



**U.S. Department of Homeland Security
Report to Congress on
Quadrennial Homeland Security Review
Resource Plan**

**(Required Pursuant to Title XXIV, Section 2401(b)(2)
of the Implementing Recommendations of the 9/11
Commission Act of 2007, Public Law 110-53)
DHS Policy Draft – March 27, 2008**

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I. Executive Summary

Section 2401 of the *Implementing Recommendations of the 9/11 Commission Act of 2007*, P.L. 110-53 (Act), amends the Homeland Security Act of 2002, and directs the Secretary of Homeland Security, beginning in fiscal year (FY) 2009 and every four years thereafter, to “conduct a review of the homeland security of the Nation.” As part of this review, the Secretary will comprehensively examine the homeland security strategy, make recommendations regarding the long-term homeland security strategy and priorities, and provide guidance on the programs, assets, capabilities, budget, policies, and authorities of the Department of Homeland Security (DHS). The first review – called the Quadrennial Homeland Security Review (QHSR) – is to be submitted to Congress by December 31, 2009.

Section 2401(b)(2) of the Act directs the Secretary to provide Congress, and make publicly available on the DHS website, a resource plan for the preparation of the first review. The QHSR Resource Plan presents the proposed implementation phases for conducting the review, an estimate of the required resources, and the QHSR Work Teams structure and approach.

To fulfill the Act’s requirements, DHS will designate a core staff for the QHSR within the Office of Policy as well as work teams to manage and conduct the review and analysis. The work teams will include employees dedicated full-time to the QHSR, detailed and non-detailed personnel from across DHS and other Federal departments and agencies, and contract support. Collectively the teams will serve as the focal point for intra and interagency review and coordination.

The Department looks forward to its first comprehensive QHSR and the benefits this review will provide DHS and other Federal, State, local, tribal, and private sector homeland security partners.

II. Background

Section 2401 of the Act directs the Secretary, beginning in FY 2009 and every four years thereafter, to “conduct a review of the homeland security of the Nation.”

The QHSR will enhance the Nation’s long-term homeland security strategic decision-making, prioritize policy initiatives, inform budget and resource needs, streamline processes, and reduce duplication of effort. In addition, through interagency and intergovernmental cooperation, the QHSR is an opportunity to craft integrated solutions for future national and homeland security needs of our Nation.

In developing this Resource Plan, DHS consulted with numerous representatives within both the Department and its partner agencies. DHS requested briefings concerning other similar initiatives, including past and current examples within the government and private entities, and convened sessions where experts shared their insights.

While the Department of Defense's (DOD) Quadrennial Defense Review (QDR) provides many instructive lessons, the QHSR process does not mirror the QDR process. DHS and DOD have fundamentally different missions and execute those missions in different ways. The DHS mission is inherently interagency, interdisciplinary, and intergovernmental. Therefore, the QHSR Work Teams will use a structure that integrates Federal, State, local, and tribal planning and capability assessments that can directly inform homeland security strategies and objectives.

The Department also recognizes that many organizations have conducted studies and reviews on homeland security. DHS intends to build on these existing studies and reviews, incorporating their perspectives or otherwise building on their conclusions.

The resulting QHSR will provide a long-range strategic planning and implementation document providing meaningful guidance and insight into the Nation's homeland security strategy, mission areas, and supporting activities. The QHSR will also facilitate Departmental continuity during the change of Administration, inform and shape long-term resource planning and strategic decision-making, and address issues critical to improving the Nation's homeland security.

III. Discussion

A. DHS QHSR Work Teams

Conducting a QHSR will require substantial effort with commensurate resources and expertise in all missions and aspects of homeland security. Recognizing the importance of the review and the need for centralized oversight at the highest level within the Department to ensure successful coordination and collaboration with all stakeholders DHS will establish a core team for the QHSR within the Office of Policy, and establish multi-disciplined, inter- and intradepartmental QHSR Work Teams, as appropriate, to provide oversight and manage the review. Work Teams may also include personnel from other agencies or levels of government, and intra-agency and interagency focus groups will be organized, as necessary.

The QHSR Work Teams will look to existing proven methodologies and systems to ensure that the QHSR process is successful. At this time, the Department estimates that the QHSR core team will require six dedicated members supported by detailees and contract staff. DHS will consult with existing advisory bodies, as well as with other homeland security experts, with current and former government, academia, think-tank, and private sector backgrounds, to achieve an "outside" perspective.

Once the review is completed, and the report written and delivered to Congress at the end of 2009, DHS will follow up on QHSR recommendations, review and revise its strategic plan, and focus on other long-range strategic efforts deemed important by the Department.

B. Phases

The QHSR report will be developed, reviewed, and analyzed in five phases.

Phase 1: Define the requirements, establish the organization and gather results.

Phase 2: Define the project outlook and initialize research.

Phase 3: Refinement, analysis and prepare draft results.

Phase 4: Present analysis and transition recommendations.

Phase 5: Conduct interagency and partner reviews.

C. Challenges

There are three key challenges facing DHS in successfully completing the QHSR. First, DHS must gather the respective views, strengths, and expertise of all Federal departments and agencies with a role in homeland security, as well as State, local, tribal, non-governmental, and private sector partners, and academia. Second, DHS must focus existing resources on QHSR studies and integrate QHSR studies with other current and planned strategic and policy reviews and planning activities. Finally, both the outgoing and the incoming Administrations must provide strong commitment and support for the QHSR effort through the entire 28-month initiative.

IV. Conclusion

The QHSR will provide a qualitatively and quantitatively informative review process that DHS and its national homeland security partners can use as a guide to develop a comprehensive homeland security strategy. It will also serve as a key reference when coordinating corresponding implementation and resource plans that emphasize homeland security achievement and performance. Ultimately, the QHSR will help ensure that our Nation is more protected and prepared for future challenges.

V. Appendices

Appendix A – Estimated Staffing, Cost, and Budget

Staffing:

QHSR FY 2008 core team – Up to six full-time staff members with detailees and contract support:

- Core Team Members
 - Intra-department
 - Inter-agency
 - Contract

Cost and Budget:

In FY 2008, DHS will utilize existing Office of Policy funds. For FY 2009, DHS is requesting \$1.65 million and 2 positions in newly dedicated funds for the Office of Policy and the Chief Financial Officer. QHSR costs are not annually recurring or entirely fixed. Resource requirements will be cyclical and also variable accounting for the cyclic nature of the QHSR. QHSR core team members will revert to normal duties once the review is complete (generally associated with production of the DHS Strategic Plan and other strategic planning-related activities), and then form the core of the next review.

Appendix B – QHSR Work Teams Structure/Approach

Work Teams Structure

The QHSR core team will be comprised of existing DHS staff and report to the Deputy Assistant Secretary for Policy (Strategic Plans):

- One Director (Senior Executive Service (SES) or equivalent) – Integrator (Director, Quadrennial Homeland Security Review and DHS Strategic Plan)
- Four Senior analysts (06/GS-15 equivalent) – Work Team Leads
- One Analyst (GS-9 equivalent) – Communications/System Management
- Detailees and contract support as required

Personnel with DHS Policy and DHS Management background and experience will be critical to leading and staffing the Work Teams. The Teams will also include detailees with DHS component experience and from the interagency, as well as contract support.

Oversight

- DHS will establish a QHSR Advisory Panel of outside experts through the Homeland Security Advisory Council (HSAC). The QHSR Advisory Panel will include individuals with homeland security-related experience in government, the academic and policy communities, State, local, and tribal governments, non-governmental organizations, and the private sector.
- DHS will establish a DHS QHSR Executive Review Group, comprising key DHS SES or flag officer-level personnel from Policy, Management, and select other components and directorates, to provide QHSR oversight. The QHSR core team will brief the Executive Review Group regularly on QHSR progress and inform the Deputy Secretary and Secretary.
- DHS will engage and update the Office of Management and Budget, HSAC, and the Congressional committees on QHSR progress.

Approach

The review will be conducted using the following approaches. QHSR Work Teams will:

- Lead and manage the QHSR efforts and be responsible for developing and integrating the analysis with detailees and contract support.

- Coordinate with elements within DHS to respond to specific questions, conduct studies and analysis, etc.
- Facilitate DHS and interagency working groups.
- Direct contractor studies and analysis.

Appendix C – Legislative Language

TITLE XXIV--MISCELLANEOUS PROVISIONS

SEC. 2401. QUADRENNIAL HOMELAND SECURITY REVIEW.

Review Required - Title VII of the Homeland Security Act of 2002 is amended by adding at the end the following:

“SEC. 707. QUADRENNIAL HOMELAND SECURITY REVIEW.

(a) Requirement-

(1) **QUADRENNIAL REVIEWS REQUIRED-** In fiscal year 2009, and every 4 years thereafter, the Secretary shall conduct a review of the homeland security of the Nation (in this section referred to as a quadrennial homeland security review).

(2) **SCOPE OF REVIEWS-** Each quadrennial homeland security review shall be a comprehensive examination of the homeland security strategy of the Nation, including recommendations regarding the long-term strategy and priorities of the Nation for homeland security and guidance on the programs, assets, capabilities, budget, policies, and authorities of the Department.

(3) **CONSULTATION-** The Secretary shall conduct each quadrennial homeland security review under this subsection in consultation with--(A) the heads of other Federal agencies, including the Attorney General, the Secretary of State, the Secretary of Defense, the Secretary of Health and Human Services, the Secretary of the Treasury, the Secretary of Agriculture, and the Director of National Intelligence; (B) key officials of the Department; and (C) other relevant governmental and nongovernmental entities, including State, local, and tribal government officials, members of Congress, private sector representatives, academics, and other policy experts.

(4) **RELATIONSHIP WITH FUTURE YEARS HOMELAND SECURITY PROGRAM-** The Secretary shall ensure that each review conducted under this section is coordinated with the Future Years Homeland Security Program required under section 874.

(b) Contents of Review- In each quadrennial homeland security review, the Secretary shall--

(1) delineate and update, as appropriate, the national homeland security strategy, consistent with appropriate national and Department strategies, strategic plans, and Homeland Security Presidential Directives, including the National Strategy for Homeland Security, the National Response Plan, and the Department Security Strategic Plan;

(2) outline and prioritize the full range of the critical homeland security mission areas of the Nation;

(3) describe the interagency cooperation, preparedness of Federal response assets, infrastructure, budget plan, and other elements of the homeland security program and policies of the Nation associated with the national homeland security strategy, required to execute successfully the full range of missions called for in the national homeland security strategy described in paragraph (1) and the homeland security mission areas outlined under paragraph (2);

(4) identify the budget plan required to provide sufficient resources to successfully execute the full range of missions called for in the national homeland security strategy described in paragraph (1) and the homeland security mission areas outlined under paragraph (2);

(5) include an assessment of the organizational alignment of the Department with the national homeland security strategy referred to in paragraph (1) and the homeland security mission areas outlined under paragraph (2); and

(6) review and assess the effectiveness of the mechanisms of the Department for executing the process of turning the requirements developed in the quadrennial homeland security review into an acquisition strategy and expenditure plan within the Department.

c) Reporting-

(1) IN GENERAL- Not later than December 31 of the year in which a quadrennial homeland security review is conducted, the Secretary shall submit to Congress a report regarding that quadrennial homeland security review.

(2) CONTENTS OF REPORT- Each report submitted under paragraph (1) shall include

(A) the results of the quadrennial homeland security review;

(B) a description of the threats to the assumed or defined national homeland security interests of the Nation that were examined for the purposes of that review;

(C) the national homeland security strategy, including a prioritized list of the critical homeland security missions of the Nation;

(D) a description of the interagency cooperation, preparedness of Federal response assets, infrastructure, budget plan, and other elements of the homeland security program and policies of the Nation associated with the national homeland security strategy, required to execute successfully the full range of missions called for in the applicable national homeland security strategy referred to in subsection (b)(1) and the homeland security mission areas outlined under subsection (b)(2);

(E) an assessment of the organizational alignment of the Department with the applicable national homeland security strategy referred to in subsection (b)(1) and the homeland security mission areas outlined under subsection (b)(2), including the Department's organizational structure, management systems, budget and accounting systems, human resources systems, procurement systems, and physical and technical infrastructure;

(F) a discussion of the status of cooperation among Federal agencies in the effort to promote national homeland security;

(G) a discussion of the status of cooperation between the Federal Government and State, local, and tribal governments in preventing terrorist attacks and preparing for emergency response to threats to national homeland security;

(H) an explanation of any underlying assumptions used in conducting the review; and

(I) any other matter the Secretary considers appropriate.

(3) PUBLIC AVAILABILITY- The Secretary shall, consistent with the protection of national security and other sensitive matters, make each report submitted under paragraph (1) publicly available on the Internet website of the Department.

(d) Authorization of Appropriations- There are authorized to be appropriated such sums as may be necessary to carry out this section.

(b) Preparation for Quadrennial Homeland Security Review-

(1) IN GENERAL- During fiscal years 2007 and 2008, the Secretary of Homeland Security shall make preparations to conduct the first quadrennial homeland security review under section 707 of the Homeland Security Act of 2002, as added by subsection (a), in fiscal year 2009, including-- (A) determining the tasks to be performed; (B) estimating the human, financial, and other resources required to perform each task; (C) establishing the schedule for the execution of all project tasks; (D) ensuring that these resources will be available as needed; and (E) all other preparations considered necessary by the Secretary.

(2) REPORT- Not later than 60 days after the date of enactment of this Act, the Secretary shall submit to Congress and make publicly available on the Internet website of the Department of Homeland Security a detailed Resource Plan specifying the estimated budget and number of staff members that will be required for preparation of the first quadrennial homeland security review.

(c) Clerical Amendment- The table of sections in section 1(b) of such Act is amended by inserting after the item relating to section 706 the following new item:

Sec. 707. Quadrennial Homeland Security Review.”