



# U.S. Department of Homeland Security Annual Performance Report

Fiscal Years 2011 – 2013



Homeland  
Security

## *Our Vision*

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*A homeland that is safe, secure, and resilient  
against terrorism and other hazards.*

### **About this Report**

The U.S. *Department of Homeland Security Annual Performance Report for Fiscal Years (FY) 2011 – 2013* presents the Department's performance measures and applicable results, associated performance targets for FY 2012 and FY 2013, and provides information on the Department's Priority Goals.

For FY 2011, the Department is using the alternative approach—as identified in the Office of Management and Budget's Circular A-136—to produce its Performance and Accountability Reports, which consists of the following three reports:

- ***DHS Annual Financial Report:*** Publication date – November 11, 2011.
- ***DHS Annual Performance Report:*** Publication date – February 13, 2012. The *DHS Annual Performance Report* is submitted with the Department's Congressional Budget Justification.
- ***DHS Summary of Performance and Financial Information:*** Publication date – February 13, 2012.

When published, all three reports will be located on our public website at:  
[http://www.dhs.gov/xabout/budget/editorial\\_0430.shtm](http://www.dhs.gov/xabout/budget/editorial_0430.shtm).

For more information, contact:

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

Information may also be requested by sending an email to [par@dhs.gov](mailto:par@dhs.gov) or calling (202) 447-0333.



**Homeland  
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## Introduction

The U.S. *Department of Homeland Security (DHS) Annual Performance Report (APR) for Fiscal Years 2011 – 2013* presents the Department's performance measures and applicable results for FY 2011, associated performance targets for FY 2012 and FY 2013, and information on the Department's Priority Goals.

The APR is part of the Office of Management and Budget's ([OMB](#)) alternative approach to the consolidated Performance and Accountability report and is submitted as part of DHS's FY 2013 Congressional Budget Justification. This report also satisfies the *Government Performance and Results Act (GPRA)* and the *GPRA Modernization Act of 2010* requirement to publish the Department's Annual Performance Plan.

## Missions and Responsibilities for Homeland Security

This report is organized around DHS's major missions and responsibilities within the framework of the Quadrennial Homeland Security Review ([QHSR](#)) and the subsequent structure developed in the DHS Bottom-Up Review ([BUR](#)). In each mission area identified in the BUR, we have continued to grow and mature as a department by strengthening our existing capabilities, building new ones where necessary, enhancing our partnerships across all levels of government and with the private sector, and streamlining our operations and increasing efficiency.

Eight years since the Department's creation and ten years after the September 11, 2001 terrorist attacks, the results are clear: we have helped build a more effective and integrated Department, a strengthened homeland security enterprise, and a more secure America that is better equipped to confront the range of evolving threats we face. A summary of our missions and responsibilities follows.

### ***Mission 1: Preventing Terrorism and Enhancing Security***

Protecting the United States from terrorism is the cornerstone of homeland security. DHS's counterterrorism responsibilities focus on three goals: preventing terrorist attacks; preventing the unauthorized acquisition, importation, movement, or use of chemical, biological, radiological, and nuclear materials and capabilities within the United States; and reducing threats to and vulnerability of critical infrastructure, key resources, essential leadership, and major events from terrorist attacks and other hazards.

### ***Mission 2: Securing and Managing Our Borders***

The protection of the Nation's borders—land, air, and sea—from the illegal entry of people, weapons, drugs, and other contraband while facilitating lawful travel and trade is vital to homeland security, as well as the Nation's economic prosperity. The Department's border security and management efforts focus on three interrelated goals: effectively securing U.S. air, land, and sea borders; safeguarding and streamlining lawful trade and travel; and disrupting and dismantling transnational criminal and terrorist organizations.





### ***Mission 3: Enforcing and Administering Our Immigration Laws***

The success of our Nation’s immigration policy plays a critical role in advancing homeland security. DHS is focused on smart and effective enforcement of U.S. immigration laws while streamlining and facilitating the legal immigration process. The Department has fundamentally reformed immigration enforcement, focusing on identifying and removing criminal aliens who pose a threat to public safety and targeting employers who knowingly and repeatedly break the law.

### ***Mission 4: Safeguarding and Securing Cyberspace***

Cyberspace is highly dynamic and the risks posed by malicious cyber activity often transcend sector and international boundaries. Today’s threats to cybersecurity require the engagement of the entire society—from government and law enforcement to the private sector and most importantly, members of the public—to mitigate malicious activities while bolstering defensive capabilities.

DHS is responsible for protecting the federal executive branch civilian agencies and guiding the protection of the nation’s critical infrastructure. This includes the “dot-gov” world, where the government maintains essential functions that provide services to the American people, as well as privately owned critical infrastructure which includes the systems and networks that support the financial services industry, the energy industry, and the defense industry.

### ***Mission 5: Ensuring Resilience to Disasters***

DHS coordinates comprehensive federal efforts to prepare for, protect against, respond to, recover from, and mitigate a terrorist attack, natural disaster or other large-scale emergency, while working with individuals, communities, the private and nonprofit sectors, faith-based organizations, local, state, tribal, territorial and federal partners to ensure a swift and effective recovery effort. The Department’s efforts to build a ready and resilient Nation include fostering a Whole Community approach to emergency management nationally; building the Nation’s capacity to stabilize and recover from a catastrophic event; bolstering information sharing and building unity of effort and common strategic understanding among the emergency management team; building plans and providing training to our homeland security partners; and promoting preparedness within the private sector.

### ***Providing Essential Support to National and Economic Security***

Homeland security is an integral element of broader U.S. national security and domestic policy. It is not, however, the only element. The *National Security Strategy* clearly identifies national defense and economic security as other elements—along with homeland security—of overall U.S. national security. DHS leads and supports many activities that provide essential support to national and economic security including, but not limited to: maximizing collection of customs revenue; maintaining the safety and security of the marine transportation system; preventing the exploitation of children; providing law enforcement training; and coordinating the Federal Government’s response to global intellectual property theft. DHS contributes in many ways to these elements of broader U.S. national and economic security while fulfilling its homeland security missions.



## Performance Management Framework in DHS

DHS has created a robust performance framework that drives performance management and enables the implementation of performance initiatives and the reporting of results within the Department on a comprehensive set of measures that are aligned with the mission outcomes articulated in the QHSR and the Bottom-Up Review. This framework consists of a performance community, an annual process to review and improve performance measurement, and a verification and validation process. The framework also incorporates quarterly reporting of measure data, and quarterly performance reviews by the Chief Operating Officer. Finally, the performance management framework integrates with the Department's Planning, Programming, Budgeting, and Execution (PPBE) process to develop an integrated performance budget.

### Performance Community

The DHS performance community is led by the Performance Improvement Officer (PIO), supported by the Office of Program Analysis and Evaluation, the Performance Action Team, and Performance staff from across the Department and the Components. The Performance Action Team is comprised of the chiefs of the lines of business and other senior leaders who work with the PIO to manage cross-cutting initiatives issued by the White House and Office of Management and Budget, such as the new Executive Order on *Delivering an Efficient, Effective, and Accountable Government*. The PIO is also supported by staff from across the Department which consists of performance analysts from each of our Components and headquarters organizations who are primarily responsible for performance data collection, reporting, and analysis within the Department. This performance community, along with the Chief Operating Officer, drives performance management in DHS.

### Annual Process to Review and Improve Performance Measurement

With the issuance of the BUR in July of 2010, DHS leadership led a comprehensive effort to recast the performance measures to gauge results associated with our new mission framework. Many new measures were designed to inform stakeholders on how DHS is delivering results associated with its missions. DHS will be reporting results for many of these measures for the first time in this report. DHS continues to face measurement challenges in gauging a mission focused on prevention and deterrence. As such, the PIO directed the Office of Program Analysis and Evaluation, supported by senior DHS leadership, to continue to lead an annual performance measurement improvement process to develop the right measures that are more effective at conveying the results delivered by programs to meet our mission.

### Verification and Validation Process

The Department recognizes the importance of collecting complete, accurate, and reliable performance data, as this helps determine progress toward achieving program and Department goals and objectives. Performance data are considered reliable if transactions and other data that support reported performance measures are properly recorded, processed, and summarized to permit the preparation of performance information in accordance with criteria stated by management. [OMB Circular A-136](#), Financial Reporting Requirements, and the [Reports Consolidation Act of 2000](#)



(P.L. No. 106-531) further delineates this responsibility, by requiring that the agency head attests to the completeness and reliability of the performance data they report.

The verification and validation of performance measure data is intended to increase the accuracy of the performance data. As such, DHS implemented a two-pronged approach to effectively mitigate risks and reinforce processes that enhance DHS's ability to report complete and reliable data for performance measure reporting. This approach consists of: 1) the GPRA Performance Measure Checklist for Completeness and Reliability; and 2) independent assessment of the completeness and reliability of GPRA performance measures.

### **GPRA Performance Measure Checklist for Completeness and Reliability**

The GPRA Performance Measure Checklist for Completeness and Reliability is used by Components to self-evaluate key controls over GPRA performance measure planning and reporting information. For each key control, Components are required to describe their control activities and provide their assessment regarding their level of achievement at the end of each fiscal year. Components also factor the results of any internal or independent measure assessments into their rating. The GPRA Performance Measures Checklist for Completeness and Reliability supports the Component Head assurance statements attesting to the completeness and reliability of the performance data. Individual Component Head assurance statements serve as the primary basis for the Secretary's assertion whether or not the Department has effective controls over financial and performance reporting as well as the efficiencies of our operations.

### **Independent Assessment of the Completeness and Reliability of GPRA Performance Measures**

DHS conducts an independent assessment of performance measure data on a sample of its performance measures annually using an independent review team. The independent review team assesses selected measures using the methodology prescribed in the DHS Performance Measure Verification and Validation Handbook. The Handbook is distributed to all Components to encourage the development and maturation of internal data verification and validation capabilities, increase transparency, and facilitate the review process. The assessment team documents their findings and makes recommendations for improvement. Components are encouraged to implement recommendations to the greatest extent practicable, and mandatory corrective actions are required to address unreliable measures. DHS has shared their process with other agencies in support of their verification and validation improvement efforts.

### **Management Assurance**

The Management Assurance Process during FY 2011 required that all Component Heads in DHS assert that performance measure data reported in the Department's Performance and Accountability Reports are complete and reliable. Except for the measures listed below, all performance information is complete and reliable:

- Performance Measure: Percent of countermeasures that are determined to be in compliance with standards when tested in federal facilities (NPPD)



- The tool used to evaluate the countermeasure effectiveness was suspended in FY 2011. No data is or will be available for this measure for FY 2011. NPPD is working to put in place a manual process to capture data until a replacement tool is developed and deployed. For more information, see page 12.
- Performance Measure: Percent of young adults with sufficient level of cybersecurity awareness (NPPD)
  - The survey question upon which this measure was based was discontinued by the Federal Trade Commission (FTC) and the National Cyber Security Alliance. NPPD is working to establish an implementation plan and measurement strategy to gauge awareness. For more information, see page 26.

## Quarterly Reporting and Reviews

DHS is committed to increasing the use of performance information to inform decision-making. The Department produces quarterly reports to promote transparency and provide timely information to leadership on program performance. These quarterly reports not only provide actual performance results to date, but also an assessment by program managers of whether they believe they are going to achieve their targets by the end of the fiscal year. If it appears that targets may not be met, program managers are encouraged to initiate corrective actions to address program performance. At the end of the fiscal year, program managers report fiscal year-end results, along with analyses of their results and corrective action plans for those performance measures not meeting their targets. In addition, out-year targets are evaluated and revised at this time based on actual performance during the prior fiscal year, expected resources, and external conditions that may impact the delivery of results. These performance results and targets are then incorporated into the Department's annual budget, financial, and performance reports.

During FY 2011, the Department also implemented a quarterly review process of performance information, led by the Chief Operating Officer in accordance with the *GPR Modernization Act of 2010*. The initial emphasis of these meetings has been the review of the Department's Priority Goals, a set of ambitious, but realistic goals that reflect short-term priorities within our mission areas.

## PPBE and the Performance Budget

Performance management is relevant to each stage of the Department's Planning, Programming, Budgeting, and Execution (PPBE) process. In *Planning*, goal setting, risk assessment, and mission scoping are conducted to determine and prioritize the capabilities necessary to meet the needs of the Department in light of current performance. In *Programming*, resources are allocated to best meet the prioritized needs within projected resources, considering potential performance gains in the process. In *Budgeting*, budget estimates are developed ensuring the efficient and effective use of funding to meet priorities; the planned levels of performance are integrated with the levels of funding requested. Finally, in *Execution*, program execution and performance results are compared to plans to assess accomplishments, shortfalls, and inform future planning and performance targets. PPBE is an annual process that serves as the basis for developing the Department's *Future Years*





*Homeland Security Program (FYHSP), in accordance with the provisions of the Homeland Security Act of 2002.*

As the performance budget is formulated through the PPBE process, consideration for setting planned performance targets is made based on a variety of factors. First, analysis of the previous year's performance is a major factor in predicting likely performance in the future. Second, consideration is given to the funding requested for the program and how that relates to level of performance that can be delivered. Third, environmental factors play a large role in the delivery of performance results, potentially both in terms of the physical environment in which the program functions, and the operational environment under which it delivers results. Lastly, other factors such as impending legislation or program implementation changes are taken into consideration when projecting future performance targets. As many of the considerations listed above are unknowns, this process becomes less precise the farther one projects into the future. Program managers use their expertise and judgment to make performance target proposals, which are then reviewed and approved, in light of the resource request and other factors, by both DHS leadership and the Office of Management and Budget. This process provides a vehicle for DHS leadership to review and manage strategies and achievement of missions as required by the *GPR Modernization Act of 2010*.



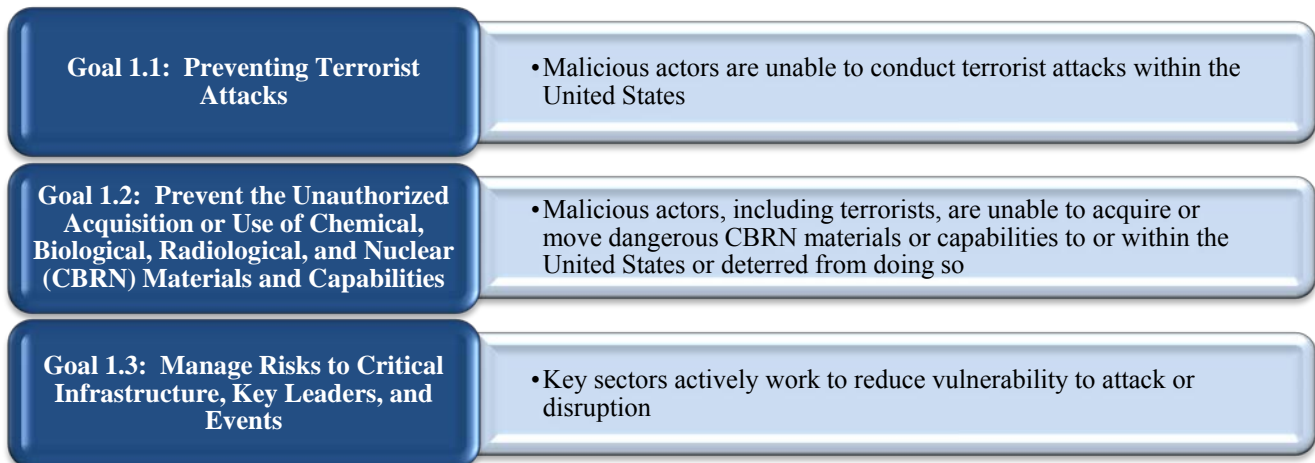
## Performance by Mission

This section of the Annual Performance Report provides an analysis of the Department's missions and responsibilities. Each section will include the goals and the performance measures to assess our success in accomplishing each goal. Also included are highlights of DHS's accomplishments across the mission areas in FY 2011.

### Mission 1: Preventing Terrorism and Enhancing Security

Protecting the United States from terrorism is the cornerstone of homeland security. DHS's counterterrorism responsibilities focus on three goals: preventing terrorist attacks; preventing the unauthorized acquisition, importation, movement, or use of chemical, biological, radiological, and nuclear materials and capabilities within the United States; and reducing threats to and vulnerability of critical infrastructure, key resources, essential leadership, and major events from terrorist attacks and other hazards.

We will achieve this mission through meeting the following goals:





## DHS Performance

In FY 2011, there were 19 performance measures used to assess the Department's efforts in *Mission 1: Preventing Terrorism and Enhancing Security*. For the FY 2012 – 2013 plan, one new measure is being introduced. Detailed results for each performance measure are provided in the following tables.

**Table 1: Performance Measures for Goal 1.1: Preventing Terrorist Attacks**

Performance Measures	Prior Year Results			FY 2011		Planned Targets	
	FY 2008	FY 2009	FY 2010	Target	Results	FY 2012	FY 2013
Percent of intelligence reports rated “satisfactory” or higher in customer feedback that enable customers to understand the threat (AO)	---	---	---	---	---	80%	80%
Explanation: This measure was introduced in the FY 2010 – 2012 Annual Performance Report; however, the program will begin collecting data in FY 2012.							
Percent of air carriers operating from domestic airports in compliance with leading security indicators (TSA)	96%	98%	98%	100%	99.2%	100%	100%
Explanation: Air carrier compliance remains at a consistent high level with year-over-year improvement. TSA communicates inspection findings to air carriers for corrective action and where compliance is below acceptable levels, TSA conducts additional inspection and assessment activities to bring the air carrier into full compliance.							
Percent of international air enplanements vetted against the terrorist watch list through Secure Flight (TSA)	---	---	---	100%	100%	100%	100%
Percent of inbound air cargo screened on international passenger flights originating from outside the United States and Territories (TSA)	---	---	---	New Measure		85%	100%
Percent of domestic air enplanements vetted against the terrorist watch list through Secure Flight (TSA)	---	---	---	100%	100%	100%	100%
Average number of days for DHS Traveler Redress Inquiry Program (TRIP) redress requests to be closed (TSA)	---	---	---	< 100	99	< 97	< 95
Percent of air cargo screened on commercial passenger flights originating from the United States and territories (TSA)	---	---	---	100%	100%	100%	100%



Performance Measures	Prior Year Results			FY 2011		Planned Targets	
	FY 2008	FY 2009	FY 2010	Target	Results	FY 2012	FY 2013
Percent of law enforcement officials trained in methods to counter terrorism and other violent acts that rate the training as effective (DHS HQ - CRCL)	---	---	---	80%	84%	82%	84%
Explanation: While the program expects to continue providing a robust and successful training program in 2012, fluctuations in staffing and substantial course modifications based on external factors could significantly impact results.							

Below is a highlighted accomplishment demonstrating success in *Preventing Terrorism and Enhancing Security*.



### TSA Installs New Privacy Enhancing Software

As part of its commitment to maintain a high level of security while enhancing passenger privacy, the Transportation Security Administration (TSA) is currently in the process of installing new software to further strengthen the privacy protections on its Advanced Imaging Technology (AIT) machines. The software, called Automated Target Recognition (ATR), will auto-detect items that could pose a threat using a generic outline of a person for all passengers, eliminating passenger-specific images.

“Our top priority is the safety of the traveling public, and TSA constantly strives to explore and implement new technologies that enhance security and strengthen privacy protections for the traveling public,” TSA Administrator John Pistole said. “This software upgrade enables us to continue providing a high level of security through advanced imaging technology screening, while improving the passenger experience at checkpoints.”

AIT safely screens passengers for both metallic and non-metallic threats, including weapons and explosives. AIT has been evaluated and determined to be safe for all passengers by the Food and Drug Administration, National Institute for Standards and Technology and Johns Hopkins University Applied Physics Laboratory.

**Table 2: Performance Measures for Goal 1.2: Prevent the Unauthorized Acquisition or Use of Chemical, Biological, Radiological, and Nuclear (CBRN) Materials and Capabilities**

Performance Measures	Prior Year Results			FY 2011		Planned Targets	
	FY 2008	FY 2009	FY 2010	Target	Results	FY 2012	FY 2013
Percent of intelligence reports rated “satisfactory” or higher in customer feedback that enable customers to anticipate emerging threats (AO)	---	---	---	---	---	80%	80%
Explanation: This measure was introduced in the FY 2010 – 2012 Annual Performance Report; however, the program will begin collecting data in FY 2012.							





Performance Measures	Prior Year Results			FY 2011		Planned Targets	
	FY 2008	FY 2009	FY 2010	Target	Results	FY 2012	FY 2013
Percent of containerized cargo conveyances that pass through fixed radiation portal monitors at sea ports of entry (DNDO)	---	---	FOUO	FOUO	FOUO	FOUO	FOUO
Explanation: In FY 2010, this measure was worded as: Percent of high-risk containerized cargo conveyances that pass through fixed radiation portal monitors at sea ports of entry. This measure is For Official Use Only (FOUO) and met its target in FY 2011.							
Percent of cargo conveyances that pass through radiation detection systems upon entering the nation via land border and international rail ports of entry (DNDO)	---	---	FOUO	FOUO	FOUO	FOUO	FOUO
Explanation: In FY 2010, this measure was worded as: Percent of high-risk cargo conveyances that pass through radiation detection systems upon entering the nation via land border and international rail ports of entry. This measure met its target in FY 2011.							
Percent of inspected high-risk chemical facilities in compliance with the Chemical Facility Anti-terrorism Standards (NPPD)	---	---	---	10%	9.1%	20%	35%
Explanation: The deviation from the performance target was slight and attributable to scheduled authorization inspections in September 2011 being postponed due to Hurricane Irene. There was no effect on overall program performance. This program is in the early stages of implementation and targets will continue to increase.							
Percent of targeted urban areas that are monitored for biological threats using BioWatch technology (OHA)	---	---	---	100%	100%	100%	100%

**Table 3: Performance Measures for Goal 1.3: Manage Risks to Critical Infrastructure, Key Leadership, and Events**

Performance Measures	Prior Year Results			FY 2011		Planned Targets	
	FY 2008	FY 2009	FY 2010	Target	Results	FY 2012	FY 2013
Percent of owner/operators of critical infrastructure and key resources who report that the products provided by Infrastructure Protection enhance their understanding of the greatest risks to their infrastructure (NPPD)	---	---	---	---	---	75%	80%
Explanation: This measure was introduced in the FY 2010 – 2012 Annual Performance Report; however, the program will begin collecting data in FY 2012.							



Performance Measures	Prior Year Results			FY 2011		Planned Targets	
	FY 2008	FY 2009	FY 2010	Target	Results	FY 2012	FY 2013
Percent of facilities that have implemented at least one security enhancement that raises the facility's protective measure index score after receiving an Infrastructure Protection vulnerability assessment or survey (NPPD)	---	---	---	15%	61%	50%	55%
Explanation: While the program will strive to improve critical facility security, results are based on voluntary implementation of security enhancements by owner/operators and are influenced by a variety of external factors such as the economic environment, which may cause fluctuations in the rate of implementation.							
Percent of countermeasures that are determined to be in compliance with standards when tested in federal facilities (NPPD)	94%	94.4%	96.2%	100%	N/A	N/A	95%
Explanation: The tool used to evaluate the countermeasure effectiveness was suspended in FY 2011; therefore, the program is unable to provide data for FY 2011. The program has started the modification of a new tool which will not be available until the end of FY 2012. Therefore the FY 2012 target has been postponed and the program will resume reporting results for this measure in FY 2013.							
Percent of tenants satisfied with the level of security provided at federal facilities (NPPD)	---	---	---	82%	77.8%	83%	84%
Explanation: Tenant satisfaction fell uniformly across the regions where NPPD's Federal Protective Service (FPS) provides services. FPS is updating its Memorandum of Agreement with GSA to clarify services and is conducting education and outreach to ensure customers understand FPS services and responsibilities.							
Percent of domestic airports that comply with established aviation security indicators (TSA)	95%	95%	96%	100%	95.9%	100%	100%
Explanation: Although the target of 100 percent was not met in FY 2011, TSA continues to improve the security posture at the Nation's airports, with 95.9 percent of airports compliant with established aviation security indicators. The FY 2011 results fell below last year's results due to more rigorous airport security requirements.							
Percent of mass transit and passenger rail agencies that have effectively implemented industry agreed upon Security and Emergency Management Action items to improve security (TSA)	23%	23%	23%	40%	28%	75%	80%
Explanation: Transit agencies are assessed every three years. The Transportation Security Inspectors for Surface assess a percentage of the transit agencies each year and it takes approximately six years for all transit agencies assessed to demonstrate that vulnerabilities identified in the first assessment have been addressed. Improvements made by an agency would not be captured until the following cycle of assessments. Progress has been made toward the target; however, sustained progress is contingent on funding available to state and local agencies.							
Percent of currency identified as counterfeit (USSS)	0.0086%	0.0081%	0.0087%	<0.0099%	0.0078%	<0.0098%	<0.0090%



Performance Measures	Prior Year Results			FY 2011		Planned Targets	
	FY 2008	FY 2009	FY 2010	Target	Results	FY 2012	FY 2013
Financial crimes loss prevented through a criminal investigation (in billions) (USSS)	\$1.96	\$1.28	\$6.56	\$1.90	\$4.846	\$1.40	\$1.80
Percent of total U.S. Secret Service protection activities that are incident-free for protection of national leaders, foreign dignitaries, designated protectees and others during travel or at protected facilities (USSS)	100%	100%	100%	100%	100%	100%	100%
Percent of National Special Security Events that were successfully completed (USSS)	---	---	---	100%	100%	100%	100%

Below is a highlighted accomplishment demonstrating success in *Preventing Terrorism and Enhancing Security*.

### National Terrorism Advisory System



In April 2011, Secretary Napolitano announced the implementation of DHS's National Terrorism Advisory System (NTAS)—a robust terrorism advisory system that provides timely information to the public about credible terrorist threats—which replaces the former color-coded alert system. During the announcement, DHS released a [guide](#) outlining the new system to the American public, along with an [example](#) of an NTAS Alert that would be issued to the public if the government were to receive information about a specific or credible terrorist threat.

NTAS is designed to more effectively communicate information about terrorist threats by providing timely, detailed information and recommended security measures to the public, government agencies, first responders, airports and other transportation hubs, and the private sector.

Under NTAS, DHS will coordinate with other federal entities to issue detailed alerts to the public when the Federal Government receives information about a specific, credible terrorist threat to the United States. NTAS alerts provide a concise summary of the potential threat, which may include a geographic region, mode of transportation, or critical infrastructure potentially affected by the threat; actions being taken to ensure public safety; and recommended steps that individuals, communities, business and governments can take to help prevent, mitigate or respond to a threat. NTAS Alerts contain a sunset provision indicating a specific date when the alert expires.



## Mission 2: Securing and Managing Our Borders

The protection of the Nation’s borders—land, air, and sea—from the illegal entry of people, weapons, drugs, and other contraband while facilitating lawful travel and trade is vital to homeland security, as well as the Nation’s economic prosperity. The Department’s border security and management efforts focus on three interrelated goals: effectively securing U.S. air, land, and sea borders; safeguarding and streamlining lawful trade and travel; and disrupting and dismantling transnational criminal and terrorist organizations.

We will achieve this mission through meeting the following goals:

<b>Goal 2.1: Secure U.S. Air, Land, and Sea Borders</b>	<ul style="list-style-type: none"> <li>• Prevent the illegal flow of people and goods across U.S. air, land, and sea borders while expediting the safe flow of lawful travel and commerce</li> </ul>
<b>Goal 2.2: Safeguard Lawful Trade and Travel</b>	<ul style="list-style-type: none"> <li>• Ensure security and resilience of global movement systems</li> </ul>
<b>Goal 2.3: Disrupt and Dismantle Transnational Criminal Organizations</b>	<ul style="list-style-type: none"> <li>• Disrupt and dismantle transnational organizations that engage in smuggling and trafficking across the U.S. border</li> </ul>

### DHS Performance

In FY 2011, there were 13 performance measures used to assess the Department’s efforts in *Mission 2: Securing and Managing Our Borders*. For the FY 2012 – 2013 plan, two new measures are being introduced and two measures are being retired. Detailed results for each performance measure are provided in the following tables.

**Table 4: Performance Measures for Goal 2.1: Secure U.S. Air, Land, and Sea Borders**

Performance Measures	Prior Year Results			FY 2011		Planned Targets	
	FY 2008	FY 2009	FY 2010	Target	Results	FY 2012	FY 2013
Number of apprehensions on the Southwest Border between the ports of entry (CBP)	705,022	540,851	447,731	≤ 390,000	327,577	≤ 371,000	≤ 352,000
Percent of projected deployments of Border Patrol agents to the Southwest border completed (CBP)	---	---	---	100%	100%	Retired Measure	





Performance Measures	Prior Year Results			FY 2011		Planned Targets	
	FY 2008	FY 2009	FY 2010	Target	Results	FY 2012	FY 2013
Explanation: This measure is being retired as it was based on supplemental legislation that authorized CBP to hire 1,000 additional Border Patrol agents and is complete.							
Number of joint operations conducted along the Southwest Border by Border Patrol Agents and Mexican law enforcement partners (CBP)	---	---	---	9	12	Retired Measure	
Explanation: In FY 2010, this measure was worded as: Number of joint operations conducted along the Southwest Border by CBP and Mexican law enforcement partners. Although this measure is being retired from the performance plan, it will be maintained internally.							
Percent of detected conventional aircraft incursions resolved along all borders of the United States (CBP)	---	---	---	100%	95.3%	100%	100%
Explanation: The program will continue to evaluate and improve tactics, techniques, and procedures where possible in order to bring individuals that commit illegal incursions to a successful law enforcement resolution.							
Number of weapons seized on exit from the United States (CBP)	---	---	---	2,200	1,987	2,100	2,000
Explanation: Outbound weapons seizures vary substantially in size (number of weapons). There was a downturn in the number of large weapons seizures in FY 2011 as compared to FY 2010, particularly during the second half of the year, which impacted the cumulative total number of weapons seized for the year. CBP will continue partnerships with other law enforcement agencies (both local and international partners) to identify and disrupt outbound smuggling activities.							
Amount of currency seized on exit from the United States (in millions) (CBP)	---	---	---	\$40	\$47	\$35	\$30



Below is a highlighted accomplishment demonstrating success in *Securing and Managing Our Borders*.



### SBInet Assessment Leads to New Border Technology Plan

In 2010, Secretary Napolitano directed a Department-wide assessment to determine if SBInet was the most efficient, effective and economical border security technology strategy available. This assessment—which combined an independent, quantitative, science-based review with the input of U.S. Border Patrol agents on the front lines and the Department’s leading science and technology experts from the Science and Technology Directorate—made clear that SBInet cannot meet its original objective of providing a one-size-fits-all border security technology solution.

As a result, in 2011 Secretary Napolitano directed CBP to end SBInet as originally conceived and instead implement a new border security technology plan, which will use existing, proven technology tailored to the distinct terrain and population density of each border region, including commercially available mobile surveillance systems, unmanned aircraft systems, thermal imaging devices, and tower-based remote video surveillance systems. Where appropriate, this plan will also incorporate already existing elements of the former SBInet program that have proven successful, such as stationary radar and infrared and optical sensor towers.

The new plan will use funding previously requested for SBInet and provided in the FY 2011 continuing resolution. CBP intends to acquire all the technologies in the new plan, including the integrated fixed towers, through full and open competition. Independent, quantitative, science-based assessments will continue along each sector of the Southwest Border in 2011 to determine the optimal combination of technology for each region.

**Table 5: Performance Measures for Goal 2.2: Safeguard Lawful Trade and Travel**

Performance Measures	Prior Year Results			FY 2011		Planned Targets	
	FY 2008	FY 2009	FY 2010	Target	Results	FY 2012	FY 2013
Compliance rate for Customs-Trade Partnership Against Terrorism (C-TPAT) members with the established C-TPAT security guidelines (CBP)	99.9%	97.5%	97.8%	100%	95.1%	100%	100%
Explanation: In FY 2011, CBP strengthened the C-TPAT validation process, implementing new suspension and removal guidelines standards and increasing management oversight, which caused the overall compliance rate to fluctuate. CBP is working with partner companies to continue to explain the enhanced security criteria and ensure they understand the validation requirements.							
Percent of requested cargo examinations conducted at foreign ports of origin in cooperation with host nations under the Container Security Initiative (CBP)	---	---	---	100%	96%	100%	100%
Explanation: Examination rates depend on a number of factors outside of CBP operational control, including host port logistics, procedures, and installed equipment and technology. CBP continually works with host ports to resolve examination issues as they arise. All cargo identified as high-risk that is not examined by the CSI host nation is examined upon arrival at the U.S. port of entry.							



Performance Measures	Prior Year Results			FY 2011		Planned Targets	
	FY 2008	FY 2009	FY 2010	Target	Results	FY 2012	FY 2013
Percent of inbound high-risk cargo transported by air, land, or sea that has been screened and entry status is resolved prior to or during processing at a United States port of entry (CBP)	---	---	---	New Measure		FOUO	FOUO
Percent of cargo by value imported to the U.S. by participants in CBP trade partnership programs (CBP)	---	---	---	45%	55.07%	45%	45.5%
Percent of imports compliant with applicable U.S. trade laws (CBP)	---	---	---	98%	97.67%	98%	98%
Explanation: Results reflect computations conducted in October 2011 and will not be considered final until a required, independent, post-audit compliance review is completed. Final results will be available in February 2012. The deviation from the target was slight and there was no effect on overall program performance. CBP will target identified high-risk areas that are contributing to the lower compliance rate.							
Percent of air carriers operating flights from foreign airports that serve as last point of departure to the U.S. in compliance with leading security indicators (TSA)	---	---	---	100%	85%	100%	100%
Explanation: Through a corrective action process led by TSA, all air carriers were apprised of inspection findings and resolution measures required. All air carriers will be reinspected in FY 2012 to determine if remediation actions have been implemented.							
Percent of foreign airports serving as last point of departure in compliance with leading security indicators (TSA)	---	---	---	100%	95.3%	100%	100%
Explanation: The Department strives to ensure measures regarding safety and security are always at 100 percent. Compliance is the responsibility of a sovereign nation and the non-compliance may be due to a variety of factors. TSA engages with foreign governments on numerous levels to ensure that appropriate resolutions are identified.							
Percent of maritime facilities in compliance with security regulations as they have not received a notice of violation and/or civil penalty (USCG)	---	---	---	100%	99.9%	100%	99%
Explanation: The deviation from the target was slight and there was no effect on overall program performance.							



Below is a highlighted accomplishment demonstrating success in *Securing and Managing Our Borders*.

### Enhancing Partnerships with Canada to Promote Northern Border Security



In February 2011, President Obama and Prime Minister Harper released, “Beyond the Border: A Shared Vision for Perimeter Security and Economic Competitiveness,” which articulates a shared vision in which our countries work together to address threats at the earliest point possible while facilitating the legitimate movement of people, goods, and services into our countries and across our shared border.

Through the Integrated Cross-Border Maritime Law Enforcement Operations Shiprider agreement, DHS and Canadian joint law enforcement can leverage efforts to bolster cross-border security operations. This agreement enables the Royal Canadian Mounted Police, U.S. Coast Guard, CBP, and ICE to cross-train, share resources and personnel, and use each others’ vessels in the waters of both countries. The Border Patrol, ICE, USCG, Canadian law enforcement, and other federal partners also collaborate through Integrated Border Enforcement Teams, which work to identify, investigate, and interdict individuals and organizations that may pose a threat to national security or are engaged in organized criminal activity along the Northern Border.

**Table 6: Performance Measures for Goal 2.3: Disrupt and Dismantle Transnational Criminal Organizations**

Performance Measures	Prior Year Results			FY 2011		Planned Targets	
	FY 2008	FY 2009	FY 2010	Target	Results	FY 2012	FY 2013
Percent of significant high-risk transnational criminal investigations that result in a disruption or dismantlement (ICE)	---	---	---	New Measure		16%	16%





## Mission 3: Enforcing and Administering Our Immigration Laws

The success of our Nation’s immigration policy plays a critical role in advancing homeland security. DHS is focused on smart and effective enforcement of U.S. immigration laws while streamlining and facilitating the legal immigration process. The Department has fundamentally reformed immigration enforcement, focusing on identifying and removing criminal aliens who pose a threat to public safety and targeting employers who knowingly and repeatedly break the law.

We will achieve this mission through meeting the following goals:

<b>Goal 3.1: Strengthen and Effectively Administer the Immigration System</b>	<ul style="list-style-type: none"> <li>• Promote lawful immigration, expedite administration of immigration services, and promote the integration of lawful immigrants into American society</li> </ul>
<b>Goal 3.2: Prevent Unlawful Immigration</b>	<ul style="list-style-type: none"> <li>• Reduce conditions that encourage foreign nationals to illegally enter and remain in the United States, while identifying and removing those who violate our laws</li> </ul>

### DHS Performance

In FY 2011, there were 17 performance measures used to assess the Department’s efforts in *Mission 3: Enforcing and Administering Our Immigration Laws*. For the FY 2012 – 2013 plan, two new measures are being introduced and two measures are being retired. Detailed results for each performance measure are provided in the following tables.

**Table 7: Performance Measures for Goal 3.1: Strengthen and Effectively Administer the Immigration System**

Performance Measures	Prior Year Results			FY 2011		Planned Targets	
	FY 2008	FY 2009	FY 2010	Target	Results	FY 2012	FY 2013
Average customer satisfaction rating with information provided about legal immigration pathways from USCIS call centers (USCIS)	---	---	---	70%	84%	80%	80%
Explanation: The targets previously published as 70 percent in the FY 2010 – 2012 Annual Performance Report were changed to 80 percent based on FY 2011 results. In addition, based on the American Customer Satisfaction Index, 80 percent is significantly above the government average and is considered a “superior” score based on industry standards.							
Overall customer service rating of the immigration process (USCIS)	---	---	---	70%	80%	80%	80%



Performance Measures	Prior Year Results			FY 2011		Planned Targets	
	FY 2008	FY 2009	FY 2010	Target	Results	FY 2012	FY 2013
<p>Explanation: The targets previously published as 70 percent in the FY 2010 – 2012 Annual Performance Report were changed to 80 percent based on FY 2011 results. In addition, based on the American Customer Satisfaction Index, 80 percent is significantly above the government average and is considered a “superior” score based on industry standards.</p>							
Percent of Form I-485, Application to Register for Permanent Residence or to Adjust Status, approval decisions determined by quarterly quality reviews to have correctly followed established adjudication procedures (USCIS)	---	---	91%	91%	91%	91%	91%
<p>Explanation: The deviation from the target was slight and there was no effect on overall program performance. In FY 2010, this measure was worded as: Percent of Form I-485, Application to Register for Permanent Residence or to Adjust Status, decisions determined by quarterly quality reviews to have been adjudicated correctly. In addition, the targets previously published as 92 percent in the FY 2010 – 2012 Annual Performance Report were changed to 91 percent to account for the variability in results based on sample size.</p>							
Percent of Form N-400, Application for Naturalization, approval decisions determined by quarterly quality reviews to have correctly followed established adjudication procedures (USCIS)	---	---	97%	96%	95%	96%	96%
<p>Explanation: The deviation from the target was slight and there was no effect on overall program performance. In FY 2010, this measure was worded as: Percent of Form N-400, Application for Naturalization, decisions determined by quarterly quality reviews to have been adjudicated correctly. In addition, the targets previously published as 97 percent in the FY 2010 – 2012 Annual Performance Report were changed to 96 percent to account for the variability in results based on sample size.</p>							
Average of processing cycle time (in months) for adjustment of status to permanent resident applications (I-485) (USCIS)	13.6	4.4	3.8	≤ 4	4.4	≤ 4	≤ 4
<p>Explanation: In FY 2011, the number of employment-based I-485 applications and other benefit applications increased above normal levels which impacted USCIS’s ability to process I-485 applications in a timely fashion. Applications have returned to normal levels and it is anticipated that USCIS will meet its target in FY 2012.</p>							
Average of processing cycle time (in months) for naturalization applications (N-400) (USCIS)	8.7	4.2	4.5	≤ 5	4.6	≤ 5	≤ 5
Number of significant citizenship outreach events (USCIS)	109	99	102	85	89	Retired Measure	
<p>Explanation: This measure is being retired and replaced with the measure below.</p>							



Performance Measures	Prior Year Results			FY 2011		Planned Targets	
	FY 2008	FY 2009	FY 2010	Target	Results	FY 2012	FY 2013
Percent of Citizenship and Integration Grant Program grantees that meet annual performance plan goals (USCIS)	---	---	---	New Measure		90%	90%

Below is a highlighted accomplishment demonstrating success in *Enforcing and Administering Our Immigration Laws*.



### USCIS Launches Self Check

In March of 2011, U.S. Citizenship and Immigration Services (USCIS) announced the launch of Self Check—a free, online, voluntary service of the E-Verify program

that allows individuals to verify their employment eligibility in the United States. Administered by USCIS, Self Check is currently available to residents of Arizona, Colorado, Idaho, Mississippi, Virginia, the District of Columbia, California, Louisiana, Maine, Maryland, Massachusetts, Minnesota, Missouri, Nebraska, Nevada, New Jersey, New York, Ohio, South Carolina, Texas, Utah, and Washington and will be available nationwide in early 2012.

Since the program's inception, thousands of workers and potential workers have taken advantage of Self Check, accessing their federal employment eligibility records, guidance on how to correct potential record discrepancies prior to the hiring process and resources for combating workplace discrimination related to employment eligibility.

Since the launch of Self Check, USCIS has worked to continue to refine the program. In August 2011, Self Check became a bi-lingual service available to users in both English and Spanish, broadening the scope of the program to members of our U.S. workforce who are more comfortable reading Spanish-language materials.

**Table 8: Performance Measures for Goal 3.2: Prevent Unlawful Immigration**

Performance Measures	Prior Year Results			FY 2011		Planned Targets	
	FY 2008	FY 2009	FY 2010	Target	Results	FY 2012	FY 2013
Percent of initial mismatches for authorized workers that are later determined to be "Employment Authorized" (USCIS)	---	---	---	≤ 3%	0.28%	≤ 1.0%	≤ 1.0%
Explanation: The FY 2012 target, previously published as ≤ 3.0 percent in the FY 2010 – 2012 Annual Performance Report was changed to ≤ 1.0 percent based on FY 2011 results.							
Accuracy rate of USCIS's processing of manual verifications for Systematic Alien Verification for Entitlements (SAVE) referrals (USCIS)	---	---	---	New Measure		98%	98%



Performance Measures	Prior Year Results			FY 2011		Planned Targets	
	FY 2008	FY 2009	FY 2010	Target	Results	FY 2012	FY 2013
Percent of religious worker site visits conducted that result in a potential finding of fraud (USCIS)	---	---	---	≤ 11%	1%	≤ 11%	≤ 11%
Percent of non-immigrant worker (H1-B) site visits conducted that result in a potential finding of fraud (USCIS)	---	---	---	≤ 11%	1%	≤ 11%	≤ 11%
Dollar value of fines assessed for employers who have violated the I-9 requirements (ICE)	---	---	\$6,956,026	\$7,095,147	\$10,914,356	\$7,237,049	\$7,381,790
Number of employers arrested or sanctioned for criminally hiring illegal labor (ICE)	---	---	433	455	624	478	501
Number of visa application requests denied due to recommendations from the Visa Security Program (ICE)	---	---	---	780	5,038	Retired Measure	
Explanation: This measure is being retired due to the difficulty of identifying the instances in which the Department of State recommended refusal based solely on Visa Security Program (VSP) input. ICE is exploring new measures to better represent the impact of VSP screening and vetting efforts.							
Number of convicted criminal aliens removed per fiscal year (ICE)	---	---	195,772	180,000	216,698	220,350	224,000
Explanation: The FY 2012 target, previously published as 210,000 in the FY 2010 – 2012 Annual Performance Report was changed to 220,350 based on FY 2011 results.							
Average length of stay in detention of all convicted criminal aliens prior to removal from the United States (in days) (ICE)	---	---	37	≤ 38	34.7	≤ 35	≤ 35
Explanation: The FY 2012 target, previously published as < 37 in the FY 2010 – 2012 Annual Performance Report was changed to < 35 based on FY 2011 results.							
Percent of aliens arrested or charged who will be electronically screened through the Secure Communities program (ICE)	---	---	63.8%	80%	75.57%	96%	100%
Explanation: Throughout FY 2011, ICE implemented several reforms to the Secure Communities program to improve communications, training and accountability, which impacted the number of jurisdictions activated under Secure Communities. Although there was a slight impact to FY 2011 results, the Secure Communities program is on track for nationwide deployment in FY 2013.							





Performance Measures	Prior Year Results			FY 2011		Planned Targets	
	FY 2008	FY 2009	FY 2010	Target	Results	FY 2012	FY 2013
Percent of detention facilities found in compliance with the national detention standards by receiving an inspection rating of acceptable or greater on the last inspection (ICE)	---	---	---	90%	95%	94%	94%
Explanation: The FY 2012 target, previously published as 92 percent in the FY 2010 – 2012 Annual Performance Report was changed to 94 percent based on FY 2011 results.							

Below is a highlighted accomplishment demonstrating success in *Enforcing and Administering Our Immigration Laws*.



### ICE Removes Former Member of Guatemalan Army Linked to Massacre

On July 12, 2011, ICE deported [Pedro Pimentel Rios](#), a former member of the Guatemalan army whom witnesses say participated in the murder of dozens of men, women and children in the village of Las Dos Erres in December 1982. The deportation represents a victory for ICE’s [Human Rights Violators and War Crimes Center](#), which investigated the case.

ICE charged Pimentel Rios in immigration court with being deportable for having assisted or otherwise participated in extrajudicial killings during the Dos Erres massacre. In May, an immigration judge in Los Angeles cleared the way for Pimentel Rios’ repatriation to Guatemala, ruling he was deportable based upon his participation in the killings at Las Dos Erres. The judge’s ruling capped an intensive legal effort by ICE to gain Pimentel Rios’ removal from the United States following his arrest by ICE’s Homeland Security Investigations agents in Orange County, California a year ago.

“For the families who lost loved ones at Dos Erres, justice has been a long time coming, but they can take consolation in the fact that those responsible for this tragedy are now being held accountable for their crimes,” said ICE Director John Morton. “I applaud the outstanding work by ICE attorneys and investigators to bring a successful conclusion to this case. We will not allow our country to serve as a safe haven for those who commit human rights abuses and war crimes.”



## Mission 4: Safeguarding and Securing Cyberspace

Cyberspace is highly dynamic and the risks posed by malicious cyber activity often transcend sector and international boundaries. Today’s threats to cybersecurity require the engagement of the entire society—from government and law enforcement to the private sector and most importantly, members of the public—to mitigate malicious activities while bolstering defensive capabilities.

DHS is responsible for protecting the federal executive branch civilian agencies and guiding the protection of the nation’s critical infrastructure. This includes the “dot-gov” world, where the government maintains essential functions that provide services to the American people, as well as privately owned critical infrastructure which includes the systems and networks that support the financial services industry, the energy industry, and the defense industry.

We will achieve this mission through meeting the following goals:

<b>Goal 4.1: Create a Safe, Secure, and Resilient Cyber Environment</b>	<ul style="list-style-type: none"> <li>• Ensure malicious actors are unable to effectively exploit cyberspace, impair its safe and secure use, or attack the Nation’s information infrastructure</li> </ul>
<b>Goal 4.2: Promote Cybersecurity Knowledge and Innovation</b>	<ul style="list-style-type: none"> <li>• Ensure that the Nation is prepared for the cyber threats and challenges of tomorrow</li> </ul>

### DHS Performance

In FY 2011, there were five performance measures used to assess the Department’s efforts in *Mission 4: Safeguarding and Securing Cyberspace*. For the FY 2012 – 2013 plan, one new measure is being introduced and one measure is being retired. Detailed results for each performance measure are provided in the following tables.

**Table 9: Performance Measures for Goal 4.1: Create a Safe, Secure, and Resilient Cyber Environment**

Performance Measures	Prior Year Results			FY 2011		Planned Targets	
	FY 2008	FY 2009	FY 2010	Target	Results	FY 2012	FY 2013
Percent of intelligence reports rated “satisfactory” or higher in customer feedback that enable customers to manage risks to cyberspace (AO)	---	---	---	---	---	80%	80%
Explanation: This measure was introduced in the FY 2010 – 2012 Annual Performance Report; however, the program will begin collecting data in FY 2012.							



Performance Measures	Prior Year Results			FY 2011		Planned Targets	
	FY 2008	FY 2009	FY 2010	Target	Results	FY 2012	FY 2013
Percent of Federal Executive Branch civilian networks monitored for cyber intrusions with advanced technology (NPPD)	---	---	---	28%	31.9%	55%	70%
Percent of external traffic monitored for cyber intrusions at civilian Federal Executive Branch agencies (NPPD)	---	---	---	New Measure		55%	70%
Percent of unique vulnerabilities detected during cyber incidents where mitigation strategies were provided by DHS (NPPD)	---	---	---	90%	93%	95%	100%
Percent of cybersecurity mitigation strategies provided by DHS for unique vulnerabilities that are timely and actionable (NPPD)	---	---	---	---	---	50%	60%
Explanation: This measure was introduced in the FY 2010 – 2012 Annual Performance Report; however, the program will begin collecting data in FY 2012. This measures a program that is in its early stages of implementation—targets will continue to increase.							
Average amount of time required for initial response to a request for assistance from public and private sector partners to prevent or respond to major cyber incidents (in minutes) (NPPD)	---	---	---	< 120	138	< 90	< 60
Explanation: The FY 2011 goal of 2 hours was not met, although organizational improvements allowed the United States Computer Emergency Readiness Team (US-CERT) to meet or exceed the target for the final three quarters of the year. US-CERT believes it is well positioned to meet its goal of 1.5 hours in FY 2012.							
Financial crimes loss prevented by the Secret Service Electronic Crimes Task Forces (in millions) (USSS)	\$410.9	\$534.2	\$6,946	\$304	\$1,480	\$279	\$300



Below is a highlighted accomplishment demonstrating success in *Safeguarding and Securing Cyberspace*.



### National Cybersecurity Incident Response

In March 2011, a U.S. oil and natural gas organization was victimized by a series of successful cybersecurity attacks, and subsequently contacted the FBI. Under the framework established in the National Cybersecurity Incident Response Plan, the FBI reached out to DHS to provide assistance through the National Cybersecurity and Communications Integration Center.

At the company’s request, DHS deployed cyber experts on-site to provide hands-on incident response, analysis, and mitigation solutions. Using custom tools and unique knowledge of known threats, the DHS team soon discovered malicious activity on the company’s network. DHS proposed network changes that would help mitigate the damage and defend from future attacks. DHS also disseminated recommendations from this engagement to other critical infrastructure owners and operators, to better secure our Nation for the future.

malicious activity on the company’s network. DHS proposed network changes that would help mitigate the damage and defend from future attacks. DHS also disseminated recommendations from this engagement to other critical infrastructure owners and operators, to better secure our Nation for the future.

**Table 10: Performance Measures for Goal 4.2: Promote Cybersecurity Knowledge and Innovation**

Performance Measures	Prior Year Results			FY 2011		Planned Targets	
	FY 2008	FY 2009	FY 2010	Target	Results	FY 2012	FY 2013
Percent of young adults with sufficient level of cybersecurity awareness (NPPD)	---	---	---	42%	N/A	Retired Measure	

Explanation: The survey question upon which this measure was based was discontinued by the Federal Trade Commission (FTC) and the National Cyber Security Alliance. Therefore the program is unable to provide data for FY 2011. Since data is no longer available, this measure is being retired and the program is working to establish an implementation plan and measurement strategy to gauge awareness in the future.

Below is a highlighted accomplishment demonstrating success in *Safeguarding and Securing Cyberspace*.



**STOP | THINK | CONNECT™**

### Stop. | Think. | Connect.

The “Stop | Think | Connect™” Campaign is a national public awareness campaign aimed at increasing the understanding of cyber threats and empowering the American public to be safer and more secure online.

The Campaign’s main objective is to help individuals and families become more aware of growing threats and provide the tools to protect oneself and their families.

Cybersecurity is a shared responsibility. We each have to do our part to keep the Internet safe. When we all take simple steps to be safer online, it makes using the Internet a more secure experience for everyone. If we each do our part online, we are protecting ourselves and helping to make the Internet safer for everyone. Get [simple tips](#) on how to protect yourself and your family.





## Mission 5: Ensuring Resilience to Disasters

DHS coordinates comprehensive federal efforts to prepare for, protect against, respond to, recover from, and mitigate a terrorist attack, natural disaster or other large-scale emergency, while working with individuals, communities, the private and nonprofit sectors, faith-based organizations, local, state, tribal, territorial and federal partners to ensure a swift and effective recovery effort. The Department's efforts to build a ready and resilient Nation include fostering a Whole Community approach to emergency management nationally; building the Nation's capacity to stabilize and recover from a catastrophic event; bolstering information sharing and building unity of effort and common strategic understanding among the emergency management team; building plans and providing training to our homeland security partners; and promoting preparedness within the private sector.

We will achieve this mission through meeting the following goals:



### *DHS Performance*

In FY 2011, there were 15 performance measures used to assess the Department's efforts in *Mission 5: Ensuring Resilience to Disasters*. For the FY 2012 – 2013 plan, one measure is being retired. Detailed results for each performance measure are provided in the following tables.



**Table 11: Performance Measures for Goal 5.1: Mitigate Hazards**

Performance Measures	Prior Year Results			FY 2011		Planned Targets	
	FY 2008	FY 2009	FY 2010	Target	Results	FY 2012	FY 2013
Percent of households surveyed reporting they have taken steps to mitigate damage to property and protect themselves in the event of a disaster (FEMA)	---	---	---	35%	27%	29%	31%
Explanation: The program will continue to work with communities to improve the level of households taking action to mitigate damage to property and protect themselves in the event of a disaster. The FY 2012 target, previously published as 40 percent in the FY 2010 – 2012 Annual Performance Report was changed to 29 percent based on FY 2011 results.							
Percent of U.S. population (excluding territories) covered by planned mitigation strategies (FEMA)	---	---	---	80%	68.7%	80%	85%
Explanation: Mitigation plans are updated on a five year review cycle causing the metric to naturally fluctuate. Given the current economic climate, as many plans expire, states and localities do not have the staff, expertise, or funding to update their mitigation plan. In FY 2011, FEMA released the “Local Mitigation Plan Review,” which will streamline the review of mitigation plans. Additionally, the FY 2011 and FY 2012 targets for this measure were incorrectly published as 85 percent and have been revised to 80 percent.							
Reduction in the potential cost of natural disasters to communities and their citizens (in billions) (FEMA)	\$2.53	\$3.12	\$2.98	\$2.3	\$3.4	\$2.4	\$2.4
Percent of communities in high earthquake, flood, and wind-prone areas adopting disaster-resistant building codes (FEMA)	---	---	---	45%	48%	49%	53%

**Table 12: Performance Measures for Goal 5.2: Enhance National Preparedness through a Whole Community Approach to Emergency Management**

Performance Measures	Prior Year Results			FY 2011		Planned Targets	
	FY 2008	FY 2009	FY 2010	Target	Results	FY 2012	FY 2013
Percent of households surveyed reporting they have taken steps to be prepared in the event of a disaster (FEMA)	---	---	---	39%	36%	37%	38%
Explanation: This is a composite measure that includes household planning, up-to-date supplies set aside for disaster, and being informed of what to do in case of a disaster. Presidential Preparedness Directive (PPD)-8 requires a comprehensive campaign to build and sustain national preparedness, including public outreach and community and private sector programs. A key step is to understand the current state of preparedness. FEMA is tracking nationwide preparedness through its Citizen Corps Household Survey to better understand how and why we prepare for disasters. Affecting behavior change associated with preparedness is a relatively new area of study and focus. FEMA is exploring better methods to link communications, outreach and training strategies and activities with measurable changes in behavior. Additionally, the FY 2012 target, previously published as 41 percent in the FY 2010 – 2012 Annual Performance Report was changed to 37 percent based on FY 2011 results.							



Performance Measures	Prior Year Results			FY 2011		Planned Targets	
	FY 2008	FY 2009	FY 2010	Target	Results	FY 2012	FY 2013
Number of corrective actions completed to improve performance following National Level Exercises (FEMA)	---	---	---	23	30	40	60

Below is a highlighted accomplishment demonstrating success in *Ensuring Resilience to Disasters*.

### Increasing Household Preparedness

Presidential Preparedness Directive-8 requires a comprehensive campaign to build and sustain national preparedness, including public outreach and community and private sector programs. A key step is to understand the current state of preparedness. FEMA is tracking nationwide preparedness through its Citizen Corps Household Survey to better understand how and why we prepare for disasters. In 2011, 42 percent of households had a plan of what they would do in the event of a disaster and had discussed it with their household; 33 percent could list up-to-date supplies set aside in case of disaster; and 39 percent were informed of key information such as local hazards, local alert, and warning systems or knew what to do based on training.



FEMA recognizes that it takes a whole community to prepare and respond to disasters, and that preparedness starts with the individual. FEMA's [Ready.gov](http://www.ready.gov) and [Citizen Corps](http://www.citizen.gov) encourage and support preparedness through national campaigns and local programs, including Citizen Corps Councils and [Community Emergency Response Teams](http://www.fema.gov) training. Recent FEMA initiatives to engage the whole community—particularly populations traditionally not engaged in preparedness—resulted in increasing registrations of organizations and individuals committing to get their community involved in National Preparedness Month from under 5,000 registrations in 2010 to nearly 9,000 this year.

**Table 13: Performance Measures for Goal 5.3: Ensure Effective Emergency Response**

Performance Measures	Prior Year Results			FY 2011		Planned Targets	
	FY 2008	FY 2009	FY 2010	Target	Results	FY 2012	FY 2013
Percent of the U.S. population directly covered by FEMA connected radio transmission stations (FEMA)	---	---	---	80%	84%	90%	90%
Percent of time that critical communications for response operations are established within 12 hours (FEMA)	---	---	---	100%	100%	100%	100%
Percent of essential incident command functions (enabled through response teams and operations centers) that are established within 12 hours (FEMA)	---	---	---	100%	100%	100%	100%



Performance Measures	Prior Year Results			FY 2011		Planned Targets	
	FY 2008	FY 2009	FY 2010	Target	Results	FY 2012	FY 2013
Percent of urban search and rescue teams arriving on scene within 12 hours of deployment notification (FEMA)	---	---	---	100%	100%	100%	100%
Percent of orders for required life-sustaining commodities (meals, water, tarps, plastic sheeting, cots, blankets and generators) and key initial response resources delivered by the agreed upon date (FEMA)	---	---	97.5%	85%	93.3%	95%	95%
Explanation: The FY 2011 result for this measure was previously reported with preliminary results of 96 percent in the FY 2011 DHS Annual Financial Report and was subsequently recalculated to be 93.3 percent.							
Percent of jurisdictions with access to the FEMA National Shelter System which allows users to locate and monitor open congregate shelters (FEMA)	---	---	---	20%	24%	40%	60%
Percent of high-risk urban areas designated within the Urban Areas Security Initiative (UASI) able to demonstrate increased Emergency Communications capabilities (NPPD)	---	---	---	---	---	50%	55%
Explanation: This measure was introduced in the FY 2010 – 2012 Annual Performance Report; however, the program will begin collecting data in FY 2012.							

Below is a highlighted accomplishment demonstrating success in *Ensuring Resilience to Disasters*.

### Establishing Effective Communications during a Response

In a disaster situation, communications between the Federal Emergency Management Agency (FEMA), federal, state, and local agencies is critical. It is important that members of the emergency management team communicate with one another in real time during life saving operations and recovery efforts. In preparation for this year’s historic flooding in Minot, North Dakota, FEMA’s Mobile Emergency Response Support Detachment (Denver) was deployed to provide radios to agencies involved in the flood fight so they could all operate on a single frequency, enabling interoperable communications.

The Fire Chief from Minot credited FEMA with assisting in developing a communications plan that helped meet the needs of the emergency management team, resulting in communications that were deemed “excellent.”







**Table 14: Performance Measures for Goal 5.4: Rapidly Recover from a Catastrophic Event**

Performance Measures	Prior Year Results			FY 2011		Planned Targets	
	FY 2008	FY 2009	FY 2010	Target	Results	FY 2012	FY 2013
Percent of eligible applicants provided temporary housing (including non-congregate shelters, hotel/motel, rental assistance, repair and replacement assistance, or direct housing) assistance within 60 days of a disaster (FEMA)	---	---	99.5%	94%	99%	97%	98%
Explanation: The FY 2012 target, previously published as 94 percent in the FY 2010 – 2012 Annual Performance Report was changed to 97 percent based on FY 2011 results.							
Percent of Federal Departments and Agencies that have viable continuity programs to maintain essential functions in case of disaster (FEMA)	---	---	---	Classified	Classified	Retired Measure	
Explanation: This measure met its target for FY 2011. This measure is being retired from the plan; however, it will continue to be tracked by FEMA.							
Government Emergency Telecommunications Service call completion rate during emergency communication periods (NPPD)	97.0%	94.2%	99.4%	90%	97.8%	90%	90%



## Providing Essential Support to National and Economic Security

Homeland security is an integral element of broader U.S. national security and domestic policy. It is not, however, the only element. The *National Security Strategy* clearly identifies national defense and economic security as other elements—along with homeland security—of overall U.S. national security. DHS leads and supports many activities that provide essential support to national and economic security including, but not limited to: maximizing collection of customs revenue; maintaining the safety and security of the marine transportation system; preventing the exploitation of children; providing law enforcement training; and coordinating the Federal Government’s response to global intellectual property theft. DHS contributes in many ways to these elements of broader U.S. national and economic security while fulfilling its homeland security missions.

We will achieve this through meeting the following goals:

<b>Goal : Collect Customs Revenue and Enforce Import/Export Controls</b>	<ul style="list-style-type: none"><li>• Maximize the collection of customs revenue and protect U.S. intellectual property rights and workplace standards</li></ul>
<b>Goal: Ensure Maritime Safety and Environmental Stewardship</b>	<ul style="list-style-type: none"><li>• Protect safety and ensure environmental stewardship in the maritime domain</li></ul>
<b>Goal: Conduct and Support Other Law Enforcement Activities</b>	<ul style="list-style-type: none"><li>• Prevent child exploitation and ensure effective federal law enforcement training</li></ul>
<b>Goal: Provide Specialized National Defense Capabilities</b>	<ul style="list-style-type: none"><li>• Strengthen national defense by providing ready forces with specialized capabilities</li></ul>

### *DHS Performance*

In FY 2011, there were eight performance measures used to assess the Department’s efforts in *Providing Essential Support to National and Economic Security*. Detailed results for each performance measure are provided in the following tables.



**Table 15: Performance Measures for Goal: Collect Customs Revenue and Enforce Import/Export Controls**

Performance Measures	Prior Year Results			FY 2011		Planned Targets	
	FY 2008	FY 2009	FY 2010	Target	Results	FY 2012	FY 2013
Percent of revenue directed by trade laws, regulations, and agreements successfully collected (CBP)	---	---	---	100%	99.12%	100%	100%
Explanation: Results reflect computations conducted in October 2011 and will not be considered final until a required, independent, post-audit compliance review is completed. Final results will be available in February 2012. The deviation from the target was slight and there was no effect on overall program performance.							

Below is a highlighted accomplishment demonstrating success in *Providing Essential Support to National and Economic Security*.

### Operation Stone Face II

Imports of polished granite from Brazil and India were often misclassified in order to claim Generalized System of Preferences (GSP), a trade preference program which allows for significantly diminished duty rates. CBP conducted Operation Stone Face I in 2008 which targeted those imports. The Operation was successful, however recently CBP discovered that some importers adopted a different GSP eligible provision for imports of polished granite in order to once again evade customs collection. The many discrepancies discovered through CBP's targeting made it abundantly clear that another special operation would be necessary to address the misclassification of stone, which gave rise to Operation Stone Face II in April 2010. As part of this ongoing operation, CBP targeted the misclassified stone, which were similarly being entered conditionally free due to the GSP claim. CBP's targeting associated with Operation Stone Face II generated an estimated \$457,105 in recovered revenue and \$20,000 in penalty assessments.



**Table 16: Performance Measures for Goal: Ensure Maritime Safety and Environmental Stewardship**

Performance Measures	Prior Year Results			FY 2011		Planned Targets	
	FY 2008	FY 2009	FY 2010	Target	Results	FY 2012	FY 2013
Percent of people in imminent danger saved in the maritime environment (USCG)	76.8%	77.3%	74.4%	100%	77.27%	100%	100%
Explanation: The Search and Rescue program strives to save 100% of lives in imminent danger in the maritime environment. Many uncontrollable variables influence the number and outcome of search and rescue incidents (weather, location, incident severity, life saving devices on board, etc.). In FY 2011 the U.S. Coast Guard saved 3,804 lives in 20,510 cases with 732 lives lost and 390 lives unaccounted for. In comparison, in FY 2010 the U.S. Coast Guard saved 4,348 lives in 22,226 cases with 816 lives lost and 480 lives unaccounted for.							
Five-year average number of commercial and recreational boating deaths and injuries (USCG)	---	---	---	≤ 4,813	4,567	≤ 4,642	≤ 4,546



Performance Measures	Prior Year Results			FY 2011		Planned Targets	
	FY 2008	FY 2009	FY 2010	Target	Results	FY 2012	FY 2013
Availability of maritime navigation aids (USCG)	98.3%	98%	98.5%	97.5%	98.48%	97.5%	97.5%
Number of detected incursions of foreign fishing vessels violating U.S. waters (USCG)	81	112	82	< 180	122	< 140	< 85
Fishing regulation compliance rate (USCG)	95.3%	96.7%	97.2%	96%	97.4%	96%	96%

**Table 17: Performance Measures for Goal: Conduct and Support Other Law Enforcement Activities**

Performance Measures	Prior Year Results			FY 2011		Planned Targets	
	FY 2008	FY 2009	FY 2010	Target	Results	FY 2012	FY 2013
Percent of National Center for Missing and Exploited Children (NCMEC) examinations requested that are conducted (USSS)	---	---	---	100%	100%	100%	100%
Number of Federal law enforcement training programs and/or academies accredited or re-accredited through the Federal Law Enforcement Training Accreditation process (FLETC)	---	50	52	56	66	74	82

Below is a highlighted accomplishment demonstrating success in *Providing Essential Support to National and Economic Security*.

### Defense Readiness

U.S. Coast Guard Cutters *Bertholf*, *Sycamore*, and *Long Island* participated in Exercise Northern Edge, a training event held annually in Alaska. Sponsored by United States Northern Command, Northern Edge is a multi-service training exercise designed to practice operations, tactics, and procedures aimed at enhancing interoperability among U.S. military forces. Throughout the exercise, U.S. Coast Guard ships assumed offensive and defensive postures in response to aerial and surface threats. In both roles, U.S. Coast Guard ships utilized their unique capabilities to work alongside Department of Defense counterparts, exercising tactics, techniques, and procedures involving engineering casualty control, medical response, helicopter landing operations, underway replenishment, and visit, board, search, and seizure. The common objective among all scenarios was to improve communications, interoperability, and command and control procedures.







## Cross-Cutting Performance Measures

Some of the Components' efforts, by the very nature of their work, support multiple missions in DHS. Specific examples include awareness and understanding of risks and threats offered by Analysis and Operations, research and development to advance technology and processes provided by Science and Technology, and law enforcement training both within DHS and with our law enforcement partners delivered by the Federal Law Enforcement Training Center. Below are the current measures to reflect cross-cutting results.

**Table 18: Cross-Cutting Performance Measures**

Performance Measures	Prior Year Results			FY 2011		Planned Targets	
	FY 2008	FY 2009	FY 2010	Target	Results	FY 2012	FY 2013
Percent of breaking homeland security situations integrated and disseminated to designated partners within targeted timeframes (AO)	---	88%	100%	95%	100%	95%	95%
Percent of Partner Organizations satisfied that the Federal Law Enforcement Training Center training programs address the right skills needed for their officers/agents to perform their law enforcement duties (FLETC)	79.75%	82%	96%	84%	98.5%	97%	97%



## Priority Goals

In the FY 2010 Budget, the Obama Administration defined Priority Goals, which represent areas in which the Administration has identified opportunities to significantly improve near-term performance. These goals are only a subset of each agency’s critical efforts, which also include long-term strategic goals and goals dependent on new legislation or additional funding. For FY 2011, the Department is reporting out the final results of the performance measures used to assess our progress in addressing our FY 2010 – 2011 Priority Goals.

Per the *GPR Modernization Act*, 31 U.S.C. 1115(b)(10), requirement to address Agency and Federal Priority Goals in the agency Strategic Plan and Annual Performance Plan, please refer to [Performance.gov](http://Performance.gov) for information on both the Agency Priority Goals, and the Federal Priority Goals and the agency’s contributions to those goals, where applicable.

### ***Priority Goal 1: Preventing Terrorism and Enhancing Security through Aviation Security***

#### **Goal Statement**

Improve commercial aviation security screening through layered security measures including the utilization of Transportation Security Officers, Secure Flight, and Advanced Imaging Technology.



Goal Leader: Howard Goldman, Senior Counselor, Transportation Security Administration

#### **Overview**

In order to combat evolving threats to the commercial aviation sector, DHS’s goal is to screen one hundred percent of all passengers, baggage, and cargo on passenger planes while facilitating and expediting legal travel and trade. DHS/TSA is working to deploy the most effective layered screening technologies at all airports to detect threats on passengers and in baggage, and to improve the vetting process for air passengers against government watchlists by implementing Secure Flight.

#### **Progress Update**

During the past two years, TSA met all but two of its aviation transportation security performance measure targets and has continued to allocate necessary resources and set deployment schedules to achieve its “Preventing terrorism and enhancing security through aviation security” Priority Goal.

TSA began implementing the Secure Flight program in early 2008 and as of November 2010 has a fully implemented watch list matching program that matches 100 percent of passengers on all flights into, out of and within the United States. In addition, TSA achieved its goal of screening 100 percent of all passenger air cargo departing U.S. airports in August 2010. International inbound air cargo is more secure than it has ever been with 100 percent of identified high risk cargo now being screened. During the last two years, TSA has enhanced passenger checkpoint screening through the large deployment of Advanced



Imaging Technology (AIT) to detect non-metallic threat items. There are currently 522 AITs at 98 airports nationwide, representing 100 percent of machines scheduled for deployment. In addition, during the past year, TSA invested in new software, referred to as Automatic Target Recognition (ATR), to address privacy issues and civil rights and civil liberties concerns. ATR enhances passenger privacy by eliminating passenger-specific images and instead highlighting the area with a detected anomaly on a generic outline of a person. TSA has installed this new software on all 275 deployed Millimeter Wave AIT units

In addition to AIT, TSA utilizes Bottled Liquids Scanner (BLS) screening systems that are used by Transportation Security Officers to detect potential liquid or gel threats which may be contained in passenger's property. TSA has deployed 84 percent of the planned BLS systems to roughly 50 percent of airports. Based on evolving security needs, utilization rates, and airport requirements, TSA re-assessed the BLS distribution strategy and adjusted deployment plans to increase deployments.

Explosives Detection Systems are the most efficient screening technology for checked baggage. While TSA has experienced small decreases in operational availability due to airport power outages and airport construction delays which slowed screening and required TSA to utilize alternative screening methods, the agency continues to work toward achieving FY 2012 targets as projected. This equipment provides improved threat detection capabilities and automates previous screening methods with throughput increases up to 300 percent.

TSA has consistently met its quarterly target of keeping wait times to less than 20 minutes, although TSA has seen an increase in carry-on items which has significantly increased the amount of baggage screened at passenger checkpoints.

TSA continues to work to balance security and the passenger experience. Currently, TSA is testing a limited, voluntary passenger pre-screening initiative with a small traveler population at four U.S. airports. The TSA Pre✓ initiative implements a key component of the agency's intelligence-driven, risk-based approach to security. This pilot program will help assess measures designed to enhance security by placing more focus on pre-screening individuals who volunteer to participate in order to expedite the travel experience.

TSA will continue to progress as a high-performance, world-class counterterrorism organization utilizing smart, intelligence-driven aviation security solutions to facilitate travel and commerce.

## Results

**Table 19: Priority Goal 1 Performance Measures**

Performance Measures	FY 2010 Results	FY 2011 Results
Percent of domestic air enplanements vetted through Secure Flight (TSA)	100%	100%
Percent of international air enplanements vetted through Secure Flight (TSA)	77%	100%



Performance Measures	FY 2010 Results	FY 2011 Results
Percent of nationwide airport operational hours with wait times of less than 20 minutes (TSA)	99%	99.4%
Percent of checked baggage screened with Explosive Detection Systems (EDS) that maximize security, effectiveness and efficiency (TSA)	89%	90%
Percent of air cargo screened for transport on commercial passenger flights originating from the U.S. and territories (TSA)	100%	100%
Average number of days for DHS TRIP redress requests to be closed (TSA)	57 days	99 days
Explanation: Two major factors resulted in an increase in redress time for FY 2011. First, DHS TRIP experienced a significant IT issue that impacted the ability to process applications timely; and 2) DHS TRIP initiated a significant focus on adjudicating and closing aging cases, which negatively impacted average processing time. In FY 2012, DHS TRIP will be upgrading its case management system to provide more efficient processing which will allow DHS TRIP to focus on adjudicating aging inquiries while reducing processing time for new inquiries.		
Percent of Advanced Image Technology (AIT) machines deployed according to the deployment plan (TSA)	78%	100%
Percent of airports with bottled liquid scanners coverage (TSA)	6%	39%
Passenger security screening assessment results (TSA)	Classified	Classified
Baggage security screening assessment results (TSA)	Classified	Classified

## ***Priority Goal 2: Preventing Terrorism and Enhancing Security through Surface Transportation Security***

### **Goal Statement**

Improve security in the surface modes of transportation by performing risk assessments, closing vulnerability gaps, vetting key workers, providing training and deploying highly skilled prevention and response teams.

### **Overview**

Millions of passengers and millions of tons of commodities move through our nation’s surface transportation network each year. DHS recognizes that the risk from terrorism and other hazards demands a coordinated approach to security involving all sector partners and stakeholders, including federal, state, and local governments as well as the private sector. DHS/TSA is leveraging these partnerships to increase the overall level of surface transportation security across the four sectors—mass transit, highways, freight rail, and pipelines.



Goal Leader: Howard Goldman, Senior Counselor, Transportation Security Administration





## Progress Update

During the past two years, TSA met all but two of its surface transportation security performance measure targets and has continued to allocate necessary resources to achieve its “Preventing terrorism and enhancing security through surface transportation security” priority goal.

In conjunction with the Federal Emergency Management Agency (FEMA), TSA manages Transportation Security Grant Programs. These programs have awarded over \$2 billion to the mass transit, passenger rail, trucking, freight rail, and intercity bus sectors since 2006.

In FY 2010, the agency completed a national threat assessment for each mode of transportation and assessed a series of terrorist attack methods, and in FY 2011, completed the transportation systems-sector specific plan, which established strategic goals and objectives in order to achieve a shared vision of a safe and secure national transportation system. TSA has also conducted thousands of Visible Intermodal Prevention and Response (VIPR) operations and has vetted more than 2 million maritime workers through the Transportation Worker Identification Credential (TWIC) program and over 1.8 million drivers through the Hazardous Materials Endorsement (HME) program.

TSA’s “Percent of mass transit and passenger rail agencies that have effectively implemented industry agreed upon Security and Emergency Management Action items to improve security” measure reflects the percent of the 100 largest mass transit, light and passenger rail, bus, and other commuter transportation agencies that have taken recommended steps to improve security.

DHS completed risk-based implementation plans with associated milestones for each of the 20 consensus recommendations of the Surface Transportation Security Priority Assessment (STSPA), addressing the potential risks to the surface transportation system. In FY 2011, 63 percent of the STSPA implementation plan milestones were met. As of October 2011, 10 recommendations have been fully implemented and implementation of the others is underway.

Under requirements of the 9/11 Act, TSA is directed to support security exercises for transportation modes including freight rail, mass transit, and highway. TSA measures its efforts through Intermodal Security Training Exercise Program (I-STEP), which tests transit agencies preparedness, response and recovery. In the fourth quarter of FY 2011, all objectives were met for the surface transportation security and preparedness exercise goals measure.

In FY 2011, TSA performed 7,850 Visible Intermodal Prevention and Response (VIPR). VIPR team operations are unpredictable visual deterrents and their rapid deployment to all modes of transportation can be seen randomly in transit and rail stations, in support of major events, and to respond to and defeat threatened terrorist activity. In FY 2010, TSA developed a performance measure to gauge the percent of requested National Special Security Events and Special Assessment Rating Events at which VIPR teams are deployed. During the past two years, TSA has consistently met its target of 100 percent.



**Results**

**Table 20: Priority Goal 2 Performance Measures**

Performance Measures	FY 2010 Results	FY 2011 Results
Percent of mass transit and passenger rail agencies that have effectively implemented industry agreed upon Security and Emergency Management Action items to improve security (TSA)	23%	28%
Explanation: Transit agencies are assessed every three years. The Transportation Security Inspectors for Surface assess a percentage of the transit agencies each year and it takes approximately six years for all transit agencies assessed to demonstrate that vulnerabilities identified in the first assessment have been addressed. Improvements made by an agency would not be captured until the following cycle of assessments. Progress has been made toward the target; however, sustained progress is contingent on funding available to state and local agencies.		
Percentage of surface transportation security and preparedness exercise goals achieved according to the surface mode transportation assessment (TSA)	100%	100%
Completion rate of requested high-risk Visible Intermodal Prevention and Response (VIPR) operations (TSA)	100%	100%
Number of annual VIPR operations to deter potential terrorist actions and enhance security at surface transportation facilities (TSA)	3,895	1,906
Percent of DHS-led annual Surface Transportation Security Assessment implementation plan milestones met (TSA)	62.5%	63.3%
Explanation: In FY 2011 there were 30 milestones to improve surface transportation security, some of which have multi-year implementation plans and some which are outstanding due to external factors.		

***Priority Goal 3: Securing and Managing Our Borders through the Western Hemisphere Travel Initiative (WHTI)***

**Goal Statement**

Prevent terrorist and criminal movement at land ports of entry through secure travel documents and enhanced technology that will effectively integrate vehicle and passenger data.

**Overview**

Build upon the initial success of WHTI, which improved vehicle processing at the land border by requiring travelers to present technically enhanced travel documents and strengthened CBP’s ability to target violators by integrating vehicle and passenger data. WHTI continues to expand the use of technology to additional land locations and to other key mission processing areas including pedestrian, outbound and the Border Patrol checkpoints. The overall effect of WHTI is a more secure land border that simultaneously facilitates legitimate travel.



Thomas Winkowski,  
Acting Deputy  
Commissioner, U.S.  
Customs and Border  
Protection



## Progress Update

WHTI Air requirements went into effect in January 2007 and compliance continues to be high—well over 99 percent for U.S. and Canadian citizens. WHTI secure document requirements were successfully implemented on June 1, 2009 at all the nation’s land and seaports. Compliance rates remain high averaging nearly 97 percent since implementation. This compliance rate increases to 99 percent on our northern border. Through the end of FY 2011, the WHTI technical solution has been deployed on over 470 inbound travel lanes at 58 land border ports and six lanes at one Border Patrol (BP) checkpoint. The improved intelligence and targeting capability enabled by WHTI has had a positive impact on specific apprehensions. Subsequent to WHTI implementation, drug seizures on the Southern Border increased 30 percent; false claims to U.S. citizenship apprehensions grew 25 percent on the Southern Border; and the rate of fraudulent documents intercepted at the land border increased by 12 percent for FY 2011 as compared to FY 2008.

U.S. Customs and Border Protection (CBP) is working to capitalize on the success of the WHTI. The comprehensive Land Border Integration strategic focus is on mission integrated investments in outbound enforcement operations, inbound processing, and border patrol checkpoint processing. The integration of these three missions, the “Triangle Strategy,” seeks to expand innovative technologies and processes to provide further efficiencies in both security and facilitation for all facets of the land border. Key themes include mission integration; business process re-engineering in all land border mission areas; and leveraging mobile technologies.

During FY 2011, WHTI advanced implementation of the Triangle Strategy by deploying the inbound technical solution at two ports, piloted mobile/handheld technology on outbound processing at one port, completed the deployment of fixed outbound technology at five ports, and deployed tactical outbound technology to 20 lanes at six Border Patrol checkpoints. In addition, improved port efficiencies were realized by applying Active Lane Management techniques including the use of Ready Lanes at 17 crossings. A Ready Lane is a primary vehicle lane that only accepts RFID-enabled documents and where all adult passengers in a vehicle present one of these documents. Ready Lanes improve the effectiveness of the primary inspection; provide a substantial, tangible benefit to the traveler; and improve the efficiency of primary vehicle lanes by leveraging the existing CBP investment in RFID technology and documents. At some locations, these Ready Lanes handle almost 30 percent of the traffic volume with an average inspection time 20 percent faster than general passenger vehicle lanes.

## Results

**Table 21: Priority Goal 3 Performance Measures**

Performance Measures	FY 2010 Results	FY 2011 Results
Percent of travelers entering the US with a secure document that establishes identity and citizenship (CBP)	96.5%	96.2%
Number of travelers who have been issued a WHTI-compliant, technologically enhanced secure travel document (Radio Frequency Identification (RFID) enabled) (CBP)	6,935,500	11,800,000



Performance Measures	FY 2010 Results	FY 2011 Results
Average privately-owned vehicle processing time at land borders (CBP)	57.3 seconds	58 seconds
Average pedestrian processing time at land borders (CBP)	23 seconds	22 seconds

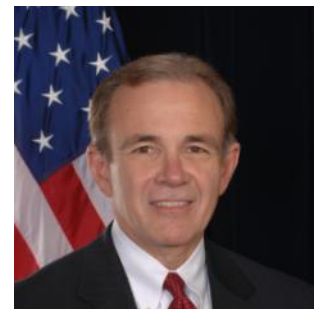
## ***Priority Goal 4: Enforcing and Administering Our Immigration Laws through Detention and Removal Efficiency***

### **Goal Statement**

Improve the efficiency of the process to detain and remove illegal immigrants from the United States.

### **Overview**

ICE is prioritizing the arrest and removal of convicted criminals, fugitives, illegal re-entrants, recent border violators, and visa overstays. The Secure Communities program uses biometric identification technology to better identify aliens arrested in state and local jurisdictions. Secure Communities is critical to ICE's efforts to identify and remove aliens who present a risk to national security or public safety, including terrorists, transnational gang members, and convicted criminals.



Goal Leader: Gary Mead, Executive Associate Director, Enforcement and Removal Operations, U.S. Immigration and Customs Enforcement

### **Progress Update**

In FY 2011, ICE was very successful in meeting Priority Goal targets. ICE exceeded the FY 2011 goal of removing 180,000 criminal aliens and surpassed FY 2010's performance by nearly 21,000, removing 216,698 convicted criminal aliens. Similarly, ICE removed 75,086 aliens convicted of the most serious crimes, more than both the FY 2011 goal and FY10's level. ICE's success in the removal of criminal aliens in FY 2011 is due to increased collaboration with law enforcement partners and implementation of ICE Civil Enforcement Priorities that prioritizes resources on individuals who pose the highest threat to national security and public safety.

At 34.7 days, ERO succeeded in meeting the target of 38 days Average Length of Stay (ALOS) for criminal detainees in FY 2011. ALOS success was due in part to continuing to increase detention capacity in locations where detainee transfers occur most often; for individuals being transferred, detainee transfers increase the average length of stay by approximately 14 days. ICE continues to focus on the development of a detention system that has the right number and type of facilities, in the right locations to align with enforcement and removal activities. In addition, ICE met the \$119.50 target by maintaining an average bed cost per day of \$112.83. This success was accomplished by discontinuing the use of high cost Service Processing Centers (SPCs) with an average bed rate of \$158.99 per day; negotiated lower bed rates; and taking advantage of guaranteed minimums with reduced rates over a threshold number of beds.





ICE uses a federal biometric information sharing capability to identify aliens arrested for a crime and booked into state or local law enforcement custody. ICE prioritizes immigration enforcement actions on threats to national security and public safety, criminal aliens, and aliens threatening the integrity of our immigration system. In FY 2011, this capability was activated in 1,595 jurisdictions nationwide, 43 states, and 1 territory.

## Results

**Table 22: Priority Goal 4 Performance Measures**

Performance Measures	FY 2010 Results	FY 2011 Results
Number of total removals and returns (includes criminal and non-criminal removals and voluntary returns) (ICE)	392,862	396,906
Number of convicted criminal aliens removed per fiscal year (ICE)	195,772	216,968
Number of aliens removed convicted of the most serious crimes (level 1 offenders) (ICE)	64,446	75,086
Average length of stay in detention of all convicted criminal aliens prior to removal from the United States (ICE)	37 days	34.7 days
Estimated average bed cost per day (ICE)	\$116.88	\$112.83
Percent of aliens arrested or charged who will be electronically screened through the Secure Communities (ICE)	63.8%	75.6%

## ***Priority Goal 5: Enforcing and Administering Our Immigration Laws through U.S. Citizenship and Immigration Services Business Transformation***

### **Goal Statement**

Improve the delivery of immigration services.

### **Overview**

In its current state, U.S. Citizenship and Immigration Services (USCIS) relies largely on the movement of paper to deliver immigration benefits and services. In the future, USCIS will utilize a paperless, electronic system that will transform nearly all of the Agency's processes. Through web-based technology, customers will maintain individual accounts with USCIS and be able to obtain more detailed and current information on their cases. By organizing and sharing information digitally, USCIS will increase the efficiency of its adjudications while facilitating the rapid and collaborative exchange of information with partner agencies. Through integrated risk and fraud management, USCIS will identify patterns early in its process and enhance the security of the nation's immigration system.



Goal Leader: Gerri Ratliff, Chief, Office of Transformation Coordination, U.S. Citizenship and Immigration Services



**Progress Update**

Significant progress has been made toward the goal of implementing USCIS’s Electronic Immigration System (ELIS) which will transform the immigration benefit process from a paper-based to an electronic environment and enable us to better serve our customers through a process that is more transparent, efficient, and accessible. During FY 2011, USCIS finalized requirements to deliver end-to-end functionality for a portion of the nonimmigrant benefit requests. USCIS also developed and demonstrated an end-to-end electronic immigration processing prototype, which was used to complete detailed design and development of the core account and case management functions to support the intake and adjudication of the I-539 (Application to Change or Extend Nonimmigrant Status). The first release of USCIS ELIS is in the final pre-deployment stage (System Assurance Testing) and the design of the second release is underway.

USCIS ELIS will enable the adoption of new, customer-centric business processes that will allow all new immigration benefit applications/petitions to be filed electronically through a USCIS web-based portal. As it is fully implemented, USCIS will have a more comprehensive view of the customer and any potentially fraudulent transactions; improved audit functionality and record management; better resource management; and increased sharing of information with our partners both inside and outside of DHS.

***Priority Goal 6: Ensuring Resilience to Disasters by Strengthening Disaster Preparedness and Response Capabilities***

**Goal Statement**

Strengthen disaster preparedness and response by improving FEMA's operational capabilities and strengthening state, local and private citizen preparedness.

**Overview**

Recognizing the risks we face as a nation and our potential vulnerabilities to terrorist attacks and disasters, we are working to strengthen disaster preparedness and response. To do so, FEMA is improving its operational capabilities, strengthening state, local, individual and private sector preparedness through Emergency Management Institute training, putting in place resources and strategies for temporary housing (Transitional Sheltering Assistance—hotels, rental assistance, repair and replacement assistance, as well as leasing direct housing units to eligible households) and ensuring the availability of life-sustaining/life-saving commodities (meals, water, tarps, plastic sheeting, cots, blankets and generators) during disasters.



Goal Leader: David Kaufman, Director, Office of Policy and Program Analysis, Federal Emergency Management Agency

**Progress Update**

Providing life-sustaining supplies and equipment (i.e., emergency meals, bottled water, cots, blankets, plastic sheeting (roofing), tarps, and emergency generators) to survivors in an impacted area is considered an Essential Operation in stabilizing an incident within 72 hours. In FY 2011 FEMA delivered 93.3 percent of orders (615 of 659) for life-sustaining disaster supplies and key initial response resources by a required date as



agreed upon by key federal, state, and local officials to best meet the needs of the customer. FEMA seeks to continually improve delivery metrics by analyzing factors contributing to any missed or late deliveries and validating actual delivery times. Challenges that could impede goal achievement include serious transportation infrastructure conditions (e.g., damaged highways and roads and damaged bridges) or multiple, or overwhelmingly catastrophic events, which would increase the complexity of delivering supplies.

In FY 2011, FEMA temporary housing assistance was provided to 152,260 disaster households of which 99 percent (152,003) were assisted within 60 days. Individuals affected by a disaster can apply to FEMA for disaster assistance online through [disasterassistance.gov](http://disasterassistance.gov) or via tele-registration. FEMA strives to improve the nation's ability to adapt and rapidly recover from major disasters while meeting the needs of disaster survivors in the most effective way possible.

In FY 2011, 95.8 percent of trainees from all levels of government report they are better prepared to deal with disasters and emergencies as a result of training. This effort builds toward an all-hazard, risk-based national emergency management system that strengthens the Nation's ability to protect its citizens and its property/assets. FEMA strives for continuous improvement by conducting a 90-day follow-up survey to individuals completing FEMA-sponsored training courses to determine training effectiveness and how future training can be improved. In FY 2011, in consultation with National Emergency Managers Association, International Association of Emergency Managers, and the EMI Higher Education Program, EMI established the Emergency Management Training and Education System (EMTES). This system established a set of core competencies in the field of emergency management at the foundations, specialized technical, executive managerial and strategic leadership levels. In addition, EMI established the National Emergency Management Academy which introduces a national training program covering key foundational topics and provides broad entry level knowledge of the profession. Similar to "basic" academies developed by fire and law enforcement communities, the Academy's goal is to provide foundational education in emergency management while providing an opportunity for students to build camaraderie, establish professional contacts, and gain a common understanding of the roles, responsibilities, and authorities of an emergency management program. Development of training programs for Specialized and Technical, Executive and Managerial, and a Strategic Leadership targeted to federal, state, and local agency executives is ongoing this year.

## Results

**Table 23: Priority Goal 6 Performance Measures**

Performance Measures	FY 2010 Results	FY 2011 Results
Percent of orders for required life-sustaining commodities (meals, water, tarps, plastic sheeting, cots, blanket and generators) and key initial response resources delivered by the agreed upon date (FEMA)	98%	93.3%
Percent of eligible applicants provided temporary housing (including non-congregate shelters, hotel/motel, rental assistance, repair and replacement assistance, or direct housing) assistance within 60 days of a disaster (FEMA)	99%	99%



Performance Measures	FY 2010 Results	FY 2011 Results
Percent of trainees from all levels of government including tribal, public and private sector, and non-governmental organizations reporting they are better prepared to deal with disasters and emergencies as a result of training (FEMA)	86.9%	92%

***Priority Goal 7: Maturing and Strengthening the Homeland Security Enterprise through Effective Information Sharing***

**Goal Statement**

Maturing and strengthening the homeland security enterprise through effective information sharing.

**Overview**

DHS is working to improve and enhance secure information sharing capabilities for state and local partners, the timeliness and sufficiency of responses to stakeholders' requests, and improvement of internal DHS information sharing. In addition to addressing these specific issues, DHS is developing a department-wide information sharing roadmap based on the strategic framework set forth in the Quadrennial Homeland Security Review which will further mature and strengthen the homeland security enterprise.



Goal Leader: Clark Smith, Director for Information Sharing and Intelligence Enterprise Management, Intelligence and Analysis

**Progress Update**

During the second half of the fiscal year, the Office of Intelligence and Analysis (I&A) continued to improve the Homeland Security Standing Information Needs (HSEC SINs) initiative by: clearly defining and communicating what SINs are and how they are used; refining the process by which I&A supports the fusion centers' development of their own SINs; and strengthening the process by which the Department captures the needs of analysts supporting private sector customers. These efforts resulted in the modification and production of educational materials for: DHS Components; the fusion centers and their state, local, tribal, and territorial stakeholders; and intelligence analysts serving the private sector. I&A collaborated with the National Network of Fusion Centers (NNFC) and its interagency partners to design and implement the 2011 Fusion Center Assessment, which evaluated the progress of the NNFC in achieving both the Critical Operational Capabilities and Enabling Capabilities. These capabilities were designed to ensure the state and locally operated fusion centers all have uniform baseline abilities despite differences that naturally occur in a distributed management model. In September, I&A interviewed Fusion Center Directors to refine and validate the assessment which ultimately found that 65 percent of these critical elements had been implemented.

Based on customer feedback on State and Local Support Requests, I&A, and Operations began consolidating their process for handling Requests for Information (RFI) and expanding the DHS Single Point of Service. This expanded service will streamline the process by which I&A and Operations receive, process, track, and respond to operational





and intelligence RFIs. I&A led an interdepartmental effort to certify all legacy Information Sharing Access Agreements with external partners. I&A, in collaboration with Customs and Border Protection, Federal Emergency Management Administration, and U.S. Coast Guard, certified over 130 of these legacy agreements. This surge in compliant agreements puts the Department ahead of schedule toward achieving the goal of having all legacy agreements compliant by the end of fiscal year 2012.

## Results

**Table 24: Priority Goal 7 Performance Measures**

Performance Measures	FY 2010 Results	FY 2011 Results
Percent of products directly responsive to State, Local, Tribal, and Territorial and Component Standing Information Needs (I&A)	---	85%
Percent of valid state, local, and federal support requests answered within the mutually agreed upon suspense date to the requestor's satisfaction (I&A)	---	85%
Percent of information sharing agreements with external partners that incorporate all DHS Components (I&A)	34%	75%

## *Priority Goal 8: Maturing and Strengthening the Homeland Security Enterprise by Improving Acquisition Execution*

### Goal Statement

Improve acquisition execution across the DHS acquisition portfolio, by ensuring key acquisition expertise resides in major program office and acquisition oversight staffs throughout the Department.



Goal Leader: Chris Cummiskey, Deputy Undersecretary for Management

### Overview

The Department of Homeland Security is working to ensure its major acquisitions are effectively managed in order to maximize the value of every homeland security dollar. DHS will ensure that every major program is implemented in the most responsible and efficient manner possible. This goal includes having disciplined oversight processes and robust acquisition program management teams in place. Disciplined oversight processes begin with having a well-defined acquisition requirement and a cost, schedule and performance plan (acquisition program baseline) against which program managers are held accountable for results. Additionally, DHS will ensure acquisition programs and oversight offices are staffed with personnel who possess the requisite government experience, knowledge, and skills in core acquisition management disciplines.

### Progress Update

The Department has met or exceeded all goals related to strengthening the acquisition programs and oversight offices to ensure DHS major acquisitions are effectively managed in



order to maximize the value of every DHS dollar. At the end of September 2011, 94 percent of the program managers of major acquisition programs were properly certified in accordance with Department policy, exceeding the FY 2011 target goal of 93 percent. We have increased the number of Program Management Offices (PMO) reporting that they have all five of their respective core positions filled or matrixed from 20 at the end of FY 2010 to 34 in FY 2011 and have increased the number of approved Acquisition Program Baselines (APBs) from 17 to 28 at the end of the fourth quarter FY 2011. The current percent of major acquisition programs with a core team, signed APB, and meeting cost/schedule/performance is 89 percent, exceeding the FY 2011 goal of 70 percent. All seven major operational Components have a Component Acquisition Executive (CAE) in place (100 percent). The total number of CAE staff positions filled has also increased from 25 to 42. The current percent of Component acquisition oversight organizations with core team positions filled or matrixed is 75 percent, exceeding the FY 2011 goal of 70 percent. The percent of PMOs with major acquisition program core team positions filled is roughly 70 percent, which achieves the Department’s goal. The DHS Acquisition Workforce Initiative funding was not funded in the FY 2011 appropriations and the Department continues to work closely with Congress and the Office of Management and Budget to secure the funding for additional acquisition positions in FY 2012, which is a significant piece of this initiative. Additionally, this year, the Under Secretary for Management has implemented major initiatives to include building the Department’s Program Management Corps by strengthening training and certification and expanding the current acquisition mentoring program.

## Results

**Table 25: Priority Goal 8 Performance Measures**

Performance Measures	FY 2010 Results	FY 2011 Results
Percent of major acquisition programs with properly certified program managers (DMO)	84%	94%
Percent of Department major acquisition program core team positions that are filled (DMO)	67%	70%
Percent of major acquisition programs with a core team in place and a signed Acquisition Program Baseline (APB) that are meeting the cost, schedule or performance threshold agreed to in the APB (DMO)	100%	89%
Percent of Component acquisition oversight organization core team positions that are filled (DMO)	44%	75%
Percent of Components with approved Component Acquisition Executives (DMO)	85%	100%



## DHS Workforce Strategy

The DHS Workforce Strategy for Fiscal Years 2011-2016 aligns with and supports Departmental priorities identified in the Quadrennial Homeland Security Review (QHSR), Bottom-Up Review, and areas of improvement identified by the U.S. Government Accountability Office (GAO). Developed by a cross-Component working group and signed by the Secretary, the DHS Workforce Strategy provides the strategic roadmap to make DHS a premier employer for the top talent necessary to secure the homeland. The plan is built around the following four goals:

1. Build an effective, mission-focused, diverse, and inspiring leadership cadre.
2. Recruit a highly qualified and diverse workforce.
3. Retain an engaged workforce.
4. Solidify a unified DHS culture of mission performance, adaptability, accountability, equity, and results.

All Components submitted FY 2011 operational plans that incorporated the common objectives and performance measures that cascade from these goals. In FY 2011, accomplishments in these areas included:

**Build an effective, mission-focused, diverse, and inspiring leadership cadre:** A cross-DHS group developed a comprehensive Leader Development Program and Framework to reflect optimal leader development roadmaps for all levels of employees. For example, the Cornerstone program, a top priority for the Deputy Secretary, provides a consistent baseline of requirements for the development of some 27,000 supervisors, managers, and executives across the Department. The program provides pre-supervisory awareness, supervisor onboarding, 40 hours of development during the first 11 months of appointment, and an annual requirement for all supervisors to complete 12 hours of self-development and 12 hours of “give back” as investment in developing leadership in other DHS employees.

**Recruit a highly qualified and diverse workforce:** Through a collaborative process, DHS developed a new DHS Coordinated Recruiting and Outreach Strategy. This streamlined approach will leverage recruiting assets from around the country and will strengthen the One DHS brand. Moreover, recruiting efforts will target all underrepresented groups, including individuals with disabilities and Veterans. DHS surpassed the Secretary’s goal of having 50,000 veterans on board in FY 2011, more than one year in advance of the target date.

**Retain an engaged workforce:** DHS has been working on multiple fronts to enhance employee engagement, including leadership involvement in the DHS Labor Management Forum and the launch of the Homeland Security Rotational Program. The Secretary has also issued a series of actions to address gaps identified in the [2011 Federal Employee Viewpoint Survey](#), including establishing an employee engagement executive steering committee.

**Solidify a unified DHS culture of mission performance, adaptability, accountability, equity, and results.** OCHCO and OCIO have worked with the Human Resource Information Technology (HRIT) Executive Steering Committee to develop a segment architecture for Human Capital and a long-term strategy to eliminate redundancy in HRIT systems across the Department. By consolidating, integrating, and modernizing the Department’s HRIT infrastructure, DHS will have the flexibilities and management information to evolve continuously in response to changing business, legislative, and economic drivers.



## GAO High-Risk Series – Summary of Progress

The [Government Accountability Office](#) (GAO) identifies in a [High-Risk Series report](#), those federal programs and operations that are high risk due to their greater vulnerabilities to fraud, waste, abuse, and mismanagement. In recent years, GAO has also identified high-risk areas to focus on the need for broad-based transformations to address major economic, efficiency, or effectiveness challenges. The GAO maintains these high-risk items until satisfied that acceptable progress has occurred to address these challenges. An update of the High-Risk Series is provided by GAO at the start of each new Congress. The most recent update ([GAO-11-278](#)) was published in February 2011. The areas that fall within the Department of Homeland Security’s (DHS) purview are listed below.

- Implementing and Transforming the Department of Homeland Security
- Establishing Effective Mechanisms for Sharing Terrorism-Related Information to Protect the Homeland
- Protecting the Federal Government’s Information Systems and the Nation’s Critical Infrastructure
- National Flood Insurance Program
- Strategic Human Capital Management (Government-wide high-risk area)
- Federal Real Property Management (Government-wide high-risk area)

The Department carries out multiple complex and highly diverse missions. Although the Department continually strives to improve the efficiency and effectiveness of its programs and operations, the areas identified above merit a higher level of focus and attention. Typically, overcoming challenges in these areas require long-term strategies for ensuring stable operations, sustained management attention, and resources. As such, DHS’s Under Secretary for Management has implemented a quarterly review of the Department’s progress in addressing each of these areas.

The remainder of this section of the report provides a brief summary of the Department’s efforts in addressing each of the GAO’s High-Risk areas.





## Status Update

### GAO High-Risk Area: Implementing and Transforming the Department of Homeland Security

**GAO Overview:** In 2003, GAO designated implementing and transforming the Department of Homeland Security (DHS) as high risk because DHS had to transform 22 agencies—several with major management challenges—into one department. GAO’s prior work on mergers and acquisitions, undertaken before the creation of DHS, found that successful transformations of large organizations, even those faced with less strenuous reorganizations than DHS, can take years to achieve. DHS, with more than 200,000 employees and an annual budget of more than \$40 billion, is the third-largest federal department, and its transformation is critical to achieving its homeland security missions. This high-risk area includes challenges in strengthening DHS’s management functions, including acquisition, information technology, financial, and human capital management; the impact of those challenges on DHS’s mission implementation; and challenges in integrating management functions within and across the Department and its Components.

**DHS Status:** In January 2011, the Under Secretary for Management (USM) issued the “Integrated Strategy for High Risk Management” to address GAO’s high risk designation in the “implementation and transformation” category. This plan provided a roadmap and set forth the USM’s management priorities, which included:

1. Improving the Department’s financial systems and capabilities;
2. Strengthening acquisition management, especially in the program management arena;
3. Standardizing how the Department prioritizes investments, makes trade-off decisions, rationalizes technical requirements, allocates resources and develops implementation strategies;
4. Enhancing business intelligence to inform critical budget and programmatic decisions; and
5. Implementing the strategies in the Department’s Human Capital Management Plan.

In January 2012, the USM submitted its second biannual update to this report to GAO. It included detailed corrective action plans to address GAO’s recommendations in the “implementation and transformation” category, initiative milestones, and an enhanced methodology to show progress over time. The USM is optimistic that the Department’s progress in the management integration category will be noted in the next GAO High Risk Update, expected in January 2013.

Other activities to track progress within the department include quarterly Internal Progress Reviews (IPRs) and the Management Council. The purpose of the quarterly IPRs is to assess each Line-of-Business Chief’s progress on key management programs and initiatives. While the Line-of-Business Chiefs attend the IPRs, the actual progress reports are presented by the initiative’s program manager, which promotes visibility and accountability within the Management Directorate. The USM is using the Management Council, to focus on initiatives that solidify the vertical integration and will also promote stronger horizontal integration between each Component.



**GAO High-Risk Area:** Establishing Effective Mechanisms for Sharing Terrorism-Related Information to Protect the Homeland

**GAO Overview:** In January 2005, GAO designated terrorism-related information sharing as high risk because the government faced serious challenges in analyzing key information and sharing it among federal, state, local, and other security partners in a timely, accurate, and useful way to protect against terrorist threats. GAO has since monitored federal efforts to implement the Information Sharing Environment (Environment)—an approach that facilitates the sharing of terrorism and homeland security information, which may include any method determined necessary and appropriate. The Environment is to serve as an overarching solution to strengthening the sharing of intelligence, terrorism, law enforcement, and other information among these partners.

GAO found that the government had begun to implement some initiatives that improved sharing but did not yet have a comprehensive approach that was guided by an overall plan and measures to help gauge progress and achieve desired results. In addition, recent homeland security incidents and the changing nature of domestic threats, among other things, make continued progress in improving sharing critical.

**DHS Status:** In the ten years since 9/11, the Federal Government has strengthened the connection between collection and analysis on transnational organizations and threats. Terrorism-related information sharing across the intelligence community has greatly improved, and through the establishment of the DHS Office of Intelligence & Analysis (I&A), we have strengthened the ability to convey intelligence on threats to the homeland in a context that is useful and relevant to law enforcement and homeland security officials at the state and local level.

DHS, working closely with the FBI and other federal partners, has re-focused its information sharing and production efforts to better address the needs of state and local governments and private sector partners. DHS consults with law enforcement officials from major metropolitan areas, the directors of fusion centers, and State Homeland Security Advisors to tailor the Department's products and briefings to better support state and local law enforcement and homeland security officials.

Consistent with the direction the President has set for a robust information sharing environment, DHS provides, in coordination with the FBI and other federal partners, regular training programs for local law enforcement and homeland security officials to help them identify indicators of terrorist activity. In addition, DHS continues to improve and expand the information-sharing mechanisms by which front line personnel are made aware of the threat picture, vulnerabilities, and what it means for their local communities.



## **GAO High-Risk Area:** Protecting the Federal Government's Information Systems and the Nation's Critical Infrastructure

**GAO Overview:** Federal agencies and our nation's critical infrastructures—such as distribution, water supply, telecommunications, and emergency services—rely extensively on computerized information systems and electronic data to carry out their operations. The security of these systems and data is essential to protecting national and economic security, and public health and safety. Safeguarding federal computer systems and the systems that support critical infrastructures—referred to as cyber critical infrastructure protection or cyber CIP—is a continuing concern. Federal information security has been on GAO's list of high-risk areas since 1997; in 2003, GAO expanded this high-risk area to include cyber CIP. Risks to information systems include continuing insider threats from disaffected or careless employees and business partners, escalating and emerging threats from around the globe, the ease of obtaining and using hacking tools, the steady advance in the sophistication of attack technology, and the emergence of new and more destructive attacks.

**DHS Status:** DHS has made significant progress in improving its ability to protect against cyber threats by advancing the National Cyber Security Division's (NCS) cyber analysis and warning capabilities, acquiring enhanced analytical and technical capabilities, developing strategies for hiring and retaining highly qualified cyber analysts, and strengthening the effectiveness of its public-private sector partnerships in securing cyber critical infrastructure. For example, DHS developed the National Cyber Incident Response Plan to coordinate incident management, enhance data flow, and support analytical collaboration between federal, state, and local government entities as well as private sector partners. Additionally, the National Cybersecurity and Communications Integration Center has brought together the operational components of the Office of Cybersecurity and Communications to improve information sharing and develop a common operational picture of the cybersecurity landscape across networks.

DHS is working with the Office of Management and Budget to strengthen cybersecurity across Federal Executive Branch civilian agencies, including in the areas of continuous monitoring and automated asset, configuration and vulnerability management, two-factor authentication, and Trusted Internet Connections (TIC) Initiative compliance. DHS continues to build relationships and mechanisms to improve information sharing by sponsoring SECRET and TS/SCI clearances for critical infrastructure representatives and developing collaborative frameworks through which classified and unclassified threat, vulnerability, and mitigation information is shared. DHS's United States Computer Emergency Readiness Team now provides Department and Agency Cybersecurity Reports, which provide individual agencies a better understanding of their EINSTEIN 2 data. Finally, NCS has significantly grown its federal cyber workforce over the last three years in order to ensure it maintains technical expertise commensurate with its critical mission.

Senior NPPD and GAO officials meet quarterly to keep abreast of ongoing cyber activities, discuss DHS's strategic direction in cybersecurity, and review the status of open recommendations. This year, NCS has provided GAO with a significant amount of documentation to close over 15 open recommendations, most of which provide the basis for GAO's high-risk report findings related to cybersecurity. These include recommendations related to cyber analysis and warning, public-private partnerships, and the TIC and EINSTEIN initiatives.



### GAO High-Risk Area: National Flood Insurance Program

**GAO Overview:** The National Flood Insurance Program (NFIP) is a key component of the federal government's efforts to limit the damage and financial impact of floods; however, it likely will not generate sufficient revenues to repay the billions of dollars borrowed from the Treasury Department to cover claims from the 2005 hurricanes or future catastrophic losses. The lack of sufficient revenues highlights structural weaknesses in how the program is funded. Also, weaknesses in NFIP management and operations, including financial reporting processes and internal controls, and oversight of contractors place the program at risk. The Federal Emergency Management Agency (FEMA), within the Department of Homeland Security, is responsible for managing NFIP. While FEMA has taken some steps to address these issues, including increasing the number of policyholders and implementing new contractor oversight processes, it continues to face complex challenges, and Congress needs to act to restructure the program.

**DHS Status:** FEMA is improving financial reporting processes and strengthening internal controls over the Write Your Own (WYO) companies by working with the Office of the Inspector General to conduct an annual audit of NFIP financial statements beginning in FY 2012. FEMA is working with the National Association of Insurance Commissioners to improve insurance expense data to determine the WYO Expense Allowance. FEMA is also enhancing the NFIP rate setting process by using Geographic Information System data to assess the impact of grandfathering and reviewing existing depth damage data to ensure consistency in reporting. FEMA has established a Project Management Office to ensure effective oversight of contractors performing key NFIP data collection, reporting, and insurance functions.

### GAO High-Risk Area: Strategic Human Capital Management (Government-wide high-risk area)

**GAO Overview:** GAO initially designated strategic human capital management as a high-risk area because of the long-standing lack of leadership of strategic human capital management. While significant steps have been taken, the area remains high risk because of a need to address current and emerging critical skills gaps that are undermining agencies' abilities to meet their vital missions. The Federal Government's current budget and long-term fiscal pressures underscore the importance of a strategic and efficient approach to recruitment, hiring, development, and retention of individuals with the needed critical skills.

**DHS Status:** DHS's Office of the Chief Human Capital Officer recently implemented a comprehensive Workforce Strategy for Fiscal Years 2011 – 2016 in support of the Department's missions and responsibilities. For more information on this strategy and our FY 2011 accomplishments, please see the [DHS Workforce Strategy](#) section previously in this report.





**GAO High-Risk Area: Federal Real Property Management (Government-wide high-risk area)**

**GAO Overview:** The federal real property portfolio is vast and diverse. It totals over 900,000 buildings and structures with a combined area of over 3 billion square feet. Progress has been made on many fronts, including significant progress with real property data reliability and managing the condition of facilities. However, federal agencies continue to face long-standing problems, such as overreliance on leasing, excess and underutilized property, and protecting federal facilities. As a result, this area remains on GAO's High-Risk List, with the exceptions of government wide real property data reliability and management of condition of facilities, which GAO found to be sufficiently improved to be no longer considered high risk. Additionally, challenges persist with the Department of Defense's management of its real property.

**DHS Status:** DHS continues to work through the Federal Real Property Council to improve property management and reduce overreliance on leasing, excess and underutilized property, and protecting federal facilities. The Department and our Components are committed to reducing real property spending in accordance with the Presidential memo on Real Property Planning and Cost Savings. The master plan, approved in January 2009 for DHS's Consolidated Headquarters to reduce its 55 leased and federally-owned locations throughout the National Capital Region to 7 – 10 locations, will significantly reduce DHS's reliance on leasing when implemented. Additionally, the U.S. Coast Guard Headquarters building and support facilities at St. Elizabeths are on schedule for occupancy in 2013.



## Low-Priority Program Activities

The 2013 Cuts, Consolidations, and Savings (CCS) Volume of the President's Budget identifies the lower-priority program activities under the *GPRM Modernization Act*, 31 U.S.C. 1115(b)(10). The public can access the volume at: <http://www.whitehouse.gov/omb/budget>.



## Component Acronyms

Below is the list of DHS Components and their Acronyms.

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AO – Analysis and Operations  
CBP – U.S. Customs and Border Protection  
DMO – Departmental Management and Operations  
DNDO – Domestic Nuclear Detection Office  
FEMA – Federal Emergency Management Agency  
FLETC – Federal Law Enforcement Training Center  
ICE – U.S. Immigration and Customs Enforcement  
IG – Office of the Inspector General  
NPPD – National Protection and Programs Directorate  
OHA – Office of Health Affairs  
S&T – Science and Technology Directorate  
TSA – Transportation Security Administration  
USCG – U.S. Coast Guard  
USCIS – U.S. Citizenship and Immigration Services  
USSS – U.S. Secret Service

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Homeland  
Security



Homeland  
Security