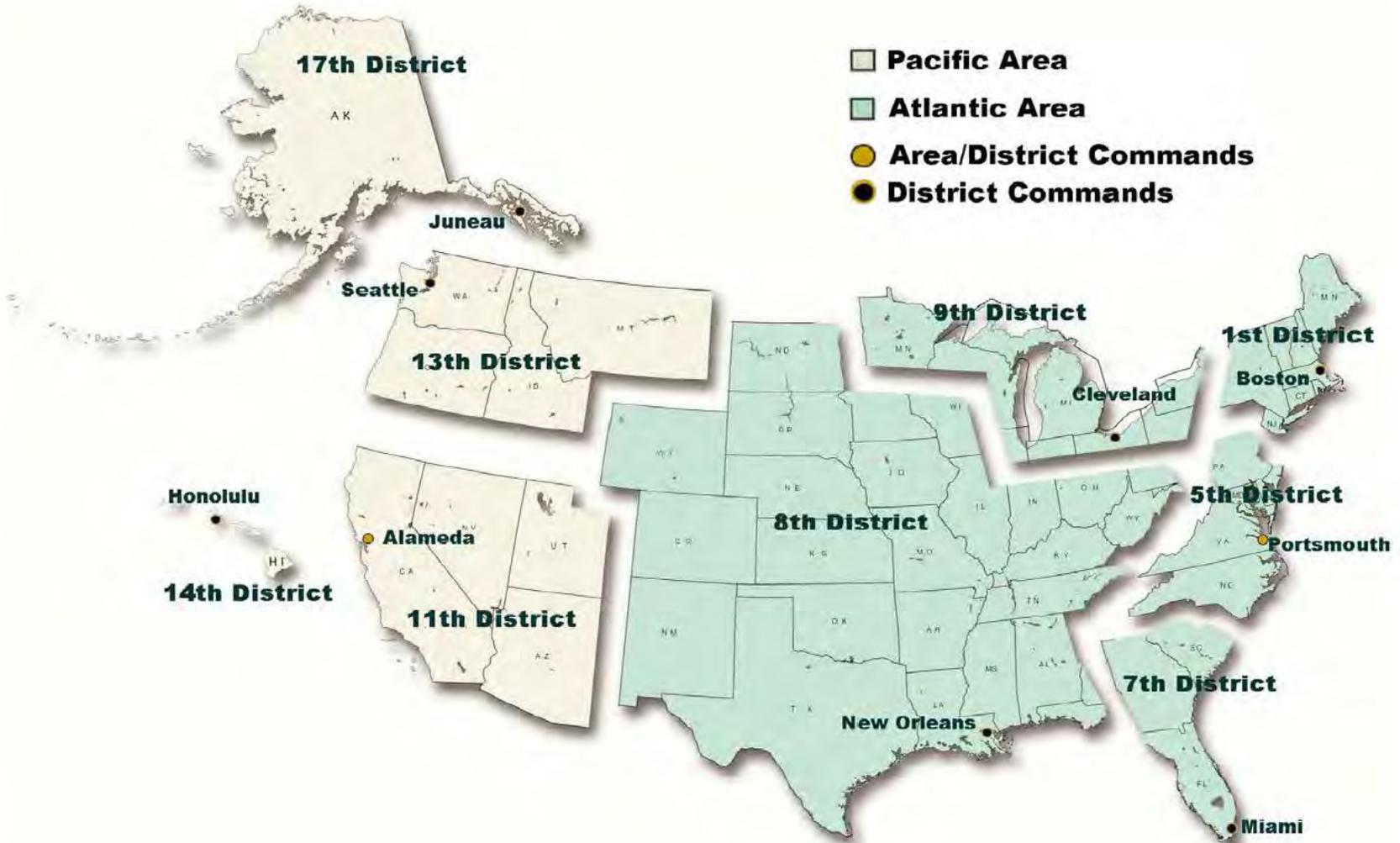
Organizational Chart

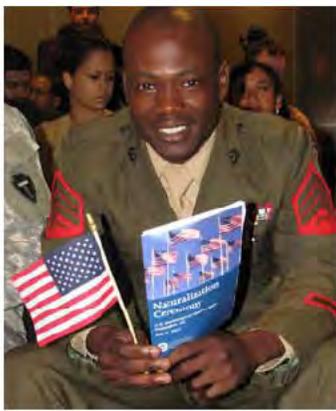


Key:

Career

Current Area and District Geographical Boundaries





U.S. Immigration and Customs Enforcement



U.S. DEPARTMENT OF
**Homeland
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U.S. Immigration and Customs Enforcement

U.S. Immigration and Customs Enforcement (ICE), a component of the Department of Homeland Security, has an annual budget for Fiscal Year 2009 of nearly \$6 billion and employs more than 16,500 persons with the largest overseas presence within DHS.

ICE is the second largest Federal law enforcement agency and was created in 2003 by combining law enforcement, investigative, and deportation functions of the Immigration and Naturalization Service and U.S. Customs Service, as well as the Federal Protective Service.

ICE's vision includes a multi-year strategy to improve immigration and customs enforcement. The agency has authority to enforce over 400 Federal statutes and has primary jurisdiction over all customs laws, with particular emphasis on financial crime, illegal export of military products and sensitive technology, human trafficking, national security investigations, contraband smuggling, and intellectual property rights. Enforcement efforts target the most dangerous illegal aliens and those with outstanding removal orders, while worksite initiatives focus on employers who defy immigration law and workers with stolen or forged identity documents.

Recognizing the vital role partnerships play in accomplishing our mission, a state and local office was established in 2007 to forge new relationships with Federal, State, and local law enforcement agencies.

Mission

To protect America and uphold public safety. ICE fulfills this mission by identifying criminal activities and eliminating vulnerabilities that pose a threat to our Nation's borders, as well as enforcing economic, transportation, and infrastructure security. By protecting our national and border security, ICE seeks to eliminate the potential threat of terrorist acts against the United States.

Major Policy/Program Initiatives

- **Automation Modernization Account** is making the agency's legal, management, and mission support functions more productive, effective, and efficient.
- **ACCESS & State and Local Partnerships** is the umbrella program for law enforcement to participate with ICE is Agreements of Cooperation in Communities to Enhance Safety and Security (ACCESS). Secure Communities, the latest ACCESS initiative, is a comprehensive plan to identify and remove criminal aliens held in prisons and local jails through expanded collaboration with State and local law enforcement agencies.
- **Cross Border Enforcement** focuses ICE's immigration and customs authorities to target organizations and individuals to enhance the national security and public safety of the United States.

- **Financial and Commercial Fraud Investigations** target criminal and financial trade schemes, prevent bulk cash smuggling, disrupt document and benefit fraud crimes, and bring child sex exploitation criminals to justice.
- **Industry Outreach and Education** initiatives include training and assistance to employers to promote legal hiring, protecting intellectual property rights by interdicting counterfeit goods, and educating businesses on preventing unlawful export of munitions and technology.
- **Detainee Detention and Medical Care** for detainees have been improved with the introduction of Performance Based National Detention Standards.

Key Senior Executive Officials

- John P. Torres, Deputy Assistant Secretary, **b(2), b(6)**
- Theresa Bertucci, Senior Transition Officer, **b(2), b(6)**

Julie L. Myers

Assistant Secretary, U.S. Immigration and Customs Enforcement

Julie L. Myers is the Assistant Secretary for U.S. Immigration and Customs Enforcement (ICE). She leads the largest investigative component of the Department of Homeland Security and the second largest investigative agency in the Federal Government, with more than 15,000 employees and an annual budget of more than \$5 billion.

ICE is comprised of five integrated divisions (Detention and Removal Operations, Investigations, Federal Protective Service, Intelligence, and International Affairs) that form a 21st century law enforcement agency with broad responsibilities for a number of key homeland security priorities. During the first 12 months of Ms. Myers' leadership, ICE set new records for enforcement activity, including ending the long-standing practice of "catch and release" for apprehended illegal immigrants.

The opportunity to lead ICE was achieved through Ms. Myers' progressive record of service to our Nation. From Federal trial attorney through successive leadership positions with the departments of Treasury, Justice, Commerce, and now Homeland Security, she has brought to ICE broad experience and knowledge of Federal law enforcement. The United States Senate confirmed her appointment as assistant secretary on December 19, 2007.

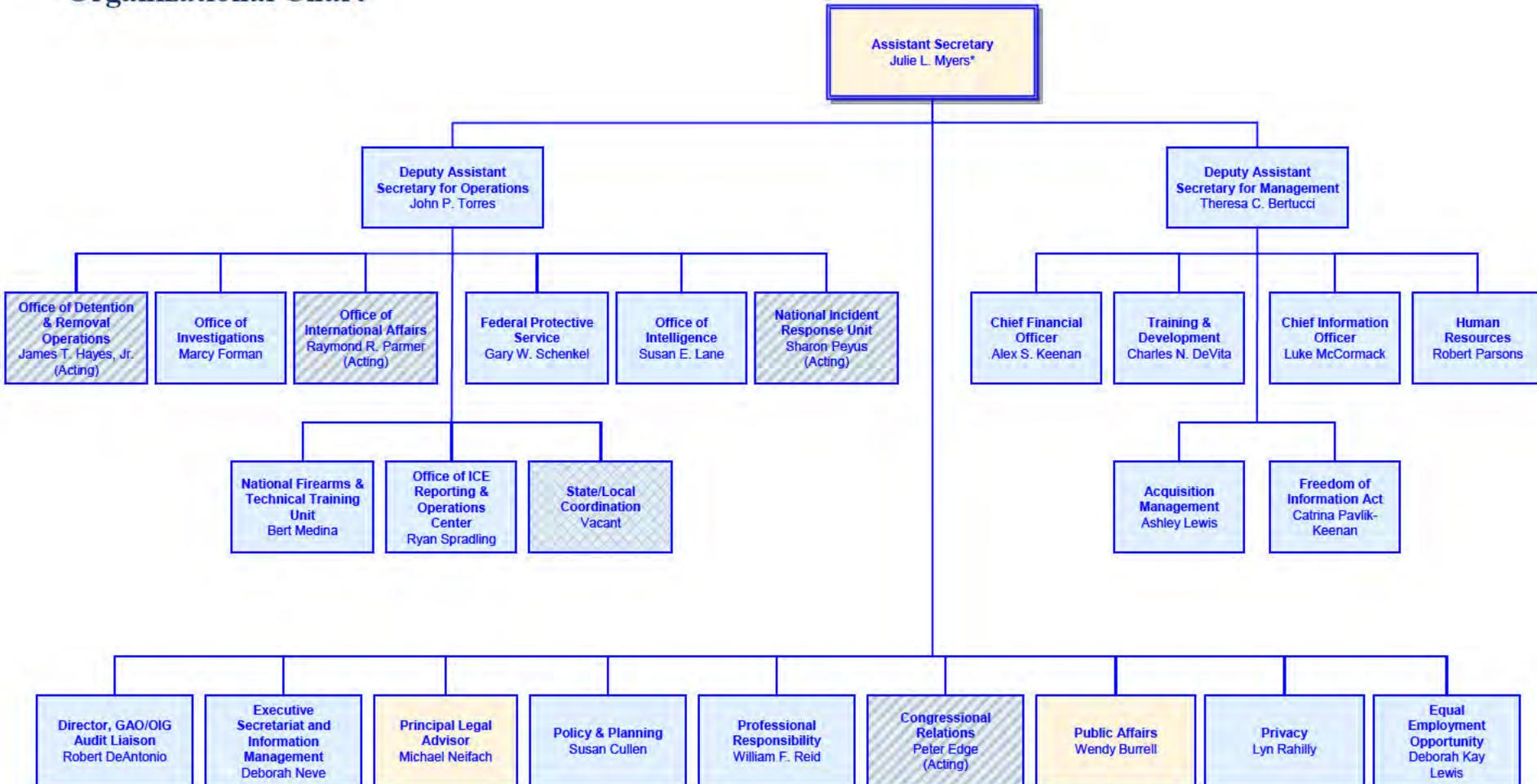
Her previous positions in Federal Government leadership roles include service as assistant secretary for Export Enforcement at the Department of Commerce, chief of staff for the Criminal Division at the Department of Justice, and deputy assistant secretary for Money Laundering and Financial Crimes at the Treasury Department.

Ms. Myers' first position in Federal Government enforcing the law was as an assistant United States attorney for the Eastern District of New York, where she prosecuted a variety of criminal cases, including narcotics violations, financial crimes, immigration violations, securities fraud, and other white collar criminal cases.

Before entering government service, Ms. Myers was an associate at Mayer, Brown & Platt in Chicago, Ill. She also clerked for the Honorable C. Arlen Beam of the United States Court of Appeals for the Eight Circuit.

Ms. Myers earned a bachelor's degree at Baylor University and became an attorney following graduation from Cornell Law School. She is a native of Shawnee, Kansas.

Organizational Chart

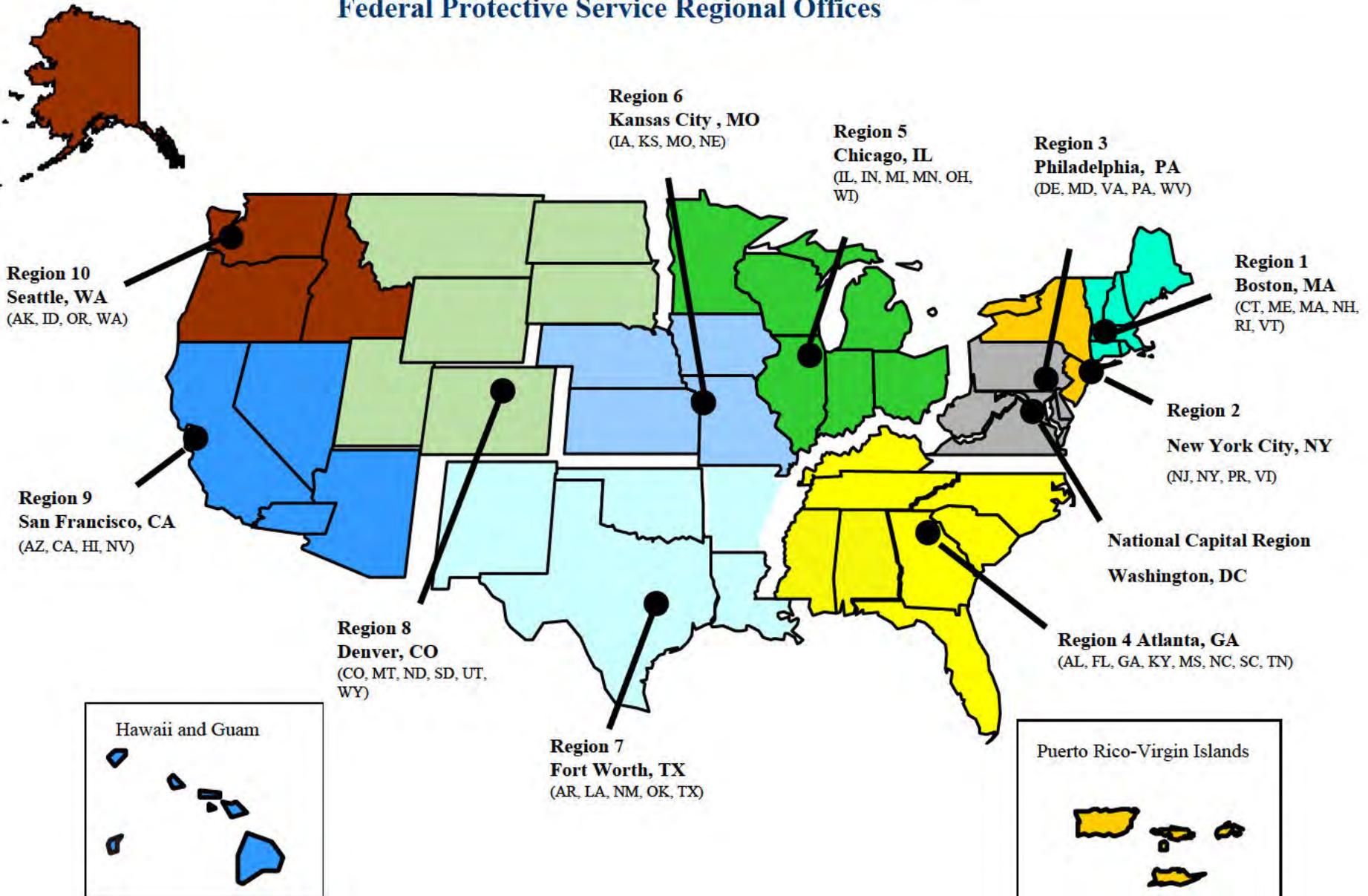


Key:

Non-career	Vacant
Career	Acting

* Senate Confirmed

Federal Protective Service Regional Offices





U.S. Immigration and Customs Enforcement

Operational Areas of Responsibility

LEGEND

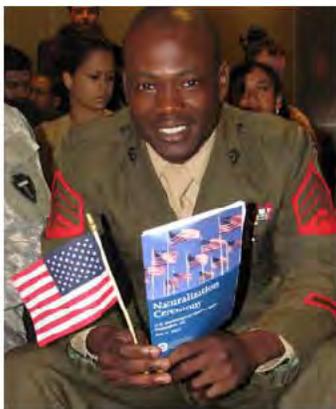
- ★ SAC Office
- RAC Office
- RA Office



Updated as of October 28, 2005

Operational Areas of Responsibility



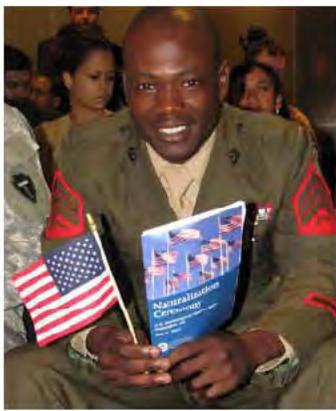


DHS Organizations: Headquarters Directorates and Offices



U.S. DEPARTMENT OF
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Management



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Management Directorate

In order for the Department to achieve its strategic goals, it must function as a single entity and operate with the proper structure, processes and systems, leadership, and culture.

By providing an underlying administrative and operational infrastructure, the Management Directorate enables DHS Components to collaborate, coordinate, and communicate with each other in order to perform duties and obtain goals. As such, the Management Directorate strives to support the Department in achieving the objectives within all mission goals.

Most directly, the Management Directorate strengthens and unifies operations and management throughout the Department by functionally integrating organizational governance and oversight, implementing common operating standards, capitalizing on a diverse workforce, and administering financial resources.

The Management Directorate is comprised of six functional lines of business: financial management, information technology, security, procurement, administrative services, and human capital. Each line of business supports the directorate's objectives by providing structure, optimizing processes and systems, fostering leadership, and leveraging culture.

Mission

Enable people, policies, processes, and protocols to deliver the Homeland Security mission in a way that eliminates redundancies, closes gaps, and obtains efficiencies in order to lead the unified national effort to secure America, prevent and deter terrorist attacks and protect against and respond to threats and hazards to the Nation, and secure our national borders while welcoming lawful immigrants, visitors, and trade.

Major Policy/Program Initiatives

Led by the Under Secretary for Management, the Management Directorate supports the Department's mission by providing:

- **Governance.** Providing leadership across DHS in areas of management, development and implementation of administrative policy, and appropriate oversight in order to ensure compliance with legal requirements, congressional mandates, and organizational best practices.
- **Advisory Services.** Advising the Secretary and DHS executive officials how to best manage and allocate resources in order to obtain mission goals, overcome challenges, and mitigate risks.
- **Services to Headquarters Components.** Providing general and administrative services to headquarters operations and maintaining shared services and working capital fund programs in order to efficiently manage property and equipment and to deliver services in the areas of financial management, information technology, personnel security, procurement, administrative services, and human resources for about 3,000 employees, as well as some support for contractors.

The Management Directorate is comprised of the following lines of business that contribute subject matter expertise, implement entity level internal controls, and support functional integration throughout the Department:

- **Office of the Chief Financial Officer (OCFO).** Responsible for departmental compliance with federal budget planning, formulation, and execution practices.
- **Office of the Chief Information Officer (OCIO).** Responsible for information technology operations and infrastructure, enterprise software applications, and information security.
- **Office of the Chief Security Officer (OCSO).** Responsible for protection of the Department's personnel, property, and facilities.
- **Office of the Chief Procurement Officer (OCPO).** Responsible for acquisition and procurement policy, strategic sourcing, and investment oversight.
- **Office of the Chief Administrative Officer (OCAO).** Responsible for asset management, including real estate/property acquisition; safety and environmental programs; mail; and records.
- **Office of the Chief Human Capital Officer (OCHCO).** Responsible for human resource management, Human Resource Information Technology systems, and labor relations.

Key Senior Executive Officials

- Elaine Duke, Under Secretary for Management, b(2), b(6)
- Scott Krause, Chief of Staff, Under Secretary for Management, b(2), b(6)

Elaine C. Duke

Under Secretary for Management

Elaine C. Duke was confirmed June 27, 2008, as the Department of Homeland Security's Under Secretary for Management. As the Under Secretary for Management, Ms. Duke is responsible for the management and administration of the Department.

Ms. Duke oversees management of the Department's \$47 billion budget, appropriations, expenditures of funds, accounting, and finance. Ms. Duke administers control over the Department's \$17 billion in acquisitions and procurement. She is responsible for directing human capital resources and personnel programs for the Department's more than 218,000 employees. She administers control of the Department's enterprise architecture through strategic use of information technology and communications systems. Ms. Duke is responsible for oversight of the Department's facilities, property, equipment, and other material resources. She administers programs and processes that provide security for personnel, information technology and communications systems, facilities, property, equipment, and other material resources.

Prior to her appointment as the Under Secretary for Management, Ms. Duke served as the Deputy Under Secretary for Management. She was the Department's Chief Procurement Officer from January 2006 until her appointment as Deputy Under Secretary for Management in October 2007. As the agency's Senior Procurement Executive, she was the lead executive responsible for the management, administration and oversight of the department's acquisition, financial assistance, strategic sourcing and competitive sourcing programs. Ms. Duke was the Department's Deputy Chief Procurement Officer from October 2004 to December 2005, when she championed the creation of the Acquisition Professional Career Program to re-build the Federal acquisition workforce for the 21st century.

Ms. Duke assisted in the stand-up of the Department of Homeland Security while at the Transportation Security Administration, where she served as the Deputy Assistant Administrator beginning in August 2002. While with TSA, she successfully delivered an acquisition program that met the post 9/11 legislative mandate to federalize passenger screening and baggage screening airports.

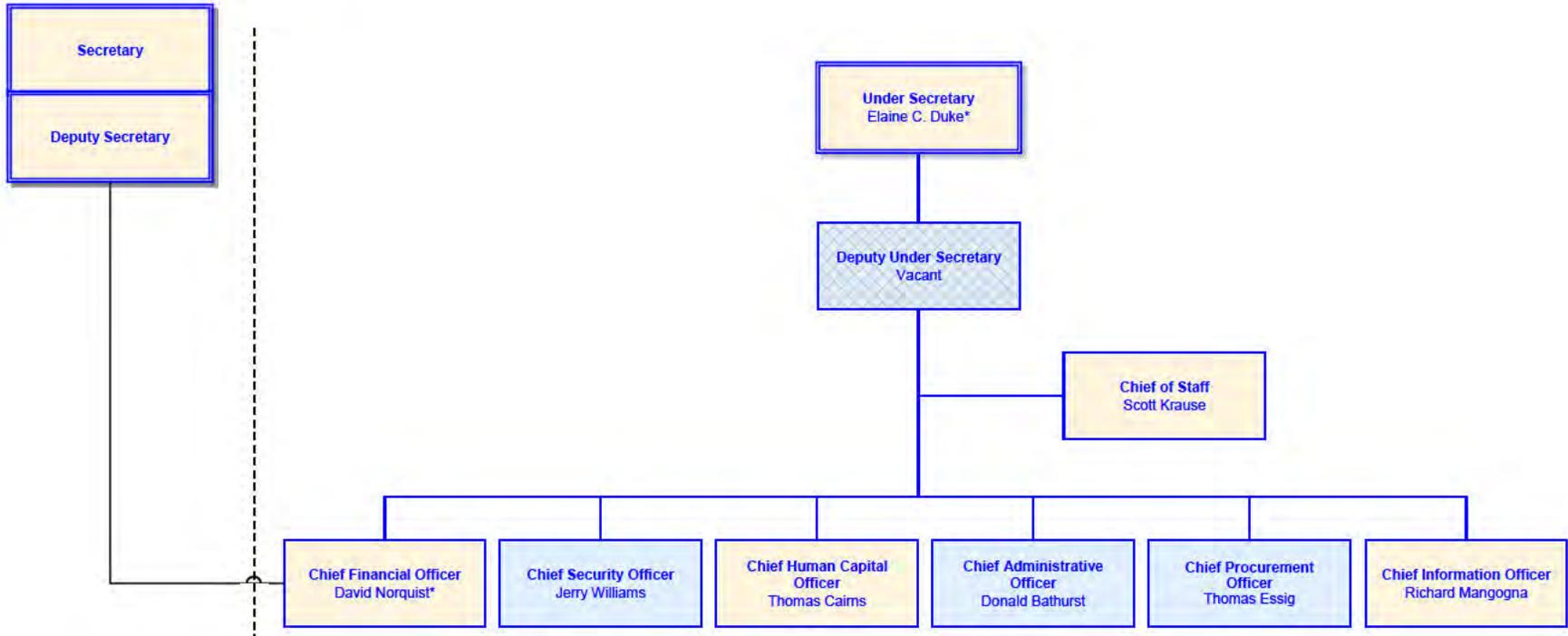
Ms. Duke spent a great deal of her career with the U.S. Navy, where she held various acquisition positions of progressive responsibility. She served as the Director, Office of Contract Policy, as well as the Deputy Director of Hull, Mechanical and Electrical Division in the Contracts Directorate with the Naval Sea Systems Command. While on the staff of the Assistant Secretary of the Navy (Installations & Environment), Ms. Duke oversaw the base closure and realignment program. She developed and implemented contracting strategies as well as a first ever grant program that provided for financial assistance to revitalize the local communities impacted by the base closures. Ms. Duke also held various acquisition positions with the Naval Facilities Engineering Command, including the Deputy Director of the Contracting Department at the Navy Public Works Center, Pearl Harbor, Hawaii.

She began her career as a contracting officer for the U.S. Air Force. In addition to her work at the Department of Defense, Ms. Duke served as the Deputy Director of Contracting and Property Management for the Smithsonian Institution and Director of Acquisition and Grant Services for the Federal Railroad Administration.

Ms. Duke holds a Bachelor of Science degree in business management from New Hampshire College and a Master's degree in business administration from Chaminade University of Honolulu, Hawaii.

During her service with the Federal Government, Ms. Duke has been the recipient of the Presidential Meritorious Rank Award, the Transportation Security Administration's Silver Medal for Customer Service, and the Department of Army Commander's Award for Public Service.

Organizational Chart



Key:

Non-career	Vacant
Career	

* Senate Confirmed

Office of the Chief Administrative Officer

The Chief Administrative Officer (CAO) is responsible for Department-wide policy and oversight to ensure efficient use of physical assets (real estate, capital and accountable property), safety of workers, and energy and environmental resources efficiency. The CAO also supports decision-making by managing environmental planning, historic preservation, records, directives, forms, printing, and library services. The CAO is responsible for business continuity planning, including continuity of operations (COOP) and other contingency planning. The CAO serves as the senior advisor to the Secretary in carrying out DHS's responsibilities for these functions. The CAO is also responsible for providing administrative services operational support to approximately 8,000 Departmental Headquarters employees and contractors.

Background

Administrative Services includes all functional areas managed by the DHS CAO, which includes asset management (logistics, real property, personal property, aviation, transportation, motor vehicle fleet, and marine vessels), mail screening and delivery, occupational safety and health, environmental planning and management, historic preservation, energy management, records, directives, forms, printing, library services, graphics, continuity of operations planning, and emergency preparedness.

Current Status

DHS Headquarters Consolidation

- Ensured the General Services Administration (GSA) completed Master Plan, *Environmental Impact Statement and National Historic Preservation Act* (NHPA) Section 106 Consultations to support development of the new DHS Consolidated Headquarters at St. Elizabeths. This development will include 4.5 million square feet of space, plus parking, of a need of nearly 8 million square feet. Completed Programming for the collocation of the National Operations Center and Component Operations Centers at St. Elizabeths. Ensured GSA submitted a prospectus for authorizing consolidation of Headquarters support elements that will not relocate to St. Elizabeths.

Departmental Administrative Services Policy and Oversight

Real Property Management

- Directs the management of a portfolio 86 million square feet, 27,000 buildings and structures at 5,700 locations worldwide. Using a Department-wide asset management plan, ensures efficient use and decisions affecting nearly \$2 billion in rent and operating costs and \$830 million in repair and construction.

Occupational Safety and Health

- Injuries continue to cost the department about \$200 million annually in direct cost. Indirect costs are estimated at more than \$1 billion. We continue to achieve significant

reductions in Departmental injury rates, with over 46 percent reductions in total injury and lost time injury from FY 2003.

Continuity of Operations Planning and Emergency Preparedness

- Updated the COOP and established training and exercise program to prepare staff, especially those designated to succeed the Secretary. Completed a comprehensive analysis of the Department's Mission Essential Functions as part of Homeland Security Presidential Directive 20 implementation.

Motor Vehicle Fleet Management

- Provide guidance and direction to manage the Department's more than 41,000 vehicle inventory. Continue to increase purchases of alternative fuel vehicles. Fifty-eight percent of all vehicles purchased in FY 2007 were alternative fuel, up from 33 percent of all vehicles purchased in FY 2006.

Energy Management

- The Department uses 4.42 trillion BTUs in buildings and more than 26 million gallons of fuel at an annual cost of more than \$250 million. In FY 2008, we reduced energy use by 17.1 percent from the 2003 baseline. We also purchased four percent of our annual consumption from renewable electricity sources.

Environmental Management

- Oversee and provide guidance to reduce the Department's environmental liabilities, currently at \$278 million.

Mail and Express Package Management

- Directs and oversees processing and delivery of 55 million pieces of mail through 1,256 mail service stations, managing postage costs in excess of \$31 million. Manages Department-wide express package service with costs of \$18 million (\$5 million below GSA rates). Provides guidance and oversight of safe mail-screening program.

HQ Administrative Operations

- Established project planning templates for better accountability and cost control to address housing needs for rapidly growing organizations. Identified immediate, interim, and long term support needs and organized operations to meet these needs.

Challenges

Challenges center centralizing support roles, which are currently decentralized, with mission needs and aligning support roles with mission needs to support overall Department effectiveness. Much effectiveness can be gained by sharing support across Components and mission, but Components tend to want to "own" all their support. Many of these functions are accomplished

in the Components as collateral duty, but many functions require dedicated professional resources for better effectiveness.

Milestones

Critical milestones include quarterly actions on the asset management plan and budget submission reviews for portfolio decisions.

Points of Contact

- Donald Bathurst, Chief Administrative Officer, **b(2), b(6)**
- Bradford Cooper, Deputy Chief Administrative Officer, **b(2), b(6)**

Budget and Financial Management

The Office of the Chief Financial Officer (OCFO) is responsible for all aspects of DHS financial management from developing five-year plans through funds execution and performance reporting. Key functions include:

- Building and defending a budget that supports the Secretary's vision for protecting the homeland;
- Promoting good stewardship of taxpayer money by ensuring DHS has effective internal controls; and
- Integrating financial management systems across the Department.

In accordance with the *2004 DHS Financial Accountability Act*, the Chief Financial Officer (CFO) is required by law to be politically appointed, with Senate confirmation, and is also a direct report to the Secretary.

Background

- The Fiscal Year 2009 Budget for DHS is \$52 billion, an average increase of nine percent a year since FY 2003 (\$31 billion) when DHS was created.
- Independent Auditors who review the DHS financial statement have given DHS a disclaimer every year for the last five years. However, the audits report that significant progress has been made in the last three years. Since 2005, the number of qualifications has been reduced from 10 to 3, and the number of material weakness component conditions has been reduced from 25 to 12. A "clean" audit opinion on all of DHS except the U.S. Coast Guard is achievable in the next two to three years.

Current Status

- FY 2009 Budget has been enacted and is being executed.
- FY 2010 Budget is in draft but needs to be adjusted within 60 days to reflect priorities and goals of new leadership.
- Financial system consolidation is proceeding with a full-and-open competition strategy and will integrate with contracting and asset management. CFO is progressing with contracting strategy in coordination with the Office of the Chief Procurement Officer and the Office of the Chief Administrative Officer.

Challenges

- In FY 2009, the Department plans to award a contract and then begin migration of Components to a single financial management system. Other Departments have found this a difficult undertaking, and previous DHS efforts have encountered contractor problems and legal challenges.

- The FY 2009 budget gives the CFO responsibility and funding to establish oversight of the grants programs, a multi-billion dollar area that has not been subject to A-123 reviews or improper payment testing.

Milestones

- *(November 15, 2008)* Consolidated Financial Audit reported in Annual Financial Report
- *(February 2009)* Submit FY 2010 Budget Request, continues current level of activity, no increases.

Points of Contact

- David Norquist, Chief Financial Officer, **b(2), b(6)**
- Peggy Sherry, Deputy Chief Financial Officer, **b(2), b(6)**

Human Capital

For the entire Department of Homeland Security, the Office of the Chief Human Capital Officer (OCHCO) is responsible for human resources (HR) management and policy, learning and development, recruitment, performance management, workforce engagement, HR information technology systems, compensation, labor relations and employee relations. For DHS Headquarters, OCHCO provides HR operations and services.

Background

The *Homeland Security Act of 2002* established the need to modernize human capital programs and services to create an inclusive, performance-driven culture across DHS.

Current Status

- **Operations/Services.** Provide HR services and support for headquarters. Processed more than 9,000 personnel actions in FY 2008 and brought on 380 new hires in the 4th Quarter of FY 2008.
- **Team DHS Culture.** Launched first DHS employee opinion survey – 47% (65,753) employee participation. Developed Career Paths Program to frontline occupations in Transportation Security Administration, U.S. Secret Service, U.S. Customs and Border Protection and U.S. Immigration and Customs Enforcement to increase retention and improve employee development. Established a “best practices” Veterans Outreach Strategy and Veterans Outreach Advisory Forum.
- **Performance Management.** Initiated the Human Capital Accountability Program for HR management systems to ensure mission alignment and compliance with laws, rules and regulations.
- **Diversity.** Established DHS Diversity Council staffed by senior Department executives. Created a Diversity Strategy and Action Plan.
- **Human Capital Information Technology.** Reduced eight payroll systems to one system for 180,000 employees and implemented new web-based time and attendance system for 120,000 employees.
- **Executive Resources Staffing.** From July 2007 to October 2008, increased number of executive positions by 70 while reducing executive vacancies from 24% to 12%.
- **Learning and Development.** Created DHS’s National Security Professional Development Program, covering approximately 10,000 employees. Published a learning and development strategy that established a Homeland Security University System.

Challenges

- Designing and staffing a human capital organization to support the growing HR needs within Headquarters.

- Building a governance structure for DHS human capital policies, programs, practices and systems.
- Developing and integrating human capital operating systems, programs and practices across DHS.
- Finding economies of scale and leveraging best practices across DHS human capital organizations.

Milestones

- Continue to execute the Human Capital Strategic Plan for Fiscal Years 2009-2013.
- The October 1, 2008, rescission of the application of certain HR management systems (5 CFR 9701) requires changing the performance management program in FY 2009.

Points of Contact

- Thomas D. Cairns, Chief Human Capital Officer, b(2), b(6)
[REDACTED]
- Gregg R. Pelowski, Deputy Chief Human Capital Officer, b(2), b(6)
[REDACTED]

Information Technology

The Office of the Chief Information Officer (OCIO) is responsible for information technology operations and infrastructure, enterprise software applications, and information security. Priorities include improving information sharing across the Department of Homeland Security and issuing security certification and accreditation of DHS information technology (IT) systems.

Background

OCIO is responsible for all IT used throughout the Department and acts as steward for the Homeland Security Enterprise Architecture (HLS EA).

Current Status

Information Sharing Across DHS

- DHS OCIO has partnered with key mission, Component, and Headquarters elements on several initiatives to improve information sharing across DHS, and with other Federal agencies and State, local, and tribal governments as appropriate.
- DHS assumed leadership as Acting National Information Exchange Model (NIEM) Director, reflecting DHS's significant growth in the utilization of standards and data sharing. DHS has facilitated the adoption of NIEM as an enterprise standard for information exchanges within DHS and with our mission partners, such as Department of Justice (DOJ), Department of State, and the Directorate of National Intelligence (DNI).
- The DHS OCIO established the Geospatial Information Infrastructure (GII) systems architecture as the DHS Enterprise Geospatial Solution (EGS) platform and the foundation for the DHS Geospatial Data Warehouse.
- The DHS OCIO has implemented the IT Portfolio Management Office to ensure IT investments support cross-functional information sharing initiatives.

Issuing Security Certification and Accreditation of DHS IT Systems

- In 2003-2005, the Department received from the Office of Management and Budget consecutive grades of F; in 2006, a D, and in 2007, a B+. Assuming the Federal scoring criteria remains the same; the Department will receive an A for 2008.
- In FY08, 95 percent of all 591 operational systems were fully accredited in accordance with FISMA, up from 84 percent in 2007.

DHS IT Infrastructure Transformation

- 87 percent of Component sites have moved to target technology and over 44 percent are under central network management. 51 applications are at Stennis Data Center. Two major data centers were migrated to Stennis. Several more will move by the end of the year. 5 of 10 organizations are using the OneNet Trusted Internet connection (TIC).

- Network and security operations are consolidated under one program and the enterprise NOC and SOC are under single management.

Challenges

Information Sharing Across DHS

- The major challenges include the federated nature of DHS organizations and missions, cultural differences, and the challenge of supporting IT capabilities across a diverse operating environment.
- Implementing repeatable governance structures, capturing end user requirements, and developing segment architectures that address information sharing challenges for mission areas such as law enforcement and incident management.

Expanding Citizen Access to DHS through e-Gov Initiatives

The Office of Management and Budget (OMB), through its e-Gov President's Management Agenda Scorecard, grades the Department on non e-Gov and non-IT milestones that lie outside the direct responsibility and control of the OCIO.

Issuing Security Certification and Accreditation of DHS IT Systems

The process can require the implementation of up to 400 separate controls for each system. All IT related purchase requests over \$2.5 million are reviewed to ensure security requirements are included.

Infrastructure Transformation

- Aligning Component priorities and resources for migration to OneNet.
- Securing sufficient funding to complete data center migration efforts.
- Developing a strategy for funding Single Sign-On initiative.

Milestones

- Publish the Core Person Biographic Data Element Memo: 4th quarter FY 2008.
- Develop and publish the Enumeration Policy and Implementation Strategy: 1st quarter FY 2009.
- Develop the Law Enforcement Segment Architecture: 1st quarter FY 2009.
- Develop the DHS CIO Integrated Planning Guidance Document: 1st quarter FY 2009.
- Develop the FY 2009 DHS IT Strategic Plan: 1st quarter FY2009.
- Complete data center consolidation to the Stennis and EDS Data Centers: 4th quarter FY 2011.
- Establish disaster recovery capabilities for all DHS Components: 1st quarter FY 2010.

- Enable an initial Single Sign-On capability to limit user access to applications to which they have access via any permissible work station in the Department: 2nd quarter FY 2009.

Points of Contact

- Richard Mangogna, Chief Information Officer, b(2), b(6)
- Margaret Graves, Deputy Chief Information Officer, b(2), b(6)

Acquisition (Including Procurement)

We share the common objective of meeting the DHS mission by acquiring needed goods and services in a timely manner, at fair and reasonable prices, and with integrity and transparency, even in the face of emerging requirements. The Office of the Chief Procurement Officer (OCPO) develops and provides acquisition and procurement policy, strategic sourcing of needed goods and services, and investment and contracting oversight of ten separate contracting activities. The Chief Procurement Officer's (CPO's) current priorities are:

- Quality Contracting – improve the quality of our contracting actions from pre-award through contract administration and closeout, and serve as good stewards of the taxpayers' money by making sound business decisions that meet mission requirements.
- Quality Acquisition Management – improve the quality of program management throughout the Department through effective use of disciplines such as program management, systems engineering, test and evaluation, cost analysis, and acquisition logistics.
- Quality People – build and sustain the DHS Acquisition Workforce.

Background

In fiscal year (FY) 2004, the first full fiscal year of the Department, DHS had 603 contracting specialists and processed 59,980 procurement actions worth \$9.791 billion. In FY 2008, the Department had just over 1,000 contracting specialists and awarded 85,029 contract actions worth \$19.1 billion. Acquisition, however, is more than just contracting. It includes requirements definition and program management, including functions such as systems engineering, test and evaluation, cost analysis and logistics. OCPO responsibilities include:

- Policy and oversight of all DHS contracting, acquisition, strategic sourcing, and competitive sourcing activities;
- Designation of and delegation of authority to DHS Heads of Contracting Activities (HCA);
- Management of the DHS Acquisition Review Board (formerly Investment Review) process;
- Analysis of program life cycle cost estimates for reasonableness;
- Operational contracting through the OCPO Office of Procurement Operations (OPO) for DHS organizations that do not have a HCA and through the Office of Selective Acquisitions (OSA) for work involving access to Sensitive Compartmented Information;
- Services of a Senior Advisor on all matters involving contracting and acquisition, to include congressional testimony;
- Management of the development of the Acquisition Workforce through centralized training, identification of workforce competencies and training requirements, and management of the Acquisition Professionals Career Program (for entry level personnel);

- Leadership of the integration of Acquisition Systems management (contract writing and reporting systems) for DHS;
- Service as DHS member of Board of Directors, Federal Acquisition Institute, Federal Civilian Acquisition Council, and Federal Chief Acquisition Officers Council.

Current Status

- **Quality Contracting** – For the second year in a row DHS has received a “Green” rating from the Small Business Administration for its achievements in accomplishing all statutory small business goals except Service-Disabled Veteran-Owned small businesses. In FY 2008 alone, DHS small business program managers and specialists hosted or participated in more than 75 vendor outreach sessions. The DHS Competition Advocate established a program recognizing team/individual accomplishments promoting/achieving competition and/or use of innovative/best practices. In FY 2007 the Department realized an estimated \$5.2 million in cost savings/avoidance. Efforts to increase competition in contracting continue to be successful; percentages have grown from 49 percent of procurement actions in 2005 to 74 percent in FY 2008, placing DHS 9th out of 18 cabinet agencies.
- **Quality Acquisition Management** – Through the Investment Review and Acquisition Review processes, we review all major DHS programs. The processes have been re-engineered, and an executive-led organization has been established and is dedicated to overseeing the Department’s program management discipline. By the end of FY 2008 baseline procurement management reviews were completed for ALL Components. Training of program managers is underway, and there are over 400 certified program managers in the Department.
- **Quality People** – DHS created the Acquisition Professional Career Program to provide a pipeline of entry-level acquisition professionals for a career field that is experiencing a severe shortage Government-wide. By the end of the FY 2008, 48 highly qualified interns have been successfully placed throughout the Department. Where contracting specialists are concerned, DHS continues to be short-staffed, as is the rest of the Federal Government (at any one time there are over 1,000 vacancy announcements for contracting specialists throughout the Government). The contracting specialist workforce within the Department has grown from approximately 600 in 2003 to just over 1,000 by the end of FY 2008.

Challenges

- **Improve quality of contracting** – Ensure up-to-date contracting policy has been disseminated and implemented by all heads of contracting activity. Ensure proper contract administration is performed, including the application of Earned Value Management.
- **Improve the quality of program management throughout DHS** – Recruit and retain qualified program managers that meet certification requirements. The Department is currently addressing concerns regarding the certification of acquisition personnel through

various DHS training programs. Empower program managers and hold them accountable. Facilitate improvement of practices and execution of programs through effective implementation of DHS Acquisition Management Directive 102-01 and utilization of the DHS Program Management and Test and Evaluation Councils.

- **Build and sustain the DHS acquisition workforce** – Establish new Acquisition Workforce Certification requirements for non-contracting acquisition career fields aligning with those of Office of Management and Budget and Department of Defense policy. Continue to utilize existing hiring authorities to build the workforce.

Milestones

- *(By fourth quarter, FY 2009)* Add Test and Evaluation and Systems Engineering to acquisition certification programs.
- *(By fourth quarter, FY 2009)* Hire additional 150 acquisition interns through FY 2010; expand into two career fields.

Points of Contact

- Thomas Essig, Chief Procurement Officer, **b(2), b(6)**
- Richard Gunderson, Deputy Chief Procurement Officer, **b(2), b(6)**

Security

The Office of the Chief Security Officer (OCSO) secures the Department so the Department can secure the Homeland. The CSO, as the Secretary's representative for all security-related matters, exercises DHS-wide security program authorities in the disciplines of personnel, physical, administrative, special programs, and training security, as well as counterintelligence operations and security-related internal investigations. The OCSO also leads the DHS CSO Council and directs the integration of security programs across the Department resulting in an exponential increase in the effectiveness of DHS security efforts.

Background

To accomplish its mission OSCO implements Department-wide security policies, programs, and standards to safeguard personnel, property, facilities, and information; delivers security training and education to DHS personnel, contractors and State, local, tribal partners; and executes security and counterintelligence operations, as well as administrative and criminal investigations.

Current Status

- **Physical Security** – implements force protection programs to protect DHS personnel; control access to DHS Headquarters facilities; and safeguards against damage to property and theft of information or resources.
- **Personnel Security** – prevents employment of individuals who could pose a threat to the Department, thus ensuring the highest levels of confidence in DHS employee and contractor trustworthiness, loyalty, integrity and reliability. The Office conducts credentialing and issues badges for DHS employees.
- **Administrative Security** – implements programs for the protection of classified and sensitive but unclassified information within the Department and for the Department's state, local, tribal and private sector partners.
- **Training and Operations Security (OPSEC)** – ensures employee awareness by creating a culture of security throughout the Department, ensuring that the DHS workforce is trained to recognize and defend against threats to the Department's personnel, information, and property.
- **Counterintelligence and Investigations Division** – operationally prevents the compromise of DHS personnel, information and property by foreign intelligence services, terrorists, and criminals.
- **Special Security Programs** – ensures the integrity of Special Access Programs and DHS Sensitive Compartmented Information (SCI) facilities where the country's most sensitive information is analyzed and processed.
- **Operations** – ensures efficient management of the office's budget (classified and non-classified) and contracts; oversees all HR matters; and administers the credentialing program for headquarters personnel.

Challenges

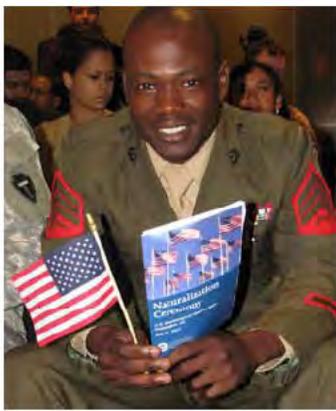
- Departmental expansion and implementation of revised Executive Orders has resulted in increased workload and the continual evaluation of ways to improve the process of conducting and adjudicating background investigations and granting security clearances.
- Expansion of DHS information sharing initiatives has resulted in an increase in the number of State and local entities provided access to classified information and OCSO security program and on-site support to State and local facilities.

Milestones

- Increase the efficiency and effectiveness of security through functional integration of the Component security offices and through identifying and maximizing the benefits of security centers of excellence.
- Increase staffing for the personnel security process so as to reduce the average turnaround time for background investigations.
- Enhance employee training to guard against loss/theft of all categories of sensitive but unclassified information.
- Ensure Security Compliance Reviews are conducted within Components to determine adherence to DHS security policies.
- Establish State and local Compliance Review Teams.
- Implement Multi-discipline Vulnerability Assessments (MDVAs) that incorporate counterintelligence methods with standard security methods.

Points of Contact

- Jerry Williams, Chief Security Officer, **b(2), b(6)**
- Gregory Marshall, Deputy Chief Security Officer, **b(2), b(6)**



Science and Technology



U.S. DEPARTMENT OF
**Homeland
Security**

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Science and Technology

The Department of Homeland Security's (DHS) Science and Technology (S&T) is a customer-focused, output-oriented, results-driven directorate of 381 Federal and 781 contracted personnel. With approximately \$737 million in budget authority for research, development, acquisition, and operations, S&T is responsible for delivering advanced technological capabilities to, and filling the capability gaps of, all DHS Components, as well as other Federal, State, local government, tribal, and private sector entities performing any aspect of the homeland security and first responder missions. S&T's management and administration budget authority is approximately \$132 million and includes operations of S&T's Washington, D.C. headquarters, including business operations, contributions to the DHS Working Capital Fund, and other administrative functions associated with the management of S&T and its resources.

The *Homeland Security Act of 2002* established S&T to establish priorities for and to conduct basic and applied research, development, and technology demonstrations and test and evaluation for all elements of DHS. S&T carries out an integrated investment portfolio comprising a broad array of many hundreds of programs and projects that balance risk, cost, mission impact, and the time to deliver. The portfolio includes long-term basic research, near-term product applications, and leap-ahead, game-changing capabilities to satisfy critical operational needs.

S&T's customer-led Capstone Integrated Product Teams actively engage DHS components, acquisition partners, S&T personnel and end-users to identify, validate and prioritize requirements, and guide investments in programs and projects that deliver technology solutions that can be developed, matured and delivered to our customers' acquisition programs for deployment to the field.

Mission

The mission of Science and Technology is to deliver improved homeland security capabilities to operating Components of the Department of Homeland Security and State, local, tribal, and private entities charged with supporting the homeland security mission.

Major Policy/Program Initiatives

- **Chemical and Biological Defense.** Research into detection, analysis, response and recovery from attacks with chemical and biological agents (FY 2009 budget request of \$200.5 million).
- **Explosives.** Research into improved capabilities for detection, defeat, and deterrence of threats from explosive systems and devices, including countering improvised explosive devices, threats to transportation, and other threats (FY 2009 budget request of \$96 million).
- **Command, Control, and Interoperability.** Research into information resources for seamless and secure communication and capabilities to share, visualize, analyze, and protect information (FY 2009 budget request of \$62 million).

- **Infrastructure and Geophysical.** Research to identify and mitigate vulnerabilities in the Nation's critical infrastructure and recovery from natural disasters (FY 2009 budget request of \$38 million).
- **Borders and Maritime Security.** Research to develop systems and capabilities to protect national borders and to secure commerce (FY 2009 budget request of \$35 million).
- **Human Factors.** Research to improve detection, analysis, and understanding of threats posed by individuals and radical groups as well as effective integration of human factors into homeland security technologies (FY 2009 budget request of \$12.5 million).
- **Innovation.** Basic and applied research promoting development, prototyping, and deployment of revolutionary technologies that promote homeland security (FY 2009 budget request of \$45 million).
- **Transition.** Delivers near-term products and technology enhancements by working with the Department's Components to expedite the technology transition process (FY 2009 budget request of \$32 million).
- **University Programs.** Engages the academic community to conduct research and analyses, provides education and training programs to support DHS priorities, and enhances homeland security capabilities (FY 2009 budget request of \$44 million).
- **Laboratory Facilities.** Provides the Nation with a coordinated, enduring core of productive science, technology, and engineering laboratories, organizations, and institutions, which can provide the knowledge and technology required to secure the country (FY 2009 budget request of \$147 million).
- **Test and Evaluation Standards.** Provides technical support and coordination to assist the Nation's emergency responders in the acquisition of equipment, procedures, and mitigation processes that are safe, reliable, and effective (FY 2009 budget request of \$25 million).

Key Senior Executive Officials

- Brad Buswell, S&T Deputy Under Secretary, b(2), b(6)
- Doug Smith, S&T Senior Transition Officer, b(2), b(6)

Jay M. Cohen

Under Secretary for Science & Technology

The Under Secretary for Science and Technology, Jay M. Cohen, is a native of New York. He was commissioned in 1968 as an ensign upon graduation from the United States Naval Academy. He holds a joint Ocean Engineering degree from Massachusetts Institute of Technology and Woods Hole Oceanographic Institution and Master of Science in Marine Engineering and Naval Architecture from MIT.

His early Navy assignments included service on conventional and nuclear submarines. From 1985 to 1988 Cohen commanded USS HYMAN G. RICKOVER (SSN 709).

Following command, he served on the U.S. Atlantic Fleet as a senior member of the Nuclear Propulsion Examining Board, responsible for certifying the safe operation of nuclear powered ships and crews.

From 1991 to 1993, he commanded USS L.Y. SPEAR (AS 36) including a deployment to the Persian Gulf in support of Operation DESERT STORM.

After USS SPEAR, he reported to the Secretary of the Navy as Deputy Chief of Navy Legislative Affairs. During this assignment, Cohen was responsible for supervising all Navy-Congressional liaisons.

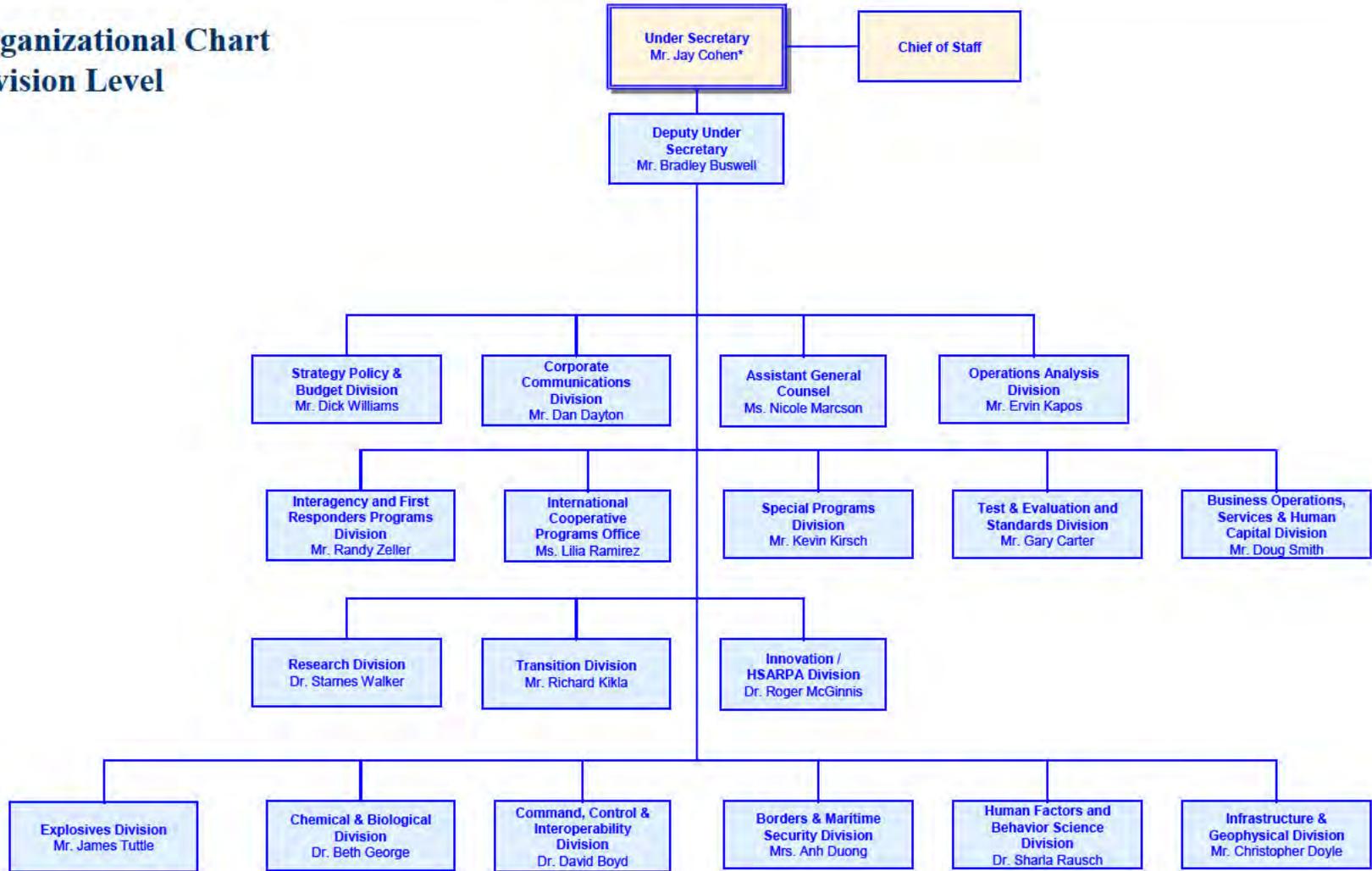
Cohen was promoted to the rank of Rear Admiral in October 1997 and reported to the Joint Staff as Deputy Director for Operations responsible to the President and Department of Defense leaders for strategic weapons release authority.

In June 1999, he assumed duties as Director Navy Y2K Project Office responsible for transitioning all Navy computer systems into the new century.

In June 2000, Cohen was promoted in rank and became the 20th Chief of Naval Research. He served during the Iraq war as the Department of the Navy Chief Technology Officer (a direct report to the Secretary of the Navy, Chief of Naval Operations and Commandant of the Marine Corps). Responsible for the Navy and Marine Corps Science and Technology (S&T) Program (involving basic research to applied technology portfolios and contracting), Cohen coordinated investments with other United States and international S&T providers to rapidly meet war fighter combat needs. After an unprecedented five-and-a-half year assignment as Chief of Naval Research, Rear Admiral Cohen retired on February 1, 2006.

Under Secretary Cohen was sworn in to his current position at the Department of Homeland Security on August 10, 2006.

Organizational Chart Division Level

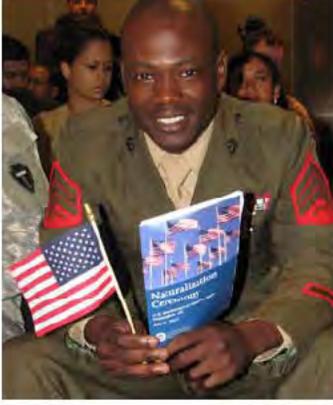


Key:



* Senate Confirmed

Modified: 10/21/08



National Protection and Programs Directorate



Homeland Security

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National Protection and Programs Directorate

The National Protection and Programs Directorate (NPPD) is a Department of Homeland Security (DHS) headquarters Component of approximately 1,000 employees and \$1.5 billion in budget authority in Fiscal Year 2009.

NPPD is comprised of five major offices: Infrastructure Protection (IP), Cybersecurity and Communications (CS&C), the United States Visitor Immigrant Status Indicator Technology (US-VISIT), Intergovernmental Programs (IGP), and Risk Management and Analysis (RMA). Created in April 2007 following a congressionally mandated reorganization of DHS, NPPD advances the Department's risk-reduction mission.

NPPD has a very diverse mission set that spans infrastructure protection, cybersecurity, emergency communications, biometrics and identity management, and state and local coordination. A key unifying factor is the Directorate's focus on taking a risk-informed approach to homeland security. NPPD's top priorities include cybersecurity, a strategic hiring initiative, and building and strengthening NPPD business processes.

Mission

The mission of NPPD is to advance the Department's risk-reduction goals. Specifically, NPPD works to enhance the protection of national assets, key resources, and people by identifying and countering physical, cyber, and human threats. NPPD also synchronizes risk-mitigation strategies and Departmental doctrine for protecting America.

Key Initiatives

- The Comprehensive National Cyber Initiative (CNCI) is an interagency cybersecurity effort to secure Federal networks. The White House has named DHS as the lead Department for protecting Federal civilian (i.e., .gov) networks and the Secretary has appointed NPPD as the lead office within DHS for the CNCI. CNCI consists of 12 strategic initiatives which include consolidating internet access points across the government, deploying new intrusion detection and prevention capabilities, and improving public-private partnerships in cybersecurity.
- As part of the CNCI and the rollout of a new chemical inspector program, NPPD has a requirement to nearly triple its staff over the next several years. In order to achieve this hiring goal, NPPD has embarked on a strategic hiring initiative. With the support of a dedicated contractor team, NPPD has deployed a metrics program to closely track hiring actions and is exploring various recruiting options, such as new and improved NPPD websites, job fairs, advertisements, and expanded hiring authorities.
- In order for NPPD to realize its full potential as an integrated organization, leadership has and continues to focus on building a strong management team within the NPPD Front Office. Recent hires include a new Chief Information Officer, a new Director of Public Affairs and Strategic Communications, a new Director of Financial Administration, and a

new Director of Resource Administration. As these new managers continue to build out their teams, NPPD will seek to further standardize and document its business processes to ensure an efficient and effective organization.

NPPD Offices

- IP identifies the highest-priority CIKR across the Nation and supports related risk-reduction activities. This includes DHS's national-level regulatory effort to secure high-risk chemical facilities, implementing a national strategy for countering Improvised Explosive Devices, and deploying nearly 100 Protective Security Advisors across the Nation to facilitate local collaboration.
- The CS&C's National Cyber Security Division identifies and mitigates threats to cyber infrastructure. The Control Systems Security Program identifies and mitigates threats that utilize cyber infrastructure for potential attack. The United States Computer Emergency Readiness Team (US-CERT) coordinates cyber incident response activities across the federal and private networks.
- CS&C also seeks to ensure the resilience and interoperability of the Nation's communications infrastructure and leads the Department's efforts on the cyber initiative. The National Communications System, through the Government Emergency Telecommunications Service and Wireless Priority Service, ensures priority telecommunications capability for the homeland security community. The Office of Emergency Communications provides interoperability guidance to State and local partners. The National Command and Coordination Capability will enable multi-security level communications at priority state and Federal sites.
- US-VISIT supports identity management efforts at the border. US-VISIT maintains a biometric watchlist and supports latent print identification. It has begun deploying 10-print devices for fingerprint collection and is developing a Comprehensive Exit Solution via the rulemaking process. US-VISIT has achieved interim interoperability with the Federal Bureau of Investigation's (FBI's) fingerprint database and continues to work with FBI and the Department of State to develop data sharing capabilities.

Key Senior Executive Officials

- Michael Capps, Resource Administration, b(2), b(6)
- Kathleen Kenyon, Senior Transition Officer, b(2), b(6)

Robert D. Jamison

Under Secretary for National Protection & Programs

Robert D. Jamison is Under Secretary for the National Protection and Programs Directorate. In that position he plays a leading role in the Department's integrated efforts to analyze, manage, and reduce risk.

Jamison furthered the Department's risk-reduction mission in his previous position as the Deputy Administrator for the Transportation Security Administration. As TSA's chief operating officer, he was responsible for all functional aspects of the agency charged with securing the nation's transportation systems.

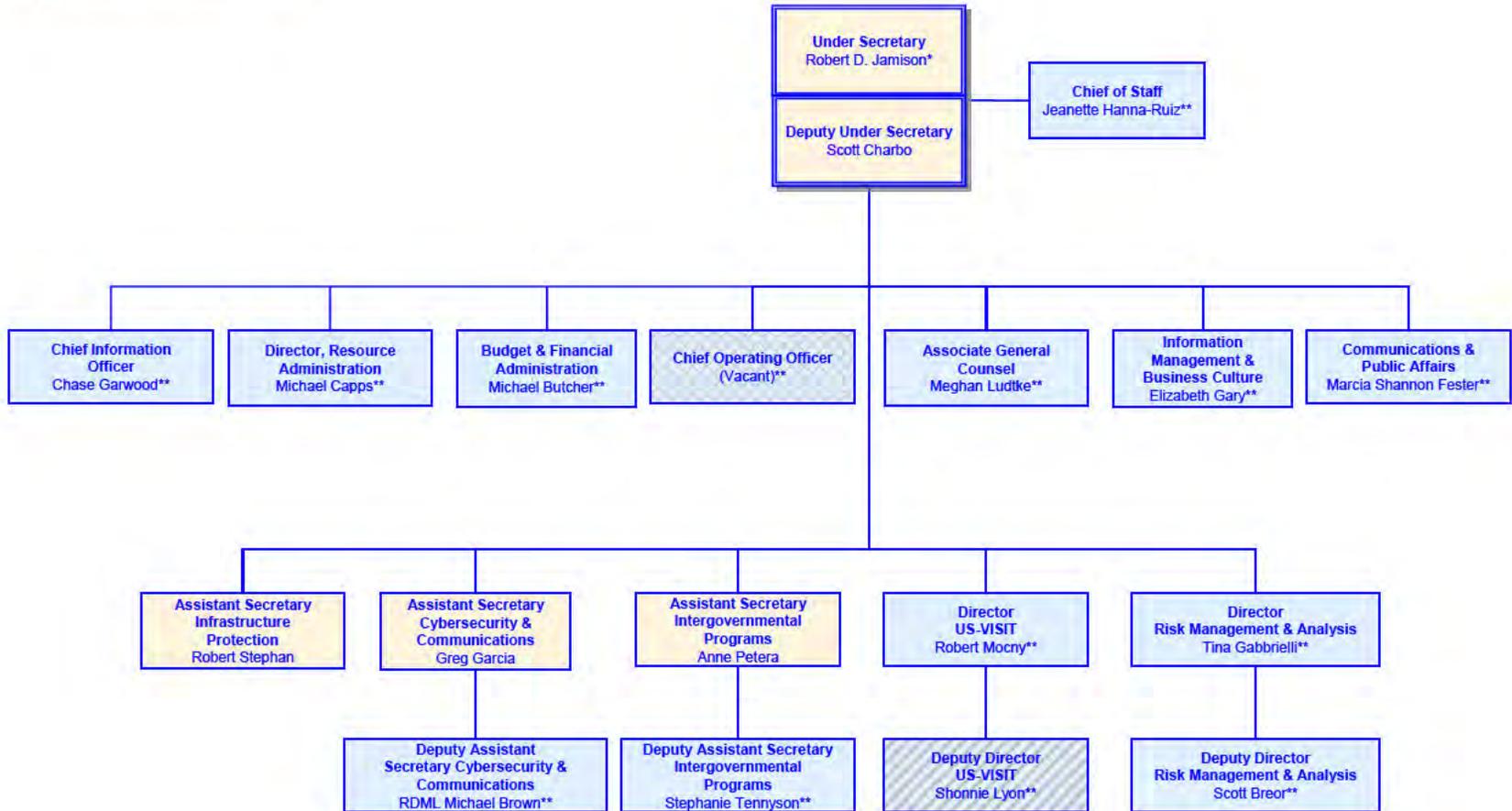
Before joining the Department of Homeland Security, Jamison served for over three years as the Deputy Administrator of the Federal Transit Administration at the U.S. Department of Transportation. There, he was responsible for the operations and oversight of the \$8 billion Federal transit capital assistance programs, in addition to spearheading the agency's transit security program and its \$4.5 billion Lower Manhattan transportation recovery operation, established in the wake of the terrorist attacks of September 11.

In January of 2005, Jamison was designated by President Bush to serve as the Acting Administrator of the Federal Railroad Administration, where he managed the agency's response to several high profile rail accidents and directed the development and implementation of a data-driven rail safety action plan designed to significantly improve the safety of the Nation's rail system.

Prior to his service in the Federal Government, Jamison was the Senior Operations Officer for the American Red Cross, the largest humanitarian aid organization in the country. He also spent 12 years in management, both domestically and abroad, with United Parcel Service.

Jamison is a 1987 magna cum laude graduate of the University of Memphis, with a B.S. degree in electrical engineering. In 2003, he was awarded the Secretary of Transportation's 9/11 Medal, and in 2004, he received the U.S. Department of Transportation's War on Terrorism Ribbon.

Organizational Chart



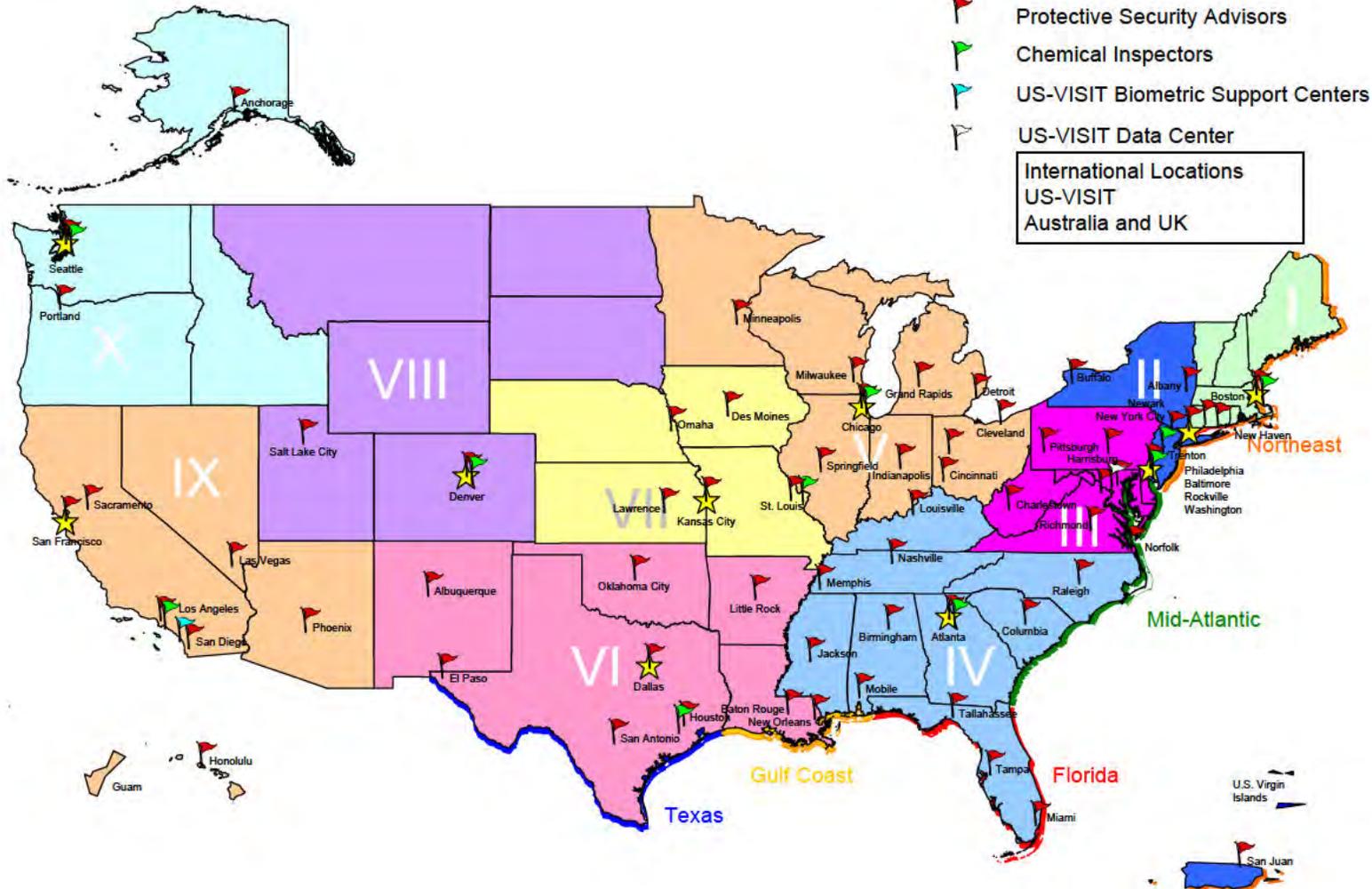
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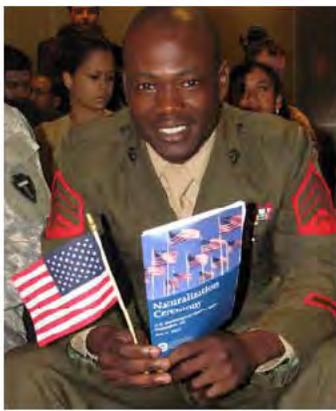
Non-career	Vacant
Career	Acting

* Senate Confirmed

** Senior Career Official

Regional Map





Policy



Homeland
Security

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Office of Policy

The Office of Policy (PLCY) is a 250-person office with a \$43 million FY09 budget that:

1. Aligns Department of Homeland Security (DHS) policy with the Secretary's strategic objectives and ensures a unified Department position on important policy matters;
2. Monitors the budget, acquisition, and interagency processes to ensure that the Secretary's policy decisions and strategies are fully implemented in practice;
3. Ensures unity in the Department's dealings with other countries and international organizations, and defines and puts into practice an agenda for engagement with other countries; and
4. Ensures that private sector, law enforcement, and advisory groups understand and, where possible, support Department initiatives, and anticipates and addresses concerns of these groups as early as possible in the Departmental decision making process.

PLCY achieves its mission through eight divisions oriented around the office's four-part mission: Policy Development (for near-term policy coordination), Strategic Planning (for longer-term planning and budgeting), Screening Coordination (focused on coordinating and harmonizing the Department's many screening and vetting programs), and Immigration Statistics; International Affairs; and Private Sector, State and Local Law Enforcement, and the Homeland Security Advisory Council.

PLCY serves as a central point of contact for interagency coordination of new policies and for working with the National and Homeland Security Councils to streamline policy management for DHS.

Mission

Strengthen homeland security by developing and coordinating Department-wide policies, planning, and programs in order to better coordinate and integrate the Department's prevention, protection, response, and recovery missions.

Major Policy/Program Initiatives

- **Screening Coordination.** DHS's screening and credentialing activities enhance our mission of keeping dangerous people and things out of the United States and securing critical infrastructure.
- **Strategic Planning.** Strategic planning articulates the long-term vision of the Department and translates the Secretary's strategic priorities into capstone planning products that drive component planning priorities, investment strategies, resource allocation decisions, and the functional integration of Department activities.
- **Committee on Foreign Investment in the United States.** The Office of Policy represents the Department on this committee, which conducts reviews of foreign

acquisitions of U.S. companies for potential national security concerns and negotiates for measures to mitigate national security risks associated with these transactions.

Key Senior Executive Officials

- Alan Cohn, Deputy Assistant Secretary, Strategic Plans, **b(2), b(6)**
[REDACTED]
- Stephen Heifetz, Deputy Assistant Secretary, Policy Development,
b(2), b(6)
[REDACTED]
- Mark Koumans, Deputy Assistant Secretary, International Affairs,
b(2), b(6)
[REDACTED]
- Patty Cogswell, Senior Director, Screening Coordination, **b(2), b(6)**
[REDACTED]

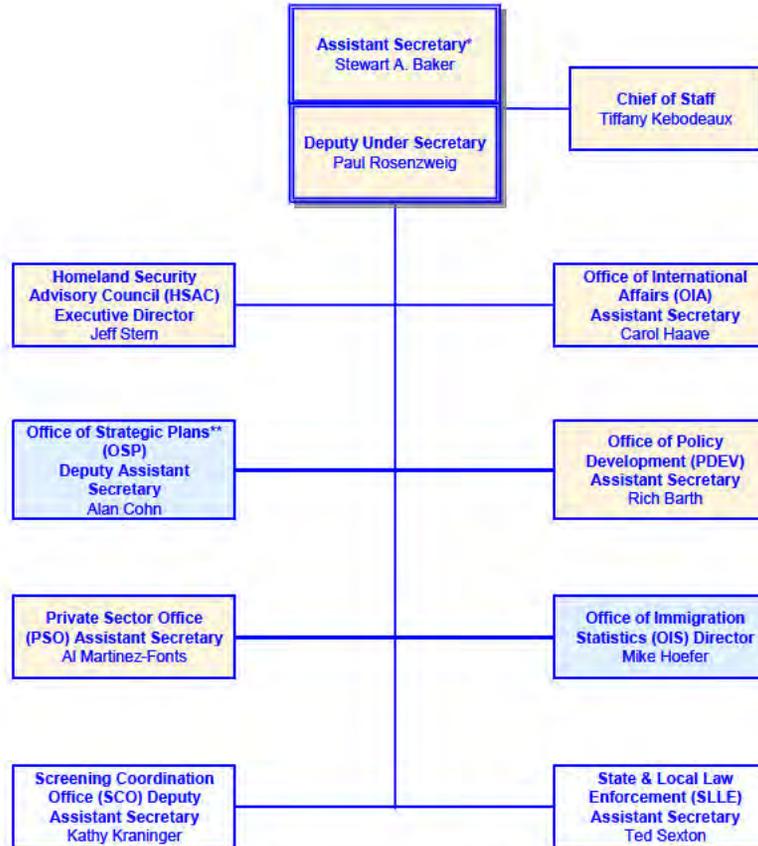
Stewart A. Baker

Assistant Secretary for the Office of Policy

Stewart A. Baker is the Assistant Secretary for the Office of Policy in the Department of Homeland Security. He served as General Counsel of the Commission on the Intelligence Capabilities of the United States Regarding Weapons of Mass Destruction (2004-2005), where he headed the drafting team for the Commission's report. He also served as General Counsel of the National Security Agency (1992-1994) and Deputy General Counsel of the Department of Education (1979-1981). When not in government service, he practiced law at the Washington, D.C. firm of Steptoe & Johnson, LLP. Earlier, Mr. Baker served as a law clerk to John Paul Stevens, US Supreme Court (1977-78), Frank M. Coffin, U.S. Court of Appeals, First Circuit (1976-77), and (as an intern law clerk) Shirley M. Hufstedler, U.S. Court of Appeals, Ninth Circuit (1975).

Mr. Baker has been named to numerous U.S. government, private, and international bodies dealing with national security, technology, and related topics, including: President's Export Council Subcommittee on Export Administration (2003-present); Commerce Department's Industry Trade Advisory Committee on Information and Communications Technologies, Services, and Electronic Commerce (2003-present); Markle Foundation Task Force on National Security in the Information Age (2002-2004); Defense Science Board's Task Force on Information Warfare (1995-1996; and 1999-2001); Federal Trade Commission's Advisory Committee on Online Access and Security (2000); President's Export Council Subcommittee on Encryption (1998-2001); Free Trade of the Americas Experts Committee on Electronic Commerce (1998-2003); UNCITRAL Group of Experts on Digital Signatures (1997-2001); OECD Group of Experts on Cryptography Policy (1995-1997); International Telecommunication Union Experts Group on Authentication (1999); American Bar Association Standing Committee on Law and National Security (1998-2005); International Chamber of Commerce Working Party on Digital Authentication (1996-1998); International Chamber of Commerce Group of Experts on Electronic Commerce (1996-2005). Mr. Baker was awarded the Defense Medal for Meritorious Civilian Service in 1994.

Organizational Chart

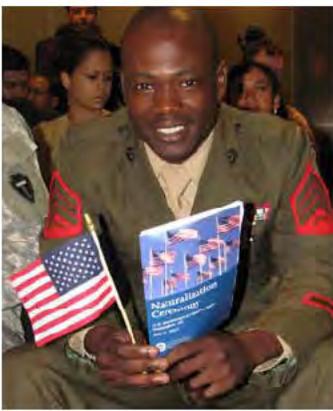


Key:

Non-career	Term
Career	

* Administration has requested authorization to title the head of this office as "Under Secretary for Policy"

** Senior Career Transition Official



General Counsel



U.S. DEPARTMENT OF
**Homeland
Security**

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Office of the General Counsel

The DHS Office of the General Counsel (OGC) integrates approximately 1,700 lawyers from throughout the Department into a full-service legal team. The Office of the General Counsel comprises a Headquarters office with subsidiary divisions and the legal programs of the departmental Components.

An associate general counsel leads each Headquarters division. A chief counsel or equivalent leads each Component's legal program, including that of the Transportation Security Administration, U.S. Citizenship and Immigration Services, U.S. Coast Guard, U.S. Immigration and Customs Enforcement, the Secret Service, the Federal Emergency Management Agency, and the Federal Law Enforcement Training Center.

Mission

The General Counsel serves as the chief legal officer for DHS, providing legal advice to the Secretary and the Department's leadership. The General Counsel is also responsible for ensuring that departmental activities fully comply with all legal requirements, as well as establishing that the Department's efforts to secure the Nation are consistent with the civil rights and liberties of our citizens and observe the rule of law.

Major Policy/Program Initiatives

Headquarters Legal Offices

- The Immigration Law Division provides legal advice on immigration issues.
- The Regulatory Affairs Division advises on legal and economic matters associated with rulemakings.
- The Operations and Enforcement Law Division advises on legal issues associated with law enforcement and the operational mission to provide unity of effort on operational issues throughout DHS.
- The Legal Counsel Division advises on legal issues associated with litigation, legislation, and privacy and civil rights.
- The General Law Division advises on legal issues associated with the management and operation of the Department.
- The Technology Programs Division advises on legal issues associated with intellectual property, health affairs, the Domestic Nuclear Detection Office, and Science and Technology.
- The National Protection and Programs Law Division (NPPD) advises on legal issues related cyber security, infrastructure protection, chemical security, and US-VISIT.
- The Intelligence Law Division advises on the legal issues associated with intelligence activities and information sharing.

- The Department's Ethics Staff coordinates and manages the DHS ethics program. The Designated Agency Ethics Official is appointed by the Secretary and supported by OGC.

Component Legal Offices

Each operating component has a subordinate legal office that provides legal advice and services under the direction of the General Counsel and his immediate staff.

Key Senior Executive Official

- Joseph B. Maher, OGC Deputy General Counsel, b(2), b(6)

Gus P. Coldebella

Acting General Counsel

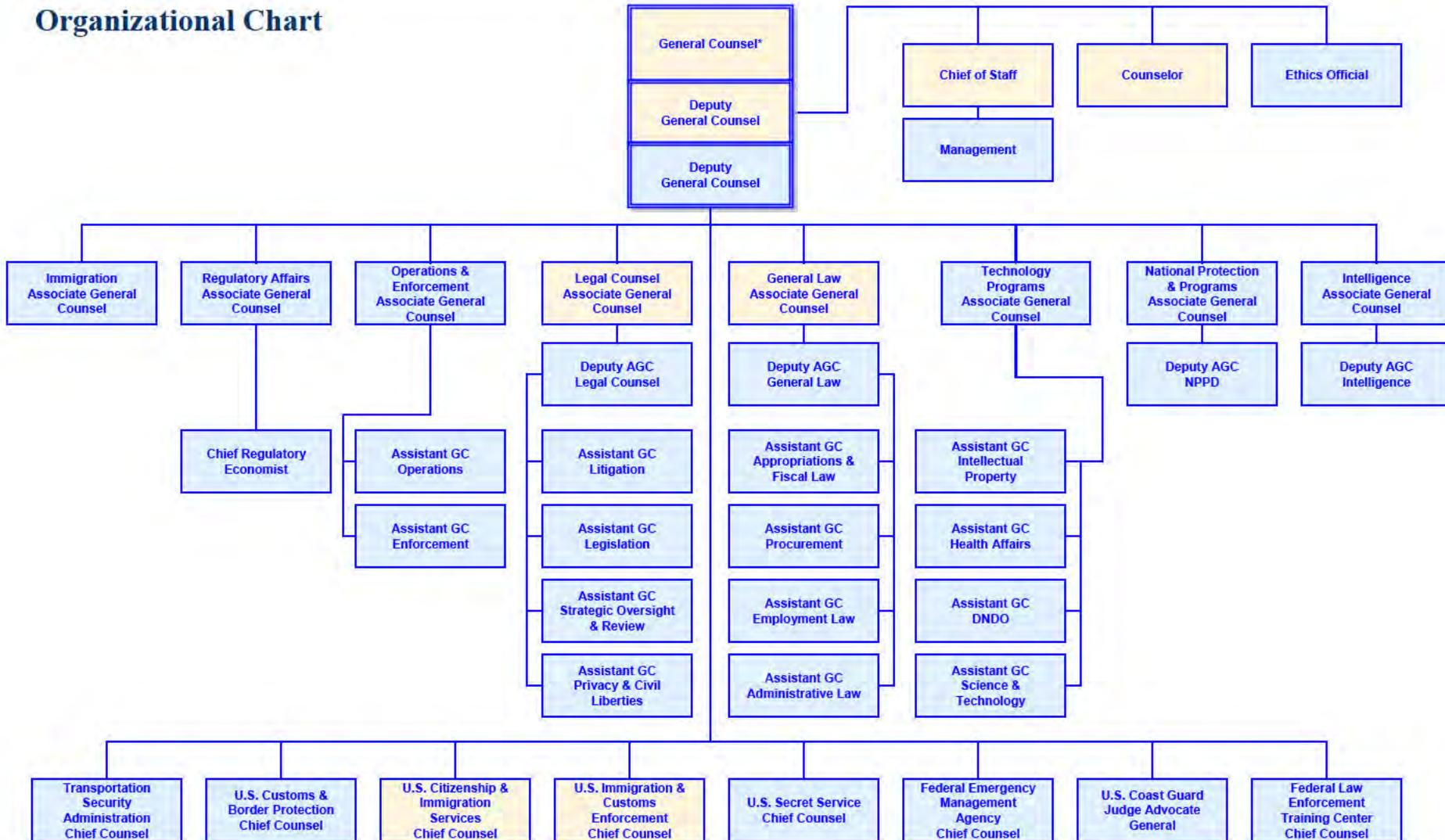
On October 16, 2007, the President nominated Gus P. Coldebella to serve as the Department of Homeland Security's third general counsel, a position he has filled in an acting capacity since February 7, 2007. Mr. Coldebella joined the Department of Homeland Security as deputy general counsel on October 3, 2005.

Mr. Coldebella manages over 1,750 lawyers in the Department of Homeland Security, advises Secretary Chertoff and other senior leadership on legal issues arising throughout the Department, oversees the Department's regulatory program, and coordinates with legal and policy officials around the executive branch, the White House, Congress, and state and local governments on homeland security-related issues.

He joined the Department after 11 years in private practice. Until September 2005, Mr. Coldebella was a partner at Goodwin Procter LLP in Boston, where he practiced in the firm's litigation department and specialized in trial and appellate work, complex business and transactional cases, securities class action defense, SEC investigations and enforcement actions. Mr. Coldebella also prosecuted criminal defendants as a special assistant district attorney in Cambridge, Massachusetts.

He is a graduate of Colgate University, where he currently serves as vice president of its Alumni Council, and received his J.D. magna cum laude from Cornell Law School.

Organizational Chart

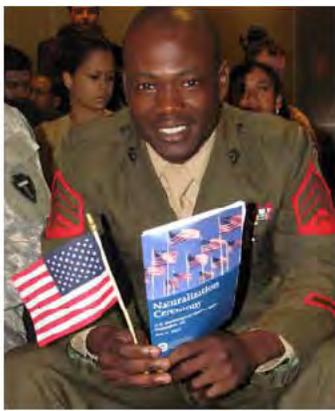


Key:

Non-career
Career

* Senate Confirmed

November 7, 2008



Legislative Affairs



Homeland
Security

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Legislative Affairs

The Office of Legislative Affairs (OLA) serves as the Department's liaison to the Members, staff, and committees of the United States Congress.

The office is led by an Assistant Secretary and three Deputy Assistant Secretaries (House, Senate, and Operations). Reporting to these positions are seven directors who oversee issue areas and coordinate the activities of component leadership and agency legislative affairs personnel.

OLA serves as the intermediary between senior Department of Homeland Security (DHS) leadership and Capitol Hill, advocating and promoting the President's homeland security policies and programs by developing and carrying out the Department's legislative agenda and responding to congressional inquiries. OLA establishes the Secretary's congressional engagement strategy, coordinates DHS participation in formal hearings and briefings, and oversees Member and staff trips to Department facilities around the world. OLA supports the Chief Financial Officer in securing annual and supplemental appropriations.

All DHS congressional affairs activity is overseen by or coordinated through OLA, which has a dedicated staff of 36 employees and \$4.9 million in budget authority for FY 2008.

Mission

To maximize the Department's service to the public by establishing an enduring, trusted partnership with the Congress of the United States, OLA is:

- diligently providing Members and staff the timely, accurate, and detailed information needed to fulfill their constitutional duties;
- clearly articulating the Department's views in support of needed authorities and appropriations; and
- working constructively with the Congress to ensure careful stewardship of the Department's resources.

Major Policy/Program Initiatives

- Coordinate Senate confirmation of incoming political nominees.
- Establish trusted and collaborative relations with key Members, committees, and staff.
- Secure needed authorities for DHS programs and annual and supplemental appropriations (in support of the Chief Financial Officer).

Key Senior Executive Officials

- Jim Howe, Deputy Assistant Secretary for Operations, **b(2), b(6)**
- Michael Schoonover, Director of Legislative Affairs, **b(2), b(6)**

Lee C. Morris

Assistant Secretary for Legislative Affairs

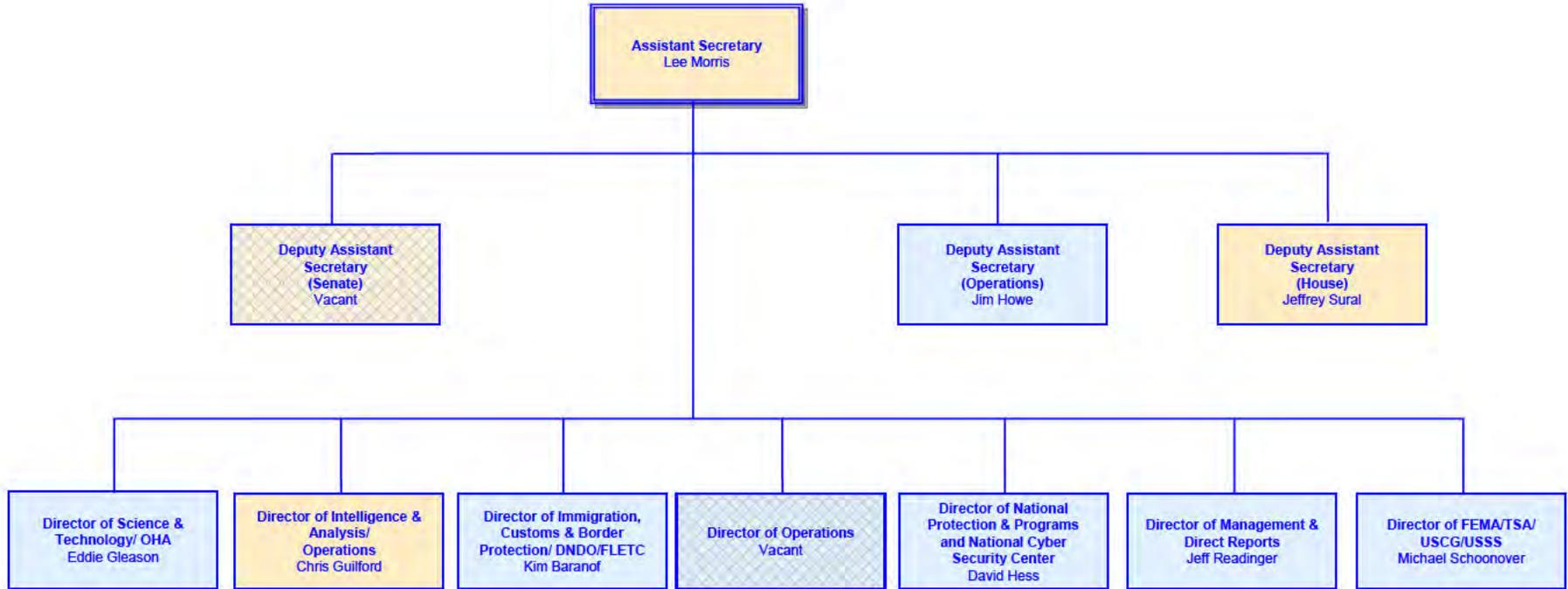
Lee C. Morris was appointed as Assistant Secretary for Legislative Affairs at the U.S. Department of Homeland Security on September 15, 2008. Mr. Morris first joined the Department in March, 2007, in the Office of Legislative Affairs as the Deputy Assistant Secretary where he represented DHS's interests before members of the U.S. Senate, including the successful confirmation of several Presidential appointees.

Mr. Morris began his career in the United States Army as a Specialist (E-4), providing infantry security in Europe for Pershing II missiles and nuclear warheads. He was recalled to active duty during the Persian Gulf War.

From 1993-2005, Mr. Morris served in a variety of positions on Capitol Hill for former Senator Don Nickles (R-OK), rising to the position of Legislative Director, where he oversaw the Senator's legislative agenda and managed legislative staff. From 2005-2007, Mr. Morris served as a Federal Liaison for the Institute for Legislative Action at the National Rifle Association.

A native of Oklahoma, Mr. Morris graduated from American University in 1993 with a Bachelor of Arts in Literature.

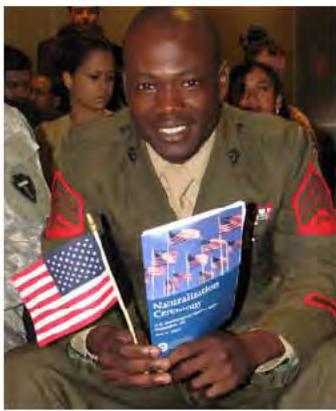
Organizational Chart



Key:

Non-career	Vacant
Career	

No Senate-confirmed politicals



Public Affairs



U.S. DEPARTMENT OF
**Homeland
Security**

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Office of Public Affairs

The Office of Public Affairs (OPA) is responsible for overall public affairs management in support of the Secretary and Department of Homeland Security (DHS). OPA has a budget of approximately \$5,991,000 million in budget authority and is authorized 43 full-time employees.

The Office of Public Affairs is responsible for managing external and internal communications. On a daily basis, Public Affairs responds to national media inquiries, maintains and updates the Department's Web site, writes speeches for principals, and coordinates speaking events for Department officials. The Office of Public Affairs also develops and manages various public education programs, including the Ready campaign to increase citizen preparedness. OPA fosters strategic communications throughout the Department and with external stakeholders. OPA manages the Department's organizational identity program, which includes usage of the DHS seal and related guidelines. Public Affairs oversees the Department's employee communication activities, which includes an all-employees newsletter, town-hall meetings between management and employees, and an Intranet site. Our incident communications program guides overall Federal incident communication activity and coordinates with State, local, and international partners to ensure accurate and timely information to the public during a crisis. The office provides oversight, coordination and guidance to all DHS Component public affairs offices.

Mission

Communicating Department goals, actions, and progress to the American public, the international community, and our employees.

Major Policy/Program Initiatives

- **Incident Communications** – brings unity of effort to crisis communications between the Federal interagency and its many partners at the State, local, tribal, nongovernmental, and private-sector levels.
- **Strategic Communications** – provide overall management for implementation of communication plans relating to DHS programs and policies, rules/regulations, and complex domestic and international issues requiring extension outreach and public education.
- **“New Media” / Web Communications** – advances and promotes strategic opportunities to address Department mission needs using Internet and Web communications.

Key Senior Executive Officials

- Jeff Karonis, OPA Director of Incident Communications, b(2), b(6)
- Tammy L. Howard, OPA Transition Officer, b(2), b(6)

J. Edward Fox

Assistant Secretary for Public Affairs

J. Edward Fox was sworn in on April 17, 2007, as Assistant Secretary for Public Affairs of the Department of Homeland Security. In this capacity he is the principal staff advisor and assistant to the Secretary and Deputy Secretary of Homeland Security for public affairs, internal communications, and all aspects of media relations and communications issues. The office also coordinates the public affairs units of all DHS component organizations. Prior to joining DHS, he served as the Assistant Administrator for Legislative and Public Affairs of the United States Agency for International Development (USAID) since 2001.

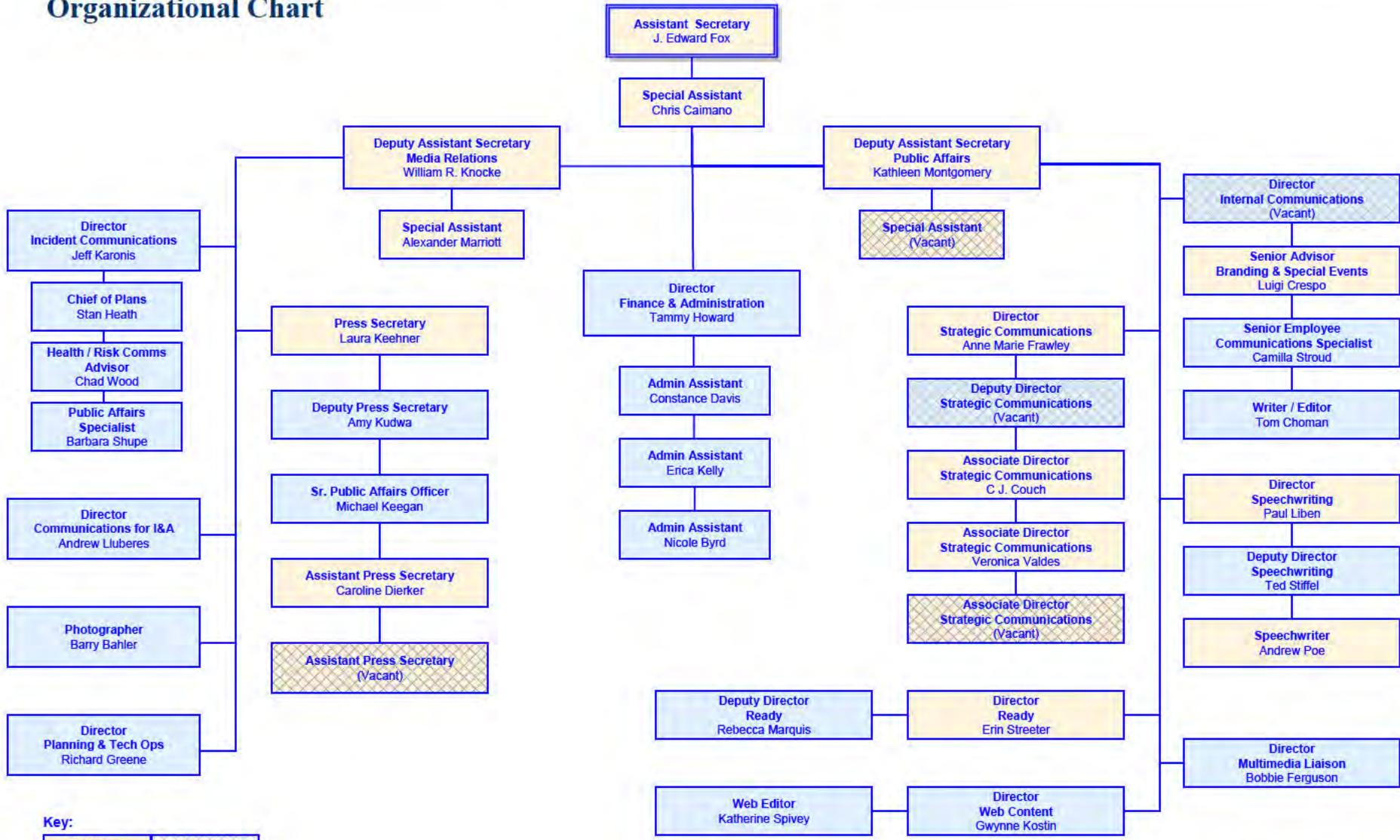
His background includes more than 20 years of senior federal service in both the executive and legislative branches of government. He also brings to this job extensive private sector experience in the areas of public affairs, legislative affairs, and national security affairs.

His previous government service includes as the Assistant Secretary of State for Legislative and Intergovernmental Affairs (1986-1989) and Special Assistant to the President for Legislative Affairs (1985-1986). Fox began his government career on Capitol Hill, where he worked on the personal staff of two Members of Congress and later served on the professional staff of the Committee on Foreign Affairs in the House of Representatives.

In the private sector, he founded and was president of Fox & Associates, a government and public affairs consulting firm. He has also served as vice president for international affairs of The Carmen Group, a government relations, public affairs and business development firm. He also served for more than a decade as the managing director of the Governmental and International Affairs Group of the national law firm Mintz, Levin, Cohn, Ferris, Glovsky and Popeo, P.C.

Fox has a bachelor's degree in political science from the Ohio State University and a master's in legislative affairs from the George Washington University.

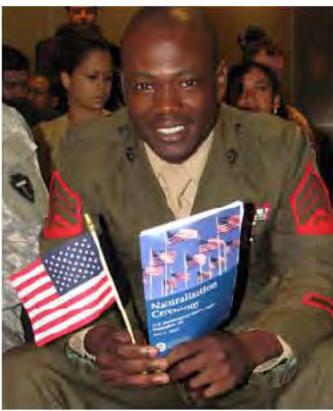
Organizational Chart



Key:

Political	Vacant
Career	Acting

As of 10/20/2008



Inspector General



U.S. DEPARTMENT OF
**Homeland
Security**

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Office of Inspector General

The Office of Inspector General (OIG) is an independent and objective audit, inspection, and investigative body with 602 authorized positions and approximately \$122 million in budget authority. We have law enforcement authority and a presence in key cities across the Nation.

OIG was established in January 2003 by the *Homeland Security Act of 2002*, by amendment to the *Inspector General Act of 1978*, and are led by the Inspector General (IG). The IG is appointed by the President and confirmed by the Senate, and reports directly to both the Secretary of the Department of Homeland Security (DHS) and the Congress. We may generally audit, inspect, or investigate anyone in the department, or any program or operation of the department. The Secretary may prohibit the OIG from carrying out or completing an audit under certain limited circumstances set forth in section 8I of the Inspector General Act. To ensure our independence and objectivity, we have our own budget, contracting, and personnel authority, separate from that of the department.

OIG primarily fulfills its mission by issuing audit, inspection, and investigative reports that include recommendations for corrective action, and by referring cases to the Attorney General for prosecution. We also prepare a Semiannual Report to the Congress, which highlights our significant projects and findings, and review pending legislation and regulations that may impact DHS. Annually, we publish a risk based work plan that outlines the projects we intend to undertake each fiscal year to evaluate DHS' programs and operations, and to aid the Department in achieving its strategic goals. Many of the projects listed in our work plans are mandated by law, or requested by Congress or DHS senior leadership. While mandatory work and DHS requests generally become our priority, these projects significantly reduce our resources available to conduct other much needed work identified through our internal risk assessment process.

OIG aspires to be agents of positive change who aid DHS in continuously improving its management and program operations. As such, we will continue to focus on DHS's major management challenges and strategic goals, presidential initiatives, and areas of congressional interest. OIG will also attempt to answer questions posed in the DHS Strategic Plan, such as "How well is DHS leading a coordinated national effort to reduce the Nation's vulnerabilities to terrorism and natural disasters?"

Mission

Serve as an independent and objective audit, inspection, and investigative body to promote economy, efficiency, and effectiveness within DHS; prevent and detect fraud, waste, and abuse; and inform the Secretary, the Congress, and the public of our findings and recommendations.

Major Program/Policy Initiatives

- **Secure Adequate Funding for Investigations** to ensure that allegations of corruption within DHS programs, operations, and activities, including smuggling of weapons, narcotics, and people are investigated.
- **Secure Adequate Funding for Emergency Management Audits** to ensure that billions in grant funds are audited on a regular basis and that DHS is prepared for the next disaster.
- **Secure Adequate Funding for Audits of Non-emergency Grants and Contracts** to ensure that 1) DHS effectively manages and monitors grant and contractor performance, 2) grantees and contractors spend funds as intended, and 3) DHS follows established contracting rules.

Key Senior Executive Officials

- Richard L. Skinner, OIG Inspector General, **b(2), b(6)**
- Edward F. Cincinatti, OIG Assistant Inspector General for Administration, Senior Transition Officer, **b(2), b(6)**

Richard L. Skinner

Inspector General

Mr. Skinner was confirmed as the Department of Homeland Security Inspector General on July 28, 2005. Between December 9, 2004 and July 27, 2005, he served as Acting Inspector General. He held the position of Deputy Inspector General Department of Homeland Security (DHS) since March 1, 2003, the date that the Office of Inspector General was established.

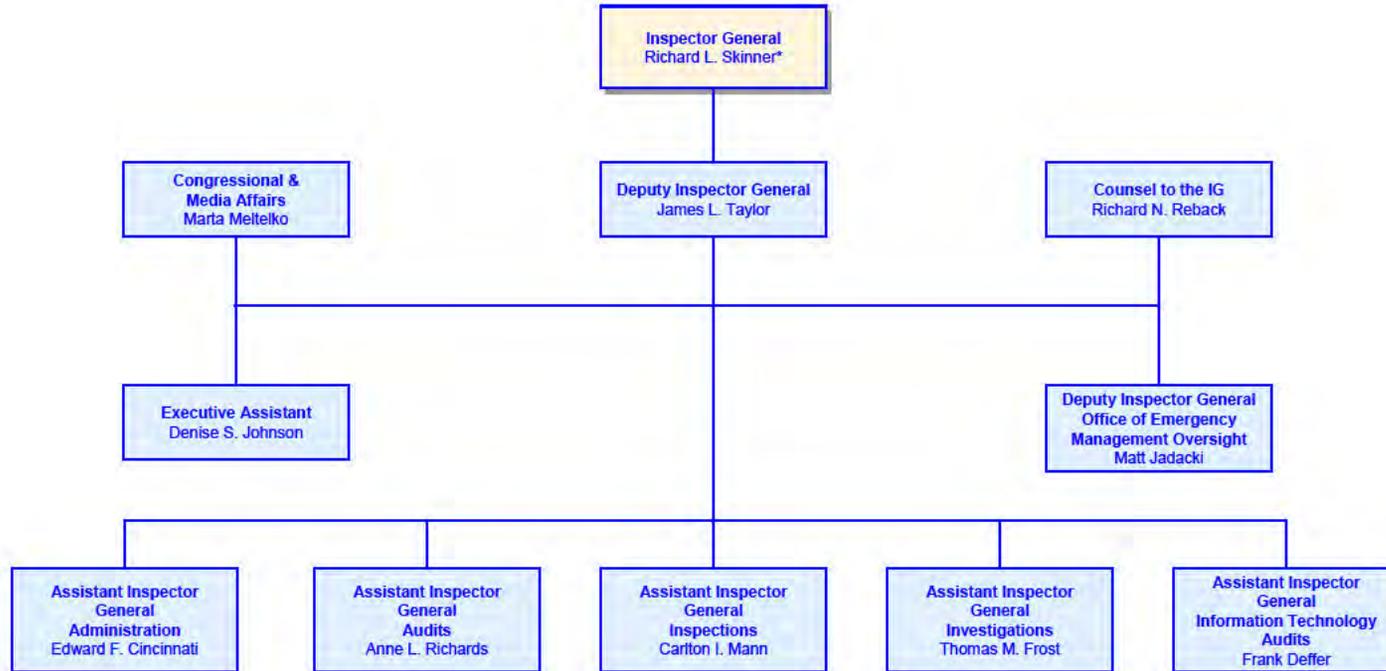
Prior to his arrival at DHS, Mr. Skinner was with the Federal Emergency Management Agency (FEMA), where he served as the Acting Inspector General (October 2002 – February 2003) and Deputy Inspector General (1996 – 2002). From 1991 to 1996, Mr. Skinner served at FEMA OIG as the Assistant Inspector General for Audits. In 1998, he received the President Meritorious Executive Rank Award for sustained superior accomplishment in management of programs of the United States Government and for noteworthy achievement of quality and efficiency in the public service.

From 1988 to 1991, Mr. Skinner worked at the U.S. Department of State (DOS) OIG. During his tenure at DOS OIG, Mr. Skinner served as a senior inspector on more than a dozen foreign and domestic inspections, and in 1991, Mr. Skinner was appointed by the Inspector General to serve as the “de facto” Inspector General for the Arms Controls and Disarmament Agency.

From 1972 to 1988, Mr. Skinner held a variety of audit management positions with the U.S. Department of Justice and the U.S. Department of Commerce. He began his Federal career in 1969 with the OIG of the U.S. Department of Agriculture.

Mr. Skinner holds a B.S. degree in Business Administration from Fairmont State College and an MPA degree from George Washington University.

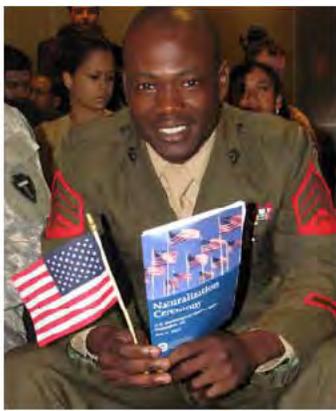
Organizational Chart



Key:

Non-career
Career

* Senate Confirmed



Health Affairs



U.S. DEPARTMENT OF
**Homeland
Security**

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Office of Health Affairs

The Office of Health Affairs (OHA) exercises oversight over medical and public-health activities of the Department of Homeland Security (DHS). OHA has 76 Federal positions with approximately \$157 million in budgetary authority for FY 2009. In addition, \$5.6 billion was appropriated in FY 2004 (for FY 2004 to 2013) to DHS to procure medical countermeasures under Project BioShield (a joint program between DHS and the Department of Health and Human Services). Secretary Chertoff established the Chief Medical Officer (CMO) within the Preparedness Directorate in July 2005. The CMO was authorized in October 2006 as part of the Post-Katrina Emergency Management Reform Act. Due to changing domestic security needs, Secretary Chertoff announced a Departmental realignment in January 2007 and established OHA. The CMO gained the rank and title of Assistant Secretary for Health Affairs and reports to the Secretary through the Deputy Secretary.

OHA leads DHS's biodefense activities, including operating the biological monitoring and early detection systems and managing the National Biosurveillance Integration Center (NBIC); coordinates planning and mitigation strategies for biological threats to public health across the interagency; and leads efforts to direct and standardize the occupational health and safety program across DHS.

Mission

OHA serves as DHS's principal agent for all medical and health matters. Working throughout all levels of government and the private sector, OHA leads DHS's role in developing and supporting a scientifically rigorous, intelligence-based biodefense and health preparedness architecture to ensure the security of our Nation in the face of all-hazards.

Major Policy/Program Initiatives

- **BioWatch** is an automated early detection program designed to detect harmful biological agents released in public venues.
- **Food, Agriculture, and Veterinary Defense** efforts ensure readiness and response to all disasters related to food, animals, and agriculture.
- **NBIC** identifies, characterizes, localizes, and tracks biological agents by integrating and analyzing human health, animal, plant, food, and environmental data.
- **Medical Readiness** efforts develop and promote collaborative enterprises at the local, State, and regional levels to ensure community preparedness; serves as the primary source for operational situational awareness for OHA; leads the interagency alignment of health preparedness grants; and identifies and addresses health gaps in resources; and serves as the DHS point of contact for the external public health and medical communities.
- **Contingency Planning** efforts lead and direct the integration and synchronization of strategic planning and policy initiatives based on the National Planning Scenarios.

- **Occupational Health and Safety** efforts are ongoing to develop a DHS-wide occupational health and safety program to incorporate occupational medicine principles into the traditional occupational safety, health, and wellness program in DHS.

Key Senior Executive Officials

- Jon R. Krohmer, MD, Chief Medical Officer and Acting Assistant Secretary for Health Affairs, (b)(2), (b)(6)
- Bob Hooks, Deputy Assistant Secretary for Weapons of Mass Destruction and Biodefense and Senior Transition Officer, (b)(2), (b)(6)

Jon R. Krohmer, M.D., F.A.C.E.P.

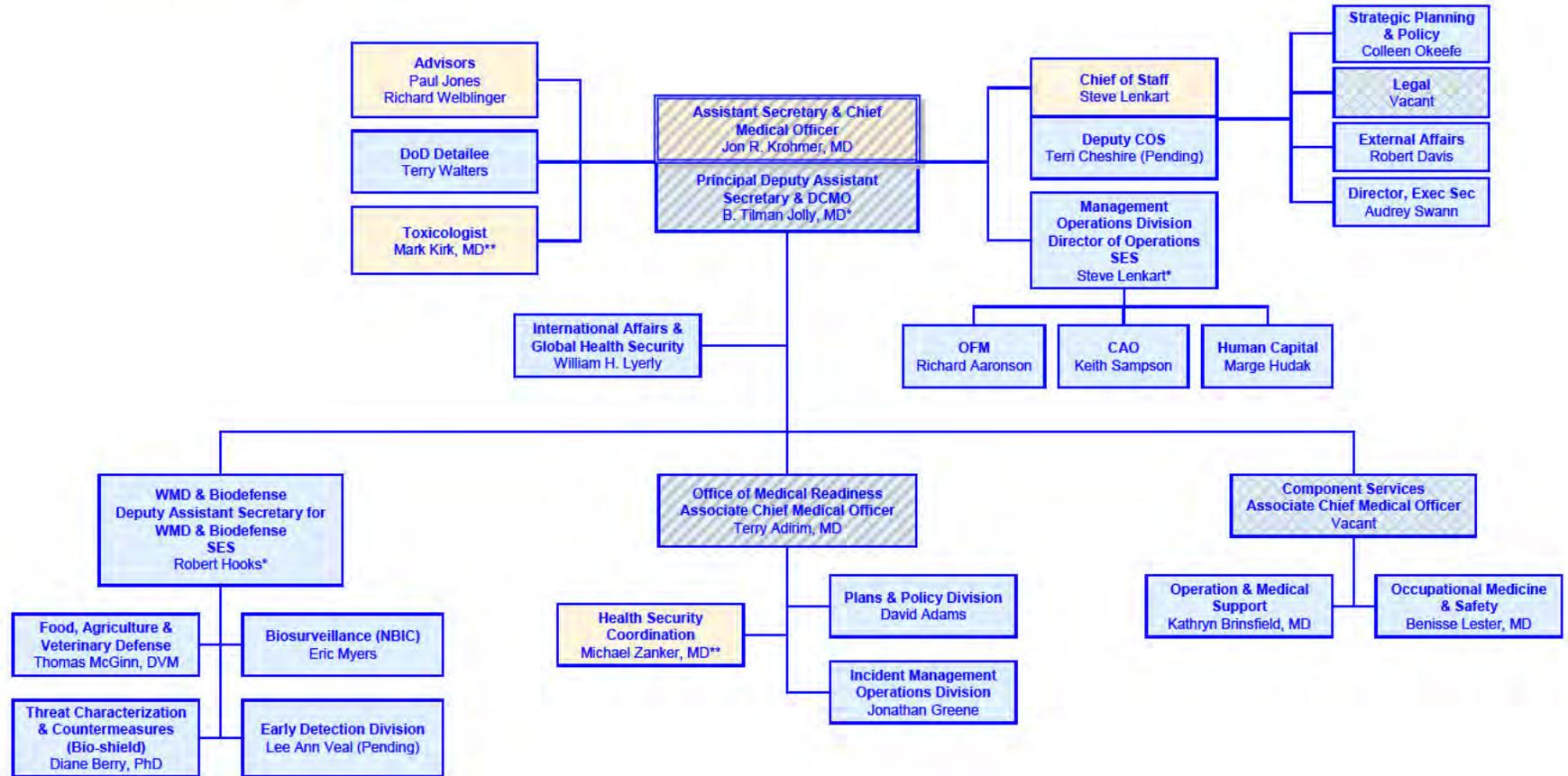
Acting Assistant Secretary for Health Affairs

Jon R. Krohmer, M.D., F.A.C.E.P., is the Acting Assistant Secretary for Health Affairs and Chief Medical Officer (CMO) of the Department of Homeland Security (DHS). He has been with DHS for two years and served as the first Deputy CMO prior to his current position.

Dr. Krohmer worked as an Attending Physician and Director of Emergency Medicine at the Spectrum Health Butterworth Campus in Grand Rapids, Michigan. He was also an Associate Professor of Emergency Medicine at Michigan State University and worked in a variety of emergency medical service functions, including as the Medical Director for the Kent County EMS, West Michigan Metropolitan Medical Response System, Kent County Medical Reserve Corps and the Michigan Region 6 Bioterrorism Preparedness Consortium.

Dr. Krohmer graduated from Ferris State College, School of Pharmacy, and the University of Michigan Medical School. He completed his residency and fellowship at Wright State University. He is a Fellow of the American College of Emergency Physicians and a Diplomat of the American Board of Emergency Medicine.

Organizational Chart

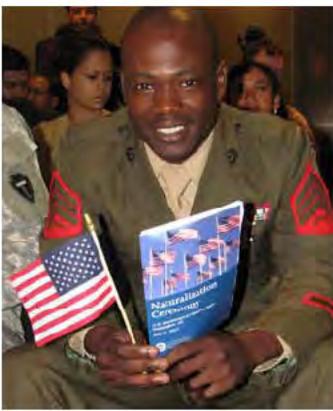


Key:

Non-career	Vacant
Career	Acting

- * Career SES
- ** Political Appointee

October 2008



Intelligence and Analysis



U.S. DEPARTMENT OF
**Homeland
Security**

For Official Use Only

Office of Intelligence and Analysis

The Office of Intelligence and Analysis (I&A) has a unique, critical function that supports and enhances the Department of Homeland Security's (DHS) mission. I&A is the only centralized departmental element dedicated to meeting the Secretary's needs for intelligence-driven operations by providing timely, accurate, and actionable intelligence and information.

Moreover, as DHS's lead representative to the Intelligence Community (IC), I&A ensures that departmental equities and requirements are fully considered by the IC. I&A serves a diverse homeland security customer base that includes DHS Components; State, local, tribal and private sector partners; and White House policymakers.

I&A is led by the Under Secretary for Intelligence and Analysis, a position established by the *Implementing Recommendations of the 9/11 Commission Act of 2007* (P.L. 110-53). I&A's overall priorities are to improve the quality of departmental intelligence analysis; strengthen support to Federal, State, local, tribal and private sector partners; integrate the DHS Intelligence Enterprise; ensure DHS maintains its full place in the Intelligence Community; and solidify relationships with Congress. These priorities represent core tenets of current intelligence reform efforts.

I&A's analytic priorities expand beyond the typical IC boundaries of terrorist threats and networks to cover the broader all-threats perspective that exemplifies the homeland security domain. These other priorities include border and critical infrastructure security; spread of pandemic diseases; chemical, biological, radiological, nuclear, and explosives proliferation; and growth and spread of extremist ideologies.

Mission

The mission of I&A is to provide homeland security-related information and national intelligence and information to the Secretary; White House policymakers and other Federal officials; and State, local, tribal, and private sector partners.

Major Policy/Program Initiatives

- **The State and Local Fusion Center Program** connects the DHS intelligence program with State, local, tribal, and private sector homeland security partners.
- **The Homeland Infrastructure Threat and Risk Analysis Center** identifies infrastructure risks for risk-based prioritization and decision making.
- **The Counterintelligence Program** protects DHS's personnel, information, operations, programs, activities and technologies from penetration and exploitation.
- **The Integrated Border Intelligence Program** provides national intelligence to DHS border security and interior enforcement operations along the Southwest border.
- **The National Immigration Information Sharing Operation** provides the Intelligence Community with shared access to immigration records to assist in information sharing.

- **The National Applications Office** facilitates civil, homeland security, and law enforcement access to specific Intelligence Community capabilities.

Key Senior Executive Officials

- Charles E. Allen, Under Secretary for Intelligence and Analysis, b(2), b(6)
[REDACTED]
- Dr. Mary V. Connell, Deputy Under Secretary for Intelligence, b(2), b(6)
[REDACTED]
- James Chaparro, Deputy Under Secretary for Mission Integration, b(2), b(6)
[REDACTED]
- Chet Lunner, Acting Deputy Under Secretary for Operations, b(2), b(6)
[REDACTED]
- James Beagles, Chief of Staff, b(2), b(6)
[REDACTED]

Charles (Charlie) E. Allen

Assistant Secretary and Chief Intelligence Officer

Mr. Charles Allen is the Assistant Secretary for Intelligence and Analysis, and the Department of Homeland Security's Chief Intelligence Officer, reporting directly to Secretary Chertoff. In this role, he is responsible for integrating and managing DHS Intelligence Programs, and coordinating with the Intelligence Community and providing guidance on Homeland Security specific issues.

Prior to joining the Department of Homeland Security, Mr. Allen served as the Assistant Director of Central Intelligence for Collection since June 1998. In this capacity, he was responsible for Intelligence Community collection and requirements management and reported to the Deputy Director of Central Intelligence (DDCI) for Community Management. Mr. Allen also chaired the National Intelligence Collection Board, which ensured that collection was integrated and coordinated across the Intelligence Community.

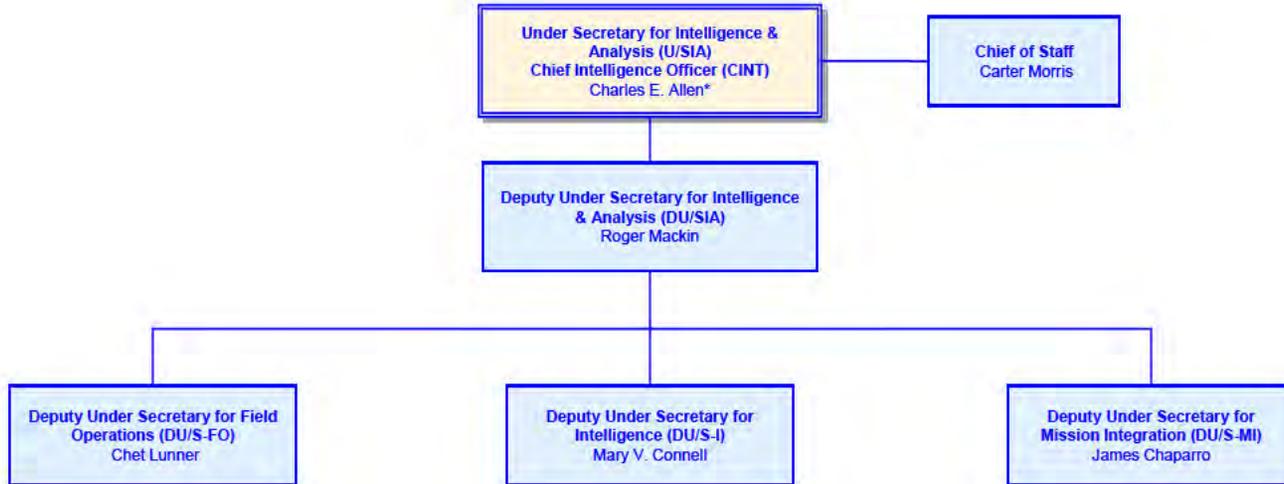
A native of North Carolina, Mr. Allen served in the CIA since 1958, holding a variety of positions of increasing responsibility both in analytic and managerial capacities. From 1974-1977, he served overseas in an intelligence liaison capacity and from 1977-1980 held management positions in the Directorate of Intelligence. From 1980 to November 1982, he served as a program manager of a major classified project, reporting to DDCI's Carlucci, Inman, and McMahon, respectively.

In December 1982, Mr. Allen was detailed to the Office of the Secretary of Defense, Department of Defense, where he held a senior position in strategic mobilization planning. In 1985, Director Casey asked Mr. Allen to return to CIA in the capacity of a National Intelligence Officer (NIO) for Counterterrorism. In February 1986, he also was appointed Chief of Intelligence in CIA's newly established Counterterrorist Center. As NIO for Counterterrorism, he represented the DCI in a number of interagency committees, including the chairing of the Interagency Intelligence committee on Terrorism, and serving as a member of the Interdepartmental Group on Terrorism (IG/T) and the National Security Council's Terrorist Incident Working Group. Following this assignment, Mr. Allen served as the NIO for Warning from 1988 to 1994. In this capacity, he was the principal adviser to the DCI on national-level warning intelligence and chaired the Intelligence Community's Warning Committee.

Mr. Allen was awarded the National Intelligence Medal for Achievement in 1983 by DCI Casey and the President's Award for Distinguished Federal Civilian Service in 1986 by President Reagan. In 1991, he was presented the CIA Commendation Medal for provision of warning intelligence in DESERT SHIELD/DESERT STORM. In October 2005, CIA Director Goss awarded Mr. Allen the Distinguished Intelligence Medal, the CIA's highest and most coveted award. In addition, the Office of the Director of National Intelligence Negroponte awarded Mr. Allen the National Intelligence Distinguished Service Medal in October 2005.

Mr. Allen completed a Bachelor's degree as well as graduate studies from the University of North Carolina. He is a Distinguished Graduate of the U.S. Air Force Air War College.

Organizational Chart

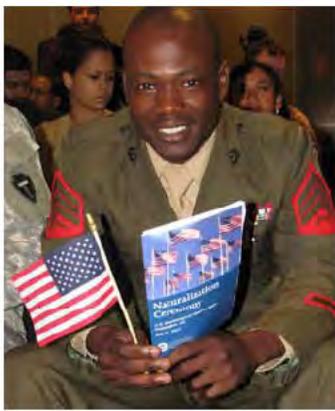


Key:

Non-career
Career

* Senate Confirmed

UNCLASSIFIED



Operations Coordination



Homeland
Security

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Office of Operations Coordination and Planning

Mission

The mission of the Office of Operations Coordination and Planning (OPS) is to integrate departmental and strategic-level interagency planning and coordinate operations in order to prevent, protect, respond to, and recover from terrorist threats/attacks or threats from other man-made or natural disasters. OPS supports the Secretary in executing *Homeland Security Presidential Directive 5*, incident management authorities, and enables the Department to effectively conduct joint homeland security operations across organizational elements and mission areas.

Major Policy/Program Initiatives

- **DHS Crisis Action Process.** OPS facilitates the Secretary's ability to execute domestic incident management responsibilities through its oversight of the DHS Crisis Action Process. The DHS Crisis Action Process is designed to provide decision support and situational awareness for the Secretary and other Administration officials during an incident. The primary entities that perform functions central to the Crisis Action Process are the Senior Leadership Group, which includes the principals from each DHS component who report to the Secretary, and the Crisis Action Team (CAT). The Secretary's CAT is a scalable incident management entity formed during an event or identified threat to conduct Strategic-level operations coordination and planning.
- **Planning.** OPS conducts a wide range of operations and contingency planning at the strategic level, both for DHS operations and for interagency prevention, protection, response, and recovery activities. OPS maintains a highly trained cadre of senior interagency planners who are leveraged during crises. This team develops strategic level interagency plans that address 15 catastrophic contingencies known as the National Planning Scenarios. The primary value of this effort is to identify the key responsibilities within the Federal interagency in one comprehensive document. This planning process facilitates the Secretary's ability to fulfill domestic incident management coordination responsibilities by providing awareness of the individual capabilities that a specific agency plans to deliver.
- **Situational Awareness and Information Sharing.** OPS provides continuous situational awareness to the Secretary and other senior Federal officials primarily through the National Operations Center (NOC) and the Homeland Security Information Network, a secure, unclassified information sharing network. The NOC is a 24/7, multi-agency operations center located at DHS headquarters. Its mission is to be the primary national-level hub for domestic situational awareness, common operating picture, information fusion, information sharing, communications, and operations coordination pertaining to the prevention of terrorist attacks and domestic incident management. In collaboration with the Office of Intelligence and Analysis, it serves as the National Fusion Center, collecting and fusing all-source information to quickly determine if a threat or event contains a nexus to terrorism. The NOC disseminates homeland security information to

senior federal officials, intelligence and law enforcement agencies, and to State and local homeland security partners, as appropriate. OPS also has responsibility for supporting the Secretary's Principal Federal Officials for specific events or disasters.

Key Senior Executive Officials

- Roger T. Rufe, Jr., Director of Operations Coordination and Planning,
b(2), b(6) (NOTE: reachable 24/7 via the National Operations Center, 202.282.8101)
- Robert Cohen, Deputy Director for Operations Coordination and Planning,
b(2), b(6)

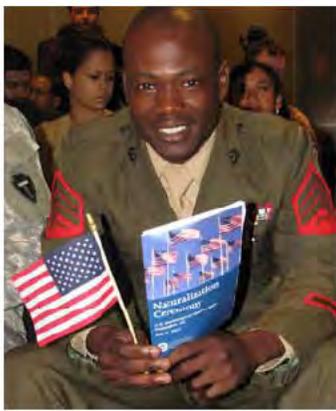
Vice Admiral (Ret.) Roger T. Rufe, Jr.

Director of Operations Directorate

Vice Admiral (Ret.) Roger T. Rufe, Jr. is the Director of the Department of Homeland Security's Operations Directorate. Admiral Rufe had a distinguished 34-year career with the United States Coast Guard. He most recently held the position of President and CEO of the Ocean Conservancy in Washington, D.C.

Admiral Rufe previously served in some of the most senior and demanding operational posts at the Coast Guard. He captained five ships and held the Pacific and Atlantic Area commands, as well as leading other key Coast Guard field offices. He also served as vice chairman of the National Response Team, chief of the Coast Guard Congressional Relations Office, representative to the North Pacific and Mid-Atlantic Fisheries Management Councils, and delegate to the Marine Environment Protection Committee of the International Maritime Organization.

Admiral Rufe is a graduate of the U.S. Coast Guard Academy. He holds a master's degree in public administration from New York University, and he has maintained leadership positions in several non-governmental associations, societies and commissions involved in oceanic policy.



Office of the Executive Secretariat



U.S. DEPARTMENT OF
**Homeland
Security**

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Office of the Executive Secretariat

The Executive Secretariat (ESEC) is comprised of a diverse staff of 87 career Federal employees, detailees, and contractors. In FY 2008, ESEC had \$4.7 million in direct budget authority. For FY 2009, this was increased to \$7.4 million to reflect the permanent transfer of the Secretary's Briefing Staff from the Office of Operations Coordination and Planning to ESEC. In addition, ESEC collaborates with the Office of the Chief Information Officer on the management of \$1.7 million associated with the detailed Executive Telecommunications Services staff.

Mission

ESEC provides all manner of direct support to the Secretary and Deputy Secretary. This support takes many forms, the most well known being accurate and timely dissemination of information and written communications from throughout the Department and our homeland security partners to the Secretary and Deputy Secretary. ESEC has established effective protocols for processing internal communications from the Secretary and Deputy Secretary, decision management, briefings, and liaison activity between the Department and its Components, as well as external correspondence for the Secretary and Deputy Secretary. The Department-wide scope of this office facilitates achievement of the Department's goals by developing channels of internal communication and establishing policies for the approval and dissemination of internal and external communication. ESEC also develops standards for internal and external Departmental communications and maintains detailed metrics tracking departmental response and timeliness for the information and use by the Secretary and Deputy Secretary. Some examples of ESEC functions are:

- Provides scheduling and advance services for the Secretary.
- Manages the preparation and delivery of the Secretary's morning intelligence and operations brief.
- Prepares the Secretary and Deputy Secretary's daily briefing books.
- Manages the Department's response to Authorization Questions for the Record.
- Manages the Department's official relationship with the White House and the interagency, including the Homeland Security Council and National Security Council's Principal, Deputies, and Policy Coordination Committees policy development process.
- Ensures the Secretary has access to classified communications capability while traveling.
- Manages the Department's Lexicon Project, an effort to provide a focal point for developing and understanding terminology used across all DHS Components.
- Provides budgetary, administrative, and logistical support to the Office of the Secretary, Office of the Deputy Secretary, and Office of the Chief of Staff.

Key Senior Executive Officials

- Chris Button, Deputy Executive Secretary, **(b)(2), (b)(6)**
- Steve Dove, Director, Congressional Actions, **(b)(2), (b)(6)**

Fred L. Schwien

Executive Secretary

Fred L. Schwien became Executive Secretary of the Department of Homeland Security (DHS) in November 2005. Mr. Schwien was recruited to DHS in the aftermath of Hurricane Katrina to fix—in many cases establish—fundamental business practices for the Department. He led the effort to transform DHS interactions with the White House and the Congress to ensure both timeliness and accuracy of communications, and has received considerable recognition as the processes and procedures he established cascaded throughout the Department with measurable results in efficiency and coordination. Since his arrival at DHS, the Executive Secretariat has grown from 20 personnel to its current strength of 87 as it assumed ever-growing responsibilities.

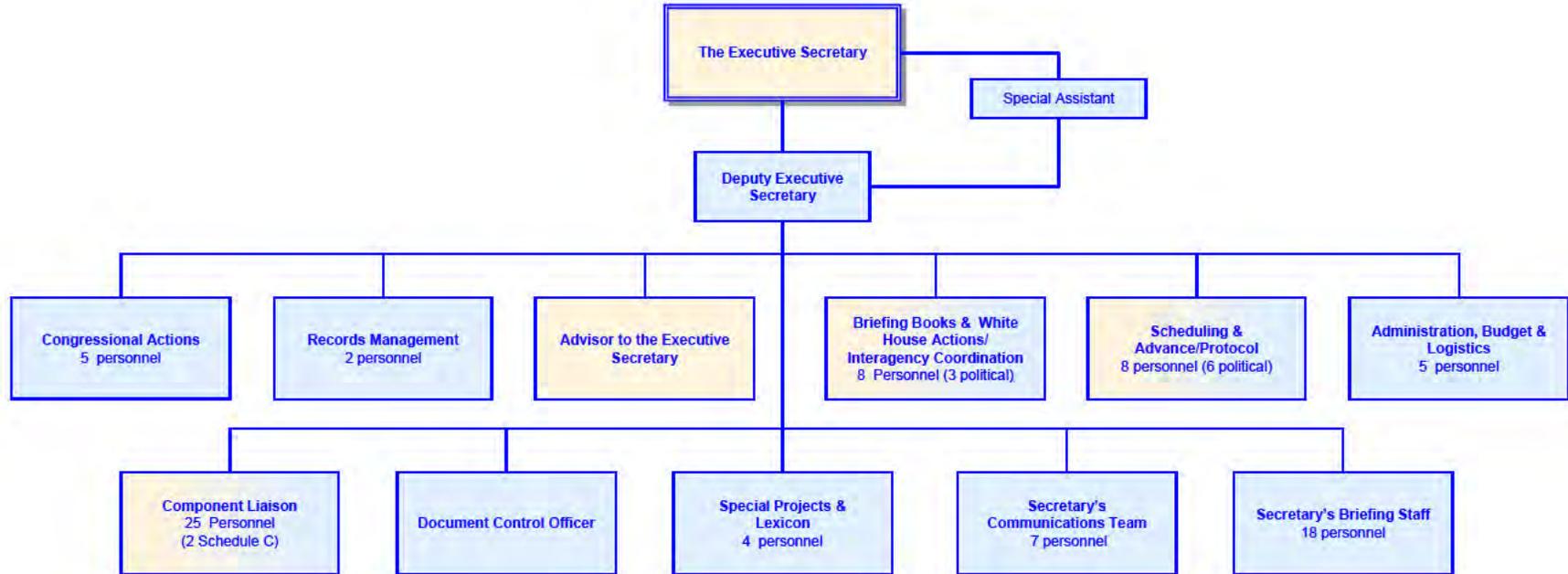
From 2002 to 2005, Mr. Schwien served as the Executive Secretary of the U.S. Department of Commerce, where he led a similar transformational effort, but certainly not on the scale of DHS. Secretary Don Evans also designated him as the senior Commerce official supporting Iraq reconstruction and homeland security efforts. In these two vital areas, Mr. Schwien established senior steering committees that ensured unity of the Department's efforts. He led Commerce delegations to both the Madrid Donors Conference and the first Iraq reconstruction conference in Amman, Jordan.

From 1999 to 2002, Mr. Schwien served as the Deputy Secretary of the Kansas Department of Commerce and Housing in the Administration of Governor Bill Graves. As Chief Operating Officer of the premier agency in Kansas State government, he directed the actions of six very diverse divisions: Business, Community, Agricultural Marketing, Trade, Housing, and Travel & Tourism; and five overseas trade offices. While Deputy Secretary, his Department oversaw state involvement in the creation of nearly 17,000 jobs, capital investment of \$600 million and new payroll of approximately \$600 million.

Mr. Schwien graduated from the United States Military Academy at West Point in 1979. Mr. Schwien served in command and staff assignments from platoon to division levels in the 101st Airborne, 2nd Infantry and 7th Light Infantry divisions. Serving two tours on the Nation's highest military staff, the Joint Staff, Mr. Schwien supported major arms control negotiations in Vienna, Austria, and served as the Deputy United States National Military Representative to NATO's Supreme Headquarters Allied Powers Europe in Belgium. At the Pentagon, he also worked counterterrorism issues in the Army's Special Operations Division and culminated his career as Chief of European War Plans on the Army Staff. His military qualifications include: Airborne, Ranger, Joint Service Officer, Army Strategist, and graduate of both the Army Command and General Staff and Armed Forces Staff colleges. He retired from the Army as a lieutenant colonel in 1999 with 20 years of service.

Mr. Schwien is married, has four children, and lives in northern Virginia.

Organizational Structure

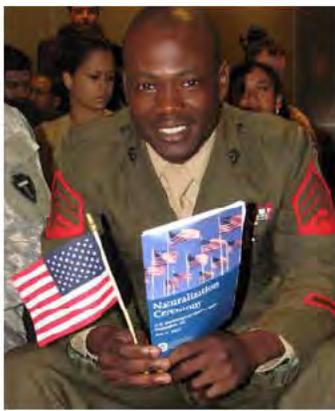


Key:

Non-career
Career

* Schedule C

TOTAL ESEC EMPLOYEES: 87
(Includes FTE, detailees and contractors)



Citizenship and Immigration Services Ombudsman



Homeland
Security

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Citizenship and Immigration Services Ombudsman

The Office of the Citizenship and Immigration Services Ombudsman (CISOMB) was established in the *Homeland Security Act* § 452. It is an independent Department of Homeland Security (DHS) component that reports directly to the DHS Deputy Secretary. CISOMB's principal statutory functions are to assist individuals and employers who are experiencing problems with U.S. Citizenship and Immigration Services (USCIS, the immigration benefits component of DHS), to identify systemic customer service problems and propose solutions, and to annually report on such matters to Congress.

Mission

The CISOMB mission is to assist individuals and employers in resolving immigration benefits problems, propose changes in administrative practices to improve customer service, and directly provide Congress and DHS substantive analysis on the quality of immigration services.

Vision

The CISOMB vision is to promote and expand its ability to assist individuals and employers now and in the future; diligently study issues of humanitarian, family, and economic importance across the spectrum of immigration benefits and services; propose credible solutions to customer-service barriers that are impartial and operationally sound; identify best practices and forward-looking business models that will meet future challenges for DHS; and work cooperatively with government partners to benefit the public.

Major Policy/Program Initiatives

- **Report on Immigration Reform.** The CISOMB (anticipating possible immigration reform legislation) has commissioned a report on USCIS' ability to enroll and issue evidence of status to the population of illegal immigrants in the United States. The report is intended to give Congress and Executive Branch employees an accurate understanding of the legal and funding authorities, human, material and IT resources, partnerships and business processes that will assist USCIS in performing the enrollment task. The CISOMB's report is scheduled for transmission to Congress in December 2008.
Recommendations in Progress. The CISOMB is working to generate 8 to 10 formal studies of current USCIS customer service issues by December 2008. The studies cover a wide array of USCIS products and services.
- **Case Problem Resolution Assistance.** The CISOMB takes in thousands of case problems each year from individuals and employers who are encountering difficulties with USCIS. In 2009, CISOMB will deploy a Virtual Ombudsman System that will permit stakeholders to submit their case problems online. The system will enable CISOMB to improve service through faster processing times while expanding access to all customers and stakeholders including underserved communities. The system will also

enhance CISOMB's ability to identify and analyze systemic issues to recommend improvements to the immigration process.

- **Annual Report to Congress.** The CISOMB's statutorily-mandated Annual Report is due to the House and Senate Judiciary Committees in June each year. The Annual Report identifies systemic issues that cause delay in granting immigration benefits, as well as pervasive and serious problems faced by individuals and employers in their interactions with USCIS.

Key Senior Executive Officials

- Michael Dougherty, DHS CIS Ombudsman, **b(2), b(6)**
- Richard E. Flowers, Chief of Staff, **b(2), b(6)**

Michael T. Dougherty

DHS CIS Ombudsman

Mr. Michael T. Dougherty was appointed as the second Department of Homeland Security, Citizenship and Immigration Services Ombudsman by Secretary Michael Chertoff on March 3, 2008.

The Office of the CIS Ombudsman (CISOMB) is an independent office within the Department of Homeland Security (DHS) that reports directly to the DHS Deputy Secretary. The Ombudsman assists individuals and employers who experience problems with United States Citizenship and Immigration Services (USCIS). USCIS is the DHS entity responsible for administering the Nation's immigration benefits system. The Ombudsman identifies problems and makes recommendations for improvements in USCIS' immigration benefits processes, and submits an annual report directly to Congress identifying the most pervasive and serious problems encountered by individuals and employers as they interact with USCIS.

Before assuming his current duties as Ombudsman, Mr. Dougherty served as Legislative Counsel on the personal staff of Senator Jon Kyl, and also staffed the Subcommittee on Terrorism, Technology, and Homeland Security within the Senate Judiciary Committee. He assisted in the drafting and negotiation of the 2007 bipartisan immigration reform effort in the Senate.

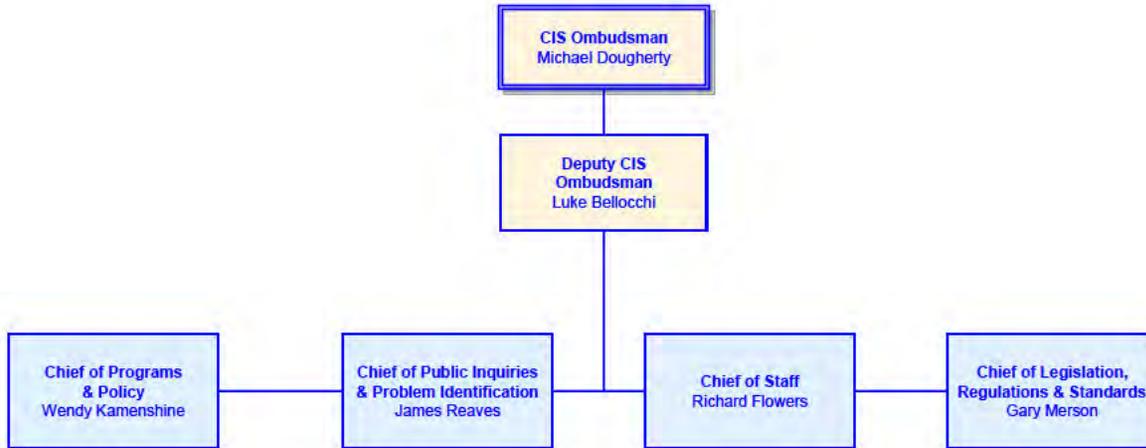
Mr. Dougherty previously served as Senior Policy Advisor for Immigration at DHS' Border and Transportation Security Directorate, Office of Policy and Planning. Mr. Dougherty advised senior Department officials on homeland security and immigration policy issues, and led efforts to expand legal authorities for the Department.

Mr. Dougherty has also served at the Department of Justice as a Trial Attorney for the Office of Immigration Litigation, where he litigated 100 immigration cases in the U.S. Circuit Courts of Appeal; as a Special Assistant U.S. Attorney in the Eastern District of Virginia, where he litigated cases in U.S. District Court and before the Fourth Circuit Court of Appeals; and as an Attorney Advisor for the Board of Immigration Appeals within the Executive Office for Immigration Review.

In addition, Mr. Dougherty has served as an Administrative Judge for the U.S. Merit System Protection Board.

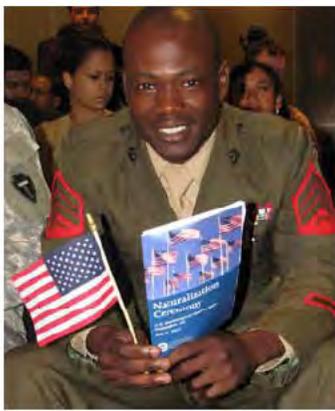
Mr. Dougherty earned his B.A. from the Catholic University of America (1985) and J.D. from the Columbus School of Law at the Catholic University of America (1988). He is a member of the Maryland Bar Association and the Bar of the District of Columbia.

Organizational Chart



Key:

Non-career
Career



Privacy Office



Homeland
Security

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Privacy Office

The Department of Homeland Security (DHS) Privacy Office is the first statutorily required Privacy Office at any Federal Agency. The Privacy Office is structured into two functional units: Privacy and Departmental Disclosure/ Freedom of Information Act (FOIA). Both units manage and formulate the statutory and policy-based responsibilities in a collaborative environment with each DHS Component and program to ensure that all privacy and disclosure issues are provided the appropriate level of review and expertise. The Office budget for FY 2009 is \$6.8 million with 36 full time employees.

Mission

The mission of DHS Privacy Office is to sustain privacy protections and transparency of government operations, while achieving the mission of DHS.

Major Policy/Program Initiatives

- **Privacy Compliance and Program Development** assures completion and approval of all Privacy Threshold Analysis (PTAs), Privacy Impact Assessments (PIAs), and System of Records Notices (SORNs) throughout DHS and conducts privacy compliance training for DHS programs.
- **Disclosure and FOIA** oversight provides consistent and appropriate Department-wide statutory compliance with the *Freedom of Information Act of 1966*, as amended (5 U.S.C. §552) and requests made under the *Privacy Act of 1974*.
- **International and Technology Privacy Policy** promotes international cooperation and understanding of privacy issues relevant to the Department's mission and operations and examines the technological privacy issues that arise from the development, management, and updating of the various systems on which the Department relies for its mission.
- **Incident and Inquiry** management requires reporting and handling of loss or compromise of Personally Identifiable Information and the handling and reporting to Congress of privacy inquiries or complaints about DHS activities.

Key Senior Executive Officials

- John Kropf, Deputy Chief Privacy Officer, b(2), b(6)
- Catherine Papoi, Deputy Chief FOIA Officer and Director, Disclosure and FOIA, b(2), b(6)

Hugo Teufel III

Chief Privacy Officer

Hugo Teufel III was appointed Chief Privacy Officer of the U.S. Department of Homeland Security by Secretary Michael Chertoff on July 23, 2006. As provided in Section 222 of the *Homeland Security Act of 2002*, Teufel has primary responsibility for privacy policy at the Department. Additional responsibilities include serving as one of two Department principals on the joint U.S./E.U. High Level Contact Group; chairing the Chief Information Officer Council's cyber security subcommittee; assuring that technologies used by the Department to protect the United States sustain, and do not erode, privacy protections relating to the use, collection, and disclosure of personal information; assuring that the Department complies with fair information practices as set out in the *Privacy Act of 1974*; conducting privacy impact assessments of proposed rules at the Department; evaluating legislative and regulatory proposals involving collection, use, and disclosure of personal information by the Federal Government; interacting on a regular basis with private sector privacy professionals, the privacy advocacy community, and various international data protection authorities; and speaking to the public on behalf of the Department on privacy issues.

Additionally, Teufel serves as the Department's Chief Freedom of Information Act (FOIA) Officer. Teufel's responsibilities as Chief FOIA Officer include assuring consistent and appropriate agency-wide statutory compliance and harmonized program and policy implementation.

Before joining the Privacy Office, Teufel served as the first Associate General Counsel for General Law at the Department of Homeland Security. Previously, Teufel served as the Associate Solicitor for General Law at the Department of the Interior. In each position, Teufel oversaw the provision of legal advice and counsel to a cabinet-level agency on privacy and FOIA matters. Before joining the Administration, Teufel practiced law at Hall and Evans, in Denver, Colorado; served as Deputy Solicitor General for the State of Colorado; was an associate at McKenna & Cuneo, in Denver, Colorado; and was a clerk to Chief Judge Loren A. Smith of the U.S. Claims Court.

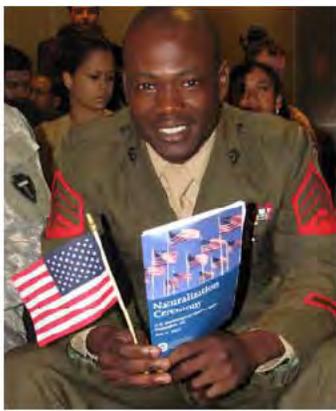
Teufel graduated from the Washington College of Law of the American University and was the Senior Articles Editor of *The Administrative Law Journal*. He also has a master's degree in national security and strategic studies from the Naval War College. Teufel is a member of the bars of Colorado and Maryland (inactive). He is married and has a daughter.

Organizational Chart



Key:

Non-career
Career



Civil Rights and Civil Liberties



U.S. DEPARTMENT OF
**Homeland
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Civil Rights and Civil Liberties

The Office for Civil Rights and Civil Liberties (CRCL) assists our dedicated colleagues to secure the country while preserving our freedoms and our way of life. Created by the *Homeland Security Act of 2002*, CRCL provides leadership, advice, operational support, oversight and training concerning the intersection of civil liberties and homeland security. It also administers and provides leadership for the Department's Equal Employment Opportunity (EEO) program and provides direction to the Component EEO and Civil Rights Directors. The Officer is appointed by the President and reports directly to the Secretary. The Office has approximately 60 personnel and for FY 2009 received a budget of \$17.4 million.

Mission

CRCL assists the Department to secure the Nation while preserving our freedoms and our way of life in four important ways:

- We help the Department to shape policy in ways that are mindful of civil rights and civil liberties by providing proactive advice, evaluation, and review of a wide range of technical, legal, and policy issues.
- We investigate and resolve complaints filed by the public regarding departmental policies or actions taken by departmental personnel.
- We provide leadership to the Department's equal employment opportunity programs, seeking to make this Department the model Federal Agency.
- We are engaged with the public regarding these issues.

Major Policy/Program Initiatives

- **Programs:** CRCL provides DHS senior leadership with constructive advice that spans the horizon of issues that confront the Department. We do this by conducting Civil Liberties Impact Assessments (CLIAs) on important programs; engaging with American Arab, Muslim, Sikh, and South Asian communities; advising emergency management officials on policies concerning individuals with disabilities and other special needs; improving immigration policy; developing and conducting training; and, acting as the DHS single contact officer for human and civil rights treaties. CRCL has a significant role to play in operational settings through Incident Community Coordination Teams (ICCTs).
- **Review & Compliance** investigates and resolves complaints from the public alleging violations of civil rights or civil liberties; racial, ethnic, or religious profiling; or administrative claims under Section 504 of the Rehabilitation Act. These investigations provide DHS leaders with confidential recommendations for improvements.
- **Equal Employment Opportunity:** CRCL helps the Department to create an agency where all employees and applicants enjoy equal opportunity. Linking EEO and diversity objectives to the DHS Strategic Plan and Human Capital Strategic Plan is key. The EEO

program also has authority for issuing final agency decisions on complaints of employment discrimination.

- **Section 508** of the Rehabilitation Act requires the Federal Government to ensure that its information and data are accessible to persons with disabilities. CRCL and the DHS Chief Information Officer work together to implement these provisions through an innovative joint program office.

Key Senior Executive Officials

- Timothy Keefer, Senior Transition Officer, (b)(2), (b)(6)
- Matt Konieczny, Transition Officer, (b)(2), (b)(6)

Daniel W. Sutherland

Officer for Civil Rights and Civil Liberties

On April 16, 2003, President Bush appointed Daniel W. Sutherland to be the Officer for Civil Rights and Civil Liberties at the U.S. Department of Homeland Security (DHS). This unique position calls for Mr. Sutherland to provide legal and policy advice to the Secretary and the senior leadership of the Department on a full range of issues at the intersection of homeland security and civil rights and civil liberties. Mr. Sutherland and his office provide advice on issues such as the use of race or ethnicity in law enforcement and intelligence activities, building strategic partnerships between the homeland security effort and American Arab and Muslim communities, and the need to integrate people with disabilities into emergency planning and preparedness. Mr. Sutherland's 2005 speech on the need for the government to engage with Muslim-Americans in the war on terror has been printed in the publication *Vital Speeches of the Day*. Mr. Sutherland has testified before Congress on issues such as the use of satellite technology to benefit homeland security projects, enhancing emergency preparedness for senior citizens and people with disabilities, and building a respect for civil rights and civil liberties into fusion centers across the country.

Mr. Sutherland's efforts during his tenure as Officer for Civil Rights and Civil Liberties have focused on integrating the principles of civil rights and civil liberties into the programs and activities of the Department and cultivating respect for and knowledge of these principles among DHS officials and personnel throughout the Department. Under his leadership, for example, the Civil Liberties Institute was established to train the men and women of DHS to fulfill their roles and complete their missions while respecting civil rights and civil liberties. The Civil Liberties Institute library includes over a dozen training products, including Introduction to Arab American and Muslim American Cultures Course for DHS Personnel, Transportation Security Administration Screener Training on Travelers with Disabilities, National Detention Standards Training, and educational posters including posters that provide guidance to DHS personnel on how to screen and, if necessary, search individuals who wear common Muslim and Sikh head coverings.

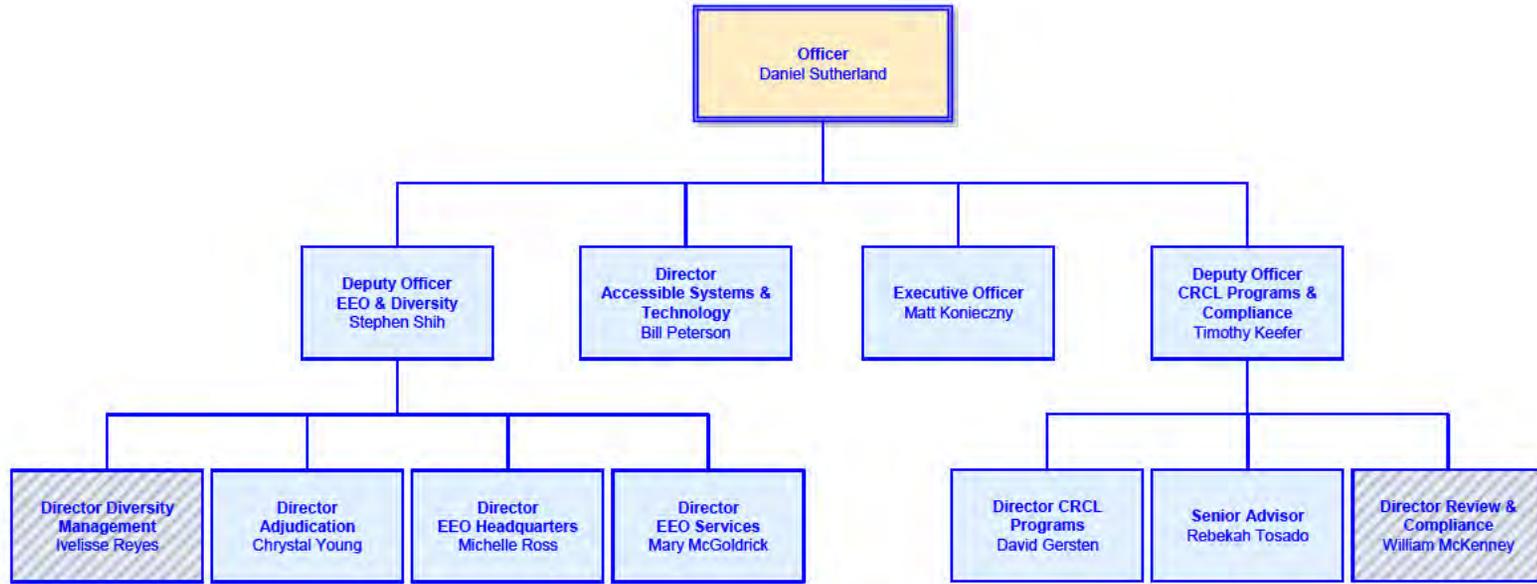
Mr. Sutherland has been a civil rights attorney throughout his legal career, serving 14 years with the Civil Rights Division of the U.S. Department of Justice and nearly two years with the Office for Civil Rights at the U.S. Department of Education. Mr. Sutherland also served as the first Executive Director of the Brown v. Board of Education 50th Anniversary Commission. He has co-authored *Religion in the Workplace*, a book published in 1998 by the American Bar Association.

Mr. Sutherland has handled a number of important civil rights lawsuits. His litigation includes cases alleging discrimination by a large urban police department in its dealings with people who are deaf, allegations that a licensing authority would not adequately accommodate test-takers who are blind, and allegations of discrimination against refugees from Vietnam and the former Soviet Union. Additionally, Mr. Sutherland has handled a number of cases dealing with the intersection of civil rights laws and athletics, including handling the case of the first baseball

player who defected from the Cuban national baseball team, a lawsuit against the National Collegiate Athletic Association on behalf of student-athletes with dyslexia, and the case of Casey Martin, the professional golfer who needed the reasonable accommodation of a golf cart and who won his case on a 7-2 decision by the Supreme Court.

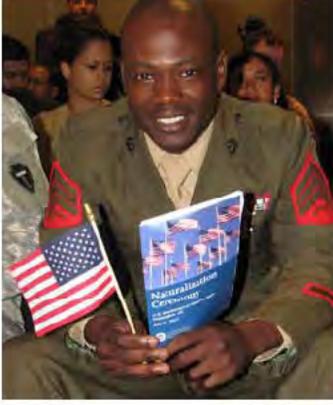
Mr. Sutherland is a graduate of the University of Virginia School of Law and the University of Louisville.

Organizational Chart



Key:

Non-career	
Career	Acting



Office of Counternarcotics Enforcement



U.S. DEPARTMENT OF
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Office of Counternarcotics Enforcement

The Office of Counternarcotics Enforcement (CNE) is a drug policy-focused office with 17 Full Time Equivalent (FTE) employee positions and approximately \$4 million in FY 2009 budget authority.

The *Homeland Security Act of 2002* directed the Secretary to appoint a senior official in the Department of Homeland Security (DHS) as the Counternarcotics Officer (CNO), with the following responsibilities:

- Coordinate policy and operations within the Department, and between the Department and other Federal Departments and Agencies, with respect to interdicting the entry of illegal drugs into the United States;
- Track and sever connections between illegal drug trafficking and terrorism;
- Ensure the adequacy of resources within DHS for illicit drug interdiction; and
- Serve as the U.S. Interdiction Coordinator for the Director, Office of National Drug Control Policy.

The *Intelligence Reform and Terrorism Prevention Act of 2004* replaced the CNO position with the Office of Counternarcotics Enforcement (CNE), headed by a Presidentially Appointed, Senate-Confirmed Director, with the following additional responsibilities:

- Recommend the appropriate financial and personnel resources necessary to help DHS better fulfill its responsibility to stop the entry of illegal drugs into the United States;
- Within the Joint Terrorism Task Force construct, track and sever connections between illegal drug trafficking and terrorism;
- Be a representative of DHS on all task forces, committees, or other entities, whose purpose is to coordinate the counternarcotics enforcement activities of DHS and other Federal, State, or local agencies; and
- Submit annual reports to Congress on DHS's counternarcotics activities and budget requests.

Mission

CNE coordinates DHS's efforts to secure the borders against the flow of illegal drugs and to protect the United States against drug-related criminal enterprises.

Major Policy/Program Initiatives

- **Manta, Ecuador, Forward Operating Location (FOL):** CNE is collaborating with the interagency to minimize the impact on the Department of the planned closure of this FOL in November 2009. U.S. Coast Guard and U.S. Customs and Border Protection long-range aircraft have been flying critical maritime counternarcotics surveillance missions from this location for over nine years.

- **Counternarcotics Strategies:** In FY 2008, Congress mandated that CNE develop DHS counternarcotics strategies for the southern, northern, and maritime borders of the United States, including the drug maritime transit zone. CNE is now preparing to develop implementation plans for each strategy. In FY 2009, Congress mandated that CNE develop a strategy for countering the increased usage of submersibles and low flying aircraft to smuggle illegal drugs.
- **Title 21:** CNE is facilitating DHS's efforts to obtain independent Title 21 authority for U.S. Immigration and Customs Enforcement Special Agents to pursue drug smuggling investigations. Under current legislation, DHS is charged with protecting U.S. borders and, as such, with investigating all smuggling crimes with a nexus to the border, with the notable exception of drug-related smuggling, which currently resides only within the Department of Justice.
- **National Southwest Border Counternarcotics Strategy:** CNE is leading an interagency effort to complete a Congressionally mandated biennial update to the National Southwest Border Counternarcotics Strategy and Implementation Plan. This document identifies major goals, objectives, and resource requirements for closing gaps in U.S. and Mexico counternarcotics capabilities along the Southwest Border.
- **Counternarcotics Coordinating Council:** The CNE Director chairs this newly established senior-level forum, which meets at least quarterly to coordinate counternarcotics policy within DHS. It serves as an advisory body to the CNE Director in the fulfillment of the Director's statutory duties.
- **Merida Initiative:** CNE is assisting the DHS Office of Policy in coordinating the Department's support to this program, which will provide \$460 million in foreign assistance to Mexico and Central America in FY 2008 in the following three broad areas: 1) Counternarcotics, Counterterrorism, and Border Security; 2) Public Security and Law Enforcement; and 3) Institution Building and Rule of Law.

Key Senior Executive Officials

- **John L. Leech**, Acting Director and Senior Transition Officer, CNE Chief of Staff,
b(2), b(6)
- **Samuel M. Reed, Jr.**, Deputy Senior Transition Officer, CNE Deputy Chief of Staff,
b(2), b(6)

Uttam Dhillon

Director of the Office of Counternarcotics Enforcement

On May 12, 2006, Uttam Dhillon was unanimously confirmed by the United States Senate to serve as the first Director of the Office of Counternarcotics Enforcement at the Department of Homeland Security. Mr. Dhillon serves as the primary policy advisor to the Secretary for Department-wide counternarcotics issues, is responsible for developing policies that will unify the Department's counternarcotics activities, and coordinates efforts to monitor and combat connections between illegal drug trafficking and terrorism.

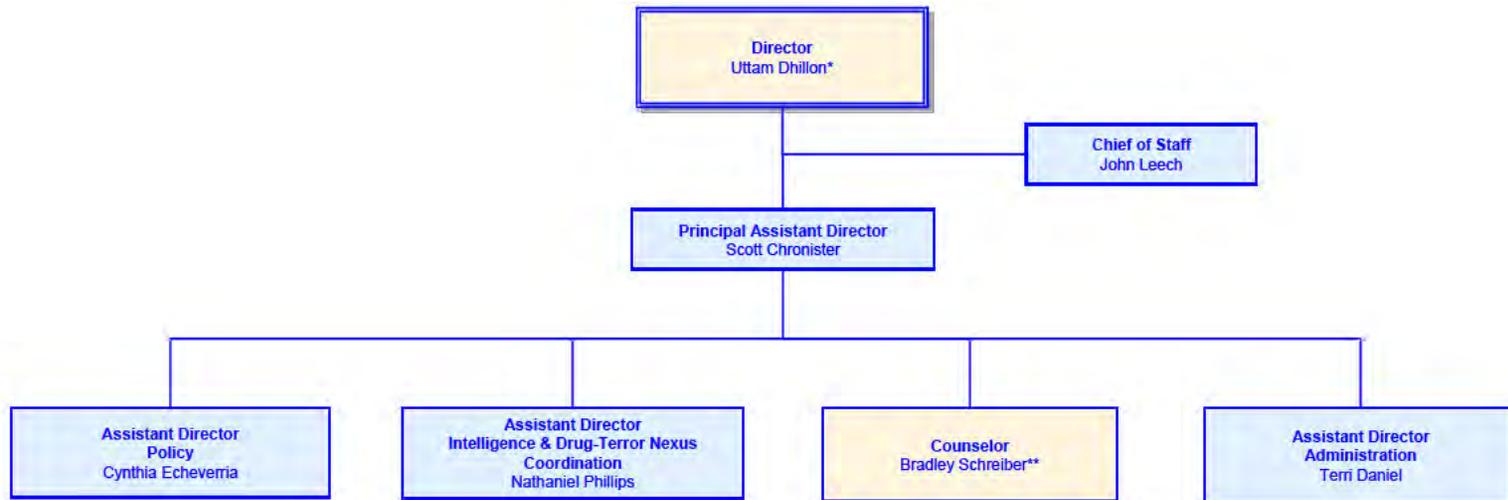
Mr. Dhillon previously served as an Associate Deputy Attorney General with the United States Department of Justice. His duties included advising and assisting the Deputy Attorney General in formulating and implementing Department of Justice policies and programs relating to explosives, firearms, capital punishment, violent crime and gangs.

Prior to joining the Department of Justice, Mr. Dhillon was the Chief Counsel and Deputy Staff Director for the House Select Committee on Homeland Security. Mr. Dhillon has also served in two other staff positions in the House of Representatives: as the Policy Director for the Republican Policy Committee and as a Senior Investigative Counsel for the Committee on Government Reform and Oversight.

From 1990 to 1997, Mr. Dhillon was an Assistant United States Attorney in Los Angeles where he worked with Federal and local law enforcement agencies directing complex investigations of major narcotics trafficking organizations. He successfully prosecuted narcotics trafficking, money laundering, alien smuggling, and gun possession crimes and prepared and argued appeals before the Ninth Circuit Court of Appeals.

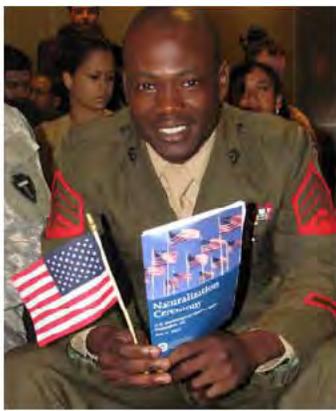
Mr. Dhillon has been associated with the firms of Milbank, Tweed, Hadley & McCloy LLP, Stroock & Stroock & Lavan, and Gray, Cary, Ames & Frye (now DLA Piper Rudnick Gray Cary). He graduated from Boalt Hall School of Law at the University of California, Berkeley in 1987. Mr. Dhillon also earned a Master of Arts degree in psychology from the University of California, San Diego in 1984 and a Bachelor of Arts degree in psychology from California State University, Sacramento in 1982. He is a member of the State Bar of California, the District of Columbia Bar, all District Courts of California, and the Fourth and Ninth Circuit Courts of Appeals.

Organizational Chart



Key:

Non-career	* Senate Confirmed
Career	** Schedule C



Federal Law Enforcement Training Center



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Federal Law Enforcement Training Center

The Federal Law Enforcement Training Center (FLETC), the source of law enforcement (LE) training for virtually all Federal officers and agents, is staffed by over 2,200 Federal and contract employees, with \$526.9 million in FY 2009 budget authority. Created by Treasury Order 217 on July 1, 1970, the FLETC relocated its headquarters to Glynco, Georgia, from Washington, DC, in 1975. The FLETC was transferred to the Department of Homeland Security in March 2003. The FLETC is required to provide basic and advanced LE training to Federal, State, local, tribal, campus, and international personnel at its training sites and through export training.

In addition to the headquarters at Glynco, the FLETC acquired existing sites at Artesia, New Mexico, in 1989 and Charleston, South Carolina, in 2003. Training and support infrastructure at these three residential training sites includes classrooms; dining and residence halls; and state-of-the-art firearms, physical techniques, driver, marine and computer-based training facilities. The training site at Cheltenham, Maryland, acquired in 2001, provides advanced and re-qualification non-residential training for officers and agents in the Washington, DC area. The Office of State and Local Training delivers LE training to State, local, campus, and tribal LE agencies. In cooperation with the Department of State, the FLETC operates International Law Enforcement Academies (ILEAs) at Gaborone, Botswana, and at San Salvador, El Salvador. The FLETC also provides bi-lateral training/technical assistance at locations worldwide. The FLETC conducted 194,720 basic and advanced student-weeks of training enterprise-wide in FY 2007, with 116,188 student-weeks completed at Glynco.

The FLETC executes formal memoranda with agencies that have an LE role. These 87 Partner Organizations (POs), both internal and external to DHS, epitomize interagency cooperation and include U.S. Customs and Border Protection; U.S. Immigration and Customs Enforcement; U.S. Secret Service; U.S. Coast Guard; Bureau of Prisons; Bureau of Indian Affairs; Metropolitan Police Department; U.S. Capitol Police; U.S. Marshals Service; Internal Revenue Service; Naval Criminal Investigative Service; and Bureau of Alcohol, Tobacco, Firearms and Explosives. Although DHS Components comprise only 13 percent (11 of 87) of the POs, DHS has consistently been the largest consumer (about 60 percent of the FY 2007 student-weeks) of LE training at FLETC enterprise-wide.

Mission

“We train those who protect our homeland” is the FLETC mission statement.

Major Policy/Program Initiatives

- **Meeting law enforcement training requirements** by increasing/expanding training capacity to accommodate 200,000 student-weeks of training at the Glynco site with parallel and complementary increases/expansions throughout the enterprise as necessary. The FLETC will achieve this requirement by obtaining funding for an approved Strategic Master Plan for Facilities and by transforming the training environment through business

process reengineering, state-of-the-art technology, innovative training methodologies, and alternative training delivery systems.

Key Senior Executive Officials

- Connie L. Patrick, FLETC Director, b(2), b(6)
- D. Kenneth Keene, FLETC Senior Transition Officer, b(2), b(6)

Connie L. Patrick, Director

Director, Federal Law Enforcement Training Center

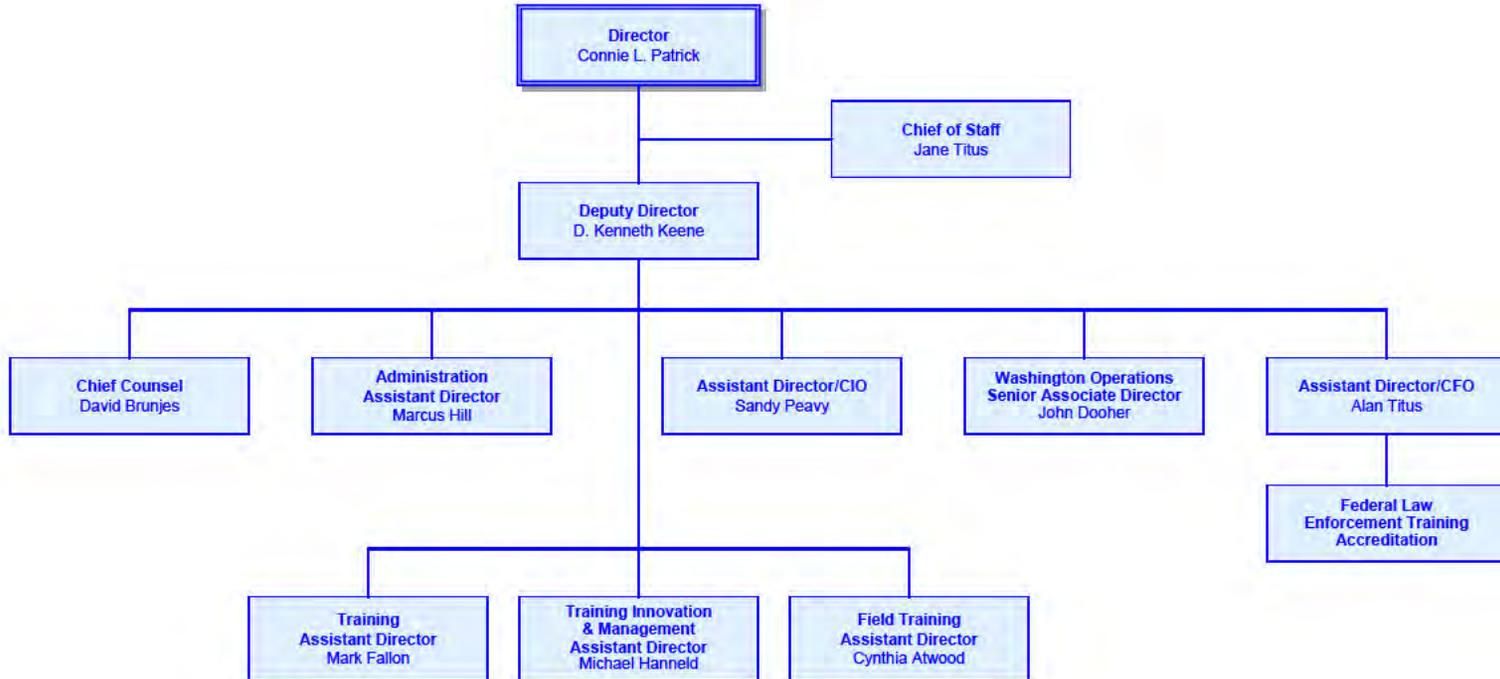
Director Connie Patrick was selected as the fifth Director of the Federal Law Enforcement Training Center (FLETC) in July 2002. Previously, Director Patrick spent over six years in various FLETC Associate Director positions. She provides oversight to the training of the majority of Federal officers and agents. FLETC services 87 Federal Agencies; provides training to State, local, and international police in selected advanced programs; graduates over 60,000 students annually; and is the largest law enforcement training operation throughout the country.

Headquartered on approximately 1,600 acres at Glynco, near Brunswick, Georgia, the FLETC also operates facilities in Artesia, New Mexico; Charleston, South Carolina; Cheltenham, Maryland; and the International Law Enforcement Academies at Gaborone, Botswana, and San Salvador, El Salvador.

Prior to her appointment at the FLETC, Director Patrick completed a distinguished 20-year sworn law enforcement career in Florida, starting in 1976 as a deputy with the Brevard County Sheriff's Office. In 1981, she became a Special Agent with the Florida Department of Law Enforcement (FDLE). She was promoted to Special Agent Supervisor, Assistant Special Agent in Charge of the Tampa Regional Operations Bureau, Special Agent in Charge of the FDLE Intelligence and Investigative Support Bureau, Director of the Florida Criminal Justice Executive Institute in Tallahassee, and Director of the Division of Human Resources and Training.

She has received numerous awards, including the Distinguished Presidential Rank Award and the Presidential Meritorious Rank Award, the Government's highest Civil Service awards. She holds a Bachelor of Arts degree in Criminal Justice from the University of Central Florida.

Organizational Chart



Key:

Non-career
Career

Sites

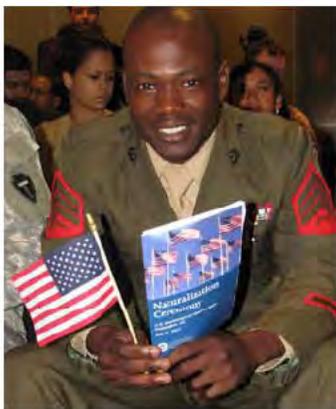


Domestic training sites: 4

FLETC-Managed International training sites: 2

FLETC-Supported International training sites: 2

Support sites: 2



Domestic Nuclear Detection Office



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Domestic Nuclear Detection Office

DNDO was founded on April 15, 2005, with the signing of National Security Presidential Directive (NSPD) 43 / Homeland Security Presidential Directive (HSPD) 14. It is a jointly-staffed, national office established to improve the Nation's capability to detect and report unauthorized attempts to import, possess, store, develop, or transport nuclear or radiological material for use against the Nation, and to further enhance this capability over time.

Background

The Domestic Nuclear Detection Office (DNDO) has 115 full time employees and received approximately \$514.2 million in the 2009 appropriation.

Since 2005, DNDO has made substantial progress in improving the Nation's capability to defend against nuclear or radiological terrorism. DNDO has taken a systematic, end-to-end approach to research and development, systems development, and product improvement. This approach, which begins with focused research and development programs that culminate in high fidelity test and evaluation campaigns, provides the basis for the Department to make informed and justifiable acquisition decisions. Equally important is the recognition on behalf of DNDO that the successful deployment of these technologies must be done as part of a larger strategy, one that extends to deployments executed by other agencies. Currently, DNDO is working with Federal, State, and local partners to continue advancing the global nuclear detection architecture and to develop and deploy radiological and nuclear detection equipment at various venues.

Current Status

- DHS is scanning all incoming containerized cargo at the Nation's top 22 seaports, which represents 98 percent of all incoming containerized cargo.
- DHS is also scanning 100 percent of truck cargo entering the United States from Mexico and 93 percent of truck cargo entering the United States from Canada, resulting in a total of 97 percent of all cargo entering into the United States (by sea and land) being scanned for radiological and nuclear threats.
- Awarded a Cooperative Agreement to New York City (NYC) to procure, integrate, deploy, test, evaluate, train and exercise a multi-layer, multi-pathway, multi-jurisdiction preventive radiological and nuclear detection (PRND) and reporting architecture for the NYC region.
- Grants at over 23 universities through the Academic Research Initiative (ARI).
- Developed the full-scale Southeast Transportation Corridor Pilot (SETCP) exercise, including nine States and the District of Columbia.
- Developed and executed a State and local Spectroscopist Training course and directly trained 2,400, and indirectly, through Train-the-Trainer instruction, 2,600 additional Federal, State, and local participants in PRND capabilities.

- Prepared the first Joint Annual Review of the Global Nuclear Detection Architecture (GNDA), as required by Sec. 1103 of the *Implementing Recommendations of the 9/11 Commission Act of 2007* (P.L. 110-53).

Challenges

- Both the *Fiscal Year 2007 Homeland Security Appropriations Act* (P.L. 109-295) and *FY 2008 Consolidated Appropriations Act* (P.L. 110-161) require the Secretary certify the Advanced Spectroscopic Portal (ASP) system performance before DNDO commits to full-rate production and deployment.
- The Government Accountability Office (GAO) has been critical of the test campaign performed for the ASP Program in 2007. DNDO tried to be responsive to previous GAO criticisms during 2008 developmental testing. DHS has also incorporated independent operational test and evaluation of ASP systems to respond to GAO concerns.

Milestones

- (*Spring 2009*) ASP Secretarial Certification and/or Production Decision.
- (*Fiscal Years 2009 and 2010*) Continue robust Advanced Technology Demonstrations (ATDs) with transitions of Intelligent Personal Radiation Locator (IPRL) (FY 2009) and Stand Off Radiation Detection System (SORDS) (FY 2010).
- (*Fiscal Year 2009*) Directly train 3,600 Federal, State, and local participants in PRND operations, and indirectly train approximately 7,500 State and local participants through the Train-the-Trainer courses and distribution of courseware.
- (*Fiscal Year 2009*) Conduct annual grantees conference and support approximately 110 students through ARI.
- (*Fiscal Year 2010*) Complete documentation of the supporting analysis for the GNDA Strategic Plan; and conduct a regional detection architecture study of a world region to be determined for possible engagement through the Global Initiative to Combat Nuclear Terrorism.

Points of Contact

- Chuck Gallaway, DNDO Deputy Director, b(2), b(6)
- John Zabko, DNDO Deputy Transition Officer, b(2), b(6)

Vayl S. Oxford

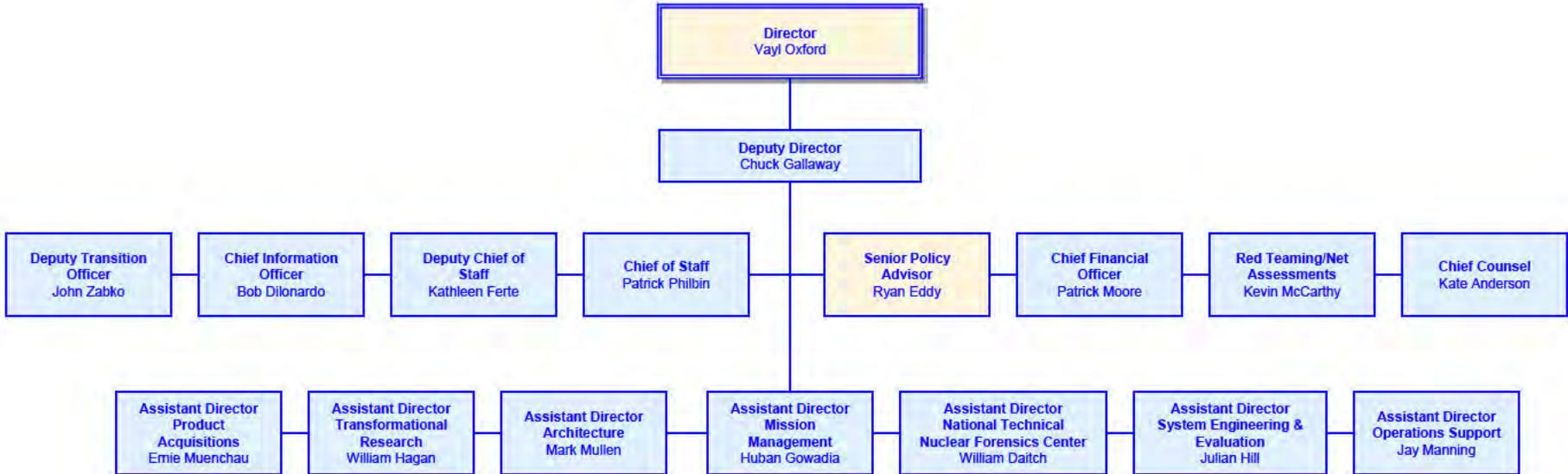
Director of the Domestic Nuclear Detection Office

Reporting directly to Secretary Chertoff, Mr. Vayl Oxford was appointed Director of the Domestic Nuclear Detection Office (DNDO) by the President in December 2006. Mr. Oxford is responsible for DNDO's jointly staffed office, which serves as the primary entity in the United States Government to improve the Nation's capability to detect and report unauthorized attempts to import, possess, store, develop, or transport nuclear or radiological material for use against the Nation, and to further enhance this capability over time.

Prior to his appointment to the Department of Homeland Security (DHS), Mr. Oxford served as Director for Counterproliferation (CP) on the White House National Security Council (NSC). His responsibilities included establishing national policy and priorities for CP, which have been codified into the National Strategy for Combating Weapons of Mass Destruction. Before assignment to the White House, Mr. Oxford was Deputy Director for Technology Development at the Defense Threat Reduction Agency, where he was principally involved in the Research and Development vision for future-year programs.

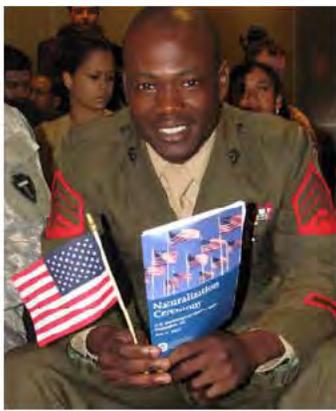
From 1993 to 1998, Mr. Oxford worked for the Defense Nuclear Agency and was then Director for Counterproliferation at the Defense Special Weapons Agency. He also served in the United States Air Force in aircraft and weapons development positions and as Assistant Professor of Aeronautics at the United States Air Force Academy. Mr. Oxford is a graduate of the United States Military Academy and the Air Force Institute of Technology and the recipient of numerous military awards. He received the Department of Defense Advanced Concept Technology Demonstration Technical Manager of the Year Award in 1997. He received the Meritorious Executive Presidential Rank Award in 2002.

Organizational Chart



Key:

Non-career
Career



National Cybersecurity Center



Homeland Security

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National Cybersecurity Center

On January 8, 2008, President Bush signed National Security Presidential Directive 54/Homeland Security Presidential Directive 23 (NSPD-54/HSPD-23 or “the Directive”). The Directive formalized a series of cyber security efforts designed to further safeguard Federal Government network and systems; reduce potential vulnerabilities; protect against intrusion attempts; and better anticipate future threats. The Directive directed the Secretary of Homeland Security to establish the National Cybersecurity Center (NCSC or “the Center”). The Director of the Center is appointed by the Secretary of Homeland Security with the concurrence of the Secretary of Defense, after consultation with the Attorney General and the Director of National Intelligence (DNI). The Director’s primary responsibility is to foster and support information sharing and collaboration among participating organizations to improve national cyber security. The Director establishes a consultative structure to ensure that Federal Agencies have access to and receive information and intelligence needed to execute their respective cyber security missions, consistent with applicable law. The Director also advises within the Executive Branch on the extent to which cyber program recommendations and budget proposals of agencies conform to cyber security priorities. When appropriate, the Director may also recommend and facilitate the adoption of common doctrine, planning, and procedures across all cyber mission areas.

Background

The United States is being exploited both in and via cyberspace. This exploitation is occurring across military, government, and private sector domains. While a variety of Federal Government organizations are responsible for various aspects of cyber security, no single entity has had the capability to adequately assist those charged with protecting U.S. cyber networks and systems. All Federal Government organizations with a cybersecurity mission have a critical need for information to execute their mission. Today, such information is shared to some extent but often on an ad hoc basis. Consequently, NSPD-54/HSPD-23 directed the establishment of the NCSC to ensure a successful national approach to cybersecurity. The NCSC will provide a common, cross-domain national-level situational awareness. In accomplishing this goal, the Center supports all participating Federal Government organizations in their cyber security missions and ensures coordination and a shared cyber security situational awareness among the organizations.

Core mission areas include coordinating and integrating information; creating and providing cross-domain situational awareness; analyzing and reporting on the composite state of U.S. cyber networks; fostering collaboration among participating Federal Government Agencies; ensuring alignment of program and budgets with cyber security priorities; and recommending and facilitating adoption of common doctrine, planning, and procedures.

NCSC directly supports the Secretary of Homeland Security in his role to lead the national effort to protect, defend, and reduce vulnerabilities of Federal systems. The center also supports the Secretary of Defense, the Attorney General, and the Director of National Intelligence. NSPD-54/HSPD-23 directed that the following six government cyber security centers are the initial participating organizations:

- United States Computer Emergency Readiness Team (US-CERT)
- Department of Defense Cyber Crime Center (DC3)
- U.S. Strategic Command, Joint Task Force-Global Network Operations (JTF-GNO)
- National Security Agency Threat Operations Center (NTOC)
- National Cyber Investigative Joint Task Force (NCIJTF)
- Intelligence Community Incident Response Center (IC-IRC)

This National Cybersecurity Center concept will be implemented in three phases:

- Phase 1 is defined as Initial Operational Capability – establishing initial staff, occupying an interim location, and initiating basic processes. Projected for completion by January 2009.
- Phase 2 is defined as Advanced Operational Capability – expanding staff, still housed at the interim location, and establishing new processes. Projected for completion by September 2010.
- Phase 3 is defined as Full Operational Capability – with full staff in place, the Center housed in a permanent facility, new information technology and analytical tools in place, and expanding upon business processes. Projected for completion by September 2011.

Milestones

- *(January 8, 2008)* NSPD-54/HSPD-23 signed, identifying the need for the NCSC.
- *(March 20, 2008)* Secretary Chertoff appointed Rod Beckstrom as the first Director of the National Cyber Security Center.
- *(June 2008)* The Joint Homeland Security Council and National Security Council Communications Systems and Cybersecurity Policy Coordination Committee and Deputy's Coordination Council approved the NCSC CONOPS.
- *(August 2008)* Signed Memorandum of Understanding between DHS and DOD.
- *(January 2009)* (estimated) Achieve initial operational capability.

Points of Contact

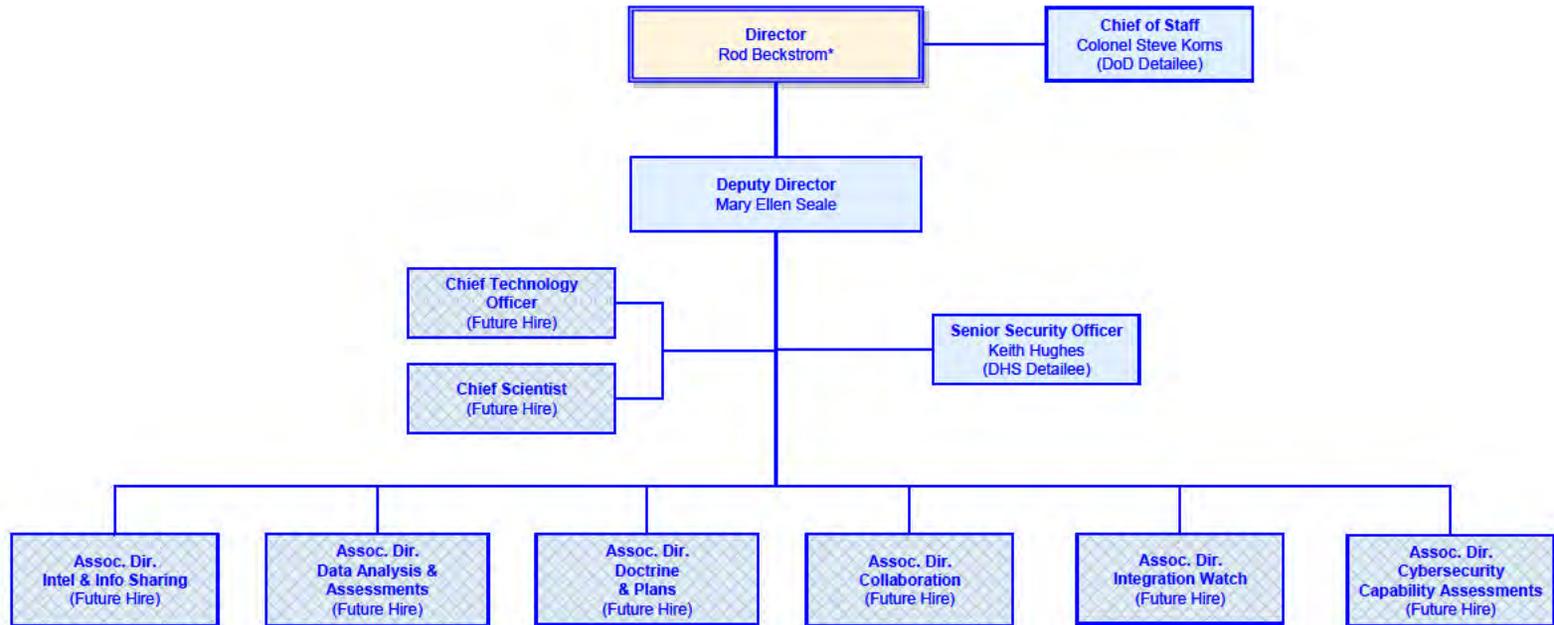
- Rod Beckstrom, Director, NCSC, **b(2), b(6)**
- Mary Ellen Seale, Deputy Director, NCSC, **b(2), b(6)**

Rod Beckström

Director of the National Cybersecurity Center

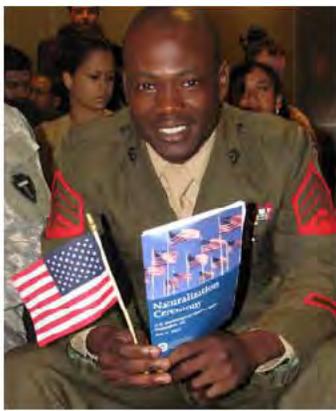
Mr. Rod Beckström is the Director of the National Cybersecurity Center in the United States Department of Homeland Security. He was appointed to his current position on March 7, 2008, and reports to the Secretary. In his capacity as Director of the Center, he facilitates information sharing and collaboration among Federal Government organizations responsible for various aspects of cybersecurity. He leads the effort to fuse information across multiple Federal Government domains in order to represent the composite state of U.S. cyber networks and systems. Before joining the Department of Homeland Security, he founded several companies, including C*ATS Software Inc., which he took public as the Chairman and CEO. He has co-authored four books, including *The Starfish and the Spider: The Unstoppable Power of Leaderless Organizations* that presents a new model for analyzing organizational competitive strategies. He is a graduate of Stanford University with an MBA and a BA with Honors and Distinction. He served as Chairman of the Council of Presidents of the combined Stanford student body and was a Fulbright Scholar at the University of St. Gallen in Switzerland.

Organizational Chart



Key:

Non-career	Vacant
Career	* Limited Term



Office of the Federal Coordinator for Gulf Coast Rebuilding



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Office of the Federal Coordinator for Gulf Coast Rebuilding

President George W. Bush established the Office of the Federal Coordinator for Gulf Coast Rebuilding (OFCGCR) by Executive Order on November 1, 2005. The Office of the Federal Coordinator (OFC) is tasked with coordinating long-term Federal recovery and rebuilding efforts, to which more than \$126 billion in Federal funds (\$140 billion with tax credits) have been committed. OFC undertakes this mission in cooperation with numerous Federal Agencies and offices; State and local officials in Louisiana, Mississippi, Alabama, and Texas; and countless stakeholders—including business and non-profit leaders, humanitarian relief organizations, education and health care professionals and law enforcement officials, etc.—as well as residents in the areas affected by Hurricanes Katrina and Rita. In April 2008, a new Executive Order was issued extending the OFC to February 28, 2009.

On April 18, 2008, retired Major General Douglas O'Dell was appointed Federal Coordinator. Federal Deposit Insurance Corporation Chairman Donald Powell served as the Federal Coordinator from November 2005 through March 2008.

The OFC operates on a budget of \$2.7 million. Twelve staff members serve in the main office in Washington, D.C. Another three staff members are based in a field office in Baton Rouge, Louisiana. Staff travel throughout the Gulf Coast region as needed in support of the rebuilding mission.

Mission

The Office of the Federal Coordinator, acting in support of prioritized, integrated, and long-term initiatives, works with Federal, State, and local officials and civic and community leaders to ensure the Gulf Coast region is rebuilt as a safer, more economically viable, and better region than it was before. OFC strives to fulfill President Bush's commitment to the people of this devastated region articulated in his remarks of September 15, 2005, in Jackson Square in New Orleans.

Major Policy/Program Initiatives

- **Safe and secure levees** are critically important to every facet of rebuilding New Orleans. President Bush committed to providing 100-year flood protection by 2011.
- **Housing** must be restored. The Department of Housing and Urban Development has provided \$20 billion in Community Development Block Grants to help rebuild. Louisiana is using \$1.5 billion to repair and build affordable rental units.
- **Health care** that is available and affordable is essential. The Department of Health and Human Services has provided more than \$3 billion for ongoing health care and social services in the region. Some funds will be used to recruit and retain doctors and nurses.

- **Criminal justice reform** is key. The OFC is working with various law enforcement agencies to strengthen a criminal justice system in New Orleans that was notably weak before the storms.
- **Public accountability and transparency** ensures appropriate use of Federal taxpayer funds. Sharing information between law enforcement agencies is a priority in the fight against fraud.
- **Education** of the region's children, ensuring they are well prepared for a bright future, is a principal factor in the rebuilding process. Education reforms are substantial.
- **Economic development** is equally vital to the rebuilding process. Tourism, Louisiana's number-one industry, continues growing toward pre-Hurricane Katrina levels.

Key Senior Executive Officials

- MG Douglas O'Dell, Federal Coordinator, OFCGCR, b(2), b(6)
[REDACTED]
- Paul Conway, Chief of Staff, OFCGCR, b(2), b(6)
[REDACTED]

Major General Douglas O'Dell

Federal Coordinator for Gulf Coast Rebuilding

Major General Douglas O'Dell USMCR (Ret) was named Federal Coordinator for Gulf Coast Rebuilding by President Bush on April 18, 2008. General O'Dell is charged with leading the federal effort to support state and local officials in accelerating and streamlining the long-term recovery of the Gulf Coast region.

General O'Dell, a former resident of New Orleans, has extensive experience serving Gulf Coast residents. During the devastating 2005 hurricane season, General O'Dell was the commanding general of the 4th Marine Division headquartered in New Orleans and led 2,700 Marines and Sailors to rescue and evacuate thousands of civilians, deliver essential cargo, and restore basic building functions. Prior to the landfall of Hurricane Rita, he embarked 1,000 of his Marines on available amphibious shipping and followed behind the storm's path, allowing his troops to commence relief operations within hours of the storm's passage.

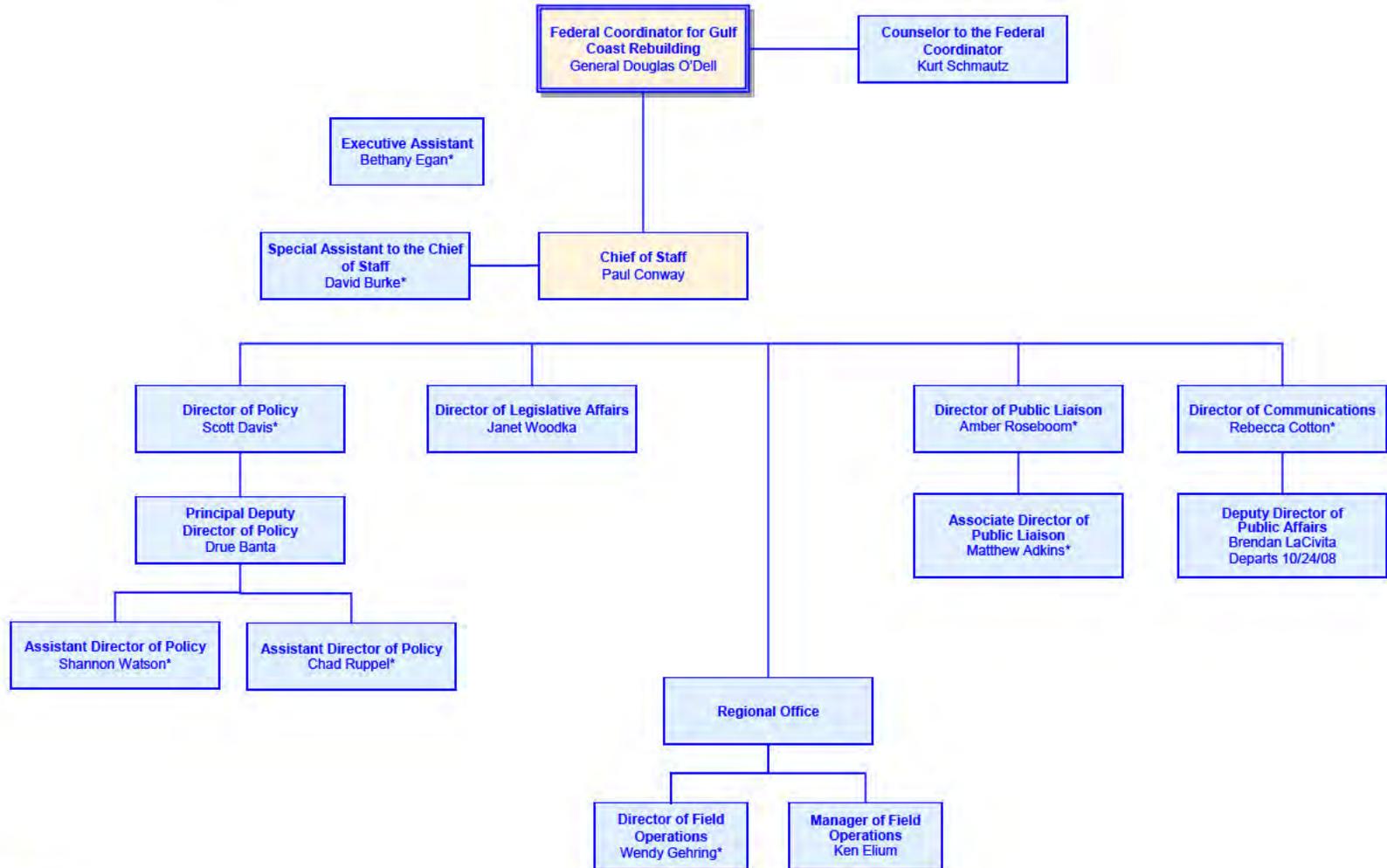
General O'Dell retired from the U.S. Marine Corps in 2007 after a distinguished 39-year career. During his tenure General O'Dell organized, trained, equipped and deployed nine battalions, a division advisory group, and numerous supporting elements to combat in Iraq. Until September 2004 he commanded the 4th Marine Expeditionary Brigade (anti-terrorism) which had global anti-terror and security responsibilities.

In addition to his notable military accomplishments the general led a successful 27-year business career in investment management. Starting in 1988, he served as regional vice president for AIM investments, was named a partner in 1993 and ultimately retired on September 10, 2001. O'Dell continues to run a successful family owned business in Chestertown, Maryland.

General O'Dell entered the U.S. Marine Corps through the platoon leaders' class in 1968 and completed the basic school at Quantico. He received his bachelor's degree in history and Latin American studies from Rutgers University in 1971. He also is a fellow of the John F. Kennedy School of Government senior executives' course at Harvard University.

Doug O'Dell was born on May 30, 1948, in Pottstown, Pennsylvania. He and his wife, Judith, have five grown sons and four grandchildren.

Organizational Chart

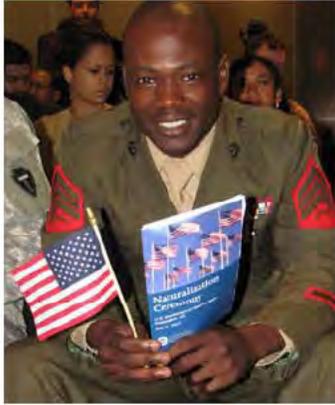


Key:

Non-career
Career

* Detailee

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Reference Materials



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DOCUMENT TYPE	DOCUMENT CODE or AUTHOR	TITLE	DATE	CLASSIFICATION
STRATEGIC DEFINING DOCUMENTS				
LAWS	P.L. 107-296	Homeland Security Act of 2002	11/24/98	UNCLASSIFIED
NATIONAL SECURITY PRESIDENTIAL DIRECTIVE	NSPD-1	Organization of the National Security Council System	02/12/97	UNCLASSIFIED
NATIONAL STRATEGY DOCUMENTS	Homeland Security Council	National Strategy for Homeland Security	09/30/03	UNCLASSIFIED
STRATEGIC PLAN	Department of Homeland Security	Department of Homeland Security Strategic Plan	2008-2013	UNCLASSIFIED
DOCTRINE	Department of Homeland Security	National Response Framework	12/31/03	UNCLASSIFIED
DOCTRINE	Department of Homeland Security	National Incident Management System	11/30/00	UNCLASSIFIED
DOCTRINE	Department of Homeland Security	National Incident Management System DRAFT	07/31/03	UNCLASSIFIED
DOCTRINE	Department of Homeland Security	National Infrastructure Protection Plan	12/31/01	UNCLASSIFIED
DOCTRINE	Office of the President and Department of Homeland Security	The National Plan for Research and Development in Support of Critical Infrastructure Protection	12/31/99	UNCLASSIFIED
HOMELAND SECURITY PRESIDENTIAL DIRECTIVES				
HOMELAND SECURITY PRESIDENTIAL DIRECTIVES	HSPD-1	Organization and Operation of the Homeland Security Council	10/28/97	UNCLASSIFIED
HOMELAND SECURITY PRESIDENTIAL DIRECTIVES	HSPD-2	Combating Terrorism through Immigration Policies	10/28/97	UNCLASSIFIED
HOMELAND SECURITY PRESIDENTIAL DIRECTIVES	HSPD-3	Homeland Security Advisory System	03/10/98	UNCLASSIFIED
HOMELAND SECURITY PRESIDENTIAL DIRECTIVES	HSPD-4	National Strategy to Combat Weapons of Mass Destruction (NSPD-17)	09/16/98	PARTIALLY CLASSIFIED
HOMELAND SECURITY PRESIDENTIAL DIRECTIVES	HSPD-5	Management of Domestic Incidents	02/27/99	UNCLASSIFIED
HOMELAND SECURITY PRESIDENTIAL DIRECTIVES	HSPD-6	Integration and Use of Screening Information to Protect against Terrorism	09/15/99	UNCLASSIFIED
HOMELAND SECURITY PRESIDENTIAL DIRECTIVES	HSPD-7	Critical Infrastructure Identification, Prioritization, and Protection	12/16/99	UNCLASSIFIED
HOMELAND SECURITY PRESIDENTIAL DIRECTIVES	HSPD-8	National Preparedness	12/16/99	UNCLASSIFIED
HOMELAND SECURITY PRESIDENTIAL DIRECTIVES	HSPD-9	Defense of United States Agriculture and Food	01/29/00	UNCLASSIFIED
HOMELAND SECURITY PRESIDENTIAL DIRECTIVES	HSPD-10	Biodefense for the 21st Century (NSPD-33)	04/27/00	UNCLASSIFIED
HOMELAND SECURITY PRESIDENTIAL DIRECTIVES	HSPD-11	Comprehensive Terrorist-Related Screening Procedures	08/26/00	UNCLASSIFIED
HOMELAND SECURITY PRESIDENTIAL DIRECTIVES	HSPD-12	Policy for a Common Identification Standard for Federal Employees and Contractors	08/26/00	UNCLASSIFIED
HOMELAND SECURITY PRESIDENTIAL DIRECTIVES	HSPD-13	Maritime Security Policy (NSPD-41)	12/20/00	UNCLASSIFIED

DOCUMENT TYPE	DOCUMENT CODE or AUTHOR	TITLE	DATE	CLASSIFICATION
HOMELAND SECURITY PRESIDENTIAL DIRECTIVES	HSPD-14	<u>Domestic Nuclear Detection Office (NSPD-43)</u>	04/14/01	UNCLASSIFIED
HOMELAND SECURITY PRESIDENTIAL DIRECTIVES	HSPD-15	U.S. Strategy and Policy in the War on Terror	03/05/02	CLASSIFIED
HOMELAND SECURITY PRESIDENTIAL DIRECTIVES	HSPD-16	National Strategy for Aviation Security	06/21/02	PARTIALLY CLASSIFIED
HOMELAND SECURITY PRESIDENTIAL DIRECTIVES	HSPD-17	Nuclear Materials Information Program	08/27/02	CLASSIFIED
HOMELAND SECURITY PRESIDENTIAL DIRECTIVES	HSPD-18	<u>Medical Countermeasures against Weapons of Mass Destruction</u>	02/06/03	UNCLASSIFIED
HOMELAND SECURITY PRESIDENTIAL DIRECTIVES	HSPD-19	<u>Combating Terrorist Use of Explosives in the United States</u>	02/11/03	UNCLASSIFIED
HOMELAND SECURITY PRESIDENTIAL DIRECTIVES	HSPD-20	<u>National Continuity Policy (NSPD-51)</u>	05/08/03	UNCLASSIFIED
HOMELAND SECURITY PRESIDENTIAL DIRECTIVES	HSPD-21	<u>Public Health and Medical Preparedness</u>	10/17/03	UNCLASSIFIED
HOMELAND SECURITY PRESIDENTIAL DIRECTIVES	HSPD-22	Domestic Chemical Defense		CLASSIFIED
HOMELAND SECURITY PRESIDENTIAL DIRECTIVES	HSPD-23	Pertaining to Computer Network Monitoring and Cyber-Security	01/07/04	CLASSIFIED
HOMELAND SECURITY PRESIDENTIAL DIRECTIVES	HSPD-24	<u>Biometrics for Identification and Screening to Enhance National Security</u>	06/04/04	UNCLASSIFIED

DHS Organic Statute: Homeland Security Act

The *Homeland Security Act of 2002* (Act) was enacted on November 25, 2002. Section 101 of the Act created a cabinet level Department of Homeland Security to plan, lead, and coordinate Federal Government activities related to homeland security, including intelligence, critical infrastructure protection, border security, emergency preparedness and response, and science and technology.

Summary

The *Homeland Security Act of 2002*, (P.L. 107-296), covers a broad range of homeland security matters and provides the Secretary with broad authorities to secure the homeland. Congress and the President have amended the Act multiple times since 2002. The following are some of the more significant provisions in the Act.

Organization: The Act designated a Senate-confirmed Secretary to head the Department, assisted by a Deputy Secretary, General Counsel, Under Secretary for Management, and an Under Secretary for each of the following four directorates:

1. Information Analysis and Infrastructure Protection (later split into the Office of Intelligence and Office of Infrastructure Protection);
2. Science and Technology;
3. Border and Transportation Security (later defunded, leaving direct reports between the Secretary and a number of operating Components, including the Transportation Security Administration, U.S. Immigration and Customs Enforcement, U.S. Customs and Border Protection, and the Federal Law Enforcement Training Center); and
4. National Protection and Programs (the Post Katrina Emergency Management Reform Act of 2006 created an Under Secretary position, responsible for critical infrastructure, cyber security, and related programs, separate and apart from the Federal Emergency Management Agency).

Other offices: The Act created and transferred other Federal components, including the Office of Intelligence and Analysis, U.S. Citizenship and Immigration Services, the U.S. Secret Service, the U.S. Coast Guard, the Office of Counternarcotics Enforcement, the Office of International Affairs, an Inspector General, a Chief Privacy Officer, and an Officer for Civil Rights and Civil Liberties.

Key authorities: The Act vested in the Secretary all authorities of components transferred to DHS, as well as creating a number of new authorities, including the following examples:

1. In recognition of the private sector's key role in homeland security affairs, the Act provided unique protections to facilitate that role and the private sector's partnership with the Department. For example, the Act provides certain liability protection for certified anti-terrorism technologies under the "SAFETY Act;" and the Act provides protection

from disclosure of certain information – “critical infrastructure information” – that the private sector or local governments provide voluntarily to the Department. This set of authorities also includes the ability to waive otherwise applicable statutory requirements to have advisory committee meetings open to the public.

2. The Act provided unique flexibilities in structuring a human resource management system without certain restrictions required for other departments and agencies. This authority has been significantly restrained by subsequent litigation and legislation;
3. The Act provided authority to conduct basic and applied research to further the homeland security mission;
4. The Act authorized the creation of an Office for National Capital Region Coordination to coordinate homeland security activities with State, local, and Federal entities in the National Capital Region;
5. The Act assigned to the Secretary of Homeland Security most of the authorities under U.S. immigration law previously assigned to the Attorney General. Related to this reassignment of immigration authorities, the Act created the position of Citizenship and Immigration Services Ombudsman to help individuals in resolving problems with USCIS and to propose changes to the administrative practices of USCIS; and
6. The Act provided for an Inspector General for the Department, while also giving the Secretary authority to restrict the activities of the Inspector General when in the interests of national security.

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Specific Statutory Authorities of DHS

This issue paper summarizes specific statutes that 1) provide the Department of Homeland Security with authority to act and 2) assign responsibilities to the Department. This paper discusses the following statutes: *Aviation and Transportation Security Act*, *Maritime Transportation Security Act*, *Immigration and Nationality Act*, *Intelligence Reform and Terrorism Prevention Act*, *Robert T. Stafford Disaster Relief and Emergency Assistance Act*, *Post-Katrina Emergency Reform Act*, *Implementing Recommendations of the 9/11 Commission Act*, as well as the additional authorities of the U.S. Coast Guard and the U.S. Secret Service.

Aviation and Transportation Security Act

Summary: The *Aviation and Transportation Security Act* (ATSA) was enacted on November 19, 2001, establishing the Transportation Security Administration (TSA). ATSA not only vested in TSA all the aviation security functions previously performed by the Federal Aviation Administration, but it also provided TSA with a broad array of powers to establish and enforce transportation security throughout all modes of the national transportation system.

Organization: ATSA established TSA and designated a Senate-confirmed Under Secretary for Transportation (subsequently an Assistant Secretary for Homeland Security following TSA's transition from the Department of Transportation to DHS).

Key authorities: ATSA gives the Assistant Secretary a number of broad authorities and responsibilities to:

- Receive, assess, and distribute intelligence information;
- Assess threats to transportation;
- Establish policies, strategies, plans, and countermeasures for dealing with threats;
- Enforce security regulations;
- Perform research and development;
- Inspect, maintain, and test security facilities, equipment, and systems;
- Ensure the adequacy of security measures at airports and other transportation facilities; and;
- Require background checks for aviation and transportation personnel.

Key mandate: ATSA mandated deployment of Federal screeners at all U.S. airports and deployment of explosives detection systems to screen all checked baggage.

Further authorities and mandates:

- Several statutes enacted since November 2001 have provided additional authorities and specific mandates for enhancing transportation security.

- The *Implementing Recommendations of the 9/11 Commission Act of 2007* greatly expanded surface transportation mandates and required additional specific aviation security measures such as 100 percent screening of cargo on passenger aircraft by 2010.
- Further specific transportation security requirements are included in various appropriations measures enacted for fiscal years 2003 through 2008.

Authorities of the U.S. Coast Guard

Summary: The U.S. Coast Guard (USCG) is the principal Federal agency charged with maritime safety, security, and stewardship.

The U.S. Code establishes USCG as a military service and a branch of the armed forces. Although at all times an armed force, the majority of USCG's 11 statutorily-mandated mission-programs are civil in nature.

The 11 statutorily-mandated mission-programs of USCG are:

- Search and Rescue
- Marine Safety
- Ports, Waterways, & Coastal Security
- Illegal Drug Interdiction
- Undocumented Migrant Interdiction
- Defense Readiness
- Other Law Enforcement
- Marine Environmental Protection
- Living Marine Resources
- Aids to Navigation
- Ice Operations

USCG has unique and broad authorities to conduct its maritime safety, security, and stewardship missions both domestically and abroad. This authority includes the right to board and conduct warrantless inspections of all vessels in U.S. waters, all U.S. vessels in international waters and, through a legal framework of international law, multilateral treaties, and standing or *ad hoc* bilateral agreements, many foreign vessels throughout the world.

Additionally, USCG has extensive regulatory power and is responsible for the administration and enforcement of the bulk of regulations pertaining to the safety and security of shipping and maritime navigation.

Maritime Transportation Security Act

Summary: The *Maritime Transportation Security Act of 2002* (MTSA) is designed to protect the Nation's ports and waterways from a terrorist attack.

Title I of the Act is the domestic codification of the International Maritime Organization's International Ship and Port Facility Security Code, and provides a framework for ensuring the

security of maritime commerce, ports, and vessels by directing the Secretary to take related actions:

- Conduct recurring vulnerability assessments of U.S. ports, vessels, and facilities;
- Conduct assessments of foreign ports that service vessels departing on voyages to the United States, and notify foreign authorities of vulnerabilities, if any, and deny or prescribe conditions of entry on vessels arriving from ports that have ineffective antiterrorism measures;
- Develop a National Maritime Transportation Security Plan, as well as Area Maritime Transportation Security Plans, to deter transportation security incidents;
- Require owners or operators of vessels, ports, and facilities to prepare and submit security plans for review and approval;
- Develop transportation security incident response plans;
- Establish a grant program for State, local, and port authorities and facilities operators to implement security plans;
- Prescribe regulations to prevent unauthorized access to secure areas of vessels and ports by creating a standardized transportation security card, now known as a Transportation Worker Identification Credential;
- Require foreign crewmembers of ships calling on the United States to carry appropriate identification as designated by the Secretary;
- Establish Coast Guard Maritime Safety and Security Teams to safeguard the public and protect vessels and ports;
- Establish Maritime Security Advisory Committees; and
- Require certain vessels operating within U.S. waters to operate automatic identification systems, and, at the Secretary's discretion, establish a system for the long range tracking of ships.

Immigration and Nationality Act

Summary: The Secretary of Homeland Security is charged with the administration and enforcement of the *Immigration and Nationality Act* (INA) and all other laws relating to the immigration and naturalization of aliens, except insofar as the Act or other laws assign immigration authority to the President, the Attorney General, or the Secretary of State. The INA confers to the Secretary broad authority on many aspects of immigration law. The authority of the Secretary involves, for example, the admission of aliens, the removal of aliens, grants of asylum, and the investigation of instances of human trafficking.

A number of responsibilities and authorities have been delegated to U.S. Customs and Border Protection, U.S. Immigration and Customs Enforcement (ICE), and U.S. Citizenship and Immigration Services.

Intelligence Reform and Terrorism Prevention Act of 2004

Summary: The *Intelligence Reform and Terrorism Prevention Act of 2004* (IRTPA) was enacted on December 14, 2004. Most significantly, IRTPA established a Director of National Intelligence to head the entire intelligence community. In addition, IRTPA included a number of DHS-specific provisions.

In the area of transportation security, IRTPA requires the Secretary to implement a national strategy for transportation security and mandates improvements to aviation passenger prescreening, including improved use of “no fly” lists to avoid privacy or civil liberties violations. In addition, IRTPA also requires improved screening of airline passengers and their bags for explosives, continued anonymity protections for air marshal, enhanced pilot licenses, and improved technology to guard against shoulder-fired missiles. IRTPA also directs TSA to begin screening cruise ships’ passengers and crews against terrorist databases.

In border and immigration security, IRTPA requires improved southwest border surveillance, an increase in border agents and ICE investigators, and expanded alien detention space. IRTPA also adds new visa requirements, including in-person interviews for nonimmigrant visa applicants and making persons with revoked non-immigrant visas removable. IRTPA also increases penalties for alien smuggling and imposes new requirements related to admitting and deporting aliens who committed violent acts abroad. In addition, IRTPA includes provisions to strengthen control over U.S. ports-of-entry, including accelerating deployment of a biometric entry and exit system, requiring the United States to impose improved documentation requirements for entry in the United States, as well as for those boarding domestic flights. Lastly, IRTPA authorizes increased prescreening of individuals before even reaching the United States, and requires new standards for birth certificates, social security cards, and State-issued driver’s licenses.

Robert T. Stafford Disaster Relief and Emergency Assistance Act

Summary: The *Robert T. Stafford Disaster Relief and Emergency Assistance Act* (Stafford Act), as amended, provides a mechanism for assistance by the Federal Government to State and local governments in carrying out their responsibilities to alleviate the suffering and damage to individuals and communities that result from disaster when the disaster overwhelms State and local resources. The Stafford Act prescribes the circumstances for declaring disasters, the types of assistance to be provided, and the cost sharing arrangements between Federal, State, and local governments.

The Stafford Act gives the President, who has further delegated this responsibility to the Administrator of the Federal Emergency Management Agency, authority to coordinate government-wide relief efforts and distributing assistance provided by the Act as structured currently by the National Response Framework. The Stafford Act also describes the programs and processes by which the Federal Government provides disaster and emergency assistance to State and local governments, tribal nations, eligible private nonprofit organizations, and individuals affected by a declared major disaster or emergency.

Under the Stafford Act, the President may issue two types of declarations after an incident overwhelms State and local resources—major disaster declarations and emergency declarations. Before the President may issue either declaration, certain steps specified in statute and in regulations must be undertaken. The governors of the affected States must generally request the Presidential declaration after certifying that necessary action has been taken under State law; damage estimates have been made; State and local resources have been or will be overwhelmed requiring Federal assistance; and cost sharing requirements of the statute will be met.

Post-Katrina Emergency Management Reform Act

Summary: The *Post-Katrina Emergency Management Reform Act* (PKEMRA) was enacted on October 4, 2006, as Title VI of the 2007 *DHS Appropriations Act*. PKEMRA made numerous amendments to the *Homeland Security Act* and the *Robert T. Stafford Disaster Relief and Emergency Assistance Act*. The following are some of the more significant provisions.

Role of FEMA: PKEMRA provided Federal Emergency Management Agency (FEMA) with responsibilities for protecting the Nation from all hazards and for leading and supporting the Nation in a risk-based comprehensive emergency management system of preparedness, protection, response, recovery, and mitigation. PKEMRA transferred much of the former Preparedness Directorate to FEMA.

Administrator of FEMA: PKEMRA contains qualification requirements on the Administrator and designates the Administrator as the principal advisor to the President, Homeland Security Council, and the Secretary for all matters relating to emergency management.

National Preparedness: PKEMRA requires the establishment of a national preparedness system, which includes target capabilities, preparedness priorities, training, and exercises. A Federal Preparedness report, updated annually, is also required.

Office of Emergency Communications: PKEMRA establishes the Office of Emergency Communications, led by a Director for Emergency Communications, who is charged with developing a National Emergency Communications Plan.

Tariff Act of 1930, as amended

Summary: The *Tariff Act of 1930*, as amended, sets forth the majority of provisions authorizing the enforcement and administration of customs laws by U.S. Customs and Border Protection (CBP) and U.S. Immigration and Customs Enforcement (ICE), as well as U.S. Coast Guard officers designated as customs officers under the *Tariff Act*.

Sprinkled throughout the Federal Code, however, are hundreds of provisions that either expressly authorize enforcement by ICE and/or CBP or, because of a reference to a border nexus, implicitly contemplate enforcement by ICE and/or CBP.

The *Tariff Act* is codified in Title 19 of the United States Code. It includes provisions that pertain to:

- Inspection and enforcement authorities (search, detention, seizure, arrest, and investigation of civil and criminal violations) for persons, goods, cargo, and conveyances coming into and leaving the United States;
- The ascertainment, assessment, and collection of duties on imported goods;
- Restrictions and prohibitions on the importation of articles;
- Information collection and sharing pertaining to the movement of goods, persons, and conveyances (e.g., manifests, reports of arrival, entry process, administrative summons);
- Disposition of goods (seizure and forfeiture, abandonment, sale), fines, and penalties for violations of laws enforced or administered by ICE and CBP; and
- Organizational and administrative authorities (e.g., establishing port of entry limits, rulemaking, closure of ports).

Of note, incorporated into this broad border enforcement mandate is the enforcement of over 400 laws on behalf of other agencies relating to the movement of persons, goods, and conveyances across U.S. borders.

Authorities of the U.S. Secret Service

Summary: On July 5, 1865, the U.S. Secret Service (USSS) Division was created within the Department of the Treasury to suppress counterfeiting. After the assassination of President McKinley in 1901, the Secret Service was tasked with the full-time protection of the President of the United States. Over the years, the responsibilities of USSS have broadened considerably.

Pursuant to its statutory authority, USSS is authorized to protect:

- The President, Vice President, the President-elect, and the Vice President-elect and their immediate families;
- Former Presidents and their spouses for their lifetimes, unless the former President did not serve as President prior to January 1, 1997, in which case, the protection for the former Presidents and their spouses may not last more than ten years from the date a former President leaves office (with some exceptions);
- Children of a former President who are under 16 years of age for a period not to exceed ten years or upon the child becoming 16 years of age, whichever comes first;
- Visiting head of foreign states or foreign governments;
- Other distinguished foreign visitors to the United States and official representatives of the United States performing special missions abroad when the President directs that such protection be provided;
- Major Presidential and Vice Presidential candidates and, within 120 days of the general Presidential election, the spouses of such candidates;

- The White House and any building in which Presidential Offices are located;
- The temporary official residence of the Vice President and grounds in Washington, D.C.;
- The Treasury Building and grounds; and
- Foreign diplomatic missions located in the Washington, D.C. metropolitan area, and, with certain limitations, foreign diplomatic missions located in metropolitan areas other than Washington, D.C.

USSS is also authorized to detect and arrest any person who violates provisions relating to:

- Counterfeiting and forgery;
- The Federal Deposit Insurance Corporation, Federal land banks, and Federal land bank associations;
- Any of the laws of the United States relating to coins, obligations, and securities of the United States and of foreign governments;
- Any of the laws of the United States relating to electronic fund transfer frauds, access device frauds, false identification documents or devices; and
- Any fraud or other criminal or unlawful activity in or against any federally insured financial institution, with certain limitations.

Officers and agents of the Secret Service are law enforcement officers authorized to exercise traditional law enforcement powers. The Secret Service is further authorized to participate in the planning, coordination, and implementation of security operations at special events of national significance, as determined by the President. The Secret Service is authorized, at the request of any State or local law enforcement agency, or at the request of the National Center for Missing and Exploited Children, to provide forensic and investigative assistance in support of any investigation involving missing or exploited children.

Implementing Recommendations of the 9/11 Commission Act of 2007

Summary: The *Implementing Recommendations of the 9/11 Commission Act of 2007* (9/11 Act) was enacted on August 3, 2007. It addresses a wide range of DHS missions, including transportation and cargo security, emergency management, grant administration, intelligence and information sharing, international travel, privacy and civil liberties, private sector preparedness, critical infrastructure protection, and DHS management activities. The more significant provisions in the 9/11 Act include:

- **Visa Waiver Program (VWP):** The VWP enables nationals of certain countries to travel to the United States for tourism or business for stays of 90 days or less without obtaining a visa. The 9/11 Act includes provisions to enhance the security of the VWP and authorizes the potential for expanding membership in the program. The 9/11 Act authorizes DHS to establish an electronic system for travel authorization to collect information in advance of travel to assist DHS in determining whether a VWP traveler

poses a security risk and is eligible to travel under the program. VWP participation is also conditioned on a number of benchmarks that participating countries must meet.

- **National Biosurveillance Integration Center:** The 9/11 Act clarifies the Secretary's authority to recognize and the important role played by the National Biosurveillance Integration Center in identifying, tracking, and coordinating the sharing of information about biological events.
- **Intelligence and information sharing activities:** The 9/11 Act makes a number of changes to DHS's intelligence and information sharing programs. It establishes an Under Secretary for Intelligence and Analysis (previously an Assistant Secretary position), mandates greater integration and standardization of intelligence products and information sharing activities, and modifies provisions of the *Homeland Security Act* relating to responsibilities regarding intelligence, information sharing, critical infrastructure protection, cyber security, and telecommunications activities.
- **Maritime cargo screening:** The 9/11 Act requires 100 percent scanning of all U.S.-bound cargo containers prior to loading onto vessels at foreign ports no later than July 1, 2012. The Secretary is authorized to waive and extend the deadline in two-year increments for a port provided certain conditions are met.
- **Emergency management grant provisions:** The 9/11 Act contains a number of provisions affecting DHS's emergency-management grant programs. It added discretion for the Secretary to allocate grants based on risk. It also establishes new grant programs, as well as imposes new grant application, award, and administration requirements.
- **Privacy and Civil Liberties:** The 9/11 Act established the Privacy and Civil Liberties Oversight Board as a freestanding Executive Branch element, with new authorities including certain subpoena powers in coordination with the Department of Justice. The 9/11 Act also makes several significant changes with respect to the role of the DHS Chief Privacy Officer.
- **Immunity for reporting suspected terrorist behavior:** The 9/11 Act includes provisions intended to provide greater immunity from civil liability to those who report suspected terrorist activity in specified transportation contexts.
- **Enforcement, regulatory, and other deadlines:** The 9/11 Act also contains a number of significant, costly, and very ambitious deadlines, including, but not limited to, requirements to:
 - Screen 50 percent of all cargo carried on passenger aircraft within 18 months (and 100 percent in 3 years);
 - Create a nationwide registration program for law enforcement officers who fly armed on commercial aircraft, including biometric credentialing, within 18 months;
 - Implement a voluntary preparedness accreditation and certification program for the private sector within 210 days;
 - Conduct security reviews of all foreign repair stations within six months of issuance of final regulations for security of foreign and domestic aircraft repair stations;

- Conduct security threat assessments of frontline rail and public transportation employees within one year; and
- Develop credentialing standards for emergency responders, including critical infrastructure workers within one year.

Point of Contact

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Summary: Homeland Security Presidential Directives

Homeland Security Presidential Directives (HSPDs) record and communicate Presidential decisions about the homeland security policies of the United States. Historically, presidents have issued similar decisions under different names. President William Clinton, for example, issued “Presidential Decision Directives.” President George W. Bush issued both “National Security Presidential Directives” and HSPDs and, where the directives implicated both homeland security and national security interests, he designated them as “NSPD/HSPDs.” Whatever their form, these directives continue to guide the actions of the Executive Branch until rescinded or amended. This paper summarizes each of the current 25 HSPDs.

Summaries

Homeland Security Presidential Directive-1 (October 29, 2001)

Organization and Operation of the Homeland Security Council: HSPD-1 ensures coordination of homeland security-related activities among executive Departments and Agencies and promotes the effective development and implementation of homeland security policies. It also establishes several working committees subordinate to the Homeland Security Council, including the Homeland Security Council Principals Committee (HSC/PC), Homeland Security Council Deputies Committee (HSC/DC), and eleven separate Homeland Security Council Policy Coordination Committees (HSC/PCCs). The HSC/PC is the senior interagency forum under the Homeland Security Council for homeland security issues. The HSC/DC serves as the senior sub-Cabinet interagency forum for consideration of policy issues affecting homeland security. The HSC/PCCs provide the primary forum for interagency coordination of homeland security policy.

Homeland Security Presidential Directive-2 (October 29, 2001)

Combating Terrorism Through Immigration Policies: HSPD-2 provides for the creation of a task force to work aggressively to prevent aliens who engage in or support terrorist activity from entering the United States and to detain, prosecute, or deport any such aliens who are within the United States. It directs the development and implementation of multi-year plans aimed at enhancing the investigative and intelligence analysis capabilities of the former Immigration and Naturalization Service (INS) and the Customs Service (now U.S. Immigration and Customs Enforcement and U.S. Customs and Border Protection). In addition, this directive implements measures to end the abuse of student visas and directs negotiations with Canada and Mexico to assure compatibility of immigration, customs, and visa policies. It also mandates the development of recommendations for the use of advanced technology to help enforce U.S. immigration laws.

Homeland Security Presidential Directive-3 (March 11, 2002)

Homeland Security Advisory System: HSPD-3 establishes a comprehensive and effective means to disseminate information regarding the risk of terrorist acts to Federal, State, and local authorities and to the American people. This system provides warnings in the form of a set of graduated “Threat Conditions” that increase as the risk of a threat increases.

At each Threat Condition, Federal Departments and Agencies are to implement a corresponding set of “Protective Measures” to further reduce vulnerability or increase response capability during a period of heightened alert. This directive establishes the following threat levels:

1. Low Condition (Green): When there is a low risk of terrorist attacks.
2. Guarded Condition (Blue): When there is a general risk of terrorist attacks.
3. Elevated Condition (Yellow): When there is a significant risk of terrorist attacks.
4. High Condition (Orange): When there is a high risk of terrorist attacks.
5. Severe Condition (Red): Reflects a severe risk of terrorist attacks.

Homeland Security Presidential Directive-4/National Security Presidential Directive-17 (December 2002)

National Strategy to Combat Weapons of Mass Destruction (Unclassified Version):

HSPD-4 establishes three principal pillars, upon which the National Strategy to Combat Weapons of Mass Destruction (WMD) is based: 1) counterproliferation to combat WMD use, 2) strengthened nonproliferation to combat WMD proliferation, and 3) consequence management to respond to WMD use.

Homeland Security Presidential Directive-5 (February 28, 2003)

Management of Domestic Incidents: HSPD-5 enhances the ability of the United States to manage domestic incidents by establishing a single, comprehensive national incident management system (NIMS). The objective is to ensure that all levels of government across the Nation have the capability to work efficiently and effectively together, using a national approach to domestic incident management. It directs the Secretary of Homeland Security to develop, submit for review to the Homeland Security Council, and administer NIMS. This directive assigns the Secretary as the principal Federal official for domestic incident management. It also assigns responsibility to the Secretary for coordinating the Federal Government’s resource utilization in response to or recovery from terrorist attacks, major disasters, or other emergencies. It further directs the Secretary to develop, submit for review to the Homeland Security Council, and administer the National Response Plan (currently the National Response Framework). This plan integrates Federal Government domestic prevention, preparedness, response, and recovery plans into one all-discipline, all-hazards plan. The *Post-Katrina Emergency Reform Act*, enacted as part of the *2007 Appropriations Act* after issuance of HSPD-5, provides additional direction on this subject.

Homeland Security Presidential Directive-6 (September 16, 2003)

Integration and Use of Screening Information: HSPD-6 provides for the establishment of the Terrorist Threat Integration Center (TTIC) and directs the heads of executive Departments and Agencies to provide the TTIC on an ongoing basis all appropriate terrorist information. The Secretary of Homeland Security is responsible for developing guidelines to govern the use of this information to support State, local, territorial, and tribal screening processes, and private sector screening processes that have a substantial bearing on homeland security.

Homeland Security Presidential Directive-7 (December 17, 2003)

Critical Infrastructure Identification, Prioritization, and Protection: HSPD-7 establishes a national policy for Federal Departments and Agencies to identify and prioritize U.S. critical infrastructure and key resources and to protect them from terrorist attacks. The Secretary of Homeland Security is responsible for coordinating the overall national effort to enhance the protection of the critical infrastructure and key resources of the United States. The Secretary serves as the principal Federal official to lead, integrate, and coordinate implementation of efforts among Federal Departments and Agencies, State and local governments, and the private sector to protect critical infrastructure and key resources. In support of this role, the Secretary is tasked with identifying, prioritizing, and coordinating the protection of critical infrastructure and key resources with an emphasis on those that could be exploited to cause catastrophic health effects or mass casualties. This directive also affirms the Secretary's ongoing responsibility to maintain an organization to serve as a focal point for the security of cyberspace and provides that the Secretary will be responsible for designating events as "National Special Security Events."

Homeland Security Presidential Directive-8 (December 17, 2003)

National Preparedness: HSPD-8 is a companion to HSPD-5 and establishes policies to strengthen the preparedness of the United States to prevent and respond to threatened or actual domestic terrorist attacks, major disasters, and other emergencies by requiring a national domestic all-hazards preparedness goal, establishing mechanisms for improved delivery of Federal preparedness assistance to State and local governments, and outlining actions to strengthen preparedness capabilities of Federal, State, and local entities. It describes the way Federal Departments and Agencies will prepare for responses, including prevention activities during the early stages of a terrorism incident. It directs the Secretary, in coordination with the heads of other appropriate Federal Departments and Agencies and in consultation with State and local governments, to develop a national domestic all-hazards preparedness goal.

Homeland Security Presidential Directive-8 (Annex 1) (December 17, 2007)

National Planning: HSPD-8 further enhances the preparedness of the United States by formally establishing a standard and comprehensive approach to national planning. It provides guidance for conducting planning in accordance with the Homeland Security Management System in the National Strategy for Homeland Security of 2007. The directive establishes a planning process involving three levels of planning: 1) strategic, 2) operational, and 3) tactical. The goal of the planning process is the development of a family of related planning documents to include strategic guidance statements, strategic plans, concepts of operations, operations plans, and tactical plans. It directs the Secretary of Homeland Security to submit to the President for approval an Integrated Planning System and National Planning Scenarios that are developed in coordination with the heads of Federal Agencies with a role in homeland security.

Homeland Security Presidential Directive-9 (January 30, 2004)

Defense of United States Agriculture and Food: HSPD-9 establishes a national policy to defend the agriculture and food system against terrorist attacks, major disasters, and other

emergencies. It directs the Secretary of Homeland Security to coordinate with the Secretary of Agriculture, the Secretary of Health and Human Services, and the Administrator of the Environmental Protection Agency – and the heads of other appropriate Federal Departments and Agencies – to create a new biological threat awareness capacity, conduct vulnerability assessments, and develop mitigation, response, and recovery strategies for terrorist attacks.

Homeland Security Presidential Directive-10 (April 28, 2004)

Biodefense for the 21st Century: HSPD-10 provides a comprehensive framework for our Nation’s Biodefense. It establishes the following as essential pillars of our national biodefense program: threat awareness, prevention and protection, surveillance and detection, and response and recovery. It directs the Secretary of Homeland Security, as the principal Federal official for domestic incident management, to coordinate domestic Federal operations to prepare for, respond to, and recover from biological weapons attacks. It establishes DHS’s responsibility for conducting periodic senior-level policy net assessments that evaluate progress in implementing the biodefense policy and identifies continuing gaps or vulnerabilities in our biodefense posture.

Homeland Security Presidential Directive-11 (August 27, 2004)

Comprehensive Terrorist-Related Screening Procedures: HSPD-11 implements a coordinated and comprehensive approach to terrorist-related screening that supports homeland security, at home and abroad. This directive builds upon HSPD-6 and directs the preparation of a report by the Secretary of Homeland Security, in coordination with various Federal Agencies, outlining a strategy to enhance the effectiveness of terrorist-related screening activities by developing comprehensive, coordinated, systematic terrorist-related screening procedures and capabilities that also take into account a broad set of guidelines provided in the directive. It further directs the preparation of a prioritized investment and implementation plan for a systematic approach to terrorist-related screening.

Homeland Security Presidential Directive-12 (August 27, 2004)

Policy for a Common Identification Standard for Federal Employees and Contractors: HSPD-12 establishes a mandatory, government-wide standard for secure and reliable forms of identification issued by the Federal Government to its employees and contractors. It directs the Secretary of Commerce to promulgate a Federal standard for secure and reliable forms of identification and the heads of executive Departments and Agencies to implement programs to meet the standard.

Homeland Security Presidential Directive-13/National Security Presidential Directive-41 (December 21, 2004)

Maritime Security Policy: HSPD-13 establishes policy guidelines to enhance national and homeland security by protecting U.S. maritime interests. It directs the coordination of U.S. Government maritime security programs and initiatives to achieve a comprehensive and cohesive national effort involving appropriate Federal, State, local, and private sector entities. It establishes a Maritime Security Policy Coordinating Committee (MSPCC) to coordinate

interagency maritime security policy efforts. The MSPCC acts as the primary forum for interagency coordination of the implementation of HSPD-13. It also directs the Secretaries of Defense and Homeland Security to jointly lead a collaborative interagency effort to draft a National Strategy for Maritime Security, which presents an over-arching plan to address all of the components of the Maritime Domain, including domestic, international, public, and private components.

Homeland Security Presidential Directive-14/National Security Presidential Directive-14 (April 15, 2005)

Domestic Nuclear Protection: HSPD-14 protects against the unauthorized importation, possession, storage, transportation, development, or use of a nuclear explosive device, fissile material, or radiological material in the United States. It continues to develop, deploy, and enhance national nuclear and radiological detection capabilities. It directs the Secretary of Homeland Security, in coordination with the Secretary of State, Secretary of Defense, Secretary of Energy, and the Attorney General, to establish a national level Domestic Nuclear Detection Office (DNDO) within DHS.

Homeland Security Presidential Directive-15 [Classified – Summary contained in classified briefing materials]

Homeland Security Presidential Directive-16/National Security Presidential Directive-47 (June 20, 2006)

Aviation Strategy: HSPD-16 details a strategic vision for aviation security, while recognizing ongoing efforts, and directs the production of a National Strategy for Aviation Security and supporting plans. It also directs the Secretary of Homeland Security, in coordination with the Secretary of Transportation, to develop a risk-based implementation plan for the reduction of vulnerabilities within the Aviation Transportation System, an Aviation Transportation System Recovery Plan, and an engagement plan that ensures the interests of State and local government and the private sector are considered in the implementation of the directive.

Homeland Security Presidential Directive-17 [Classified – Summary contained in classified briefing materials]

Homeland Security Presidential Directive-18 (January 31, 2007)

Medical Countermeasures against Weapons of Mass Destruction: HSPD-18 establishes policy guidelines to draw upon the considerable potential of the scientific community in the public and private sectors to address medical countermeasure requirements relating to chemical, biological, radiological, and nuclear agents (CBRN) threats. It employs a two-tiered approach for the development and acquisition of medical countermeasures, which balances the immediate need to provide a capability to mitigate the most catastrophic of the current CBRN threats with long-term requirements to develop more flexible, broader spectrum countermeasures to address future threats. It directs the Secretary of Health and Human Services to lead Federal Government efforts to research, develop, evaluate, and acquire public health emergency medical

countermeasures to prevent or mitigate the health effects of CBRN threats facing the U.S. civilian population.

Homeland Security Presidential Directive-19 (February 12, 2007)

Combating Terrorist Use of Explosives in the United States: HSPD-19 establishes a national policy and calls for the development of a national strategy and implementation plan on the prevention and detection of, protection against, and response to terrorist use of explosives in the United States. It directs the Secretary of Homeland Security to maintain secure information-sharing systems that make available to law enforcement agencies and other first responders information concerning the use of explosives as a terrorist weapon and related insurgent war fighting tactics, both domestically and internationally. It also directs the Secretary to coordinate Federal Government research, development, testing, and evaluation activities relating to the detection and prevention of, protection against, and response to explosive attacks and the development of explosives render-safe tools and technologies.

Homeland Security Presidential Directive-20/National Security Presidential Directive-51 (May 9, 2007)

National Continuity Policy: HSPD-20 establishes a comprehensive national policy on the continuity of Federal Government structures and operations, and a single National Continuity Coordinator responsible for coordinating the development and implementation of Federal continuity policies. It establishes “National Essential Functions” and directs the Secretary of Homeland Security to promulgate Federal Continuity Directives, conduct biennial assessments of individual department and agency continuity capabilities, and develop and lead Federal continuity training and exercise programs. It also directs the Secretary to make available continuity planning and exercise funding in the form of grants to state, local, territorial, and tribal governments, and private sector critical infrastructure owners and operators. As Executive Agent of the National Communications System, the Secretary is tasked with the development, implementation, and maintenance of comprehensive continuity communications architecture.

Homeland Security Presidential Directive 20 (Annex A)

Categories of Department and Agencies: Annex A to HSPD-20 assigns executive Departments and Agencies to one of four categories commensurate with their Continuity of Operations (COOP), Continuity of Government (COG), and Enduring Constitutional Government (ECG) responsibilities during an emergency. These categories are used for continuity planning, communications requirements, emergency operations capabilities, and other related requirements.

Homeland Security Presidential Directive-21 (October 18, 2007)

Public Health and Medical Preparedness: HSPD-21 establishes a national strategy that will enable a level of public health and medical preparedness sufficient to address a range of possible disasters. It establishes a National Strategy for Public Health and Medical Preparedness designed to transform our national approach to protecting the health of the American people

against all disasters. It also establishes a Public Health and Medical Preparedness Task Force chaired by the Secretary of Health and Human Services.

Homeland Security Presidential Directive-22 [Classified – Summary contained in classified briefing materials]

Homeland Security Presidential Directive-23/National Security Presidential Directive-54 [Classified – Summary contained in classified briefing materials]

Homeland Security Presidential Directive-24/National Security Presidential Directive-59 (June 5, 2008)

Biometrics for Identification and Screening to Enhance National Security: This directive establishes a framework to ensure that Federal executive Departments and Agencies use mutually compatible methods and procedures in the collection, storage, use, analysis, and sharing of biometric and associated biographic and contextual information of individuals in a lawful and appropriate manner, while respecting their information privacy and other legal rights under United States law.

Point of Contact

- Joseph B. Maher, OGC Deputy General Counsel, b(2), b(6)

Implementing Recommendations of the 9/11 Commission Act of 2007: Working Group Formed To Track Provisions

On August 3, 2007, the President signed into law the Implementing Recommendations of the 9/11 Commission Act of 2007 (9/11 Act). The Department created a 9/11 Act working group to coordinate and track implementation of the legislation. The Office of Policy (PLCY) and the Office of the General Counsel (OGC) co-chair the Working Group.

Of the 258 distinct programmatic, regulatory, reporting, and other requirements mandated by the Act, 87 have been completed as of September 2008. Many of these requirements are unfunded mandates and have substantial operational impediments and unrealistic deadlines.

Background

On August 3, 2007, the President signed the 9/11 Act and a working group was formed to implement the more than 250 provisions mandated by Congress. PLCY and OGC co-chair the 9/11 Act Working Group, with participation from across DHS, as well as outside involvement from the Department of Transportation, the Office of Management and Budget, and the Homeland Security Council.

The 9/11 Act Working Group identified 258 discrete requirements in the 9/11 Act and assigned a “lead” component for implementing each of these requirements. The requirements generally fall under the following categories:

- Studies and reports due to Congress;
- New regulations; and
- New programs.

The following are a few examples of the Act’s requirements:

- Section 711 (d)(1) requires implementation of an electronic travel authorization system to collect information from foreign nationals traveling to the United States under the Visa Waiver Program.
- Title IX of the Act requires development of a voluntary private sector preparedness program through agreements with non-governmental organizations to accredit third parties to certify private sector entities’ adherence to preparedness standards.
- Section 1602 requires screening of 50 percent of air cargo on passenger aircraft by 2/3/09 and 100 percent of air cargo on passenger aircraft by 8/3/10.
- Section 2401 requires a process to conduct a quadrennial homeland security review to comprehensively examine the homeland security strategies of the Nation, including recommendations for the long-term strategy and priorities of homeland security and guidance on programs, assets, capabilities, budget, policies, and authorities of the Department.

The 9/11 Act Working Group generates and receives monthly written status reports from the lead components, and has held monthly meetings to facilitate timely implementation. Additionally, the Under Secretary for Management has assisted in assessing the fiscal and operational feasibility of the legislative requirements.

Current Status

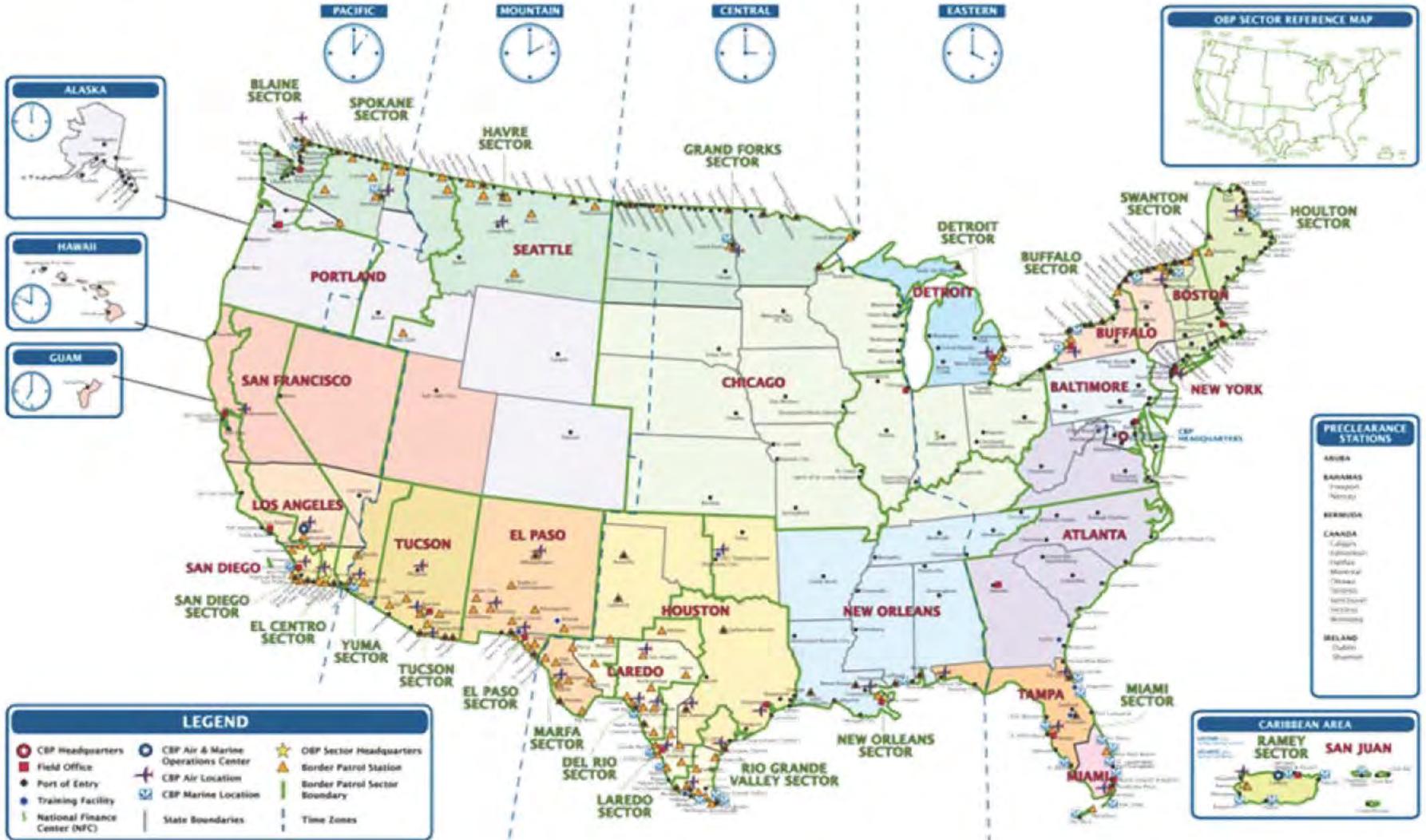
- The co-chairs of the 9/11 Act Working Group continue to monitor progress and coordinate with Components on the implementation of the remaining provisions.
- A tracking chart is available from Brad Belzak, whose contact information appears below.

Challenges

- Many of the 258 requirements are unfunded mandates.
- Many of the requirements have substantial operational impediments.
- Many of the requirements have unrealistic deadlines.
- Following are several examples of mandates not yet met:
 - Section 1512(a) mandates regulations requiring high risk passenger and freight railroads to conduct vulnerability assessments and security plans (due 8/3/08) (rulemaking efforts are underway, but the statutory deadline was unfeasible).
 - Sections 1408, 1517, and 1534 mandate regulations requiring security training programs for public transportation (due 8/3/08), railroad employees (due 2/3/08), and over-the-road bus (due 2/3/08) (rulemaking efforts are underway, but the statutory deadline was unfeasible).
 - Sections 1411 and 1520 require background and immigration status checks for all public transportation and railroad frontline employees (due 8/4/2008) (DHS lacks sufficient resources for these programs).
 - Section 1615 (a) requires a national registered armed law enforcement program for armed officers traveling by commercial aircraft (due 2/3/2009) (DHS lacks sufficient resources for this program).
 - Section 1701(a) requires 100 percent scanning of cargo entering the United States after July 2012, unless the Secretary establishes a later date (DHS is implementing a number of pilot projects, but might need to extend the deadline for certain ports).

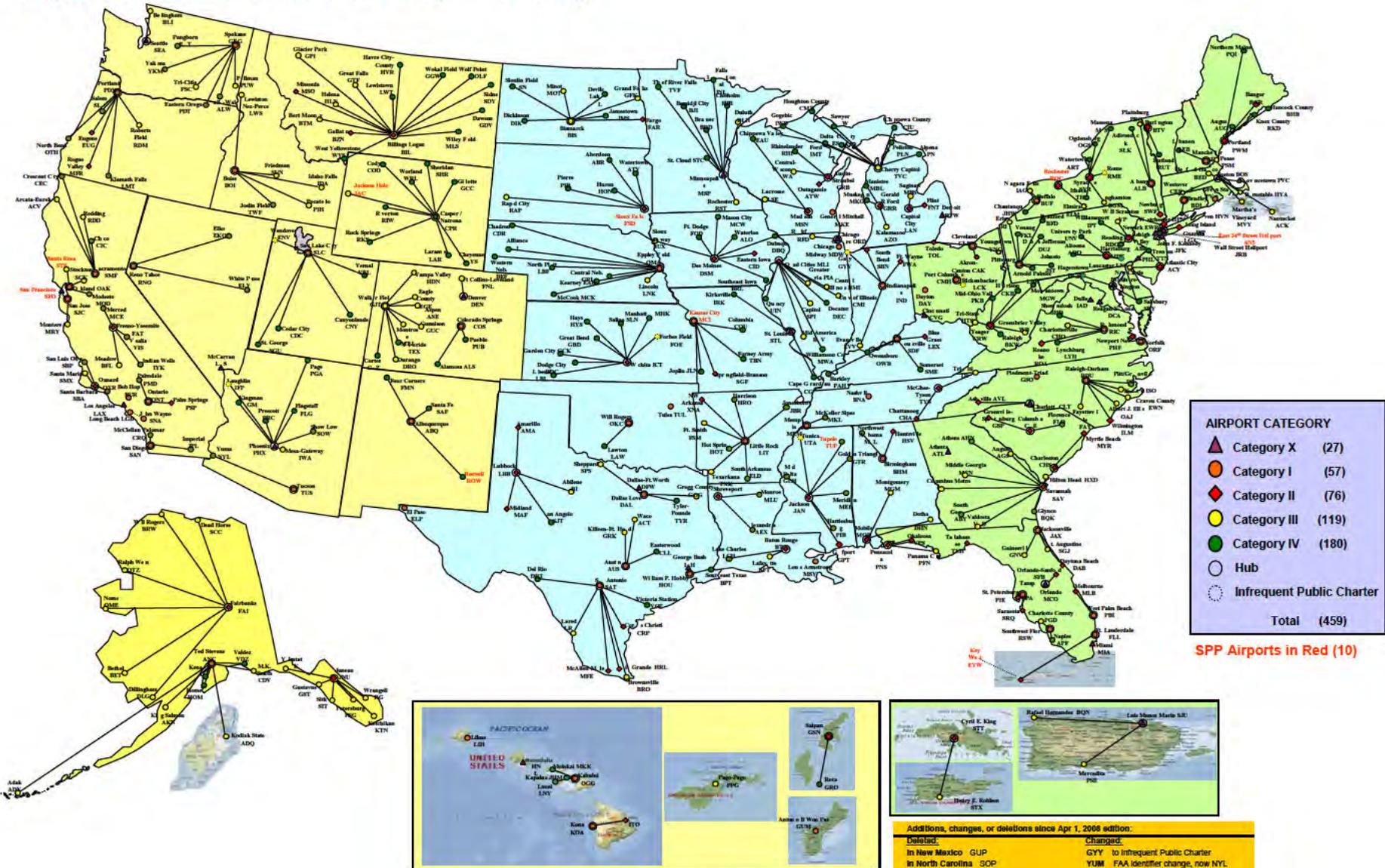
Points of Contact

- Scott Murphy, Assistant General Counsel for Legislation, b(2), b(6)
- Brad Belzak, Senior Policy Advisor, b(2), b(6)

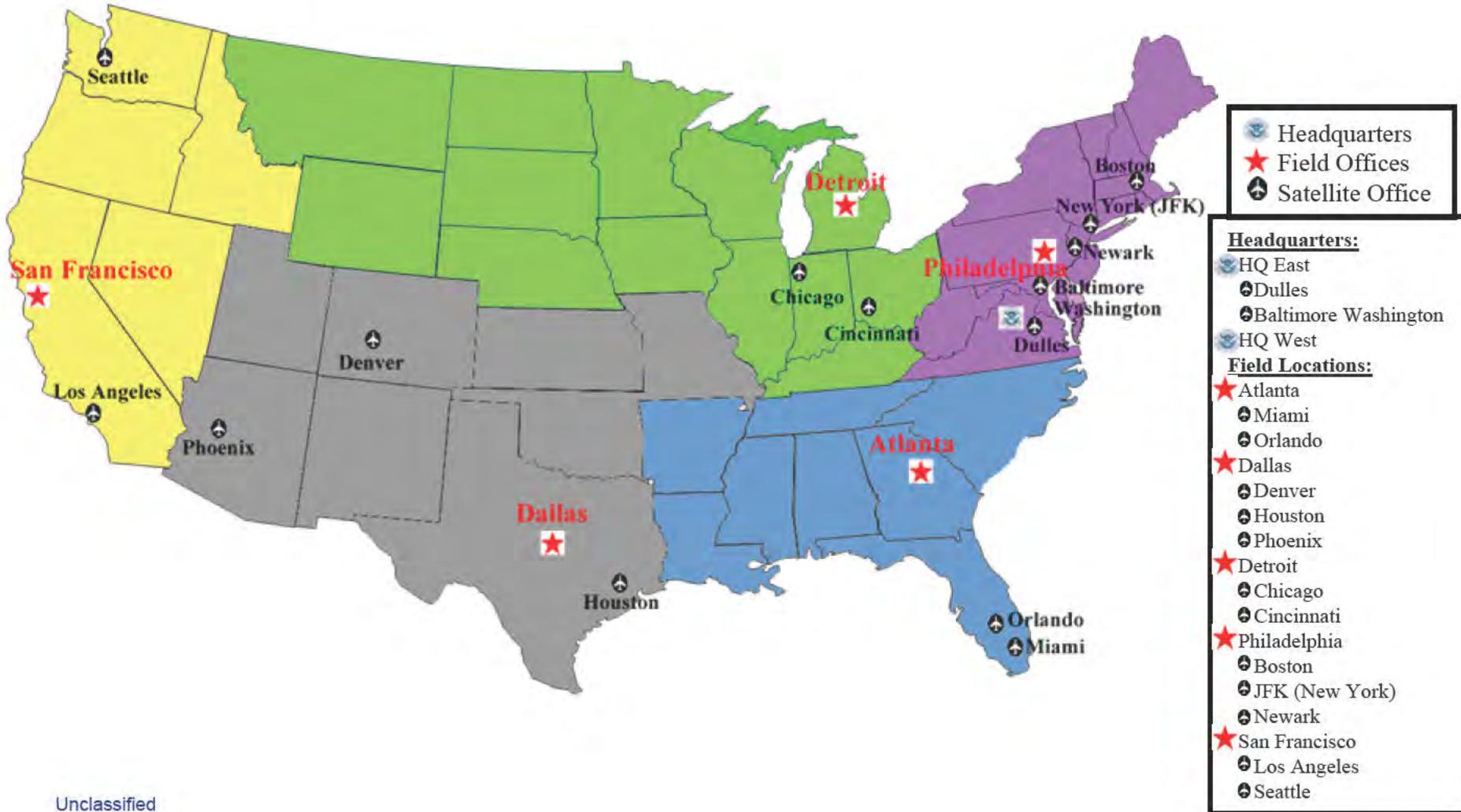


Revised 07/08

Airports with Federalized Security Screening

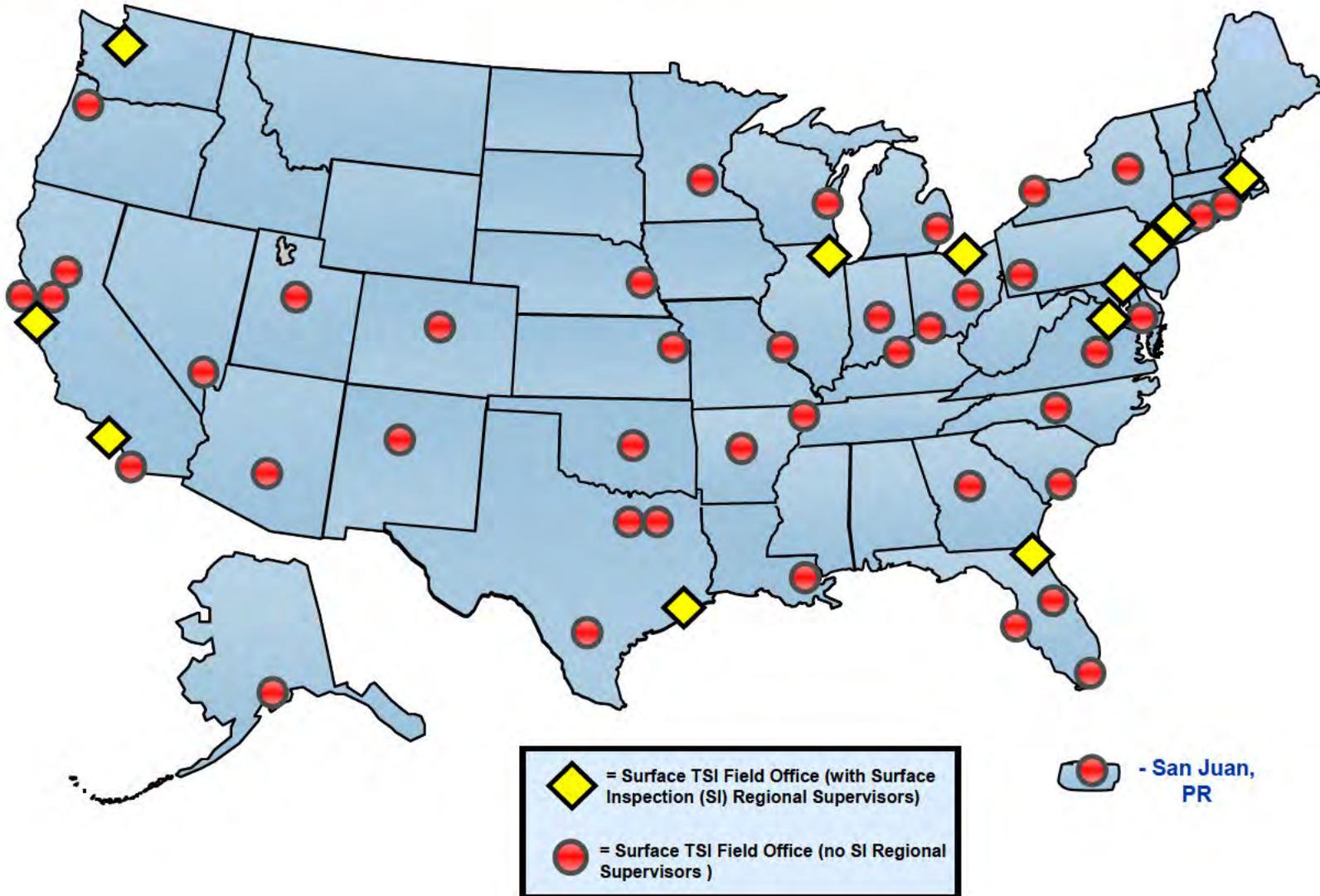


Office of Inspection Headquarters and Field Offices



Unclassified

Surface Transportation Security Inspection (TSI) Program



Presence Overseas



Positions include:

- TSA Representatives (TSARs)
- International Industry Representatives (IIRs)
- Regional Operations Center (ROC) Managers
- Transportation Security Specialists (TSSs)

Europe

- Athens, Greece
- Berlin, Germany
- Frankfurt, Germany
- Brussels, Belgium
- London, England
- Madrid, Spain
- Paris, France
- Rome, Italy
- Warsaw, Poland (FY08)

Asia/Pacific

- Bangkok, Thailand
- Beijing, China
- Manila, Philippines
- New Delhi, India (FY08)
- Singapore
- Sydney, Australia
- Tokyo, Japan

Canada/Mexico/Caribbean

- Ottawa, Canada (FY08)
- Mexico City, Mexico
- Montreal, Canada (ICAO positions)

Latin America

- Buenos Aires, Argentina

Middle East/Africa

- Amman, Jordan
- Nairobi, Kenya (Safe Skies position)

Field Office Geographical Jurisdiction

