



# **Annual Performance Plan For Fiscal Year 2011**



**Office of Inspector General**

# **The Department of Homeland Security**

## **Office of Inspector General**

### **Fiscal Year 2011 Annual Performance Plan**

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**The *Government Performance and Results Act of 1993*, Public Law 103-62, requires agencies to submit to the Office of Management and Budget an annual performance plan covering each program activity in the agency's budget. The annual performance plan is to provide the direct linkage between the strategic goals outlined in the agency's strategic plan and what managers and employees do day-to-day. The plan is to contain the annual performance goals that the agency will use to gauge its progress toward accomplishing its strategic goals and identify the performance measures the agency will use to assess its progress.**

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## **A Message From the Inspector General**

I am pleased to present the *Fiscal Year 2011 Annual Performance Plan* for the Department of Homeland Security's (DHS) Office of Inspector General. This plan, which is our ninth, outlines the projects that we intend to undertake this fiscal year to evaluate DHS' programs and operations. This promises to be another challenging and demanding year as we attempt to address the many complex issues confronting DHS in its daily effort to reduce America's vulnerability to terrorism, and to minimize the damage and recover from manmade attacks and natural disasters that may occur.

In developing the plan, we attempted to address the interests and concerns of DHS senior management officials, Congress, and the Office of Management and Budget. We focused on our core mission of conducting independent and objective audits, inspections, and investigations to promote economy, efficiency, and effectiveness in DHS' programs and operations, and to prevent and detect fraud, waste, abuse, and mismanagement.



Richard L. Skinner  
Inspector General

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## Chapter 1 – OIG Mission and Responsibilities

The *Homeland Security Act of 2002* provided for the establishment of an Office of Inspector General (OIG) to ensure independent and objective audits, inspections, and investigations of the operations of the Department of Homeland Security (DHS).

An Inspector General, who is appointed by the President and confirmed by the Senate, reports directly to both the Secretary of DHS and Congress. Barring narrow and exceptional circumstances, the Inspector General may audit, inspect, or investigate anyone in the department, or any program or operation of the department. To ensure the Inspector General's independence and objectivity, our office has its own budget, contracting, and personnel authority, separate from that of the department. Such authority enhances our ability to promote economy, efficiency, and effectiveness within the department, and to prevent and detect fraud, waste, and abuse in the department's programs and operations.

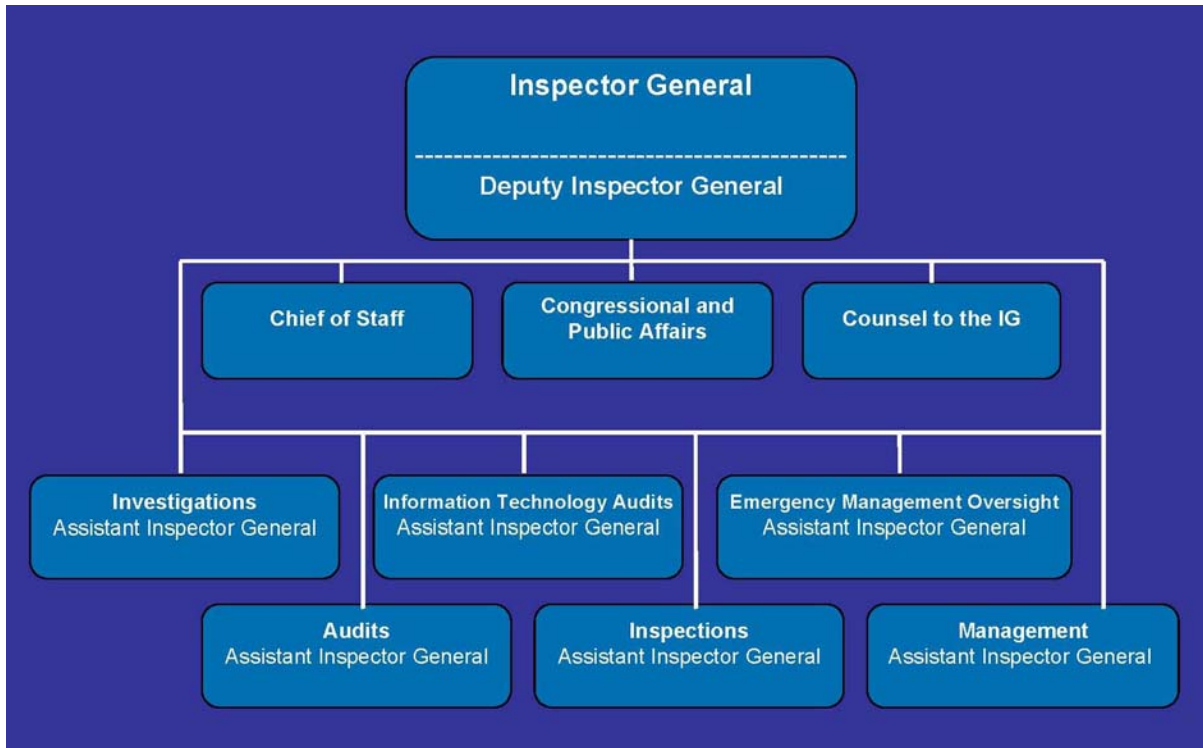
Our office's key legislated responsibilities are:

- Conduct and supervise independent and objective audits and investigations relating to the department's programs and operations;
- Promote economy, effectiveness, and efficiency within the department;
- Prevent and detect fraud, waste, and abuse in department programs and operations;
- Review recommendations regarding existing and proposed legislation and regulations relating to department programs and operations;
- Maintain effective working relationships with other federal, state, and local governmental agencies, and nongovernmental entities regarding the mandated duties of our office; and
- Keep the Secretary and Congress fully and currently informed of problems in agency programs and operations.

## Chapter 2 – OIG Organizational Structure and Resources

We consist of an Executive Office and eight functional components that are based in Washington, DC. We also have field offices throughout the country and 632 full-time equivalents (FTEs). Chart 1 illustrates our organizational components:

Chart 1



Our office consists of the following components:

***The Executive Office*** consists of the Inspector General, the Deputy Inspector General, a Chief of Staff, and support staff. It provides executive leadership to our office.

***The Office of Congressional and Public Affairs (C&PA)*** is the primary liaison to members of Congress, their staffs, and the media. The Office's staff responds to inquiries from Congress, the public at large, and the media; notifies Congress about OIG initiatives, policies, and programs; coordinates preparation of testimony and talking points for Congress; and coordinates distribution of reports to Congress. Office staff tracks congressional requests, which are either submitted by a member of Congress or mandated through legislation. It also provides advice to the Inspector General and supports OIG staff as they address questions and requests from the press and Congress.

***The Office of Counsel to the Inspector General (OC)*** provides legal advice to the Inspector General and other management officials; supports audits, inspections, and investigations by

ensuring that applicable laws and regulations are followed; serves as the OIG's designated ethics office; manages the OIG's *Freedom of Information Act* and *Privacy Act* responsibilities; furnishes attorney services for the issuance and enforcement of OIG subpoenas; and provides legal advice on OIG operations.

***The Office of Audits (OA)*** conducts and coordinates audits and program evaluations of the management and financial operations of DHS. Auditors examine the methods employed by agencies, bureaus, grantees, and contractors in carrying out essential programs or activities. Audits evaluate whether established goals and objectives are achieved and resources are used economically and efficiently; whether intended and realized results are consistent with laws, regulations, and good business practice; and whether financial accountability is achieved and the financial statements are not materially misstated.

***The Office of Emergency Management Oversight (EMO)*** provides an aggressive and ongoing audit effort designed to ensure that Disaster Relief Funds are being spent appropriately, while identifying fraud, waste, and abuse as early as possible. The office is an independent and objective means of keeping Congress, the Secretary of DHS, and other federal disaster relief agencies fully informed on problems and deficiencies relating to disaster operations and assistance programs, and progress regarding corrective actions. OIG focus is weighted heavily toward prevention, including reviewing internal controls, and monitoring and advising DHS and Federal Emergency Management Agency (FEMA) officials on contracts, grants, and purchase transactions before they are approved. This approach allows the office to stay current on all disaster relief operations and provide on-the-spot advice on internal controls and precedent-setting decisions.

***The Office of Inspections (ISP)*** provides the Inspector General with a means to analyze programs quickly and to evaluate operational efficiency, effectiveness, and vulnerability. This work includes special reviews of sensitive issues that can arise suddenly and congressional requests for studies that require immediate attention. The Office of Inspections may examine any area of the department, and is the lead OIG office for reporting on DHS intelligence, international affairs, civil rights and civil liberties, and science and technology. Inspectors use a variety of study methods and evaluation techniques to develop recommendations for DHS. Inspections reports are released to DHS, Congress, and the public.

***The Office of Information Technology Audits (ITA)*** conducts audits and evaluations of DHS' information management, cyber infrastructure, and systems integration activities. The office reviews the cost effectiveness of acquisitions, implementation, and management of major systems and telecommunications networks across DHS. In addition, it evaluates the systems and related architectures of DHS to ensure that they are effective, efficient, and implemented according to applicable policies, standards, and procedures. The office also assesses DHS' information security program as mandated by the *Federal Information Security Management Act* (FISMA). In addition, the office provides technical forensics assistance to OIG offices in support of OIG's fraud prevention and detection program.

***The Office of Investigations (INV)*** investigates allegations of criminal, civil, and administrative misconduct involving DHS employees, contractors, grantees, and programs. These investigations can result in criminal prosecutions, fines, civil monetary penalties, administrative sanctions, and personnel actions. Additionally, the Office of Investigations provides oversight and monitors the investigative activity of DHS' various internal affairs offices. The office includes investigative staff working on disaster relief operations and programs.

***The Office of Management (OM)*** provides critical administrative support functions, including OIG strategic planning; development and implementation of administrative directives; the OIG's information and office automation systems; budget formulation and execution; correspondence; printing and distribution of OIG reports; personnel and procurement services; and oversight of travel and accounting services provided to the OIG on a reimbursable basis by the Bureau of Public Debt. The office also prepares the OIG's annual performance plans and semiannual reports to Congress.



## Chapter 3 – FY 2011 Planning Approach

The Annual Performance Plan is our “roadmap” for the audits and the inspections that we plan to conduct each year to evaluate DHS programs and operations. In devising this plan, we endeavor to assess DHS’ progress in meeting the most critical issues it faces.

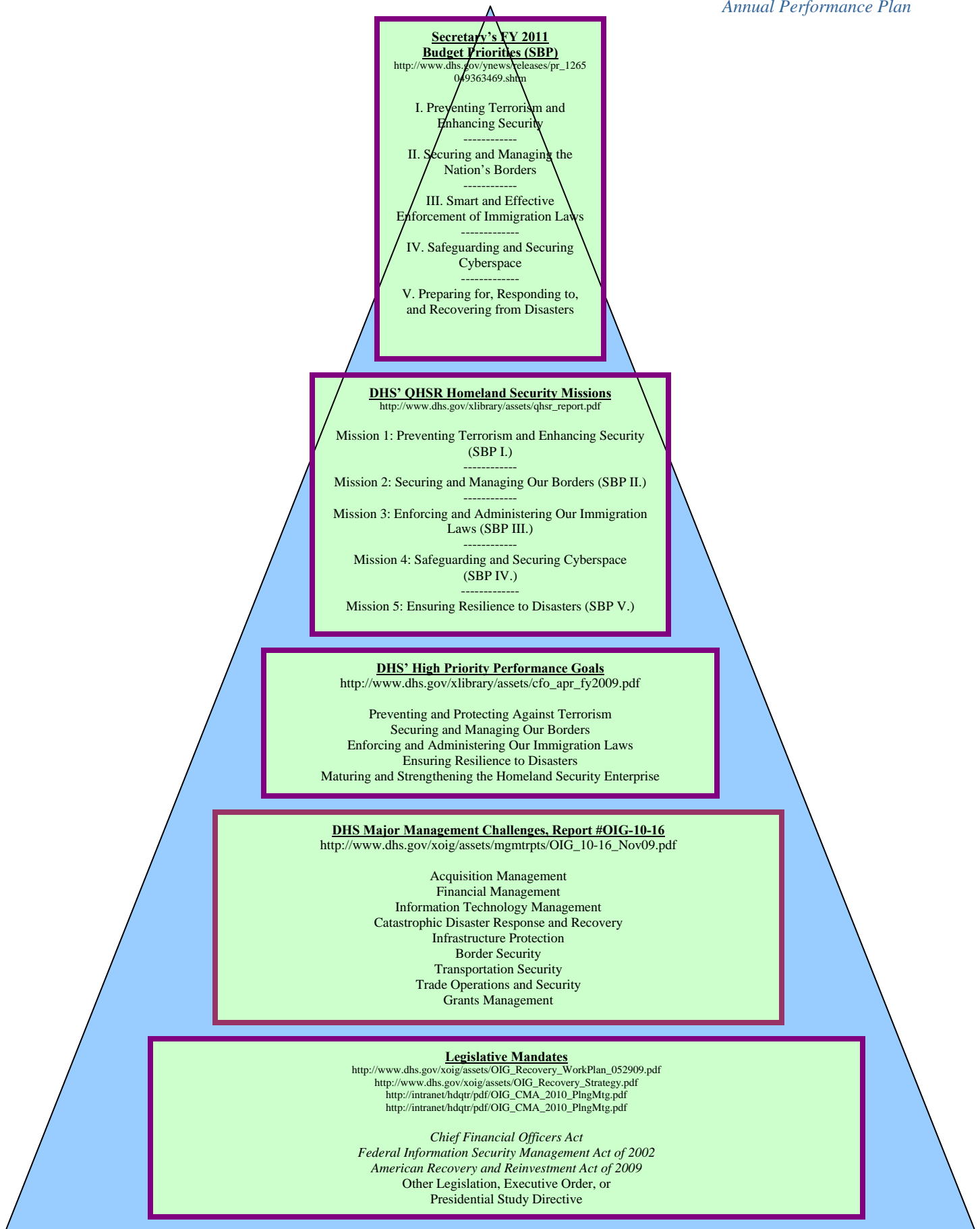
This plan describes more projects than may be completed in FY 2011, and tries to take into account future developments and requests from DHS management and Congress that may occur as the year progresses, which may necessitate some projects in this plan being deferred or canceled. Resource issues, too, may require changes to the plan. The plan includes projects that were initiated, but not completed in the prior fiscal year, and projects that were listed in our prior fiscal year’s plan that will start in FY 2011. Finally, the plan lists some projects that will start during FY 2011 but will carry over into FY 2012.

In establishing priorities, we place particular emphasis on the major management challenges facing the department, as described in our report, *Management Challenges Facing the Department of Homeland Security* (OIG-10-16). We identified the following as the most serious FY 2010 management challenges facing DHS:

|  |                               |
|--|-------------------------------|
| Acquisition Management                 | Infrastructure Protection     |
| Financial Management                   | Border Security               |
| Information Technology (IT) Management | Transportation Security       |
| Emergency Management                   | Trade Operations and Security |
| Grants Management                      |                               |

We place emphasis on legislative mandates such as the *Chief Financial Officers Act* (P.L. 101-576), FISMA (44 U.S.C. §§ 3541, et seq.), and the *American Recovery and Reinvestment Act of 2009* (ARRA). We will also focus on the Secretary’s budget priorities for FY 2011: Preventing Terrorism and Enhancing Security; Securing and Managing the Nation’s Borders; Smart and Effective Enforcement of Immigration Laws; Safeguarding and Securing Cyberspace; and Preparing for, Responding to, and Recovering from Disasters. We will also address the Secretary’s high-priority performance goals and homeland security mission areas developed during the department’s Quadrennial Homeland Security Review (QHSR) and its Bottom Up Review. The programs and functions associated with each of these missions are not an all-inclusive inventory of DHS’ activities. Rather, these activities represent the core of DHS’ mission and strategic objectives. By answering certain fundamental questions about each of these program and functional areas, we will determine how well DHS is performing, and we will be able to recommend improvements to the efficacy of DHS’ programs and operations.

The following illustration serves as a snapshot of the department’s FY 2011 budget priorities—located at the top of the pyramid—and other fundamental performance goals leading toward these priorities. The principal foundation of our pyramid is our legislative mandates. Please refer to the web links in the illustration for details.



## Chapter 4 – Aligning OIG FY 2011 Projects With DHS’ Missions, Priorities, and Mandates

This section lists the Secretary’s FY 2011 Budget Priorities (SBPs), the department’s five primary QHSR missions, and our allied FY 2011 projects. We also identify projects that pertain to the department’s high-priority performance goals (HPPG). In addition, we will identify projects that will assess specific ARRA requirements.

The projects and the resulting reports should aid the department in evaluating its progress on accomplishing the department’s mission and the Secretary’s goals, and on fulfilling ARRA requirements. In the Project Narrative section of the Plan, chapter 5, we provide a description of each project and its objectives.

### Secretary Napolitano’s FY 2011 Budget Priorities

The SBPs listed below represent the current strategic foundation on which the department will operate. Most of the SBPs mirror DHS’ QHSR missions and HPPGs.

#### **I. Preventing Terrorism and Enhancing Security (SBP I., mirrors OHSR Mission 1. & HPPG I.)**

Guarding against terrorism was the founding mission of DHS and remains our top priority today. A key element of preventing terrorism is recognizing the evolving threats posed by violent extremists and taking action to ensure that our defenses continue to evolve to deter and defeat them. The proposed DHS budget strengthens several aviation security programs by increasing Federal Air Marshal coverage on international flights and by deploying additional canine teams, Behavior Detection Officers, explosive trace detection machines, and advanced imaging technology units. These measures will increase the department’s ability to detect metallic and nonmetallic explosives and other threats at airports across the country.



#### **II. Securing and Managing the Nation’s Borders (SBP II., mirrors OHSR Mission 2. & HPPG II.)**

DHS monitors our air, land, and sea borders to prevent illegal trafficking that threatens our country, while facilitating lawful travel and trade. DHS will continue to strengthen security efforts on the southwest border to combat and disrupt cartel violence and provide critical security upgrades—through infrastructure and technology—along the northern border. The FY 2011 DHS budget request includes funding for increased staffing and better pay for frontline officers; additional Border Enforcement Security Task Forces and border intelligence analysts; new technology to support intellectual property



rights enforcement; and enhancements to Coast Guard maritime border security air and marine assets.

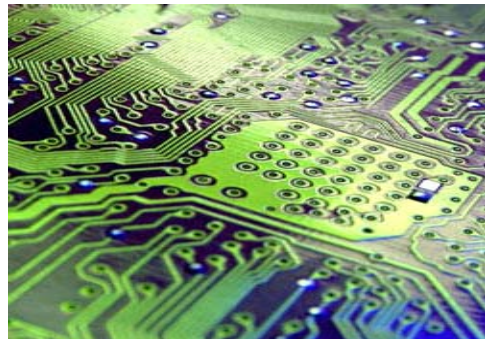
**III. Smart and Effective Enforcement of Immigration Laws (SBP III., mirrors Mission 3. & HPPG III.)**

DHS is responsible for enforcing the Nation's immigration laws while streamlining and facilitating the legal immigration process. In FY 2011, we will continue to strengthen enforcement activities while targeting criminal aliens who pose a threat to public safety and employees who knowingly violate the law. This budget request supports enhancements to E-Verify—DHS' simple and effective online system to verify employment eligibility of new hires; funding to continue nationwide implementation of the Secure Communities program—which uses biometrics to identify and remove criminal aliens incarcerated in state and local jails; and programs that promote citizenship awareness, enhance English-language education, and assist community-based organizations to prepare immigrants for citizenship.



**IV. Safeguarding and Securing Cyberspace (SBP IV., mirrors Mission 4.)**

The department defends against, and responds to, attacks on cyber networks—analyzing threats and vulnerabilities, coordinating the response to cyber incidents, and working with the private sector and our state, local, international, and private sector partners to ensure that our computers, networks, and cyber systems remain safe. The proposed DHS budget includes funding for the National Cyber Security Division to identify and reduce vulnerabilities in our Nation's key cyber networks and to enhance cyber security coordination capabilities across the federal government.



**V. Preparing for, Responding to, and Recovering From Disasters (SBP V., mirrors Mission 5. & HPPG IV.)**

The department provides the coordinated, comprehensive federal response in the event of a terrorist attack, natural disaster, or other large-scale emergency while working with federal, state, local, and private sector partners to ensure a swift and effective recovery effort. DHS will continue its efforts to build a ready and resilient Nation by bolstering information sharing; providing grants, plans, and training to our homeland security and law enforcement partners; and further streamlining rebuilding and recovery along the Gulf Coast. The proposed DHS budget prioritizes program and technical support for state, local, and tribal governments to reduce risk; modernization of flood maps to better communicate flood hazards;



enhancement of emergency response and rapid recovery capabilities; and upgrading key FEMA facilities to better accommodate its critical mission.

## **DHS' High-Priority Performance Goals (HPPGs)**

As part of developing the FY 2011 budget and performance plan, DHS identified the following HPPGs that will be a particular focus for the department during FYs 2011–2012. Most of the HPPGs mirror the five primary missions outlined in the department's QHSR and the FY 2011 SBP.

### **I. Countering terrorism and enhancing security (mirrors Mission 1, and SBP I.)**

- Improve security screening of transportation passengers, baggage, and employees while expediting the movement of the traveling public (surface transportation security).
- Improve security screening of transportation passengers, baggage, and employees while expediting the movement of the traveling public (aviation security).

### **II. Securing and managing our borders (mirrors Mission 2. and SBP II.)**

- Prevent terrorist movement at land ports of entry through enhanced screening while expediting the flow of legitimate travel.

### **III. Administering and enforcing our immigration laws (mirrors Mission 3. and SBP III.)**

- Improve the efficiency of the process to detain and remove illegal immigrants from the United States.
- Improve the delivery of immigration services.

### **IV. Ensuring resilience from disasters (mirrors Mission 5. and SBP V.)**

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

### **V. Maturing and strengthening the Homeland Security Enterprise (HPPG V.)**

- Mature and unify the Homeland Security Enterprise through effective information sharing.
- Improve Acquisition Execution Across the DHS Acquisition Portfolio by ensuring that Key Acquisition Expertise resides in Major Program Office and Acquisition Oversight Staffs throughout the department.





## **DHS Quadrennial Homeland Security Review**

The department's QHSR identified five homeland security missions. The missions and the HPPGs are similar but not identical. The missions mirror the FY 2011 SBP exactly, and the missions and related goals represent the current strategic framework guiding DHS activities:

|  |
|--|
| <b>Mission 1: Preventing Terrorism and Enhancing Security (SBP I.)</b>   |
| <ul style="list-style-type: none"> <li>• Goal 1.1: Prevent Terrorist Attacks</li> <li>• Goal 1.2: Prevent the Unauthorized Acquisition or Use of Chemical, Biological, Radiological, and Nuclear Weapons</li> <li>• Goal 1.3: Manage Risks to Critical Infrastructure, Key Leadership, and Events</li> </ul> |
| <b>Mission 2: Securing and Managing Our Borders (SBP II.)</b>  |
| <ul style="list-style-type: none"> <li>• Goal 2.1: Effectively Control U.S. Air, Land, and Sea Borders</li> <li>• Goal 2.2: Safeguard Lawful Trade and Travel</li> <li>• Goal 2.3: Disrupt and Dismantle Transnational Criminal Organizations</li> </ul>   |
| <b>Mission 3: Enforcing and Administering Our Immigration Laws (SBP III.)</b>  |
| <ul style="list-style-type: none"> <li>• Goal 3.1: Strengthen and Effectively Administer the Immigration System</li> <li>• Goal 3.2: Prevent Unlawful Immigration</li> </ul>   |
| <b>Mission 4: Safeguarding and Securing Cyberspace (SBP IV.)</b>   |
| <ul style="list-style-type: none"> <li>• Goal 4.1: Create a Safe, Secure, and Resilient Cyber Environment</li> <li>• Goal 4.2: Promote Cybersecurity Knowledge and Innovation</li> </ul>   |
| <b>Mission 5: Ensuring Resilience to Disasters (SBP V.)</b>  |
| <ul style="list-style-type: none"> <li>• Goal 5.1: Mitigate Hazards</li> <li>• Goal 5.2: Enhance Preparedness</li> <li>• Goal 5.3: Ensure Effective Emergency Response</li> <li>• Goal 5.4: Rapidly Recover</li> </ul>   |

In addition, the department listed maturing and strengthening the homeland security enterprise (known as HPPG I.) as an important area of focus over the coming years, including enhancing shared awareness of risks and threats, building capable communities, fostering unity of effort, and fostering innovative approaches and solutions through leading-edge science and technology.

### OIG FY 2011 Projects Aligned With DHS’ Missions, Goals, Priorities, and Mandates

The following projects and the resulting reports should aid the department in assessing its progress toward achieving its FY 2011 budget priorities, missions, performance goals, and initiatives. In the following table, we list our projects in the same order as their narratives appear in chapter 5 of this plan.

| Project Title   | OIG Office | Secretary’s Budget Priorities /QHSR/ HPPG | Management Challenges | Legislative Mandates | Congressional Interests | ARRA | Page # in Plan |
|---|------------|---|-----------------------|----------------------|-------------------------|------|----------------|
| <b>DIRECTORATE FOR MANAGEMENT</b>   |            |   |                       |                      |                         |      |                |
| <b>New Projects</b>   |            |   |                       |                      |                         |      |                |
| IT Matters Related to the FY 2010 Financial Statement Audit –DHS Consolidated (Mandatory)   | ITA        |   | •                     | •                    |                         |      | 20             |
| DHS Financial Systems Consolidation Project   | ITA        |   | •                     |                      |                         |      | 20             |
| Annual Evaluation of DHS’ Information Security Program for FY 2011 (Mandatory)  | ITA        | •   | •                     | •                    |                         |      | 20             |
| OneNet Review   | ITA        |   | •                     |                      |                         |      | 20             |
| Wireless Security at DHS Management   | ITA        | •   | •                     |                      |                         |      | 21             |
| Red Team Security Assessment of DHS   | ITA        |   |                       |                      |                         |      | 21             |
| DHS IT Management Structure   | ITA        | •   | •                     |                      |                         |      | 21             |
| DHS’ Compliance With Executive Order 13520, Reducing Improper Payments and Eliminating Waste in Federal Programs (Mandatory)  | OA         | •   | •                     | •                    |                         |      | 22             |
| FY 2011 Chief Financial Officer Act Audits – Audits of the DHS’ Consolidated Financial Statements, Internal Control Over Financial Reporting, and the Individual Financial Statements of U.S. Customs and Border Protection (CBP) (Mandatory) | OA         | •   | •                     | •                    |                         |      | 22             |
| FY 2011 Office of National Drug Control Policy (ONDCP) Reviews at CBP, United States Coast Guard (USCG), and United States Immigration and Citizenship Enforcement (USICE) (Mandatory)  | OA         | •   | •                     | •                    |                         |      | 23             |
|   |            |   |                       |                      |                         |      |                |
|   |            |   |                       |                      |                         |      |                |
|   |            |   |                       |                      |                         |      |                |
|   |            |   |                       |                      |                         |      |                |
|   |            |   |                       |                      |                         |      |                |
|   |            |   |                       |                      |                         |      |                |

| Project Title   | OIG Office | Secretary's Budget Priorities /QHSR/ HPPG | Management Challenges | Legislative Mandates | Congressional Interests | ARRA | Page # in Plan |
|---|------------|---|-----------------------|----------------------|-------------------------|------|----------------|
| <b>Projects in Progress</b>   |            |   |                       |                      |                         |      |                |
| FY 2010 Chief Financial Officer Act Audits – Audits of the DHS' Consolidated Financial Statements, Internal Control Over Financial Reporting, and the Individual Financial Statements (Mandatory) | OA         | •   | •                     | •                    |                         |      | 23             |
| FY 2010 ONDCP Reviews at CBP, USCG, and ICE (Mandatory)   | OA         | •   | •                     | •                    |                         |      | 24             |
| <b>DIRECTORATE FOR NATIONAL PROTECTION AND PROGRAMS</b>   |            |   |                       |                      |                         |      |                |
| <b>New Projects</b>   |            |   |                       |                      |                         |      |                |
| National Cybersecurity Center's Effort to Coordinate Cyber Operations Centers Across the Government   | ITA        | •   | •                     |                      |                         |      | 25             |
| <b>Projects in Progress</b>   |            |   |                       |                      |                         |      |                |
| National Cyber Security Review Status   | ITA        | •   | •                     |                      |                         |      | 25             |
| <b>DIRECTORATE FOR SCIENCE AND TECHNOLOGY (S&amp;T)</b>   |            |   |                       |                      |                         |      |                |
| <b>New Projects</b>   |            |   |                       |                      |                         |      |                |
| Goals and Metrics for S&T's Research Projects   | ISP        | •   |                       |                      | •                       |      | 26             |
| <b>Planned Progress</b>   |            |   |                       |                      |                         |      |                |
| Coordination and Effectiveness of TSA's and S&T's Behavior Screening Programs   | ISP        | •   |                       |                      |                         |      | 26             |
| S&T's Oversight of Federally Funded Research and Development Centers  | ISP        | •   | •                     |                      |                         |      | 27             |
| <b>FEDERAL EMERGENCY MANAGEMENT AGENCY</b>  |            |   |                       |                      |                         |      |                |
| <b>New Projects</b>   |            |   |                       |                      |                         |      |                |
| IT Matters Related to the FEMA Component of the FY 2010 DHS Financial Statement Audit (Mandatory)   | ITA        |   | •                     | •                    |                         |      | 27             |
| FEMA Laptop Security  | ITA        |   | •                     |                      |                         |      | 28             |



| Project Title   | OIG Office | Secretary's Budget Priorities /QHSR/ HPPG | Management Challenges | Legislative Mandates | Congressional Interests | ARRA | Page # in Plan |
|---|------------|---|-----------------------|----------------------|-------------------------|------|----------------|
| FEMA's Oversight of Grantees Using a Risk-Based Approach  | OA         | •   | •                     |                      |                         |      | 28             |
| Disaster Assistance Grants – Regional Offices   | EMO        | •   | •                     |                      |                         |      | 28             |
| Relationship Between Fusion Centers and Emergency Operations Centers  | EMO        | •   | •                     |                      |                         |      | 28             |
| Regional Office Inspections   | EMO        | •   |                       |                      |                         |      | 29             |
| FEMA's Individual Assistance - Technical Assistance Contracts   | EMO        | •   | •                     |                      |                         |      | 29             |
| Future Directions of FEMA's Temporary Housing Assistance Program  | EMO        | •   | •                     |                      |                         |      | 29             |
| Assessment of DHS' Emergency Support Function Roles and Responsibilities  | EMO        | •   | •                     |                      |                         |      | 30             |
| Hazard Mitigation Planning  | EMO        | •   | •                     |                      |                         |      | 30             |
| Flood Map Modernization Program   | EMO        | •   | •                     |                      |                         |      | 30             |
| <b>Planned Projects</b>   |            |   |                       |                      |                         |      |                |
| FEMA's Interaction with States to Ensure Disaster Preparedness  | EMO        | •   | •                     |                      |                         |      | 31             |
| FY 2009 Disaster Contracts  | EMO        | •   | •                     |                      |                         |      | 31             |
| State, Tribal, and Community Level Incident Management Planning Efforts   | EMO        | •   | •                     |                      |                         |      | 31             |
| FEMA's Progress in Implementing Disaster Responders' Credentials  | EMO        | •   |                       |                      |                         |      | 32             |
| Tracking Public Assistance (PA) Insurance Requirements  | EMO        | •   |                       |                      |                         |      | 32             |
| <b>Projects in Progress</b>   |            |   |                       |                      |                         |      |                |
| FEMA IT Systems Integration and Modernization   | ITA        | •   | •                     |                      |                         |      | 32             |
| Efficacy of DHS Grant Programs, Part 2 (Congressional)  | OA         | •   | •                     |                      | •                       |      | 33             |
| FEMA's Management of the Emergency Management Performance Grant Program (previously titled FEMA's Strategy to Measure the Effectiveness of Emergency Management Performance Grants) | OA         | •   | •                     |                      |                         |      | 33             |
| Continuing Effort to Audit States' Management of State Homeland Security Program and Urban Areas Security Initiative Program Grants, 24 States (Mandatory)                          | OA         | •   | •                     | •                    | •                       |      | 33             |
| Capping Report – FY 2009 PA Grant Audits  | EMO        | •   | •                     |                      |                         |      | 34             |
| American Samoa After-Action Report  | EMO        | •   | •                     |                      |                         |      | 34             |
| Efforts to Expedite Disaster Recovery in Louisiana  | EMO        | •   | •                     |                      |                         |      | 34             |

| Project Title   | OIG Office | Secretary's Budget Priorities /QHSR/ HPPG | Management Challenges | Legislative Mandates | Congressional Interests | ARRA | Page # in Plan |
|---|------------|---|-----------------------|----------------------|-------------------------|------|----------------|
| Disaster Housing Assistance Program   | EMO        | •   | •                     |                      |                         |      | 35             |
| FEMA's Debris Removal Program   | EMO        | •   |                       |                      |                         |      | 35             |
| Public Assistance Appeals Process   | EMO        | •   | •                     |                      |                         |      | 35             |
| Emergency Support Function 6 – Implementation of Mass Care and Emergency Assistance   | EMO        | •   | •                     |                      |                         |      | 36             |
| Effectiveness of FEMA's Remedial Action Management Program  | EMO        | •   |                       |                      |                         |      | 36             |
| FEMA's Management and Oversight of Public Assistance– Technical Assistance Contractors  | EMO        | •   | •                     |                      |                         |      | 36             |
| Fraud Prevention Unit   | EMO        | •   |                       |                      |                         |      | 37             |
| Contracting Officer's Technical Representative Program  | EMO        | •   |                       |                      |                         |      | 37             |
| Assessment of FEMA's Emergency Support Function Roles and Responsibilities  | EMO        | •   | •                     |                      |                         |      | 37             |
| <b>FEDERAL LAW ENFORCEMENT TRAINING CENTER</b>  |            |   |                       |                      |                         |      |                |
| <b>New Projects</b>   |            |   |                       |                      |                         |      |                |
| IT Matters Related to the Federal Law Enforcement Training Center (FLETC) Component of the FY 2010 DHS Financial Statement Audit (Mandatory)  | ITA        |   | •                     | •                    |                         |      | 38             |
| <b>OFFICE OF INTELLIGENCE AND ANALYSIS</b>  |            |   |                       |                      |                         |      |                |
| <b>New Project</b>  |            |   |                       |                      |                         |      |                |
| Annual Evaluation of DHS' Information Security Program (Intelligence Systems-Director of National Intelligence [DNI]) for FY 2011 (Mandatory) | ITA        |   | •                     | •                    |                         |      | 38             |
| Annual Evaluation of DHS' Information Security Program (Intelligence Systems) for FY 2011 (Mandatory)   | ITA        | •   | •                     | •                    |                         |      | 39             |
| <b>Projects in Progress</b>   |            |   |                       |                      |                         |      |                |
| Annual Evaluation of DHS' Information Security Program (Intelligence Systems) for FY 2010 (Mandatory)   | ITA        | •   | •                     | •                    |                         |      | 39             |

| Project Title   | OIG Office | Secretary's Budget Priorities /QHSR/ HPPG | Management Challenges | Legislative Mandates | Congressional Interests | ARRA | Page # in Plan |
|---|------------|---|-----------------------|----------------------|-------------------------|------|----------------|
| Effectiveness of the Joint Fusion Center Program Management Office to Coordinate and Enhance DHS' Support and Information Sharing with Fusion Centers | ISP        | •   |                       |                      |                         |      | 40             |
| <b>PRIVACY OFFICE</b>   |            |   |                       |                      |                         |      |                |
| <b>Projects in Progress</b>   |            |   |                       |                      |                         |      |                |
| DHS Management of Freedom of Information Act Requests   | ISP        |   |                       |                      |                         |      | 40             |
| <b>TRANSPORTATION SECURITY ADMINISTRATION</b>   |            |   |                       |                      |                         |      |                |
| <b>New Projects</b>   |            |   |                       |                      |                         |      |                |
| Insider Threat at TSA   | ITA        |   | •                     |                      |                         |      | 41             |
| IT Matters Related to the TSA Component of the FY 2010 DHS Financial Statement Audit (Mandatory)  | ITA        |   | •                     | •                    |                         |      | 41             |
| TSA Wireless Security   | ITA        |   | •                     |                      |                         |      | 41             |
| TSA Penetration Testing: Advanced Imaging Technology (Congressional)  | OA         | •   | •                     |                      | •                       |      | 42             |
| Policies and Procedures for Access Control to the Airport Security Identification Display Area (Congressional)  | OA         | •   | •                     |                      | •                       |      | 42             |
| TSA Penetration Testing: Access Control at Domestic Airports (Congressional)  | OA         | •   | •                     |                      | •                       |      | 43             |
| TSA's Strategic In-sourcing Efforts   | OA         | •   |                       |                      |                         |      | 43             |
| Increased Deployment of Advanced Imaging Technology   | ISP        | •   | •                     |                      |                         |      | 44             |
| Implementation and Coordination of the Security Flight Program Status   | ISP        | •   | •                     |                      |                         |      | 44             |
| DHS' Role in Nominating Individuals for Inclusion on Government Watchlists and Its Efforts to Support Watchlist Maintenance                           | ISP        | •   | •                     |                      |                         |      | 44             |
| Efficiency and Effectiveness of TSA's Visible Intermodal Prevention and Response (VIPR) Program   | ISP        | •   | •                     |                      |                         |      | 45             |
| <b>Planned Projects</b>   |            |   |                       |                      |                         |      |                |
| Workforce Strength and Deployment in TSA's Federal Air Marshal Service  | ISP        | •   | •                     |                      |                         |      | 45             |

| Project Title  | OIG Office | Secretary's Budget Priorities /QHSR/ HPPG | Management Challenges | Legislative Mandates | Congressional Interests | ARRA | Page # in Plan |
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| <b>Projects in Progress</b>  |            |   |                       |                      |                         |      |                |
| TSA's Coordination With Amtrak on Passenger Rail Transit   | OA         | •   | •                     |                      |                         |      | 46             |
| Ability to Communicate With Federal Air Marshals While in Mission Status   | ISP        | •   | •                     |                      |                         |      | 46             |
| Allegations of Discrimination Within the TSA's Federal Air Marshal Service (Congressional)   | ISP        | •   |                       |                      | •                       |      | 47             |
| <b>UNITED STATES CITIZENSHIP AND IMMIGRATION SERVICES</b>  |            |   |                       |                      |                         |      |                |
| <b>New Projects</b>  |            |   |                       |                      |                         |      |                |
| USCIS Laptop Security  | ITA        |   | •                     |                      |                         |      | 47             |
| IT Matters Related to the USCIS Component of the FY 2010 DHS Financial Statement Audit (Mandatory)                                 | ITA        |   | •                     | •                    |                         |      | 47             |
| USCIS IT Modernization   | ITA        | •   | •                     |                      |                         |      | 48             |
| Adjudication of I-130 Marriage-based Petitions   | OA         | •   |                       |                      |                         |      | 48             |
| Student and Exchange Visitor Program   | OA         | •   |                       |                      |                         |      | 48             |
| DHS Administration of the T and U Visa Process   | ISP        | •   |                       |                      |                         |      | 49             |
| <b>Projects in Progress</b>  |            |   |                       |                      |                         |      |                |
| USCIS Privacy Stewardship  | ITA        | •   |                       |                      |                         |      | 49             |
| USCIS' Adjudication of Petitions for Nonimmigrant Workers (I-129 Petition) (Title changed from USCIS Adjudication Process, Part 2) | OA         | •   |                       |                      |                         |      | 49             |
| <b>UNITED STATES COAST GUARD</b>   |            |   |                       |                      |                         |      |                |
| <b>New Projects</b>  |            |   |                       |                      |                         |      |                |
| IT Matters Related to the USCG Component of the FY 2010 DHS Financial Statement Audit (Mandatory)                                  | ITA        |   | •                     | •                    |                         |      | 50             |
| USCG Privacy Stewardship   | ITA        | •   |                       |                      |                         |      | 50             |
| USCG IT Management   | ITA        | •   | •                     |                      |                         |      | 50             |
| Annual Review of the USCG's Mission Performance (FY 2011) (Mandatory)  | OA         | •   |                       | •                    |                         |      | 51             |

| Project Title   | OIG Office | Secretary's Budget Priorities /QHSR/ HPPG | Management Challenges | Legislative Mandates | Congressional Interests | ARRA | Page # in Plan |
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| USCG Sentinel Class Acquisition (Fast Response Cutter)  | OA         | •   | •                     |                      |                         |      | 51             |
| USCG Reutilization and Disposal Program   | OA         | •   |                       |                      |                         |      | 51             |
| USCG Investigative Service (Congressional)  | OA         | •   |                       |                      | •                       |      | 52             |
| Unified Command Response to the Deepwater Horizon Mishap (Congressional)                          | OA         | •   |                       |                      | •                       |      | 52             |
| <b>Projects in Progress</b>   |            |   |                       |                      |                         |      |                |
| USCG's Inspection and Investigation Efforts to Ensure Safety of Marine Commerce                   | OA         | •   |                       |                      |                         |      | 52             |
| USCG Internal Controls Over Costs Associated With the Deepwater Horizon Oil Spill (Congressional) | OA         | •   |                       |                      | •                       |      | 53             |
| USCG's Marine Safety Performance Plan (2009–2014)   | OA         | •   |                       |                      |                         |      | 53             |
| <b>UNITED STATES CUSTOMS AND BORDER PROTECTION</b>  |            |   |                       |                      |                         |      |                |
| <b>New Projects</b>   |            |   |                       |                      |                         |      |                |
| CBP Privacy Stewardship   | ITA        | •   |                       |                      |                         |      | 54             |
| CBP Wireless Security   | ITA        |   | •                     |                      |                         |      | 54             |
| IT Matters Related to the FY 2010 Financial Statement Audit of CBP (Mandatory)                    | ITA        |   | •                     | •                    |                         |      | 54             |
| SBInet Steel Storage and Production Contract  | OA         | •   | •                     |                      |                         |      | 55             |
| CBP's Use of Unmanned Aircraft Systems in Northern Border Security                                | OA         | •   | •                     |                      |                         |      | 55             |
| Free and Secure Trade Program—Continued Driver Eligibility  | OA         | •   |                       |                      |                         |      | 55             |
| CBP's Textile Transshipment Enforcement   | OA         | •   |                       |                      |                         |      | 56             |
| Efficacy of CBP's Penalties Process (Congressional)   | OA         | •   |                       |                      | •                       |      | 56             |
| CBP's Management of Its Federal Employees' Compensation Act Program                               | OA         |   | •                     |                      |                         |      | 56             |
| Effectiveness of the Office of Alien Smuggling Interdiction                                       | ISP        | •   | •                     |                      |                         |      | 57             |
| <b>Planned Projects</b>   |            |   |                       |                      |                         |      |                |
| Efficacy of the Office of Regulatory Audit Operations (Congressional)                             | OA         |   |                       |                      | •                       |      | 57             |

| Project Title  | OIG Office | Secretary s Budget Priorities /QHSR/ HPPG | Management Challenges | Legislative Mandates | Congressional Interests | ARRA | Page # in Plan |
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|  |            |   |                       |                      |                         |      |                |
| <b>Projects in Progress</b>  |            |   |                       |                      |                         |      |                |
| CBP's Bonding Process (Congressional)  | OA         | •   |                       |                      | •                       |      | 57             |
| CBP's Permit to Transfer Containerized Cargo Program (Mandatory)   | OA         | •   |                       | •                    |                         |      | 58             |
| Customs-Trade Partnership Against Terrorism (C-TPAT)   | OA         | •   | •                     |                      |                         |      | 58             |
|  |            |   |                       |                      |                         |      |                |
| <b>UNITED STATES IMMIGRATION AND CUSTOMS ENFORCEMENT</b>   |            |   |                       |                      |                         |      |                |
|  |            |   |                       |                      |                         |      |                |
| <b>New Projects</b>  |            |   |                       |                      |                         |      |                |
|  |            |   |                       |                      |                         |      |                |
| IT Matters Related to the ICE Component of the FY 2010 Financial Statement Audit (Mandatory)               | ITA        |   | •                     | •                    |                         |      | 59             |
| DHS' Expansion of the Visa Security Program to Additional Overseas Posts (Congressional)                   | ISP        | •   |                       |                      | •                       |      | 59             |
| DHS Detainee Transfers and Reliance on Assurances (Congressional)  | ISP        |   |                       |                      | •                       |      | 59             |
|  |            |   |                       |                      |                         |      |                |
| <b>Planned Projects</b>  |            |   |                       |                      |                         |      |                |
|  |            |   |                       |                      |                         |      |                |
| Criminal Alien Program II  | OA         | •   |                       |                      |                         |      | 60             |
| Joint Review of Funds Provided under the Illegal Immigrant Reform and Immigrant Responsibility Act of 1996 | OA         | •   |                       |                      |                         |      | 60             |
| ICE Policies on the Use of Race in Enforcement Activities (Congressional)                                  | ISP        |   |                       |                      | •                       |      | 61             |
|  |            |   |                       |                      |                         |      |                |
| <b>Projects in Progress</b>  |            |   |                       |                      |                         |      |                |
|  |            |   |                       |                      |                         |      |                |
| ICE Processing of Criminal Aliens Eligible for Deportation – Part 2  | OA         | •   |                       |                      |                         |      | 61             |
| Mental Health Care for Alien Detainees   | ISP        | •   |                       |                      |                         |      | 62             |
| Operation Armas Cruzadas   | ISP        | •   |                       |                      |                         |      | 62             |
|  |            |   |                       |                      |                         |      |                |
| <b>UNITED STATES SECRET SERVICE</b>  |            |   |                       |                      |                         |      |                |
|  |            |   |                       |                      |                         |      |                |
| <b>Projects in Progress</b>  |            |   |                       |                      |                         |      |                |
|  |            |   |                       |                      |                         |      |                |
| U.S. Secret Service IT Modernization Review  | ITA        | •   | •                     |                      |                         |      | 63             |

| Project Title  | OIG Office | Secretary's Budget Priorities /QHSR/ HPPG | Management Challenges | Legislative Mandates | Congressional Interests | ARRA | Page # in Plan |
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|  |            |   |                       |                      |                         |      |                |
| <b>MULTIPLE COMPONENTS</b>   |            |   |                       |                      |                         |      |                |
|  |            |   |                       |                      |                         |      |                |
| <b>New Projects</b>  |            |   |                       |                      |                         |      |                |
|  |            |   |                       |                      |                         |      |                |
| Technical Security Evaluation of DHS Components at O'Hare Airport  | ITA        |   | •                     |                      |                         |      | 63             |
| DHS Risk Assessment Impact on Acquisition Processes FY 2011  | OA         |   | •                     |                      |                         |      | 63             |
| Tactical Communication Equipment   | OA         | •   | •                     |                      |                         |      | 64             |
| DHS Efforts to Secure the Critical Manufacturing Sector  | OA         | •   |                       |                      |                         |      | 64             |
| DHS OIG Evaluation of Continuity of Operations Plan and Intelligence Readiness   | ISP        | •   |                       |                      |                         |      | 65             |
|  |            |   |                       |                      |                         |      |                |
| <b>Projects in Progress</b>  |            |   |                       |                      |                         |      |                |
|  |            |   |                       |                      |                         |      |                |
| DHS' Intelligence Systems' Effectiveness to Share Information  | ITA        | •   |                       |                      |                         |      | 65             |
| Use of Other Than Full and Open Competition (Noncompetitive Contractors) FY 2010 (Mandatory)   | OA         | •   | •                     | •                    |                         |      | 65             |
| Information Sharing on Foreign Nationals: (1) Pre-entry, (2) Border Determination, and (3) In Country Adjudications and Investigations | ISP        | •   |                       |                      |                         |      | 66             |
|  |            |   |                       |                      |                         |      |                |
| <b>AMERICAN RECOVERY AND REINVESTMENT ACT OF 2009 PROJECTS</b>   |            |   |                       |                      |                         |      |                |
|  |            |   |                       |                      |                         |      |                |
| <b>New Projects</b>  |            |   |                       |                      |                         |      |                |
|  |            |   |                       |                      |                         |      |                |
| Fire Station Construction Grants Funded by the American Recovery and Reinvestment Act of 2009  | OA         | •   | •                     |                      |                         | •    | 67             |
| Improvements to Shore Facilities Funded by the American Recovery and Reinvestment Act of 2009  | OA         | •   |                       |                      |                         | •    | 67             |
| Alterations of Bridges Funded by the American Recovery and Reinvestment Act of 2009  | OA         |   |                       |                      |                         | •    | 68             |
| Review of Costs Incurred by Recipients of American Recovery and Reinvestment Act Funds of 2009 Within Selected States                  | OA         | •   |                       |                      |                         | •    | 68             |
|  |            |   |                       |                      |                         |      |                |

## Chapter 5 – Project Narratives

### DIRECTORATE FOR MANAGEMENT

#### *New Projects*

#### **IT Matters Related to the FY 2010 Financial Statement Audit – DHS Consolidated** *(Mandatory)*

We contracted with an independent public accounting (IPA) firm to conduct DHS' annual financial statement audit. As a part of this annual audit, the IPA firm's IT auditors perform a review of general and application controls in place over DHS' critical financial systems.

**Objective:** Determine the effectiveness of DHS' general and application controls over critical financial systems and data. *Office of IT Audits*

#### **DHS Financial Systems Consolidation Project**

DHS plans to reduce redundancy, weaknesses, and vulnerabilities in its financial systems through consolidation and business process reengineering. The project is estimated to cost more than \$1 billion through its life cycle.

**Objective:** Determine the progress that DHS is making in consolidating its systems according to system life cycle development requirements. *Office of IT Audits*

#### **Annual Evaluation of DHS' Information Security Program for FY 2011** *(Mandatory)*

In response to the increasing threat to information systems and the highly networked nature of the federal computing environment, Congress, in conjunction with the Office of Management and Budget (OMB), requires an annual review and reporting of agencies' compliance with the requirements under FISMA. FISMA includes provisions aimed at further strengthening the security of the federal government's information and computer systems through the implementation of an information security program and development of minimum standards for agency systems.

**Objective:** Determine the progress that DHS has made in resolving weaknesses cited in prior OIG reviews. *Office of IT Audits*

#### **OneNet Review**

In 2005, DHS began the process to consolidate its components' existing infrastructures into a wide area network (WAN) known as OneNet. The goal of the OneNet initiative is to help



DHS consolidate its existing IT infrastructure into a more efficient and standardized architecture and to help the department improve overall cost effectiveness across the enterprise. OneNet will be composed of component WANs and is designed to provide a global communications environment that offers improved security and interoperability for DHS entities. In 2009, we reported that DHS is behind schedule in implementing OneNet and is facing numerous challenges in achieving its network consolidation objectives.

**Objective:** Determine the progress that DHS has made in consolidating components' existing infrastructures into OneNet. *Office of IT Audits*

### **Wireless Security at DHS Management**

Wireless networking (i.e., 802.11x [Wi-Fi], Bluetooth, IrDA [infrared], and cellular) frees computer users from the shackles of network cables. In particular, wireless technologies can provide productivity improvements for mobile DHS employees. However, the technologies can also expose sensitive information systems to potential security vulnerabilities when the wireless devices are not secured properly.

**Objective:** Determine whether DHS has implemented effective controls over sensitive information processed by its wireless networks and whether devices are protected from potential exploits. *Office of IT Audits*

### **Red Team Security Assessment of DHS**

According to the National Institute of Standards and Technology, serious cyber attacks continuously occur on public and private sector information systems, targeting key operations and assets. These attacks are organized, disciplined, aggressive, well resourced, and often extremely sophisticated. The adversaries conducting cyber attacks are nation-states, terrorist groups, criminals, and individuals or groups with intentions of compromising federal information systems. Red teaming exercises are needed to assess DHS information system security programs.

**Objective:** Determine the effectiveness of DHS' programs to protect critical information assets against unauthorized access from internal and external sources. *Office of IT Audits*

### **DHS IT Management Structure**

Creating a single infrastructure for effective communications and information exchange remains a major management challenge for the DHS Chief Information Officer (CIO). In our September 2008 report, *Progress Made in Strengthening DHS Information Technology Management, But Challenges Remain*, we reported that the department had made progress with its IT management practices and solidified the DHS CIO's IT management authority. However, we identified issues and made recommendations related to the DHS Office of the CIO's staffing levels, the DHS CIO's control of department-wide IT alignment and budgets, and component-level strategic planning. During this follow-up review, we will examine progress made in addressing these issues and recommend actions to be taken, as appropriate.

**Objective:** Assess the effectiveness of recent DHS actions to strengthen CIO IT management authority and whether these changes have helped further progress toward creating a single department-wide infrastructure for effective communications and information exchange.  
*Office of IT Audits*

**DHS' Compliance with Executive Order 13520, Reducing Improper Payments and Eliminating Waste in Federal Programs (Mandatory)**

The *Improper Payments Information Act of 2002* (P.L. 107-300) requires agencies to review their programs and activities to identify those susceptible to significant improper payments. In addition, Section 831 of the FY 2002 *Defense Authorization Act* (P.L. 107-107) requires government agencies to carry out cost-effective programs for identifying and recovering overpayments made to contractors. In November 2009, the President issued Executive Order 13520, *Reducing Improper Payments and Eliminating Waste in Federal Programs*, which requires the head of each agency to submit a report to the Inspector General and the Council of the Inspectors General on Integrity and Efficiency (CIGIE) by May 25, 2010, and at least once every quarter thereafter on any high-dollar improper payments identified by the agency. During FY 2009, DHS reported in its *Annual Financial Report* a total of 15 programs at five components that were at high risk for improper payments. Those programs had total disbursements of \$18.5 billion during FY 2008.

**Objective:** Determine the efficacy of DHS' process to assess the risk of improper payments by its offices and bureaus pursuant to the *Improper Payments Information Act of 2002* and OMB requirements. *Office of Audits*

**FY 2011 Chief Financial Officer Act Audits – Audits of the DHS' Consolidated Financial Statements, Internal Control Over Financial Reporting, and the Individual Financial Statements of United States Customs and Border Protection (CBP) (Mandatory)**

We will complete the required *Chief Financial Officer Act* audits related to the following consolidated and individual component financial statements:

- DHS Consolidated Audit Report – Independent Auditors' Report on DHS FY 2011 Consolidated Financial Statements and Report on Internal Control Over Financial Reporting
- DHS Consolidated Audit Report – Management Letter for DHS FY 2011 Consolidated Financial Statements Audit
- CBP Audit Report – Independent Auditors' Report on CBP's FY 2011 Consolidated Financial Statements
- CBP Audit Report – Management Letter for CBP's FY 2011 Consolidated Financial Statements Audit

**Objectives:** Determine the fairness of presentations of DHS general and individual component FY 2011 financial statements by (1) obtaining an understanding of internal control over financial reporting, performing tests of those controls to determine audit

procedures, and reporting on weaknesses identified during the audit; (2) performing tests of compliance with certain laws, regulations, and provisions of contracts or grant agreements to identify noncompliance that could affect financial statements; and (3) reporting noncompliance. Also, determine the effectiveness of DHS' internal controls over financial reporting. This audit addresses financial performance in the President's Management Agenda. *Office of Audits*

**FY 2011 ONDCP Reviews at CBP, USCG, and ICE (*Mandatory*)**

Under 21 U.S.C. §1704(d) and the Office of National Drug Control Policy (ONDCP) Circular *Drug Control Accounting*, our office is required to review assertions made by management related to FY 2011 obligations for the National Drug Control Program. We will contract with independent public accounting firms to review CBP, U.S. Coast Guard (USCG), and Immigration and Customs Enforcement (ICE) ONDCP assertions. This review addresses, in part, financial performance in the President's Management Agenda. We will perform ONDCP reviews for the following operating components:

- CBP Audit Report – Review of FY 2011 ONDCP Management Assertions
- CBP Audit Report – Review of FY 2011 ONDCP Performance Summary Report
- ICE Audit Report – Review of FY 2011 ONDCP Management Assertions
- ICE Audit Report – Review of FY 2011 ONDCP Performance Summary Report
- USCG Audit Report – Review of FY 2011 ONDCP Management Assertions
- USCG Audit Report – Review of FY 2011 ONDCP Performance Summary Report

***Objective:*** Determine the reliability of management's assertions included in its Annual Accounting of Drug Control Funds. *Office of Audits*

***Directorate for Management  
Projects in Progress***

**FY 2010 Chief Financial Officer Act Audits – Audits of the DHS' Consolidated Financial Statements, Internal Control Over Financial Reporting, and the Individual Financial Statements (*Mandatory*)**

- DHS Consolidated Audit Report – Independent Auditors' Report on DHS FY 2010 Consolidated Financial Statements
- DHS Consolidated Report – Independent Auditors' Report on Internal Control Over Financial Reporting
- DHS Consolidated Audit Report – Management Letter for DHS FY 2010 Consolidated Financial Statements audit
- CBP Audit Report – Independent Auditors' Report on CBP's FY 2010 Consolidated Financial Statements
- CBP Audit Report – Management Letter for CBP's FY 2010 Consolidated Financial Statements audit
- FEMA Audit Report – Independent Auditors' Report on FEMA's FY 2010 Consolidated Financial Statements

- FEMA Audit Report – Management Letter for FEMA’s FY 2010 Consolidated Financial Statements audit
- FEMA Audit Report – National Flood Insurance Program (NFIP)
- FLETC Audit Report – Independent Auditors’ Report on FLETC’s FY 2010 Consolidated Financial Statements
- FLETC Audit Report – Management Letter for FLETC’s FY 2010 Consolidated Financial Statements audit
- TSA Audit Report – Independent Auditors’ Report on TSA’s Consolidated Balance Sheet at September 30, 2010
- TSA Audit Report – Management Letter for TSA’s FY 2010 Consolidated Financial Statements Audit
- ICE Audit Report – Independent Auditors’ Report on ICE’s Consolidated Balance Sheet at September 30, 2010
- ICE Audit Report – Management Letter for ICE’s FY 2010 Financial Statements Audit
- USCIS Audit Report – Independent Auditors’ Report on USCIS’ Consolidated Balance Sheet at September 30, 2010
- USCIS Audit Report – Management Letter for USCIS’ FY 2010 Consolidated Financial Statements Audit

**Objectives:** Determine the fairness of presentations of DHS general and individual component FY 2011 financial statements by (1) obtaining an understanding of internal control over financial reporting, performing tests of those controls to determine audit procedures, and reporting on weaknesses identified during the audit; (2) performing tests of compliance with certain laws, regulations, and provisions of contracts or grant agreements to identify noncompliance that could affect financial statements; and (3) reporting noncompliance. Also, determine the effectiveness of DHS’ internal controls over financial reporting. This audit addresses financial performance in the President’s Management Agenda. *Office of Audits*

**FY 2010 ONDCP Reviews at CBP, USCG, and ICE (*Mandatory*)**

We will contract out ONDCP review of CBP, ICE, and USCG management assertions. This review addresses, in part, financial performance in the President’s Management Agenda. We will oversee the reviews of the ONDCP Management Assertions for the following components:

- CBP Audit Report – Review of FY 2010 ONDCP Management Assertions
- CBP Audit Report – Review of FY 2010 ONDCP Performance Summary Report
- ICE Audit Report – Review of FY 2010 ONDCP Management Assertions
- ICE Audit Report – Review of FY 2010 ONDCP Performance Summary Report
- USCG Audit Report – Review of FY 2010 ONDCP Management Assertions
- USCG Audit Report – Review of FY 2010 ONDCP Performance Summary Report

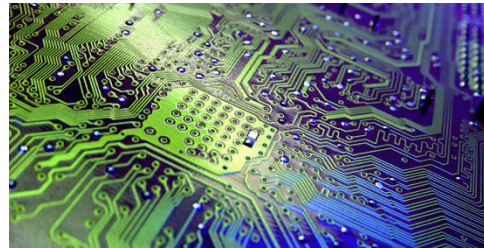
**Objective:** Determine the reliability of management’s assertions included in its Annual Accounting of Drug Control Funds. *Office of Audits*

## DIRECTORATE FOR NATIONAL PROTECTION AND PROGRAMS

### *New Projects*

#### **National Cybersecurity Center’s Effort to Coordinate Cyber Operations Centers Across the Government**

With the increasing threats to the Nation’s information infrastructures, it has become more vital for government information security offices and strategic operations centers to share data regarding malicious activities against federal systems, have a better understanding of the entire threat to the government systems, and take maximum advantage of each organization’s unique capabilities to produce the best overall national cyber defense strategy possible. The Comprehensive National Cybersecurity Initiative (CNCI) provides a key means to enable and support shared situational awareness and collaboration across six centers—including the Department of Defense, National Security Agency, and intelligence communities—that are responsible for carrying out U.S. cyber activities. The CNCI focuses on key aspects needed to enable practical mission bridging across the U.S. cyber activities efforts: upgraded infrastructure; increased bandwidth; enhanced collaboration; common technology, tools, and procedures; and enhanced shared situational awareness. The DHS National Cybersecurity Center (NCSC) helps to secure government networks by coordinating and integrating information from the six centers to provide cross-domain situational awareness, analyzing and reporting on the state of U.S. networks and systems, and fostering interagency collaboration and coordination.



**Objective:** Determine the progress that NCSC has made in coordinating cyber operations centers across the government. *Office of IT Audits*

### *Directorate for National Protection and Programs Projects in Progress*

#### **National Cyber Security Review Status**

The National Cybersecurity Division (NCSD) has been charged with coordinating the implementation of the National Infrastructure Protection Plan 2009 and is the single national point of contact for the public and private sectors regarding cyber security issues. NCSD is also responsible for identifying, analyzing, and reducing cyber threats and vulnerabilities; disseminating threat warning information; coordinating incident response; and providing

technical assistance in continuity of operations and recovery planning. NCSD must work closely with industry and share highly sensitive information with a large number of partners both within and outside of the United States.

**Objective:** Determine NCSD's status in implementing the recommendations in the National Infrastructure Protection Plan 2009 and managing the department's cyber security program.  
*Office of IT Audits*

## DIRECTORATE FOR SCIENCE AND TECHNOLOGY

### *New Projects*

#### **Goals and Metrics for Science and Technology's Research Projects** *(Congressional)*

Congress is concerned that DHS does not have a clear risk-based methodology to determine what projects to fund, how much to fund, and how to evaluate a project's effectiveness or usefulness. Without metrics, it becomes difficult for Congress to justify increases in programmatic funding.

**Objectives:** Determine (1) how the Directorate for Science and Technology (S&T) sets goals for research projects, (2) how S&T measures research project success, and (3) whether S&T's processes for setting goals and measuring success should be improved. *Office of Inspections*

### *Directorate for Science and Technology Planned Projects*

#### **Coordination and Effectiveness of TSA's and S&T's Behavior Screening Programs**

The Transportation Security Administration (TSA) has begun assessing airport travelers' behavior to screen them for hostile intent. One of TSA's behavior-based screening programs is called Screening of Passengers by Observation Techniques (SPOT), which in FY 2008 had a budget of \$45 million and about 1,200 trained agents working at 70 large airports. That number is expected to double to 2,400 agents at 160 airports by September 2008, and grow to 4,000 by mid-2009. Since expanding the SPOT program in January 2006, TSA identified 43,000 people as warranting a closer look. Of those, 3,100 generated calls from the TSA to police for further questioning. The police arrested 278 people, none on terror charges but rather for other charges such as immigration violations and possession of illegal guns or prescription drugs. As the research and development arm of DHS, the S&T Directorate coordinates the scientific research and programs supporting the department's components, such as TSA. S&T funds behavior-based or "hostile intent" research through its Center of Excellence for Behavioral and Social Research on Terrorism and Counter-Terrorism at the



University of Maryland. It also has the duty to leverage the department's components work conducted by other government, academic, and private organizations.

**Objectives:** Determine (1) the extent to which S&T and TSA have coordinated their efforts in this scientific area and (2) the effectiveness of TSA's behavior screening or hostile intent programs. *Office of Inspections*

### **S&T's Oversight of Federally Funded Research and Development Centers**

According to the Federal Acquisition Regulation, Federally Funded Research and Development Centers (FFRDCs) are intended to meet special long-term research or development needs that cannot be met as effectively by existing in-house or contractor resources. In sponsoring an FFRDC, federal agencies draw on academic and private sector resources to accomplish tasks that are integral to the mission and operation of the sponsoring agency. While conducting its business, FFRDCs have special access to government resources and information, including sensitive and proprietary data, beyond what is common for normal contractual relationships. DHS' Secretary, acting through the Under Secretary for Science and Technology, has the authority to establish or contract with FFRDCs to provide independent analysis of homeland security issues or to carry out other responsibilities. In March 2009, S&T announced the formation of two FFRDCs to focus on program and concept analysis: the Homeland Security Studies and Analysis Institute and the Homeland Security Systems Engineering and Development Institute. S&T subsequently awarded two contracts totaling approximately \$700 million for the operation of these institutes to engage the private sector in furthering homeland security objectives.

**Objectives:** Determine whether (1) S&T is providing appropriate and timely oversight and monitoring of the FFRDCs; (2) S&T is effectively reviewing contractor performance, deliverables, and costs to ensure consistency with stated FFRDC purposes and objectives and DHS mission; and (3) S&T is annually assessing the continued need and renewal justification for the FFRDCs. *Office of Inspections*

## **FEDERAL EMERGENCY MANAGEMENT AGENCY**

### *New Projects*

#### **IT Matters Related to the FEMA Component of the FY 2010 DHS Financial Statement Audit (Mandatory)**

We contracted with an IPA firm to conduct DHS' annual financial statement audit. As part of this annual audit, the IPA firm's IT auditors perform a review of general and application controls in place over the FEMA critical financial systems.

**Objective:** Determine the effectiveness of FEMA's general and application controls over critical financial systems and data. *Office of IT Audits*

### **FEMA Laptop Security**

As the weight and price of laptops have decreased and their computing power and ease of use have increased, so has their popularity for use by government employees. FEMA relies heavily on laptop computers for conducting business in support of its emergency management mission. The mobility of laptops has increased the productivity of the FEMA workforce, but at the same time increased the risk of theft, unauthorized data disclosure, and virus infection.

**Objective:** Determine whether FEMA has implemented an effective program to protect the security and integrity of its laptop computers. *Office of IT Audits*

### **FEMA's Oversight of Grantees Using a Risk-Based Approach**

Our recent audit of FEMA grant funds identified several key indicators that could have increased a grant recipient's need for additional oversight, including being a first-time grant recipient and having unresolved issues raised by the Technical Evaluation Panel during the application process. Despite these indicators, FEMA did not elevate the recipient to a level requiring direct oversight, and therefore did not initiate proactive actions to ensure that this recipient was compliant with the grant terms, such as implementing, evaluating, and administering the grant as expected. Since that time, FEMA reportedly has moved to a risk-based approach to identify and select grantees for desk reviews and site visits. With approximately \$3 billion awarded each year for Homeland Security Preparedness Grants, FEMA must mitigate its risk for loss and implement an effective methodology to identify and closely monitor grantees with increased risk.

**Objective:** Determine whether FEMA's monitoring and oversight plans, including its methodology for identifying and selecting grantees for review and the factors used in the selection process, are adequate for the proper oversight of grantees with increased risk. *Office of Audits*

### **Disaster Assistance Grants – Regional Offices**

FEMA awards disaster assistance grants to individuals and states, local governments, and certain nonprofits. We will perform audits of grantees and subgrantees, focusing on grants with potential for problems and areas that are of interest to Congress and FEMA.

**Objective:** Determine whether grantees or subgrantees accounted for and expended FEMA funds according to federal regulations and FEMA guidelines. *Office of Emergency Management Oversight*

### **Relationship Between Fusion Centers and Emergency Operations Centers**

FEMA supports state and local fusion centers, as well as state/local Emergency Operations Centers. Where a state or local jurisdiction has both a fusion center and an Emergency Operations Center, there can be challenges in ensuring that vital information is shared among law enforcement, intelligence, and emergency management personnel in a timely manner.



**Objective:** Determine whether Fusion Centers and Emergency Operations Centers interact and share information in an effective, efficient, and economical manner. *Office of Emergency Management Oversight*

### **Regional Office Inspections**

FEMA's regional offices are on the front lines of facilitating emergency management programs. FEMA has begun a process of realigning key operational responsibilities and authorities to the regional offices. For example, FEMA's regional offices now have the authority to issue mission assignments in excess of \$10 million and select and hire staff in senior regional positions.

**Objectives:** Assess the realignment of responsibilities and authorities to FEMA's 10 regional offices and determine whether these offices (1) have the resources to meet their responsibilities, (2) are operating in a manner consistent with new authorities, and (3) are appropriately applying policies and procedures directed and approved by FEMA headquarters. *Office of Emergency Management Oversight*

### **FEMA's Individual Assistance–Technical Assistance Contracts**

FEMA's Individual Assistance Division mission is to ensure that individuals and families that have been impacted by disasters and major catastrophic events have access to the full range of FEMA programs in the most expeditious and cost-effective manner available. To help accomplish this mission, FEMA uses Individual Assistance–Technical Assistance Contracts (IA-TACs). Each IA-TAC provides comprehensive emergency management, project management, and program management services as well as construction, architectural, and engineering capabilities in housing support; construction services; mass care; and planning, staffing and logistics services. In May 2009, FEMA awarded four indefinite-delivery, indefinite-quantity contracts for such services. Each contract has an estimated value of \$375 million and is for up to 5 years.

**Objectives:** Determine the efficacy of FEMA's management of individual assistance, technical assistance contractors, including policies and procedures for (1) awarding individual task orders, (2) monitoring contractor readiness and performance, and (3) certifying contractor billings. *Office of Emergency Management Oversight*

### **Future Directions of FEMA's Temporary Housing Assistance Program**

FEMA encountered serious problems in providing temporary housing to Hurricane Katrina victims, including disturbances at group housing sites, criticism in evicting tenants after the legally imposed 18-month deadline, and the much-publicized health concerns of travel trailers beset with mold and formaldehyde. Since then, FEMA and other federal and non-federal stakeholders have developed strategies to deal with



future temporary housing needs.

**Objectives:** Determine the progress made in recent FEMA efforts such as interim housing initiatives in the *National Disaster Housing Strategy* that include the *Disaster Housing Implementation Plan*, and the accompanying *2010 Comprehensive Disaster Housing Concept of Operations*; assess the progress in efforts such as Non-congregate Housing, the Alternative Housing Pilot Program, and ready-for-dispatch mobile units; and evaluate state and local partners' commitment to those programs. *Office of Emergency Management Oversight*

### **Assessment of DHS' Emergency Support Function Roles and Responsibilities**

The National Response Framework (NRF) presents the guiding principles that enable all response partners to prepare for and provide a unified national response to disasters and emergencies—from the smallest incident to the largest catastrophe. The NRF includes 15 Emergency Support Function (ESF) Annexes that group federal resources and capabilities into functional areas that are most frequently needed in a national response (e.g., Transportation, Firefighting, and Mass Care). DHS has coordinating and/or primary responsibilities for five ESFs: (1) ESF-2 – Communications, (2) ESF-9 – Search and Rescue, (3) ESF-10 – Oil and Hazardous Materials Response, (4) ESF-14 – Long-Term Community Recovery, and (5) ESF-15 – External Affairs.

**Objective:** Determine to what extent DHS is prepared to fulfill its ESF roles and responsibilities outlined in the NRF. *Office of Emergency Management Oversight*

### **Hazard Mitigation Planning**

States and localities are required to have mitigation plans approved by FEMA to qualify for various federal grants and programs.

**Objective:** Determine whether the current approach to state and local hazard mitigation planning is efficient and effective. *Office of Emergency Management Oversight*

### **Flood Map Modernization Program**

FEMA uses flood maps to designate areas prone to flooding, called Special Flood Hazard Areas. The map modernization program is a national effort, performed by contractors, to develop new flood maps using old flood information as a baseline. According to our 2005 audit report, 70% of FEMA's maps were at least 10 years old. Many of the updated maps are based on partial or outdated information, which results in confusion and unanticipated expense for homeowners who might find themselves unknowingly in a Special Flood Hazard Area. FEMA contracts out this effort, which is estimated to exceed \$1 billion.

**Objective:** Ascertain to what extent FEMA has followed Federal Acquisition Regulation requirements in ensuring the effective and wise use of taxpayer funds while administering the NFIP's map modernization program. *Office of Emergency Management Oversight*

**Federal Emergency Management Agency  
Planned Projects**

**FEMA's Interaction With States to Ensure Disaster Preparedness**

All disasters are local, and primary responsibility for emergency and disaster management rests with state and local governments. It is therefore critical that states and local jurisdictions are capable of planning for and responding to disasters without immediately relying on FEMA assistance. This review will determine to what extent FEMA's approach to enhancing state emergency management and disaster preparedness has worked.

**Objective:** Determine whether state and local emergency management disaster planning and response capabilities have been enhanced by FEMA's approach to state and local disaster preparedness. *Office of Emergency Management Oversight*

**FY 2009 Disaster Contracts**

In 2008, there were 75 presidentially declared disasters. Significant expenditures were made responding to these disasters. FEMA has implemented a number of significant changes in the acquisitions area in the time since Hurricane Katrina. However, concerns remain in the areas of staff training and policy implementation in the field.

**Objective:** Determine (1) the efficacy of FEMA's efforts to track, manage, and monitor the contracts; (2) the extent to which established controls and processes have been implemented; and (3) whether FEMA has implemented recommendations from our reports on 2007 and 2008 disaster contracts. *Office of Emergency Management Oversight*

**State, Tribal, and Community Level Incident Management Planning Efforts**

The premise of the NRF is that incidents begin and end locally and are managed at the lowest possible jurisdiction. As such, it is vital that state, tribal, and local governments have practical, all-hazards plans and supporting procedures, and protocols that address locally identified hazards and risks. The state, tribal, and local planning structure is supported by federal preparedness assistance by FEMA grants such as the Regional Catastrophic Preparedness Grant Program. This structure, in turn, supports the NRF and the federal incident management planning structure by building upon capabilities that augment our national response capacity.

**Objectives:** Determine whether state, tribal, and local governments have developed plans that align with the 15 planning scenarios and whether these plans are integrated and mutually supportive of federal plans. *Office of Emergency Management Oversight*

### **FEMA's Progress in Implementing Disaster Responders' Credentials**

FEMA, federal, state, and private sector participants continue to express concern over not having a workable identification system. In recent incidents responders were denied access to areas where they were needed, and truck drivers were not permitted to deliver emergency supplies because they did not have recognized credentials. Similar situations have occurred prior to, during, and since Hurricane Katrina. Credentialing is mandated by the National Incident Management System and in accord with Homeland Security Presidential Directive–5, Management of Domestic Incidents, to address the needs of federal, state, local, and private sector responders.

**Objectives:** Determine whether FEMA (1) has implemented the initiative stated in Section 510 of the *Post-Katrina Emergency Management Reform Act*, (2) is actively engaged in implementing a program that facilitates delivery of emergency services, (3) has plans and timelines for implementing a credentialing program for the emergency management community, and (4) requires specific credentials and resources to ensure that federal, state, local, and private contractors are allowed in a disaster area. *Office of Emergency Management Oversight*

### **Tracking Public Assistance (PA) Insurance Requirements**

According to Title 44, Code of Federal Regulations 206.253, “No assistance shall be provided under Section 406 of the *Stafford Act* for any facility for which assistance was provided as a result of a previous major disaster unless all insurance required by FEMA as a condition of the previous assistance has been obtained and maintained.” Both FEMA and the states, as grantees, are responsible for tracking facilities that received federal disaster assistance in previous disasters and for ensuring that funds are not provided a second time to a facility that did not maintain the required insurance coverage.

**Objectives:** Determine whether FEMA and the states monitor and track insurance requirements and whether facilities that were required to maintain insurance, but did not, received assistance a second time. *Office of Emergency Management Oversight*

### ***Federal Emergency Management Agency Projects in Progress***

### **FEMA IT Systems Integration and Modernization**

FEMA is embarking on a plan to develop and implement a multiyear IT Plan that will guide the agency's capital IT investments and IT requirements. Employing technology as a strategic tool is crucial to FEMA's success in meeting the challenge of becoming the preeminent emergency management agency. FEMA recently asked for resources to invest in four major areas: enhancement of current mission systems, enhancement of current business systems, IT infrastructure and cyber security, and systems engineering and applications development.

**Objective:** Determine whether FEMA’s IT approach includes adequate planning, implementation, and management to support efficient and effective disaster relief assistance.  
*Office of IT Audits*

**Efficacy of DHS Grant Programs, Part 2**  
***(Congressional)***

DHS grant programs implement numerous and sometimes competing objectives addressed in various post-9/11 laws, strategies, plans, and directives. FEMA is responsible for allocating and managing the majority of DHS grants. Historically, federal grant programs have had problems with “stovepiping”—funding programs that focus on their narrowly defined missions without regard to the greater needs of the government as a whole. Part 1 of this review focused on whether FEMA and other DHS components have identified and taken steps to mitigate duplication or redundancy within the department’s various grant programs. Part 2 of this review will focus on actions to streamline and standardize preparedness grant application and review processes.

**Objectives:** Determine whether FEMA has taken actions to streamline and standardize preparedness grant application and review processes to promote collaboration and consistency across regions and programs. *Office of Audits*

**FEMA’s Management of the Emergency Management Performance Grant Program**  
(formerly titled FEMA’s Strategy to Measure the Effectiveness of Emergency Management Performance Grants)

Effective catastrophic all-hazards planning is of critical importance to state and local jurisdictions. An all-hazards approach to preparedness, including the development of a comprehensive program of planning, training, and exercises, sets the stage for an effective and consistent response to any threatened or actual disaster or emergency, regardless of the cause. The Emergency Management Performance Grant Program provides funding to assist state and local governments to sustain and enhance all-hazards emergency management capabilities, including evacuation planning, logistics and resource management, continuity of operations/continuity of government planning, and recovery planning.

**Objectives:** Determine the adequacy of (1) FEMA’s life cycle management of the Emergency Management Performance Grant Program, including program guidance development, application receipt and review, award decision-making, and post-award monitoring and oversight; and (2) FEMA’s strategy for measuring the effectiveness of the Emergency Management Performance Grant Program and whether the strategy has been adequately communicated and implemented. *Office of Audits*

**Continuing Effort to Audit States’ Management of State Homeland Security Program and Urban Areas Security Initiative Program Grants, 24 States** ***(Mandatory)***

The *Implementing Recommendations of the 9/11 Commission Act of 2007* requires us to audit each state that receives State Homeland Security Program and Urban Areas Security Initiative grant funds at least once between FY 2008 and FY 2014. As part of our continuing

effort to ensure the effective and appropriate use of grants administered by FEMA, we will review states' and urban areas' management of homeland security funds through audits in previously unaudited states.

**Objective:** Determine whether selected states have effectively and efficiently implemented the State Homeland Security Program and, where applicable, the Urban Areas Security Initiative program; achieved the goals of the programs; and spent funds according to grant requirements. *Office of Audits*

### **Capping Report – FY 2009 PA Grant Audits**

We issued 55 disaster grant audit reports in FY 2009. Questioned costs exceeded \$150 million, with many of the issues appearing on a recurring basis.

**Objective:** Summarize PA disaster grant audits issued in FY 2009 and provide FEMA headquarters and the Regions with recommendations to address recurring problems. *Office of Emergency Management Oversight*

### **American Samoa After-Action Report**

In September 2009, the U.S. Territory of American Samoa was affected by an earthquake, which caused a tsunami and subsequent flooding. President Obama declared a disaster for the territory. American Samoa has a history of exercising poor stewardship over federal funds, and early estimates of the total disaster costs are more than \$300 million. As part of our oversight approach, the Emergency Management Oversight Team (EMOT) was deployed to the territory shortly after the disaster. The After-Action Report will reflect the EMOT's observations regarding FEMA's response and recovery activities in American Samoa. Based on the EMOT's preliminary observations during and shortly after deployment to American Samoa, we will develop an after-action report focusing on three primary issues: (1) American Samoa's overall ability to effectively manage the eight- to tenfold increase in federal funding; (2) FEMA's long-term housing pilot program; and (3) notable PA projects, including power plants, schools, and other major structures. The EMOT will also collect and analyze additional data on FEMA response/recovery efforts, including its after-action reports.

**Objectives:** (1) Promote accountability by instituting measures and processes to evaluate the actions of federal emergency management professionals; (2) serve as an independent entity for oversight of response and recovery activities; and (3) review FEMA's response to the disaster. *Office of Emergency Management Oversight*

### **Efforts to Expedite Disaster Recovery in Louisiana**

Under the PA program, FEMA provides grants to state and local governments, Indian tribes, and specific types of nonprofit organizations. FEMA provides funds to state governments (grantees), which in turn provide funds to local governments (applicants). There have been significant delays in providing PA funding to applicants in





Louisiana.

**Objective:** Determine whether FEMA, grantees, and applicants are working together to carry out the PA program to rebuild the Gulf Coast from Hurricane Katrina. *Office of Emergency Management Oversight*

### **Disaster Housing Assistance Program**

The need for coordinated, long-term housing assistance to Gulf Coast residents displaced by the 2005 hurricanes resulted in the announcement of the Disaster Housing Assistance Program (DHAP) in August 2007. Originally designed to provide assistance for 18 months, the program was extended to provide additional time for families to transition to other housing options. Following Hurricane Ike in 2008, DHAP-IKE was announced. This program was designed to mirror the original DHAP.

**Objective:** Determine the effectiveness of the DHAP for individuals impacted by catastrophic events. *Office of Emergency Management Oversight*

### **FEMA's Debris Removal Program**

Removing debris created by natural and manmade disasters is an extremely important but costly endeavor for FEMA. There have been long-standing problems associated with debris removal and associated monitoring activities. In response to these problems, FEMA has been reviewing and retooling its debris removal program. We will conduct a review of the current debris removal procedures and practices, and also review a sample of recent debris removal contracts, grants, and mission assignments.

**Objective:** Assess FEMA's debris program, including its recent retooling effort, and identify best practices. *Office of Emergency Management Oversight*

### **Public Assistance Appeals Process**

Public assistance applicants, subgrantees, or grantees may appeal determinations related to an application for federal assistance. The regulations are intended to give applicants, subgrantees, or grantees fair, impartial, and timely consideration of appeals that result from disagreements on the scope and cost of disaster-related work. Appeals can indicate:

- Incomplete or inadequate inspection of disaster damage,
- Poor project cost estimating,
- Poor project monitoring as the scope and cost of work increase during project execution, or
- Applicant, subgrantee, or grantee misunderstanding of work eligibility regulations and the allowability and allocability of project costs.

**Objectives:** Determine (1) the causes and cost of adjudicating applicant, subgrantee, or grantee appeals; (2) whether FEMA appeal determinations are impartial, comply with PA

regulations and guidelines, and are completed in a timely manner; (3) whether the process is cost effective; and (4) improvements FEMA can make to the current process. *Office of Emergency Management Oversight*

### **Emergency Support Function 6 – Implementation of Mass Care and Emergency Assistance**

The ESF Annexes provide the structure for emergency activity groupings that are most frequently used to provide federal support to states and other federal government agencies during declared disasters and emergencies.

As a result of the *Post Katrina Emergency Management Reform Act of 2006*, FEMA is authorized to lead and coordinate ESF-6 - Mass Care, Emergency Assistance, Housing and Human Services. The legislation requires FEMA to develop and employ a standard operating procedure for ESF-6 that supports the response efforts of federal, state, and local governments and voluntary agencies.

**Objectives:** Determine (1) to what extent FEMA has coordinated with each of the federal, state, tribal, local, and voluntary agencies in developing and implementing its standard operating procedure for mass care and emergency assistance, and (2) the efficacy of the standard operating procedure. *Office of Emergency Management Oversight*

### **Effectiveness of FEMA’s Remedial Action Management Program**

FEMA has used after-action reports, facilitator-led discussions called “hot washes,” and third-party reviews following disasters to identify “lessons learned” and solutions to FY 2009 problems that occurred during disaster response and recovery operations. However, corrective actions were not always implemented or tracked. In 2003, FEMA implemented the Remedial Action Management Program designed to consolidate, assign, track, and monitor the remediation of problems that were identified following disasters.

**Objective:** Determine whether FEMA is using its Remedial Action Management Program to implement lessons learned from Hurricane Katrina and other disasters to improve its readiness for the next catastrophic disaster. *Office of Emergency Management Oversight*

### **FEMA’s Management and Oversight of Public Assistance-Technical Assistance Contractors**

FEMA awards nationwide, stand-by Public Assistance-Technical Assistance Contracts (PA-TACs) to meet PA program needs that FEMA staff typically cannot meet. PA-TAC employees are specialists that provide services such as assessing and estimating disaster damages to complex facilities, and providing insurance adjustment services and historical and environmental reviews. For disasters occurring in FYs 2004, 2005, and 2006, FEMA spent \$228.3 million, \$1.4 billion, and \$94.9 million, through November 2006, respectively, for PA-TACs. A contracting officer’s technical representative (COTR) at FEMA



Headquarters oversees the master contracts, and field and regional office task monitors provide site monitoring for PA-TAC employees.

**Objective:** Determine the efficacy of FEMA’s management of PA-TACs, including processes and procedures for awarding individual task orders, evaluating contractor performance, and certifying contractor billings. *Office of Emergency Management Oversight*

### **Fraud Prevention Unit**

In late 2006, FEMA’s Florida Long-Term Recovery Office in Orlando, FL, established the Fraud Prevention Unit to assist in identifying and analyzing potentially fraudulent or improper disaster payments. The unit gathers FEMA-related records and information and employs various data-mining techniques to analyze the information contained in disaster assistance applications to help us determine whether disaster benefit applications are, in fact, fraudulent.

**Objectives:** Determine the effectiveness of FEMA’s Fraud Prevention Unit by assessing whether this unit has (1) achieved the desired outcomes of identifying and reporting potentially fraudulent disaster payments to Inspector General officials; (2) worked in concert with the FEMA Administrator to develop, maintain, and enhance proper internal management controls to prevent fraud, waste, and abuse; and (3) prevented fraudulent losses of federal funds through agency awareness, comprehensive research, coordination, and internal investigation. *Office of Emergency Management Oversight*

### **Contracting Officer’s Technical Representative Program**

Recent Government Accountability Office reports and reports issued by our office indicate that FEMA needs to improve contractor management oversight, including the ability to manage numerous large contracts in major or catastrophic disasters. In the first 3 months of 2008, 15 major disasters have been declared and numerous large initiatives have begun. FEMA has stated that it now has 700 trained COTRs to manage these contracts. This review will assess the headquarters COTR program office and its efforts to establish a structure and train sufficient staff to significantly improve their performance in contractor oversight and contract monitoring.

**Objectives:** Determine whether (1) policies, procedures, and processes have been established and communicated to all COTRs and are being implemented consistently; (2) a system of knowledge management and document retention has been implemented and if standardized documentation exists; (3) training requirements have been established and how they are being tracked; and (4) strategies and plans have been developed to staff a catastrophic disaster. *Office of Emergency Management Oversight*

### **Assessment of FEMA’s Emergency Support Function Roles and Responsibilities**

The federal government maintains a wide array of capabilities and resources that can be made available in response to a threat or disaster. No fewer than 12 federal departments and

agencies have key ESF roles and responsibilities outlined in the NRF. The NRF was released in January 2008 and presents the guiding principles that enable all response partners to prepare for and provide a unified national response to disasters and emergencies—from the smallest incident to the largest catastrophe. FEMA has coordinating and/or primary responsibilities for eight ESFs: (1) ESF-2 Communication, (2) ESF-3 Public Works and Engineering, (3) ESF-5 Emergency Management, (4) ESF-6 Mass Care, Emergency Assistance, Housing, and Human Services, (5) ESF-7 Logistics Management and Resource Support, (6) ESF-9 Search and Rescue, (7) ESF-14 Long-Term Community Recovery, and (8) ESF-15 External Affairs.

**Objective:** Determine to what extent FEMA is prepared to fulfill its ESF roles and responsibilities outlined in the NRF. *Office of Emergency Management Oversight*

## FEDERAL LAW ENFORCEMENT TRAINING CENTER

### *New Projects*

#### **IT Matters Related to the FLETC Component of the FY 2010 DHS Financial Statement Audit (Mandatory)**

We contracted with an IPA firm to conduct DHS' annual financial statement audit. As a part of this annual audit, the IPA firm's IT auditors perform a review of general and application controls in place over the Federal Law Enforcement Training Center's (FLETC) critical financial systems.

**Objective:** Determine the effectiveness of FLETC's general and application controls over critical financial systems and data. *Office of IT Audits*

## OFFICE OF INTELLIGENCE AND ANALYSIS

### *New Projects*

#### **Annual Evaluation of DHS' Information Security Program (Intelligence Systems-DNI) for FY 2011 (Mandatory)**

Identifying potential information security threats to DHS intelligence systems is key to evaluating the DHS intelligence program. The loss or compromise of DHS intelligence systems or data can have severe consequences, affecting national security, U.S. citizens, and the department's missions. In response to the increasing threat to information systems and the highly networked nature of the federal computing environment, Congress, in conjunction with the Director of National Intelligence (DNI), Chief Information Officer, and OMB,

requires an annual evaluation and reporting of the security program over agencies' intelligence systems. FISMA and the Director, Central Intelligence Directive 6/3, *Protecting Sensitive Compartmented Information Within Information Systems*, requirements will be used as criteria for the evaluation. Prior audits identified problems in the areas of management oversight, Plan of Action and Milestones process, and the implementation of a formal security training and awareness program for intelligence personnel.

**Objective:** Determine what progress DHS has made in resolving weaknesses cited in our prior year review. *Office of IT Audits*

**Annual Evaluation of DHS' Information Security Program (Intelligence Systems) for FY 2011 (Mandatory)**

Identifying potential information security threats to DHS intelligence systems is key in evaluating the DHS intelligence program. The loss or compromise of DHS' intelligence systems or can have severe consequences, affecting national security, U.S. citizens, and the department's missions. In response to the increasing threat to information systems and the highly networked nature of the federal computing environment, Congress, in conjunction with the DNI, Chief Information Officer, and OMB, requires an annual evaluation and reporting of the security program over agencies' intelligence systems. FISMA and the Director, Central Intelligence Directive 6/3, *Protecting Sensitive Compartmented Information Within Information Systems*, requirements will be used as criteria for the evaluation. Prior audits identified problems in the areas of management oversight, Plan of Action and Milestones process, and the implementation of a formal security training and awareness program for intelligence personnel.

**Objective:** Determine what progress DHS has made in resolving weaknesses cited in our prior year review. *Office of IT Audits*

***Office of Intelligence and Analysis  
Projects in Progress***

**Annual Evaluation of DHS' Information Security Program (Intelligence Systems) for FY 2010 (Mandatory)**

Identifying potential information security threats to DHS' intelligence systems is key in evaluating DHS' intelligence program. The loss or compromise of DHS' intelligence systems and/or the data contained on those systems can have severe consequences, affecting national security, U.S. citizens, and the department's missions. In response to the increasing threat to information systems and the highly networked nature of the federal computing environment, Congress, in conjunction with the DNI, CIO, and OMB, requires an annual evaluation and reporting of the security program over agencies' intelligence systems. FISMA and the Director, Central Intelligence Directive 6/3, *Protecting Sensitive Compartmented Information Within Information Systems*, requirements will be used as criteria for the evaluation.

**Objective:** Perform an independent evaluation of DHS' information security program and practices for its intelligence systems and determine what progress DHS has made in resolving weaknesses cited in the prior year's review. *Office of IT Audits*

**Effectiveness of the Joint Fusion Center Program Management Office to Coordinate and Enhance DHS' Support and Information Sharing with Fusion Centers**

This plan was revised due to recent efforts by the Government Accountability Office and our office to evaluate the Office of Intelligence and Analysis' (I&A) coordination and support of fusion centers. Our revised plan focuses on I&A's newly established Joint Fusion Center Program Management Office's (JFC-PMO) strategies, execution, and ability to fulfill its role. On July 31, 2009, DHS' Secretary approved DHS' recommitment to the State, Local, and Regional Fusion Center Initiative, and to overcome its past failures by instituting a well-coordinated, department-wide approach to support and interact with fusion centers. DHS established the JFC-PMO in December 2009 to ensure coordination across all DHS components toward the twin priorities of strengthening fusion centers and DHS intelligence products. We will examine the development, stand-up, and execution of the JFC-PMO and assess program office effectiveness in fulfilling DHS' goal to achieve a renewed, revised, and enhanced information sharing and communication capability with fusion centers.

**Objectives:** Determine whether (1) the development of the JFC-PMO satisfies the intent of DHS' recommitment to the State, Local, and Regional Fusion Center Initiative; (2) JFC-PMO efforts ensure coordinated support of DHS and its components to provide needed information and resources to fusion centers; and (3) any functional or organizational challenges exist within DHS that hinder its successful support to fusion centers. *Office of Inspections*

**PRIVACY OFFICE**

***Projects in Progress***

**DHS Management of Freedom of Information Act Requests**

Compliance with the *Freedom of Information Act* (FOIA) is a basic mandate for all federal agencies. On his first full day in office, President Obama declared that FOIA "is the most prominent expression of a profound national commitment." He established that a "presumption of disclosure" was to govern agencies' FOIA operations. "When in doubt," the President wrote, "openness prevails." In a March 2009 memo that reiterated the President's position, the Attorney General noted that the Obama administration had a "fundamental" dedication to open government. As a result, "unnecessary bureaucratic hurdles" to FOIA compliance are to be avoided. The DHS Privacy Office provides general guidance to components on FOIA policy.

Our review will include analysis of various FOIA data, including processing time, proactive disclosure, and the status of backlogs.

**Objectives:** Determine (1) whether the Privacy Office has facilitated DHS compliance with the January 2009 presidential memo on FOIA and the March 2009 guidance from the Attorney General; and (2) the distinct roles of the Chief and the Deputy Chief FOIA officers.  
*Office of Inspections*

## TRANSPORTATION SECURITY ADMINISTRATION

### *New Projects*

#### **Insider Threat at TSA**

As TSA becomes increasingly dependent on complex information systems, the inherent threat to these systems posed by computer crimes and security attacks grows. Because of the high-tech nature of these systems and the technological expertise required to develop and maintain them, the emphasis on adequate attention devoted by experts to technological vulnerabilities and solutions has not always followed suit. Trusted insiders, given their access and status within the organization, pose the biggest threat to the protection of life, property, and information for a component.

**Objective:** Determine the current risk posed by the trusted insider by assessing how effectively TSA is prepared to detect or prevent insider attacks. *Office of IT Audits*

#### **IT Matters Related to the TSA Component of the FY 2010 DHS Financial Statement Audit (Mandatory)**

We contracted with an IPA firm to conduct DHS' annual financial statement audit. As a part of this annual audit, the IPA firm's IT auditors perform a review of general and application controls in place over TSA's critical financial systems.

**Objective:** Determine the effectiveness of TSA's general and application controls over critical financial systems and data. *Office of IT Audits*

#### **TSA Wireless Security**

Wireless networking (i.e., 802.11x [Wi-Fi], Bluetooth, IrDA [infrared], and cellular) frees computer users from the shackles of network cables. In particular, wireless technologies can provide productivity improvements for mobile TSA employees. However, the technologies can also expose sensitive information systems to potential security vulnerabilities when wireless devices are not secured properly.

**Objective:** Determine whether TSA has implemented effective controls to ensure that sensitive information processed by its wireless networks and devices is protected from potential exploits. *Office of IT Audits*

### **TSA Penetration Testing: Advanced Imaging Technology (Congressional)**

TSA is responsible for screening all passengers, property, cargo, carry-on and checked baggage, and other articles that will be transported on a passenger aircraft. Advanced imaging technology is one method that TSA uses to screen passengers for prohibited objects. This technology is a voluntary process used for primary and secondary screening, which scans a passenger on all sides and transmits the image of the passenger's body to a TSA agent who is stationed 50 to 100 feet away from the advanced imaging technology unit. The objective is to identify concealed (purposely or not) metal, plastics, ceramics, chemical materials, and explosives. Approximately 450 advanced imaging technology units will be deployed across the Nation by the end of 2010.



**Objectives:** Determine (1) the effectiveness of TSA's advanced imaging technologies at passenger screening checkpoints and of its specific screening procedures, and (2) whether Transportation Security Officers are following the established policies and procedures for the technologies. *Office of Audits*

### **Policies and Procedures for Access Control to the Airport Security Identification Display Area (Congressional)**

The *Aviation and Transportation Security Act* directed TSA to improve the security of airport perimeters, access controls, and airport workers. TSA has the statutory responsibility for requiring employment investigations, including a criminal history record check and a review of available law enforcement databases and other records for individuals who have unescorted access to the secure areas of airports and aircraft. The Transportation Threat Assessment and Credentialing Office within TSA is responsible for conducting name-based and fingerprint-based checks on individuals with Security Identification Display Area (SIDA) access, Sterile Area Workers, and other individuals holding or seeking airport badges or credentials. This office also implements policies associated with airport secure areas and provides support to the airport and airline security officers who adjudicate the results of the criminal history checks.

Terrorists, illegal immigrants, and undocumented workers may use false information and work within selected airport SIDA and sterile areas. TSA may have limited controls over the issuance of SIDA badges. TSA may not have comprehensive processes to ensure that undesirable individuals cannot pass the required background checks by providing false biographic identities such as name, Social Security number, and date of birth. Although TSA relies on biographic identity to clear potential employees, these individuals may find ways to circumvent the process.



**Objectives:** Determine whether TSA’s security threat assessment oversight and control process is adequate to prevent individuals with questionable backgrounds from receiving badges or credentials that give them unescorted access to secure airport areas. We will also determine whether airports and aircraft operators are complying with TSA’s security requirements to control access to these areas. *Office of Audits*

**TSA Penetration Testing: Access Control at Domestic Airports (Congressional)**

The *Aviation and Transportation Security Act* directs TSA to improve the security of airport perimeters, access controls, and airport workers. TSA has the statutory responsibility for requiring employment investigations, including a criminal history record check and a review of available law enforcement databases and other records for individuals who have unescorted access to the secure areas of airports and aircraft. The Transportation Threat Assessment and Credentialing Office within TSA is responsible for conducting name-based and fingerprint-based checks on individuals with SIDA access, Sterile Area Workers, and other individuals holding or seeking airport badges or credentials. TSA implements policies associated with airport secure areas and provides support to the airport and airline security officers who adjudicate the results of the criminal history checks.

**Objective:** Determine whether TSA’s security procedures prevent unauthorized individuals from accessing the airports’ Sterile and Security Identification Display Areas. *Office of Audits*

**TSA’s Strategic In-sourcing Efforts**

As the number-one employer in the United States, the federal government has more than 1.8 million employees. An OMB memorandum to all Executive branch departments strongly suggested that agencies consider having more federal employees and fewer private contractors. This is known as “in-sourcing.” OMB warned that agencies must be alert to situations in which excessive reliance on contractors undermines the ability of the federal government to accomplish its missions. Many agencies are finding that contractors cost more. According to the Department of Defense, contractors could cost up to 65% more.

Since its creation, the TSA has relied on support services contractors to help accomplish its mission. TSA’s efforts to in-source functions performed by contractors will depend in large part on its ability to assess mission and human capital requirements and develop and execute plans to fulfill those requirements, giving the agency a workforce with the knowledge, skills, and competencies needed to accomplish its mission.

**Objective:** Determine whether TSA is strategically identifying and planning its human capital needs, including identifying positions to in-source. *Office of Audits*

### **Increased Deployment of Advanced Imaging Technology**

In response to the attempted terrorist attack on Northwest Flight 253 on December 25, 2009, TSA revised its plans to deploy advanced imaging technology by increasing the number of units from 878 to 1,800 and using them as a primary screening measure instead of secondary when feasible.

*Objectives:* Determine whether TSA is following disclosure policies relating to the technology and available alternatives; and whether TSA guidelines protecting passenger privacy are effective. *Office of Inspections*

### **Implementation and Coordination of the Secure Flight Program Status**

Most air carriers are currently responsible for vetting domestic passengers against the No Fly and Selectee Lists. TSA began assuming this responsibility in January 2009 under the Secure Flight program. TSA maintains that Secure Flight will provide more thorough and uniform vetting of air carrier passenger data, thereby reducing threats to aviation and passenger misidentifications.

*Objectives:* Determine the efficiency and effectiveness of Secure Flight's assumed watch list vetting responsibilities and whether it is reducing traveler inconveniences and misidentifications. *Office of Inspections*

### **DHS' Role in Nominating Individuals for Inclusion on Government Watchlists and Its Efforts to Support Watchlist Maintenance**

Key aspects of the DHS mission are to effectively control the Nation's air, land, and sea borders and to deter and prevent terrorist attacks on the United States. To fulfill this mission, DHS operational components rely on multiple internal and external criminal and terrorist watchlists. These databases and watchlists contain both DHS generated and controlled information, and DHS' access to information housed in databases and watchlists sponsored by other government agencies.

Throughout the federal government, multiple watchlists are used to protect against potential threats to national security. While DHS is a major consumer of information in multiple external criminal and terrorist watchlists, it is also critical that the department and its components have the ability to support federal partners by contributing to the nomination and maintenance process. Many watchlists are dependent on the ability of federal agencies to collect and analyze derogatory information and nominate individuals for inclusion on a specific list. Some examples of relevant systems include the Office of the Director of National Intelligence (ODNI) Terrorist Identities Datamart Environment, which is an aggregate of information that contains both the identifying and substantive derogatory information on known or reasonably suspected international terrorists; the Federal Bureau of Investigation's Terrorist Screening Database, which is the U.S. government's consolidated watchlist of all known or reasonably suspected terrorists; and the State Department's Consular Lookout and Support System, used primarily as a name-checking system to screen



visa applications for travel to the United States. As the primary department charged with protecting the Nation's borders, some DHS components are uniquely positioned to collect and disseminate information related to potential national security threats posed by individuals seeking to enter the United States.

**Objectives:** Determine (1) which DHS components contribute to the nomination and maintenance of data contained in external government watchlists; (2) whether processes and standards for nominating individuals for inclusion on external watchlists exist within DHS and assess the effectiveness of these efforts; (3) whether the type of information DHS components collect and disseminate to federal partners is relevant, timely, and accurate; and (4) what external federal agencies are the recipients of DHS generated information. *Office of Inspections*

### **Efficiency and Effectiveness of TSA's Visible Intermodal Prevention and Response (VIPR) Program**

After the March 2004 commuter train bombings in Madrid, Spain, TSA created and deployed Visible Intermodal Prevention and Response (VIPR) Program teams to enhance security on U.S. rail and mass transit systems nationwide, and to augment local, state, and federal entities' efforts to enhance security on U.S. critical infrastructure.

**Objectives:** Determine (1) the methodology and validity for selecting VIPR deployments; (2) whether differences between geographic locations and critical infrastructure affect VIPR team operations; and (3) whether VIPR teams are efficient and effective in augmenting local, state, and federal entities' efforts to enhance security on U.S. critical infrastructure. *Office of Inspections*

### ***Transportation Security Administration Planned Projects***

### **Workforce Strength and Deployment in TSA's Federal Air Marshal Service**

The TSA Federal Air Marshal Service (FAMS) is responsible for deterring hijackings and other hostile acts against commercial aircraft in the United States and on certain overseas flights. Air marshals served aboard U.S. aircraft as early as 1970, but the September 11, 2001, terrorist attacks gave the service new urgency. Air marshals gained widespread public recognition as a bulwark against similar attacks in the future. For additional security, TSA runs the Federal Flight Deck Officer Program, which trains pilots to carry and use handguns on aircraft, and the Law Enforcement Officers Flying Armed Training Program, which certifies law enforcement personnel to carry handguns in flight. For the flying public, affirmation of an effective FAMS matched with other complementary security measures helps maintain confidence in the security of U.S. air travel. However, FAMS suffered public criticism based on charges of high attrition rates, inadequate coverage of flights, and hiring of less experienced personnel. TSA responded that the service remains adequately staffed and that its risk-based approach to deployment delivers reasonable security. Yet media criticism persists, frequently based on anonymous sources in TSA and the airline industry. Prolonged staffing shortages, hiring and retention difficulties, and insufficient coverage of flights would

signal serious vulnerabilities in airline security, especially during unanticipated periods of heightened threats. Plans to overcome such challenges and adjust deployments accordingly are vital to ensuring the service's long-term effectiveness.

**Objectives:** Determine the adequacy of TSA's FAMS workforce readiness, including numbers of available marshals, staffing models and projected needs, attrition rates, hiring plans, and turnover rates. *Office of Inspections*

### ***Transportation Security Administration Projects in Progress***

#### **TSA's Coordination With Amtrak on Passenger Rail Transit**

The TSA has had minimal interaction with Amtrak to ensure safety and security. Because of vulnerabilities and past terrorist attacks against rail systems worldwide, stakeholders need to coordinate and take action to minimize the potential impact of future rail transit emergencies on its employees, passengers, and businesses. Attacks have occurred in all corners of the globe, including Venezuela, Colombia, India, Pakistan, Spain, and the United Kingdom. These attacks resulted in more than 400 deaths and several thousand injuries. It is important to identify and assess the areas of greatest risk throughout rail transportation systems, and act to prevent attacks and mitigate their potential consequences. To prepare for future threats, stakeholders must maintain surge capacity to respond when and where they emerge.

**Objective:** Determine the effectiveness of Amtrak and TSA coordination in assessing risk and allocating funding toward security operations for safeguarding passenger rail transportation. *Office of Audits*

#### **Ability to Communicate With Federal Air Marshals While in Mission Status**

FAMS consists of thousands of trained law enforcement personnel who are responsible for protecting passengers and flight crews in the event of a hijacking or terrorist incident. Armed air marshals blend in with ordinary passengers to help secure high-risk domestic and international flights on U.S. air carriers. To respond to security situations before, during, and after flights, the air marshals need to be able to send and receive timely intelligence information. FAMS issues communications equipment to air marshals for this purpose, but according to reports, the equipment is not consistently functional.

**Objectives:** Determine whether TSA is pursuing communication capabilities to ensure that FAMS personnel who are in mission status can receive and send time-sensitive, mission-related information through secure communication while in flight; and whether FAMS is providing air marshals with timely and accurate intelligence and situational awareness when they are preparing for or in mission status. *Office of Inspections*

**Allegations of Discrimination Within the TSA’s Federal Air Marshal Service**  
*(Congressional)*

In 2009 and 2010, several media sources reported allegations of widespread discrimination and retaliation in FAMS, a TSA component, and also claimed that TSA’s investigations of these claims were not objective or fair. Senator Bill Nelson and Representative Edolphus Towns reported receiving similar complaints from constituents and requested that we assess allegations that FAMS illegally discriminated or retaliated against personnel, or otherwise allowed misconduct.

**Objectives:** Determine whether (1) the facts confirm specific allegations of misconduct and illegal discrimination and retaliation; (2) the TSA Office of Inspections provided objective, complete investigations of those allegations; (3) FAMS management responded appropriately to the allegations; (4) misconduct and illegal discrimination and retaliation are widespread in FAMS; and (5) FAMS has established effective processes for deterring misconduct and illegal discrimination and retaliation and for responding to complaints, investigations, and adjudications. *Office of Inspections*

**UNITED STATES CITIZENSHIP AND IMMIGRATION SERVICES**

*New Projects*

**USCIS Laptop Security**

As the weight and price of laptops have decreased and their computing power and ease of use have increased, so has their popularity for use by government employees. U.S. Citizenship and Immigration Services (USCIS) relies heavily on laptop computers for conducting business in support of its immigration management mission. The mobility of laptops has increased the productivity of the USCIS workforce, but at the same time increased the risk of theft, unauthorized data disclosure, and virus infection.

**Objective:** Determine whether USCIS has implemented an effective program to protect the security and integrity of its laptop computers. *Office of IT Audits*

**IT Matters Related to the USCIS Component of the FY 2010 DHS Financial Statement Audit** *(Mandatory)*

We contracted with an IPA firm to conduct DHS’ annual financial statement audit. As a part of this annual audit, the IPA firm’s IT auditors perform a review of general and application controls in place over USCIS’ critical financial systems.

**Objective:** Determine the effectiveness of USCIS’ general and application controls over critical financial systems and data. *Office of IT Audits*

### **USCIS IT Modernization**

Effective use of IT, coupled with updated processes, is vital to increase efficiency and address demands in immigration benefits processing. This follow-up audit of three previously issued reports we issued in September 2005, November 2006, and July 2009 highlighted ongoing inefficiencies in USCIS' operational environment and limited IT modernization progress.

**Objective:** Determine whether USCIS is making progress in implementing IT modernization initiatives, as well as addressing our prior recommendations. *Office of IT Audits*

### **Adjudication of I-130 Marriage-based Petitions**

The I-130 marriage-based petition is designed for U.S. citizens legally married to foreign nationals. Once the petition is approved and the visa issued, the foreign national spouse may enter, live, and work permanently in the United States. The I-130 visa also provides a pathway to U.S. citizenship for the foreign national and their families. USCIS Benefit Fraud and Compliance Assessment review of the I-130 marriage-based petition revealed a fraud rate of 17%. This rate could have significant impact because of (1) the high volume of I-130 visa petitions filed with USCIS annually and (2) the fact that approval of I-130 marriage-based visa petitions provides visa beneficiaries (and their families) access to permanent resident status and the right to apply for a green card and U.S. citizenship.

**Objective:** Determine whether I-130 marriage-based petitions are being adjudicated uniformly, according to established policies and procedures, and in a manner that fully addresses all fraud and national security risks. *Office of Audits*

### **Student and Exchange Visitor Program**

International students seeking to study as full-time students in the United States petition for a student visa. The Student and Exchange Visitor Program is designed to help DHS and the Department of State better monitor school and exchange programs. Student information is maintained in the Student and Exchange Visitor Information System, an Internet-based system that maintains information on non-immigrant students (F and M visa), exchange visitors (J visa), and their dependents (F-2, M-2, and J-2 visas). The system enables schools and program sponsors to transmit mandatory information and event notifications via the Internet to the DHS and the Department of State throughout a student or exchange visitor's stay in the United States. As of March 10, 2010, the Student and Exchange Visitor Information System contained records for more than 1 million active nonimmigrant students, exchange visitors, and their dependents.

**Objective:** Determine whether USCIS is effectively overseeing the Student and Exchange Visitor Program. *Office of Audits*

### **DHS Administration of the T and U Visa Process**

Annually, an estimated 800,000 individuals are trafficked across international borders, including 14,500 to 17,500 into the United States. In 2000, passage of the *Victims of Trafficking and Violence Protection Act (VTVPA)* established T and U nonimmigrant visas to allow trafficking victims or other aliens who have suffered abuse the opportunity to remain in the United States for a specific period of time. In 2009, the USCIS Ombudsman reported that since the enactment of the VTVPA, delays have thwarted the success of the legislation, causing thousands of victims not receive to VTVPA benefits.

**Objectives:** Determine (1) whether USCIS has adequate staff and resources to adjudicate existing and anticipated T and U visa applications; (2) what standards and performance measures exist for processing T and U visas; (3) whether public guidance available for T and U visa applicants is sufficient; and (4) whether inconsistent cooperation from law enforcement officials is an obstacle to successful adjudication. *Office of Inspections*

### ***United States Citizenship and Immigration Services Projects in Progress***

#### **USCIS Privacy Stewardship**

The *Privacy Act of 1974*, as amended, and the *E-Government Act of 2002* require that DHS protect sensitive, mission-critical data and personally identifiable information contained in its systems of record. To accomplish its mission of overseeing lawful immigration to the United States, USCIS collects, shares, and uses sensitive personally identifiable information. To promote compliance with federal privacy regulations, the USCIS Privacy Office works with programs to steward and instill a culture of privacy.

**Objectives:** Determine whether USCIS (1) instills a privacy culture that is effective in protecting sensitive personally identifiable information and (2) ensures compliance with federal privacy regulations. *Office of IT Audits*

#### **USCIS ' Adjudication of Petitions for Nonimmigrant Workers (I-129 Petition)** (Title changed from USCIS Adjudication Process, Part 2)

USCIS is responsible for administering immigration and naturalization functions and establishing policies and priorities for immigration services. USCIS Adjudication Officers at regional centers interpret and apply laws and regulations regarding eligibility for immigration benefits.

**Objective:** Determine whether USCIS' adjudication of Petitions for Nonimmigrant Workers (I-129 petitions) is being conducted according to established policies and procedures and addresses fraud detection and national security concerns. *Office of Audits*

## UNITED STATES COAST GUARD

### *New Projects*

#### **IT Matters Related to the USCG Component of the FY 2010 DHS Financial Statement Audit (Mandatory)**

We contracted with an IPA firm to conduct DHS' annual financial statement audit. As a part of this annual audit, the IPA firm's IT auditors perform a review of general and application controls in place over USCG's critical financial systems.

**Objective:** Determine the effectiveness of USCG's general and application controls over critical financial systems and data. *Office of IT Audits*

#### **USCG Privacy Stewardship**

The *Privacy Act of 1974*, as amended, and the *E-Government Act of 2002* require that DHS protect sensitive, mission-critical data and personally identifiable information contained in its systems of record. To accomplish its mission of protecting the maritime economy and the environment, defending maritime borders, and saving those in peril, USCG collects, shares, and uses sensitive personally identifiable information. To promote compliance with federal privacy regulations, the USCG Privacy Officer works with programs to steward and instill a culture of privacy.

**Objectives:** Determine whether USCG (1) instills a privacy culture that is effective in protecting sensitive personally identifiable information and (2) ensures compliance with federal privacy regulations. *Office of IT Audits*

#### **USCG IT Management**

USCG is a multi-mission maritime service and one of the Nation's five Armed Services. Guarding more than 95,000 miles of coastline and more than 350 commercial ports, USCG is the lead federal agency for maritime border security. USCG uses myriad IT capabilities to support its mission of saving lives and property at sea; protecting America's maritime borders and suppressing violations of the law; protecting our maritime environment; providing a safe, efficient marine transportation system; and defending the Nation.

**Objective:** Determine the effectiveness of USCG's research, acquisition, implementation, and use of technology to support its maritime mission. *Office of IT Audits*



## **Annual Review of the USCG's Mission Performance (FY 2011) (Mandatory)**

The *Homeland Security Act of 2002* directs the Inspector General to review annually the performance of all USCG missions, with particular emphasis on non-homeland security missions. Homeland security missions include Illegal Drug Interdiction; Undocumented Migrant Interdiction; Foreign Fish Enforcement; Ports, Waterways, and Coastal Security; and Defense Readiness. Non-homeland security missions consist of Search and Rescue, Aids to Navigation, Ice Operations, Living Marine Resources, Marine Safety, and Maritime Environmental Protection.



**Objective:** Determine whether USCG is maintaining its historical level of effort on non-homeland security missions. *Office of Audits*

### **USCG Sentinel Class Acquisition (Fast Response Cutter)**

In 2006, USCG removed eight 123-foot patrol boats from service due to structural failures. To mitigate this loss, USCG accelerated the procurement of its Fast Response Cutter. This acquisition was openly competed outside of the Deepwater contract. An \$88 million contract was awarded in September 2008 for the lead vessel, which is scheduled for delivery in the third quarter of FY 2011. In December 2009, USCG awarded a \$141 million contract option for the Low Rate Initial Production of the next three vessels. The total contract, if 34 cutters are constructed, is estimated to be worth \$1.5 billion.

**Objective:** Determine whether (1) the current Fast Response Cutters under construction will meet the performance specifications put forward in the contract, (2) USCG's technical authorities exercised oversight of the performance specifications, (3) the performance specifications reflect the actual USCG requirements, and (4) any cost overruns or budget shortfalls have impacted the performance specifications. *Office of Audits*

### **USCG Reutilization and Disposal Program**

Annually, USCG identifies millions of dollars of property as excess, surplus, or scrap. Many of these assets may be vulnerable to theft and inappropriate unauthorized resale on the open market, costing the USCG millions in potential resale dollars, as well as lost opportunities to reallocate useable assets as needed throughout various government agencies. A recent audit of the USCG Maritime Safety and Security Team program revealed a shortage of computers at five Maritime Safety and Security Team sites visited, which may have been alleviated through the reallocation of computers to these units.

**Objective:** Determine whether the USCG has adequate internal controls within the Property Management Reutilization and Disposal program to ensure that property is appropriately considered for reuse or is properly disposed of. *Office of Audits*

### **USCG Investigative Service** *(Congressional)*

The Coast Guard Investigative Service is a federal investigative and protective program established to carry out USCG's internal and external criminal investigations, assist in providing personal security services, protect the welfare of USCG people, aid in preserving the internal USCG integrity, and support USCG missions worldwide. The Coast Guard Investigative Service derives its law enforcement authority under Title 14 of the United States Code, which provides authority for USCG special agents to conduct investigations of actual, alleged, or suspected criminal activity; carry firearms; execute and serve warrants; and make arrests.



**Objective:** Determine the efficacy of USCG administration of its Investigative Service program. *Office of Audits*

### **Unified Command Response to the Deepwater Horizon Mishap** *(Congressional)*

The purpose of Homeland Security Presidential Directive–5 (HSPD-5) (Management of Domestic Incidents) is to enhance the ability of the United States to manage domestic incidents by establishing a single, comprehensive national incident management system.

According to HSPD-5, all levels of government across the Nation must be capable of working together efficiently and effectively, using a national approach to domestic incident management. In these efforts, the government treats crisis management and consequence management as a single, integrated function, rather than as two separate functions. The Unified Command responding to the Deepwater Horizon mishap is fulfilling these functions under the tenants of the National Incident Management System, with the Secretary of Homeland Security serving as the principal federal official for managing this incident. The Unified Command structure provides shared management of an incident among the federal, state, and private sectors (Federal On-Scene Commander, State On-Scene Commander, and Responsible Party, respectively).

**Objective:** Determine the efficacy of the Unified Command in its internal and external communications to stakeholders, management, and coordination of resources, and its response to the Deepwater Horizon oil spill. *Office of Audits*

### *United States Coast Guard Projects in Progress*

### **USCG's Inspection and Investigation Efforts to Ensure Safety of Marine Commerce**

USCG ensures the safety of maritime commerce through a layered system of authorities, capabilities, and partnerships. The direct link between safety and security measures



improves the effectiveness of front-line operations and the efficiency of global commerce. USCG regulates 20,000 U.S. and foreign-flagged vessels employing more than 10 million people, and these vessels carry billions of gallons of oil and hazardous material. USCG regulatory efforts involve conducting 80,000 inspections annually and 14,000 investigations to ensure compliance with U.S. law, as well as to determine whether regulatory and policy changes are needed to prevent future safety issues and casualties.

**Objective (revised):** Determine whether USCG has the capabilities and resources to conduct safety inspections on domestic and foreign-flagged offshore vessels. *Office of Audits*

### **USCG Internal Controls Over Costs Associated With the Deepwater Horizon Oil Spill (Congressional)**

The USCG response to the loss of the Deepwater Horizon and resultant oil spill quickly exceeded typical surge provisions in the budget and is imposing extraordinary costs on the service. In oil spill events, USCG has less access to federal emergency funds and must recover costs from the “responsible party” under the *Oil Pollution Act of 1990*. USCG must have policies and cost determination and recovery procedures to ensure full recovery of both direct and indirect costs from events.



**Objective:** Determine whether USCG has adequate policy and procedures in place to capture all relevant direct and indirect costs. *Office of Audits*

### **USCG’s Marine Safety Performance Plan (2009–2014)**

In 2008, USCG published a 5-year Marine Safety Performance Plan to guide enhancements to its Marine Safety mission. The plan includes six initiatives focused on increasing the competency of its marine safety workforce, delivering superior service to the marine industry, improving management practices, and increasing the safety of recreational boats, towing vessels, and fishing vessels.

**Objective:** Determine whether improvements can be made to USCG’s Marine Safety Performance Plan to effectively manage the Marine Safety Program. *Office of Audits*

## UNITED STATES CUSTOMS AND BORDER PROTECTION

### *New Projects*

#### **CBP Privacy Stewardship**

The *Privacy Act of 1974*, as amended, and the *E-Government Act of 2002* require that DHS protect sensitive, mission-critical data and personally identifiable information contained in its systems of records. To accomplish its mission of protecting our Nation's borders to prevent terrorists and terrorist weapons from entering the United States, while facilitating the flow of legitimate trade, CBP shares and uses sensitive personally identifiable information. To promote compliance with federal privacy regulations, the CBP Privacy Officer works with programs to steward and instill a culture of privacy.

**Objectives:** Determine whether CBP (1) instills a privacy culture that is effective in protecting sensitive personally identifiable information and (2) ensures compliance with federal privacy regulations. *Office of IT Audits*

#### **CBP Wireless Security**

Wireless networking (i.e., 802.11x [Wi-Fi], Bluetooth, IrDA [infrared], and cellular) frees computer users from the shackles of network cables. In particular, wireless technologies can provide productivity improvements for mobile CBP employees. However, the technologies can also expose sensitive information systems to potential security vulnerabilities when the wireless devices are not secured properly.

**Objective:** Determine whether CBP has implemented effective controls to ensure that sensitive information processed by its wireless networks and devices is protected from potential exploits. *Office of IT Audits*

#### **IT Matters Related to the FY 2010 Financial Statement Audit of CBP (Mandatory)**

We contracted with an IPA firm to conduct DHS' annual financial statement audit. An individual audit of CBP's financial statements will be performed in conjunction with the consolidated statement audit. As a part of this annual audit, the IPA firm's IT auditors will perform a review of general and application controls in place over CBP's critical financial systems.

**Objective:** Determine the effectiveness of CBP's general and application controls over critical financial systems and data. *Office of IT Audits*

### **SBInet Steel Storage and Production Contract**

CBP is responsible for developing and implementing SBInet. CBP, as executive agent, awarded the prime contract to acquire, deploy, and sustain a targeted combination of technology, tactical infrastructure, and personnel to achieve control at and between the Nation's ports of entry. The prime contractor provides many of its services and products (including steel storage and production) through subcontractors. A Defense Contract Audit Agency review indicated that the prime contractor may not have followed its own prescribed selection process to award two task orders for steel storage and production and, as a result, recommended that we perform a more in-depth review of the task order award process. The subcontractor awarded the purchase orders submitted a proposed price of about \$29 million more than the nearest competing subcontractor. Also, according to the results of the Defense Contract Audit Agency review, the prime contractor did not provide the supporting documentation to support its award decision.

**Objective:** Determine the effectiveness of CBP's oversight efforts to ensure the integrity of the acquisition and storage of steel in support of the SBInet program. *Office of Audits*

### **CBP's Use of Unmanned Aircraft Systems in Northern Border Security**

In the spring of 2008, CBP began using an unmanned aircraft system (UAS) to augment border security ground efforts along the northern border. The UAS is equipped with state-of-the-art sensors and communications systems that increase CBP's surveillance capability. This technology provides Border Patrol Agents real-time intrusion and other operational intelligence in remote portions of the northern border areas where border patrol agents cannot easily or safely travel. Witnesses at a congressional hearing said the UAS program operating over the U.S.-Mexico border is short-staffed and accident prone. CBP leadership noted significant competition among the Department of Defense and DHS to hire unmanned aerial vehicle pilots.

**Objective:** Determine whether CBP has the staffing, training, and equipment infrastructure in place to support the effective and safe operations of unmanned aircraft systems along the Nation's borders. *Office of Audits*

### **Free and Secure Trade Program - Continued Driver Eligibility**

Free and Secure Trade (FAST) is a program to provide a harmonized clearance process for known low-risk commercial shipments. Under the FAST program, importers, manufacturers, commercial carriers, and truck drivers who meet certain security criteria are provided expedited clearance through designated lanes when they cross into the United States. During FY 2009, approximately 114,000 FAST drivers and 2,600 carriers were participating in the program. Recent media coverage has emphasized the vulnerability of FAST drivers to the influence of the drug cartels encouraging participation in transporting illicit narcotics. It is critical that CBP implement adequate continued eligibility control processes to ensure that CBP's border security mission is not compromised by FAST drivers who should no longer remain in the program.

**Objective:** Determine whether CBP's FAST program continued eligibility process ensures that only eligible drivers and carriers remain in the program. *Office of Audits*

### **CBP's Textile Transshipment Enforcement**

The numerous requirements placed on textile products entering the United States under various free trade agreements and legislative preference programs on textile transshipment make them problematic to administer. Owing to the high-risk nature of imports of textile and apparel products and a history of noncompliance, CBP designated the industry as a Priority Trade Issue in FY 2009. Although textiles and apparel represent only 8% of U.S. imports, these two sectors alone account for 42% of all duties collected by CBP.



**Objective:** Determine whether CBP effectively enforces the laws governing the importation of textiles and apparel into the United States. *Office of Audits*

### **Efficacy of CBP's Penalties Process (Congressional)**

This is part of a series of audits to address concerns raised by a member of Congress. CBP agents, import specialists, and auditors work individually and collectively to identify high-risk importers and trade violations by conducting inspections and reviewing entry documentation that indicate noncompliance. Trade violations, such as commercial fraud, negligence, unlawful importation, and poor record keeping, result in penalty referrals.

CBP considers the penalty process a priority trade issue that it uses to deter trade noncompliance. Despite the importance given to the penalty process, concerns have been expressed about its timeliness, as well as differences in the amount of penalties assessed and collected.

**Objective:** Determine whether CBP's use of penalties to enforce and ensure compliance with U.S. trade laws is administered in a consistent manner and is an effective deterrent. *Office of Audits*

### **CBP's Management of Its Federal Employees' Compensation Act Program**

The *Federal Employees' Compensation Act* (FECA) (5 U.S.C. §§ 8101, et seq.) provides wage loss compensation, medical care, and survivors' benefits to federal and postal workers around the world for employment-related traumatic injuries and occupational diseases. FECA also provides for payment of benefits to dependents if a work-related injury or disease causes an employee's death. FECA is administered by the Department of Labor and is a self-insured program. FECA benefits are financed by the Employees' Compensation Fund, which is replenished annually through chargeback to employing agencies. The Department of Labor furnishes agencies with a chargeback report that is a statement of payments made from the Employees' Compensation Fund on account of injuries to each agency's employees. In

FY 2009, DHS' unaudited FECA liability was \$1.82 billion, with CBP being the largest contributor with a \$715 million actuarial liability.

**Objectives:** Determine whether CBP is effectively and aggressively managing its FECA program to minimize lost workdays and FECA-related compensation costs by returning work-capable employees to work as soon as possible and reducing workplace injuries. Additionally, determine whether CBP has an effective process to validate its workers' compensation charge back reports to ensure that the billing is correct. *Office of Audits*

### **Effectiveness of the Office of Alien Smuggling Interdiction**

CBP's Office of Field Operations established the Office of Alien Smuggling Interdiction in September 2006 to intervene and protect trafficking victims from abuse. The office's primary goals are to deter, detect, and disrupt illegal migration to the United States and increase criminal prosecution of smugglers and human traffickers.

**Objectives:** Determine (1) to what extent the Office of Alien Smuggling Interdiction collects and shares human trafficking information with other CBP components and external U.S. and international agencies and (2) whether human trafficking arrests and prosecutions have increased since the creation of the office. *Office of Inspections*

### ***United States Customs and Border Protection Planned Projects***

### **Efficacy of the Office of Regulatory Audit Operations (Congressional)**

We were notified of concerns with CBP's revenue collection programs, including issues regarding the implementation of audit recommendations. CBP's Office of Regulatory Audit uses a two-phased risk-based audit management approach to identify revenue risk in various program areas to determine the extent of its auditing procedures.

**Objective:** Determine the efficacy of CBP's Office of Regulatory Audit's risk-based audit management approach. *Office of Audits*

### ***United States Customs and Border Protection Projects in Progress***

### **CBP's Bonding Process (Congressional)**

All parties that import merchandise into the United States for commercial purposes or transport imported merchandise through the United States must have a CBP Bond, as required under title 19, U.S.C. §1623. CBP mitigates risks associated with various program areas by its authority to apply bonds to goods entering the United States. Bonds serve as an insurance policy, protecting CBP from revenue loss when importers fail to fulfill their financial obligations. With the continual increase in volume and number of importers, free trade agreements, preferential trade agreements, and antidumping/countervailing violations,

it is critical that CBP ensure its bond amounts are commensurate with the revenue exposure. Furthermore, CBP should also have controls to ensure validity and the amounts of the bonds. Failure to do so may result in revenue loss to CBP through its inability to collect lawfully owed duties.

**Objective:** Determine the efficacy of CBP's process for determining and applying bonds in sufficient amounts to cover importer duties, fees, and taxes should importers fail to pay revenues as required on goods brought into the United States. *Office of Audits*

### **CBP's Permit to Transfer Containerized Cargo Program (Mandatory)**

CBP's Permit to Transfer containerized cargo program could lead to dangerous goods and substances entering the United States. Cargo containers are being moved from the port to a designated container station, such as a bonded warehouse, before CBP makes a final determination as to whether they are high-risk cargo requiring mandatory physical examination. The purpose of the Permit to Transfer program is to facilitate trade by allowing the advance movement of a shipment from a port to a container station where the cargo container is unloaded, examined, or stored. The program raises concerns because CBP does not have adequate policies, procedures, and controls to monitor the security and movement of potentially high-risk cargo within the port area.

**Objective:** Determine whether CBP's Permit to Transfer containerized cargo program has adequate controls and processes in place to ensure that all identified high-risk containers are secured and inspected. *Office of Audits*

### **Customs-Trade Partnership Against Terrorism (C-TPAT)**

The Customs-Trade Partnership Against Terrorism (C-TPAT) is a voluntary government-business initiative to build cooperative relationships that strengthen and improve the international supply chain and U.S. border security. Its goal is to shift responsibility for cargo security onto stakeholders in the supply chain. C-TPAT companies commit to meeting security standards in order to use their leverage to prevent terrorist organizations from exploiting their supply chains, thereby reducing the risk that terrorist weapons will be introduced into, or concealed within, their shipments.

**Objective:** Determine the efficacy of CBP's process for verifying C-TPAT members' security practices. *Office of Audits*



## UNITED STATES IMMIGRATION AND CUSTOMS ENFORCEMENT

### *New Projects*

#### **IT Matters Related to the ICE Component of the FY 2010 DHS Financial Statement Audit (Mandatory)**

We contracted with an IPA firm to conduct DHS' annual financial statement audit. As a part of this annual audit, the IPA firm's IT auditors perform a review of general and application controls in place over ICE's critical financial systems.

**Objective:** Determine the effectiveness of ICE's general and application controls over critical financial systems and data. *Office of IT Audits*

#### **DHS' Expansion of the Visa Security Program to Additional Overseas Posts (Congressional)**

The Visa Security Program was established to increase the security of the visa process at U.S. embassies and consulates worldwide. ICE law enforcement agents assigned to Visa Security Units administer the program at visa-issuing posts by reviewing visa applications to identify security threats, provide security-related advice and training to consular officers, and investigate security-related visa matters. At an April 21, 2010, hearing, the U.S. Senate Committee on Homeland Security and Governmental Affairs expressed several concerns regarding the slow pace at which the program has been expanded.

**Objectives:** Determine (1) why DHS has not submitted the required annual reports to Congress to justify the DHS Secretary's determinations for not assigning ICE agents to particular overseas posts, (2) what obstacles are hindering the expansion of the Visa Security Program at additional overseas posts, and (3) how ICE plans to expand the program to more overseas posts with a "flat" FY 2011 budget request to support it. *Office of Inspections*

#### **DHS Detainee Transfers and Reliance on Assurances (Congressional)**

Executive Order 13491 directed the White House Special Task Force on Interrogations and Transfer Policies to undertake a study and evaluate the practices of transferring individuals to other nations. The goal is to ensure that such practices comply with the domestic laws, international obligations, and policies of the United States and do not result in the transfer of individuals to other nations to face torture. Moreover, the purpose of transfers should not be to undermine or circumvent the commitments of obligations of the United States, but to ensure the humane treatment of individuals in its custody.

We, along with the Inspectors General of the Department of State and Department of Defense, will prepare an annual report on transfers conducted by each agency that rely on assurances.

**Objectives:** Determine the (1) process for obtaining assurances, (2) content of the assurances, (3) implementation and monitoring of assurances, and (4) post-transfer treatment of the persons transferred. *Office of Inspections*

### ***United States Immigration and Customs Enforcement Planned Projects***

#### **Criminal Alien Program II**

This will be the second of three audits to determine the efficacy of ICE's efforts to identify and deport criminal aliens from the United States.

The *Immigration Reform and Control Act of 1986* requires ICE to initiate deportation proceedings for incarcerated criminal aliens as expeditiously as possible after the date of conviction. Criminal aliens who are eligible for deportation include illegal aliens in the United States who are convicted of any crime and lawful permanent residents who are convicted of a removable offense as defined in the *Immigration and Nationality Act*.

Approximately 300,000 to 450,000 criminal aliens incarcerated in federal, state, county, and local correctional facilities are eligible for removal from the United States. Criminal aliens who are eligible for removal include illegal aliens in the United States who have been convicted of any crime and lawful permanent residents who are convicted of a removable offense as defined in the *Immigration and Nationality Act*. ICE reported that in 2008, it charged 221,085 criminal aliens and removed approximately 109,000 criminal aliens.

**Objective:** Determine the efficacy of ICE Detention and Removal Operations in processing criminal aliens incarcerated in federal, state, county, and local departments of correction and jails who are eligible for deportation from the United States. *Office of Audits*

#### **Joint Review of Funds Provided under the *Illegal Immigrant Reform and Immigrant Responsibility Act of 1996*** (program data is not yet available to start audit)

The *Illegal Immigrant Reform and Immigrant Responsibility Act of 1996* establishes the requirement that a program for confirming an individual's identity and employment eligibility be established. Under the section 404 of the Act, the Commissioner of the Social Security Administration is responsible for establishing a reliable, secure method that compares the name and social security account number provided in an inquiry against such information maintained by the Commissioner in order to confirm the validity of the information provided. Congress has demonstrated interest in ensuring the Social Security Administration is reimbursed for its expenses associated with acquiring, installing, and maintaining the technological equipment and systems necessary for the Social Security Administration to fulfill its responsibilities under Section 404 of the Act. Congress has



suggested that the Commissioner of the Social Security Administration and the Secretary of Homeland Security enter into and maintain an agreement that provides funds to the Social Security Administration for the full costs of its responsibilities under the Act. Additionally, the Offices of Inspector Generals from both the Social Security Administration and DHS would be responsible for jointly conducting an annual review of the accounting and reconciliation of actual costs incurred and funds provided under the agreement.

**Objective:** Review the annual accounting and reconciliation of the actual costs incurred by the Social Security Administration and the funds provided by the DHS to the Social Security Administration for the acquisition, installation, and maintenance of technological equipment and systems necessary for the Social Security Administration to fulfill its responsibilities under Section 404 of the *Illegal Immigration and Reform and Immigrant Responsibility Act of 1996*. This audit will be a joint review with the Social Security Administration OIG.  
*Office of Audits*

### **ICE Policies on the Use of Race in Enforcement Activities (Congressional)**

ICE uses a variety of operations to enforce the Nation’s immigration laws, including large worksite raids, targeted efforts against gangs, and smaller actions. Most ICE detainees come from a few countries in Central and South America. In June 2003, the Department of Justice issued “Guidance on the Use of Race by Federal Law Enforcement Agencies.” The guidance declared racial profiling both wrong and inefficient. ICE adopted the policy. However, legal precedent allows law enforcement officers to make some determinations based on race. Recently, various media sources reported incidents in which ICE agents were accused of inappropriately using race as a criterion for questioning some individuals. It is important to understand how ICE balances existing rules to ensure adherence to federal policy on the use of racial profiling.

**Objectives:** Determine whether (1) ICE has developed legally appropriate standards to implement federal policy on the use of race during enforcement operations, and (2) training for ICE agents and 287(g) participants is in line with legal requirements. *Office of Inspections*

### ***United States Immigration and Customs Enforcement Projects in Progress***

#### **ICE Processing of Criminal Aliens Eligible for Deportation – Part 2**

This is the second of two audits to determine the efficacy of ICE’s Criminal Alien Program. This audit will focus on processing, detaining, and removing eligible criminal aliens from the United States. The *Immigration Reform and Control Act of 1986* requires that ICE initiate deportation proceedings for incarcerated criminal aliens as expeditiously as possible after the date of conviction. An estimated 300,000 to 450,000 criminal aliens incarcerated in federal, state, county, and local correctional facilities are eligible for removal from the United States. Criminal aliens who are eligible for deportation include illegal aliens who are convicted of any crime and lawful permanent residents who are convicted of a removable offense as

defined in the *Immigration and Nationality Act*. In 2007, ICE placed a detainer on approximately 164,000 aliens in jail and removed approximately 95,000 criminal aliens.

**Objective:** Determine the efficacy of ICE's ability to process, detain, and remove criminal aliens in federal, state, and local custody who are eligible for deportation from the United States. *Office of Audits*

### **Mental Health Care for Alien Detainees**

The ICE Office of Detention and Removal (DRO) is responsible for the identification, apprehension, and removal of illegal aliens. Aliens who are apprehended and not released from custody are placed in detention facilities. DRO must ensure safe and humane conditions of detention, including health care.

ICE established performance-based national detention standards for medical care that are designed to ensure that detainees have access to medical, dental, and mental health care, so that their health care needs are met in a timely and efficient manner. Each detention facility has an in-house or contractual mental health program that provides intake screening, referral as needed, crisis intervention, and suicide prevention.

**Objectives:** Evaluate (1) ICE's guidance and training efforts relating to the treatment of those with mental health conditions, (2) ICE's ability to identify detained individuals with mental health conditions and provide access to appropriate treatment and detention settings, and (3) existing provisions to help ensure that detainees with mental health conditions are expediently removed or released. *Office of Inspections*

### **Operation Armas Cruzadas**

"Armas Cruzadas" is an ICE-led, bilateral (U.S.-Mexico) law enforcement and intelligence sharing operation to thwart the illicit export of arms from the United States into Mexico. U.S. and Mexican law enforcement agencies share information and intelligence in an effort to comprehensively attack the growing gun violence in Mexico. CBP also participates in Armas Cruzadas through its involvement in the Border Enforcement Security Task Forces.

**Objectives:** Determine whether (1) operation Armas Cruzadas' policies and procedures promote effective and efficient information sharing and operational coordination between U.S. and Mexican authorities; (2) policies and procedures promote effective and efficient information sharing and operational coordination among the operation's DHS members and other U.S. law enforcement authorities, and other border security efforts; (3) the members of the operation comply with policies and procedures; and (4) appropriate program metrics are being used to evaluate the program's effectiveness and costs. *Office of Inspections*

## UNITED STATES SECRET SERVICE

### *Projects in Progress*

#### **United States Secret Service IT Modernization Review**

This audit will cover areas including the concept of operations, IT strategic plan, and user requirements for the IT modernization effort. In addition, we will assess whether the approach aligns with DHS' overall IT strategy and objectives. This will include interviews with U.S. Secret Service (USSS) Office of the Chief Information Officer officials and other stakeholders as applicable.

**Objective:** Determine whether the USSS IT Modernization management approach supports its investigative and protective missions, goals, and objectives. *Office of IT Audits*

## MULTIPLE COMPONENTS

### *New Projects*

#### **Technical Security Evaluation of DHS Components at O'Hare Airport**

Information security is an important goal for any organization that depends on information systems and computer networks to carry out its mission. However, because DHS components and their sites are decentralized, it is difficult to determine whether DHS staff members are complying with security requirements at their respective work sites. To that end, we have developed a program to evaluate information security compliance at DHS work sites.

**Objective:** Determine whether DHS components at O'Hare Airport have effective safeguards and comply with technical security standards, controls, and requirements. *Office of IT Audits*

#### **DHS Risk Assessment Impact on Acquisition Processes FY 2011**

DHS relies on goods and services contractors to help fulfill many of its critical mission areas. Effective acquisition management is vital to achieving DHS' overall mission. Acquisition management requires a sound management infrastructure to identify mission needs and develop strategies to fulfill those needs while balancing cost, schedule, and performance. To effectively implement any acquisition program, DHS Office of Chief Information Officer, component heads of contracting activity, contracting officers, and COTRs need to understand

the risks present in an acquisition program and develop a life cycle management plan to reduce risks throughout the acquisition life cycle. This calls for the continual assessment of program risks, beginning with the initial phase of an acquisition program, and the development of risk management approaches prior to moving forward with the next acquisition phase.

**Objective:** Determine whether DHS and its components conduct effective risk management to ensure that program cost, schedule, and performance objectives are achieved at every stage in the life cycle of the acquisition. *Office of Audits*

### **Tactical Communication Equipment**

DHS is in the process of upgrading its tactical communications equipment using funds appropriated through the annual funding process and ARRA. The department is responsible for ensuring that all its components can effectively communicate during normal and emergency situations and with other federal departments and state and local officials. Nine years after September 11, 2001, many department personnel still operate using legacy, analog land mobile radio systems and other equipment that is not interoperable within the components of other federal and state emergency responders. Obsolete, noninteroperable equipment may inhibit and jeopardize effective emergency responses and place official responders, as well as civilians, at a greater risk during a national or local emergency. We plan to evaluate the department's process for ensuring that component purchases of tactical communications are coordinated and include an established standard for communication equipment that ensures interoperability. We also plan to evaluate the department's process for ensuring that component purchases of tactical communications are coordinated and include an established standard for communication equipment that ensures interoperability.

**Objective:** Determine the effectiveness of the department's oversight of component acquisition of tactical communication equipment to ensure interoperability. *Office of Audits*

### **DHS Efforts to Secure the Critical Manufacturing Sector**

DHS is the lead agency to ensure the protection of the critical manufacturing sector. The critical manufacturing sector includes systems and operations that, if attacked or disrupted, would cause major interruptions to the essential functions of one or more other sectors and result in national-level impacts. Within DHS, the Office of Infrastructure Protection has primary federal responsibility for ensuring the security of the critical manufacturing sector. The federal government's responsibility for the protection of critical manufacturing includes providing timely threat indications and warnings, and working with organizations to develop standards and guidance for the security of facility operations. The day-to-day protection of critical manufacturing is the responsibility of the owners and operators, in close cooperation with local law enforcement.

**Objectives:** Determine whether DHS has (1) assessed the security risks for the critical manufacturing sector and used this information to develop and implement a security strategy

to mitigate the threat; and (2) coordinated its security strategy and efforts with other federal, state, and private sector stakeholders. *Office of Audits*

### **DHS OIG Evaluation of Continuity of Operations Plan and Intelligence Readiness**

On January 29, 2010, the Assistant Inspectors General for Inspections Working Group of the Intelligence Community Inspectors General Forum agreed to conduct concurrent evaluations of the Continuity of Operations Plan and intelligence readiness programs within their organizations. The ODNI Assistant Inspector General for Inspections will coordinate the Continuity of Operations Plan and intelligence readiness review within the ODNI, and examine any cross-agency or systemic issues identified for elevation to the ODNI level by the participating Assistant Inspectors General. The participating Assistant Inspectors General will lead reviews within their respective agencies, which will be tailored to the mission requirements of their parent organizations. Reviews will begin by October 1, 2010, and provide draft findings and recommendations to the Working Group by April 1, 2011.

**Objectives:** Determine whether (1) agency-level Continuity of Operations plans are sufficient; (2) Continuity of Operations Plan training and exercises are sufficient; and (3) Continuity of Operations planning is a priority for DHS OIG. *Office of Inspections*

#### *Multiple Components Projects in Progress*

### **DHS' Intelligence Systems' Effectiveness to Share Information**

In developing our country's response to threats of terrorism, intelligence breaches, and cyber security attacks, public safety leaders from all disciplines have recognized the need to improve the sharing of intelligence information. A sharing process should be established within DHS to coordinate an effective response to intelligence threats and to notify and disseminate threat information to other federal agencies, states, and local or tribal entities. DHS and its components rely on a wide array of intelligence IT systems to support their respective intelligence missions. These legacy systems are stovepiped and may not share information effectively, which may hinder DHS' overall intelligence program. This audit will focus on the DHS components' efforts to share intelligence and threat information, and on an evaluation of the IT systems and other mechanisms that are and can be used.

**Objective:** Determine whether DHS has established an effective department-wide process to share intelligence information. *Office of IT Audits*

### **Use of Other Than Full and Open Competition (Noncompetitive Contracting) FY 2010 (Mandatory)**

Competition is the preferred method for the government to use to award contracts. It generally provides the government the best value in obtaining needed supplies and services. Federal regulations provide for noncompetitive acquisitions under certain exceptions. Allowable justifications for sole source awards include special programs, such as the 8(a)

Business Development Program for small and disadvantaged businesses. When the federal government awards contracts with other than full and open competition, the procuring agency must document its justification in writing and obtain the approval of appropriate designated officials. The *Consolidated Appropriations Act* directs us to review the department's contracts awarded during the previous fiscal year through other than full and open competition to determine compliance with applicable laws and regulations.

**Objective:** Determine whether adequate controls are in place to ensure that DHS uses other than full and open competition practices only as allowed under federal regulations and properly justifies their use. *Office of Audits*

**Information Sharing on Foreign Nationals: (1) Pre-entry, (2) Border Determination, and (3) In Country Adjudications and Investigations**

Several DHS elements with immigration or border security missions have their own intelligence and information gathering programs, databases, and computer systems. Partnerships among these components are necessary to improve the screening of U.S.-bound persons, enhance border security, protect against criminal aliens, and introduce exit controls. Up-to-date biographic and biometric information about an individual is important to all these agencies if they are to make sound and timely decisions such as determining if the individual seeking entry is a potential threat. A unified information sharing structure among these DHS immigration components would enhance decisions on claims and applications, impede the entry of ineligible persons, and augment investigations.

Owing to the broad range of responsibilities DHS operational components have for verifying, evaluating, and adjudicating claims and cases involving foreign nationals; the number of data sources maintained by DHS and other federal agencies; and the variations in legal options and responsibilities beyond, at and within U.S. borders, this review will be divided in to three phases: (1) Pre-Entry Applications and Screening; (2) Border Determinations; and (3) In-Country Adjudications and Investigations. Each phase will result in a separate report.

**Objectives:** Determine (1) the timeliness and thoroughness of information sharing that occurs between DHS components; (2) whether the intelligence and information sharing is sufficient to meet DHS immigration goals; (3) how DHS components responsible for evaluating eligibility, security, and public safety risks check and evaluate information available in immigration, criminal, and intelligence databases; (4) the strengths and weaknesses of current information-sharing mechanisms, ranging from the numbers of systems that must be checked manually to the quality of data available; (5) plans to consolidate, automate, and create interfaces between existing DHS data systems; and (6) human and technological vulnerabilities and inefficiencies in the existing system and possible short-term solutions. *Office of Inspections*

## **AMERICAN RECOVERY AND REINVESTMENT ACT OF 2009 PROJECTS**

### *New Projects*

#### **Fire Station Construction Grants Funded by the American Recovery and Reinvestment Act of 2009**

The ARRA appropriated \$210 million to FEMA for Fire Station Construction Grants and specified that no grant may exceed \$15 million. The purpose of the grants is to provide financial assistance directly to fire departments so that they can enhance response capabilities and increase safety for firefighters and surrounding communities. FEMA competitively awarded 110 grants totaling approximately \$200 million. The balance of funds is for program administration.

FEMA gave the highest consideration for grant award to fire stations that already owned or had acquired land designated for fire station construction or modifications and that had already obtained permits for their project. FEMA also gave weight to the purpose of the construction project. The highest priorities for award were construction projects that replaced unsafe or uninhabitable structures or expanded fire protection coverage to meet increased service demand in compliance with the National Fire Protection Association standards for career and voluntary fire departments. Of lesser priority were projects that modified or expanded existing structures to provide sleeping quarters and/or other amenities, to expand existing structures to accommodate support functions, and to replace or expand habitable structures that are not structured for maximum efficiency.

**Objectives:** Determine (1) whether FEMA is administering ARRA funds for fire station construction grants according to plans and requirements, and (2) the status of ARRA funds and projects. *Office of Audits*

#### **Improvements to Shore Facilities Funded by the American Recovery and Reinvestment Act of 2009**

ARRA appropriated \$98 million for “acquisition, construction, and improvements to the Coast Guard’s shore facilities and aids to navigation facilities, priority procurements due to material and labor increases; and costs to repair, renovate, assess or improve vessels.” USCG plans to use \$88 million of the \$98 million to construct, renovate, and repair seven shore facilities in six states (Alaska, Delaware, North Carolina, Oregon, Virginia, and Washington).

**Objectives:** Determine whether USCG is administering ARRA funds according to its approved plans and requirements. *Office of Audits*



**Alterations of Bridges Funded by the American Recovery and Reinvestment Act of 2009**

ARRA appropriated \$142 million to the USCG for “alteration or removal of obstructive bridges, as authorized by Section 6 of the *Truman-Hobbs Act*.” Under the *Truman-Hobbs Act*, funds are reimbursed to bridge owners to cover payments of the government’s share for work performed in altering the obstructive bridge according to the approved general plans and specifications. All changes to plans and specifications need approval by the USCG before reimbursement of expenditure can be authorized. The USCG funded four bridge projects in Alabama, Illinois, Iowa, and Texas.

**Objectives:** Determine whether USCG is administering ARRA funds according to its approved plans and requirements. *Office of Audits*

**Review of Costs Incurred by Recipients of American Recovery and Reinvestment Act Funds of 2009 Within Selected States**

ARRA appropriated \$2.55 billion to the department for items such as airport baggage and passenger explosive detection systems; construction and renovation of CBP land ports of entry, and deployment of security technology along the Southwest border; FEMA grants for Emergency Food and Shelter, Public Transportation and Railroad Security Assistance, Port Security, and Construction of Nonfederal Fire Stations; alteration of bridges, improvements to shore facilities, and repairs to vessels; and upgrades of ICE and CBP’s tactical communication systems.

In completing these activities, the department awarded contracts, grants, and other transactional agreements totaling \$1.4 billion to approximately 400 government, nonprofit, and for-profit organizations in 46 states and the District of Columbia. ARRA recipients are required to follow the terms of the award documents, including the applicable federal administrative requirements and cost principles.

**Objective:** Determine whether costs incurred by certain recipients in selected states were allowable, allocable, and reasonable according to applicable laws and regulations and award documents. *Office of Audits*

## Chapter 6 – Other OIG Activities Planned for FY 2011

### COUNCIL OF THE INSPECTORS GENERAL ON INTEGRITY & EFFICIENCY, HOMELAND SECURITY ROUNDTABLE

CIGIE was statutorily established as an independent entity within the executive branch by the *Inspector General Reform Act of 2008* (P.L. 110-409) to (1) address integrity, economy, and effectiveness issues that transcend individual government agencies; and 2) increase the professionalism and effectiveness of personnel by developing policies, standards, and approaches to aid in the establishment of a well-trained and highly skilled workforce in the Inspector General community.

CIGIE is composed of all Inspectors General whose offices were established under section 2 or section 8G of the *Inspector General Act of 1978* (5 U.S.C. App.), who are presidentially appointed and confirmed by the Senate, or who are appointed by agency heads (designated federal entities).

#### **CIGIE Homeland Security Roundtable**

Since September 11, 2001, the Inspector General community has played a significant role in overseeing and reviewing the performance of agency programs and operations that impact homeland security. To a large extent, this oversight has been accomplished through collaborative efforts among multiple Inspector General offices; their efforts are being coordinated by CIGIE Homeland Security Roundtable.

On June 7, 2005, the Vice Chair of the President's Council on Integrity & Efficiency, now CIGIE, established the Homeland Security Roundtable. The Roundtable supports the Inspector General community by sharing information; identifying best practices; and, participating on an ad hoc basis with various external organizations, and governmental entities addressing homeland security issues. The Inspector General, Department of Homeland Security, serves as the Roundtable Chair.

#### **CIGIE – Compendium of Disaster Preparedness Programs**

In April 2009, we issued the *Compendium of Disaster Assistance Programs* (OIG-09-49), a comprehensive listing of federal disaster assistance programs. We will develop the *Compendium of Disaster Preparedness Programs* to serve as a companion document, listing federal disaster preparedness programs across all federal agencies. As with the *Compendium of Disaster Assistance Programs*, the *Compendium of Disaster Preparedness Programs* will be developed in coordination with the Inspector General community and coordinated through the CIGIE's Homeland Security Roundtable.

**Objective:** Publish a comprehensive resource guide of federal disaster preparedness programs on behalf of the Homeland Security Roundtable CIGIE community. *Office of Emergency Management Oversight*

### **CIGIE – Investigations Committee Hotline Review**

We volunteered to lead the “Hotline” review on behalf of the Investigations Committee. The working group consists of attorneys and hotline operators from the Inspector General community, including representatives of presidentially appointed and designated federal entity Inspectors General. The working group was tasked with (1) building on the results of previous reviews of our hotline operations, such as the report issued by Project on Government Oversight in March 2009 and the survey performed by the Social Security Administration OIG in July 2009; (2) providing a basis for internal CIGIE dialog regarding our hotline operations; and (3) identifying recommended practices for our hotline operators. The working group’s review focused on identifying practices and techniques for improving a hotline’s performance, as defined by the percentage of allegations that are substantiated through investigation. The techniques discussed included training hotline intake staff, using specialized technology, identifying trends in the intake process to better assist in call management, engaging in an ongoing dialogue with our senior management, effectively communicating with complainants, and proposed hotline community initiatives designed to share information across the community. A report will be issued on behalf of CIGIE.

**Objective:** Provide guidance to our hotline operators on how to improve hotline performance, defined as increasing the percentage of allegations that are substantiated by our subsequent investigations; and to identify certain issues that affect the entire OIG hotline community as well as areas that might merit further review. *Office of Investigations and Office of Counsel*

### **CIGIE – Suspension and Debarment Working Group (Initiatives Pending)**

In May 2010, CIGIE formed a Suspension and Debarment Working Group tasked with promoting awareness of suspension and debarment and its potential effectiveness in combating fraud, waste, abuse, and mismanagement in both the Inspector General community and government-wide. Proposed initiatives include an education and outreach “roadshow” for OIG investigators and auditors and other relevant stakeholders; a practitioner’s “toolkit,” including identifying best practices for OIG investigators and auditors and creating checklists and “go bys” for their use; and promoting the use of suspension and debarment as a remedy for the repeated misuse of ARRA funds. We are actively involved in the CIGIE Suspension and Debarment Working Group as well as in promoting awareness of suspension and debarment within our organization, and its increased use by DHS program officials.

**Objective:** Increase awareness of suspension and debarment in the Inspector General community as well as among other stakeholders, such as federal prosecutors and agency program officials; and promote its use as an effective tool to combat procurement and non-procurement fraud and the waste or mismanagement of federal funds. *All Offices*

### **CIGIE – Social (New) Media Communications in the Inspector General Community**

CIGIE launched a new initiative intended to examine the use of social, or new, media communications (e.g., Twitter, YouTube, LinkedIn) within the Inspector General community. We were asked to chair this effort in late FY 2010. Looking ahead to FY 2011, we will coordinate with other members of the CIGIE community to convene a working group to research the feasibility of introducing these new media tools into existing communications and outreach programs. The group will also examine the fiscal, ethical, and cyber-security challenges associated with using these tools in the federal sector, and recommend new media policies to provide guidance on use of these tools in the Inspector General community.

**Objective:** Identify best practices and guidance for the Inspector General community to safely and effectively implement the use social/new media. *Office of Counsel to the Inspector General, Office of Management Information Technology Division, and Office of Congressional and Public Affairs*

## **AUDIT & INSPECTION OFFICES**

Listed below are nontraditional projects that our audit and inspection offices will undertake in FY 2011. The nature of the projects may or may not result in our issuing a report at the conclusion of the projects. Instead, projects may result in the issuance of scorecards and other documents that capture our work on non-DHS projects, such as monitoring the work of nonfederal contract auditors.

### **DHS Major Management Challenges FY 2011** (*Mandatory*)

The *Homeland Security Act of 2002* brought together 22 agencies to create a new Cabinet-level department focusing on reducing U.S. vulnerability to terrorist attacks and minimizing damages and assisting in recovery from attacks that do occur. While DHS has made progress, it still has much to do to establish a cohesive, efficient, and effective organization.

As required by the *Reports Consolidation Act of 2000* (P.L. 106-53), DHS annually reports what it considers to be the most serious management and performance challenges facing the agency and briefly assesses its progress in addressing those challenges. The report is included in the department's annual report submitted to the President, the Director of OMB, and Congress no later than 150 days after the end of the agency's fiscal year.

The major management challenges identified, including department-wide and operational challenges, are a major factor in setting our priorities for audits, inspections, and evaluations of DHS programs and operations.

**Objective:** Summarize the department’s major management challenges for FY 2011 as required by the *Reports Consolidation Act of 2000*. *Office of Audits*

**Single Audit Act Reviews (Mandatory)**

The Inspector General community is responsible for determining whether nonprofit organizations as well as state and local governments comply with the *Single Audit Act*. All nonfederal organizations that spend \$500,000 or more a year in federal assistance funds (i.e., grants, contracts, loans, and cooperative agreements) are required to obtain an annual audit according to the act. According to OMB Circular A-133, recipients expending more than \$50 million a year in federal awards shall have a cognizant agency for audit. For recipients expending less than \$50 million but more \$500,000 a year, the agency providing the most direct funding will have oversight responsibilities. We are the cognizant agency for 8 recipients and have oversight responsibility for 633 recipients. Under OMB Circular A-133, cognizant and oversight agency responsibilities include performing quality control reviews of the single audit work performed by the nonfederal auditors.

**Objective:** Determine whether the work performed by the nonfederal auditors complies with OMB Circular A-133 requirements and applicable auditing standards and regulations. *Office of Audits*

**Intelligence Oversight and Quarterly Reporting (Mandatory)**

Executive Order 12333 describes the limited, specific cases in which a member of the intelligence community may collect, retain, or disseminate information on U.S. persons. Executive Order 13462 requires departments with intelligence community members to routinely report on how well they have complied with Executive Order 12333 and whether any violations have occurred. DHS has two intelligence community members—USCG and the Office of Intelligence and Analysis—and is therefore responsible for intelligence oversight reporting under Executive Order 13462. Our office and DHS Office of General Counsel collaboratively prepare quarterly intelligence oversight reports, which are submitted to the Intelligence Oversight Board, a standing committee of the President’s Intelligence Advisory Board.

**Objectives:** Validate quarterly assertions by USCG and the Office of Intelligence and Analysis concerning their compliance with Executive Order 12333, and report other possible violations that come to our attention. *Office of Inspections*

**Recurring Disaster Operations and Oversight**

We will deploy experienced staff to FEMA Headquarters, Joint Field Offices (JFOs), National Processing Service Centers, and other FEMA field locations to provide on-the-spot advice, assistance, and oversight to DHS, FEMA, state, and local officials after major natural or manmade events that are, or will likely become, federally declared disasters. Principal oversight activities include the following:

- Attending senior-level meetings at FEMA Headquarters and providing continuous, onsite oversight of JFO operations by attending daily status, all-hands, and senior staff meetings with JFO staff, state and local officials, and with Emergency Support Functions representatives;
- Reviewing mission assignments and supporting documentation, and coordinating and meeting with OIG officials from other federal organizations to devise plans to provide appropriate oversight of mission assignment costs;
- Reviewing JFO-issued contracts and contracting procedures for disaster-related services and determining compliance with federal acquisition policies, procedures, and requirements;
- Identifying, documenting, and reviewing potential FEMA and state disaster management problems and issues in the area of debris removal, emergency protective measures, assistance to individuals and households, temporary housing, longer-term PA repairs and restorations, and hazard mitigation, as well as other support areas such as property management;
- Participating in PA applicant briefings and kick-off meetings with FEMA, state, and local officials; reviewing the development of larger PA projects to ensure work eligibility and reasonableness; performing interim reviews of subgrantees' claims; and following up on specific issues and complaints about subgrantee practices that are not in compliance with program requirements;
- Reviewing major grant recipients' financial management systems and internal controls and coordinating with state auditors to develop oversight strategies;
- Responding to congressional requests/inquiries, briefing interested parties on the results of our oversight, and coordinating with our Office of Investigations as to known or suspected fraud, waste, or abuse; and
- Coordinating with state and local government audit and investigative organizations.

In addition, our regional staff will maintain effective relationships with FEMA regional personnel by meeting with executive and senior FEMA regional office personnel to explain our mission, priorities, and capabilities, and attending or participating in meetings, workshops, exercises, and conferences between FEMA and other federal agencies, states, and nongovernmental or volunteer organizations.

**Objectives:** Evaluate, for all current disaster relief operations, (1) FEMA's implementation of disaster operations and assistance policies and procedures; (2) development of new policies and procedures based on the magnitude of the disaster event; and (3) federal, state, and local internal controls over the disaster relief funding provided for disaster operations and assistance activities. *Office of Emergency Management Oversight*

### **Emergency Management Oversight Team**

We have developed an EMOT to (1) identify and deter fraud, waste, and abuse; (2) prevent and detect systemic problems in the delivery of FEMA's disaster response and recovery programs; (3) ensure accountability over federal funds, material, and equipment provided to states, local governments, nongovernmental organizations, other federal agencies, and individuals; (4) assist FEMA to become as effective and efficient as possible in its delivery



of programs; and (5) coordinate and support information needs of federal, state, and local auditors, evaluators, and investigators. *Office of Emergency Management Oversight*

### **Emergency Management Working Group**

The Emergency Management Working Group was created under CIGIE to continue the work of the Disaster Recovery Working Group. The Disaster Recovery Working Group was created by the President's Council on Integrity and Efficiency and the Executive Council on Integrity and Efficiency Homeland Security Roundtable in the wake of the Gulf Coast hurricanes of 2005, and became the primary forum for the Inspector General community to conduct ongoing discussions of and planning for disaster oversight. Recognizing that coordination of federal emergency management oversight efforts is essential, the Emergency Management Working Group continues to meet on a regular basis to share and discuss lessons learned from previous disaster oversight efforts and to plan for current and future disasters oversight. *Office of Emergency Management Oversight*

## **OFFICE OF INVESTIGATIONS**

The mission of the Office of Investigations (INV) is to strengthen the effectiveness and efficiency of DHS; secure and protect the Nation from dangerous people and dangerous goods; protect the civil rights and liberties of citizens, immigrants, and nonimmigrants in the United States; enforce and enhance departmental priorities and programs; and promote the OIG law enforcement mission.

To protect the Nation from dangerous people and dangerous goods, INV will:

- Open 100% of referrals relating to allegations of corruption or compromise of DHS employees or systems that relate to securing the Nation's borders, including the smuggling of drugs, weapons, and people (CBP – ICE).
- Open 100% of referrals relating to allegations of corruption or compromise of DHS employees or systems that relate to securing the Nation's federally regulated transportation systems (TSA).
- Open 100% of referrals relating to allegations of corruption or compromise of DHS employees or systems that relate to the immigration process and documentation (USCIS – CBP).

To protect the civil rights and civil liberties of citizens and DHS employees, INV will:

- Investigate referrals of ICE detainee deaths that involve suspicious causes or circumstances.
- Investigate credible referrals of the physical abuse of detainees, suspects, or prisoners.
- Investigate all on-duty shooting incidents involving DHS employees (excluding accidental discharges without unusual circumstances, such as personal injury).



- Investigate credible allegations of criminal abuse of authority, including those that result in deprivation of rights or large-scale thefts.

To protect the integrity of the department's programs, as well as its assets, information, and infrastructure, INV will:

- Investigate significant grant and contract fraud allegations.
- Investigate gross misuse or abuse of classified information, privacy information, or law enforcement information.
- Investigate FEMA fraud involving contractors, claimants, or FEMA employees.
- Investigate allegations of corruption or criminal misconduct of DHS employees in the processing of immigrant and nonimmigrant documents (USCIS – CBP).
- Exercise oversight of DHS component element internal affairs investigations.

To strengthen the DHS OIG law enforcement mission and unify DHS operations and management, INV will:

- Continue our reputation for excellence by producing thorough and timely investigations and reports.
- Ensure recruitment, development, and opportunity for a quality and diverse workforce.
- Continue to develop innovative ideas and solutions for progressive development of law enforcement issues and resources.
- Perfect workflow operations through continuing development of our hotline and referral process, and administration of a robust training program and innovative training initiatives.
- Enhance relationship and communication with DHS law enforcement component internal affairs offices to advance intelligence gathering and information sharing.
- Participate in CIGIE functions and professional law enforcement organizations and associations.

## **OFFICE OF MANAGEMENT**

The Office of Management (OM) provides critical administrative support functions to our organization, including strategic planning; development and implementation of administrative directives; the information and office automation systems; budget formulation and execution; correspondence; printing and distribution of reports; and oversight of the personnel, procurement, travel, and accounting services provided to our organization on a reimbursable basis by the Bureau of Public Debt. The office also prepares our annual performance plans and semiannual reports to Congress.

### **Efficiency Review Initiative**

OM leads the effort in participating in the Department's Efficiency Review Initiative, a major program launched during FY 2009 to improve efficiency, streamline operations, and promote greater accountability, transparency, and customer satisfaction in six main categories: Acquisition Management, Asset Management, Real Property Management, Employee Vetting and Credentialing, Hiring/on-boarding, and Information Technology. The Efficiency Review Initiative encompasses both simple, common-sense reforms and longer-term, systemic changes that will, over time, make DHS a leaner, smarter department better equipped to protect the Nation.

### **Efficiency Taskforces**

OM leads the effort in coordinating our office's participation in several of the Secretary's efficiency task forces, including Civil Rights and Civil Liberties, Executive Secretariat, FOIA/Privacy, Intergovernmental Programs, International Affairs, Legal Issues/General Counsel, Legislative Affairs, and Policy and Public Affairs. The ultimate goal of all taskforces is to optimize the alignment of responsibilities, resources, and critical coordination and collaboration requirements across components in an effort to streamline operations and improve performance and consistency.

The OM Planning and Compliance Division also participates in the Executive Secretariat Taskforce meetings. This taskforce examines whether there are any opportunities for increasing coordination or streamlining efforts in regards to duties that Component Executive Secretariats are performing in direct support of the Department Secretary's requirements.

### **DHS' Information Sharing Coordinating Council**

As required by the *Intelligence Reform and Terrorism Prevention Act of 2004*, as amended, and the President's October 2007 National Strategy for Information Sharing, DHS is working to improve its information sharing environment for terrorism-related information, including homeland security and weapons of mass destruction information. As part of this effort, DHS formed an Information Sharing Coordinating Council to set information-sharing policies, directives, plans, and recommendations and to provide a department-wide framework for improving information sharing with its federal and nonfederal stakeholders.

In FY 2011, OM will continue to participate in Information Sharing Coordinating Council biweekly meetings, monitor council activities, and participate in its initiatives, as appropriate.

### **Audit and Inspection Quality Assurance Program**

OM is responsible for our audit and inspection quality assurance program. The program includes annual internal quality control reviews to ensure that audit and inspections are conducted according to applicable auditing/inspection standards and our internal audit/inspection policies. During FY 2011, OM will conduct internal quality control reviews

using its Planning and Compliance Division staff. We will also determine whether our quality assurance program is suitably designed and operating effectively in practice.

### **Audit and Inspection Policies**

OM is responsible for developing and issuing audit policy, training audit staff on policy updates, and reviewing inspection policy. During FY 2011, OM will train audit staff on the FY 2011 audit manual revision. Using FY 2011 annual internal quality control review results and through continued collaboration with our audit/inspection offices, we will determine the need for additional improvements to internal policies and implement necessary revisions.

### **Human Resources Initiatives**

During FY 2011, OM will recruit and retain a highly qualified, engaged, and diverse workforce to carry out the mission and enhance the reputation and distinctiveness of our office. As part of our efforts to improve the efficiency of day-to-day operations within our office, OM will:

- Review and enhance human resources systems, processes, procedures, and policies using the principles of continuous quality improvement and service excellence.
- Carry out policies and procedures in an open and honest fashion, welcoming input and advice from our customers.
- Partner with upper management by providing professional and expert advice and services on those matters that impact upon human resources issues.
- Work with supervisors to create an environment that will motivate and reward exemplary performance.
- Enhance strategies and programs that provide support, networking, and mentoring opportunities for new employees, especially for those from underrepresented groups.

### **Training and Workforce Development**

Training opportunities for our employees will be provided as part of the mission of a new division established within OM beginning in FY 2011. The Training and Workforce Development (TWD) Division will promote and provide employees with defined methods that will enable them to enhance their professional and personal development throughout their careers, and build a capable and prepared workforce that enhances organizational effectiveness, quality, customer service and satisfaction, productivity, and employee retention. TWD will also help employees to continue to develop and refine their personal and organizational skills, knowledge, abilities, and competencies to the fullest to help the organization successfully execute its mission and achieve its long-term strategic goals. TWD's strategic plan will focus on the establishment of a state-of-the-art, robust, aggressive, centralized training and professional development program that effectively supports all our staff needs with the highest level of customer service and satisfaction. The planned approach will involve TWD staff working with our program offices and a cadre of subject matter experts to conduct formal needs assessments; perform benchmarking and research; develop

training standards, policies and procedures, lesson plans, and curriculum; standardize and consolidate tracking/information systems; and perform budget coordination and execution and strategic planning.

### **Budget Initiatives**

During FY 2011, OM will work on the following budget initiatives:

- Continue the periodic audit of headquarters and field offices to ensure compliance with budgetary, procurement, purchase card, travel card, financial, and travel policies, procedures, and regulations.
- Address weaknesses and establish corrective action plans.
- Meet with DHS, OMB and congressional officials to explain our FY 2012 budget.
- Prepare our FY 2013 budget.
- Prepare our operating plan for FY 2011; monitor and report expenditures.

During FY 2011, OM will continue to support the overall operations of our office. Its mission is to provide administrative support services and information technology infrastructure and systems to our staff, including auditors, inspectors, and investigators. These services enable audit, inspection, and investigation staff to focus their efforts on improving the efficiency and effectiveness of DHS programs and operations. The OM is responsible for the following initiatives and programs in FY 2011:

### **Acquisition**

During FY 2011, the Division will bring “in-house” all procurement-related functions currently being processed by the Bureau of the Public Debt by October 2010 (FY 2011). We will work at improving our customer support for processing all our acquisition requirements through standardizing and establishing guidelines to track, monitor, and process actions timely and efficiently

### **Project Tracking System**

Our Project Tracking System (PTS) developed in FY 2008 is now fully deployed and available to our staff. PTS allows staff to electronically monitor and track the status of a project, from the initial planning stages through the draft/final report review, publication, and distribution process. PTS has also been enhanced to incorporate all correspondences into the review and approval process. The system uses a web-based, commercial off-the-shelf application, Intranet Quorum, to develop and deliver the electronic workflows that are used to track projects and correspondences and provide reporting capabilities to end-users of the system. The PTS workflows are a standard series of prescribed steps (or cycle) that must be completed for most of our projects. The steps are assigned to a user and/or group and the actions taken are recorded by users in PTS for tracking purposes. Steps are assigned and reassigned, and subworkflows may be created until all required steps are completed or the project is completed, suspended, or terminated. PTS is a centralized place for reporting all the audit and correspondence efforts in our office.

During FY 2011, the OM will continue to support overall our operations with the following planned initiatives:

- Deliver two additional enterprise system modules supporting the annual planning and correspondence control processes within the organization;
- Redesign our office's intranet site; and
- Develop secure mechanisms with other components of DHS to allow sharing some of the pertinent information.

## **OFFICE OF CONGRESSIONAL AND PUBLIC AFFAIRS**

In the second session of the 111th Congress, 92 congressional committees and subcommittees asserted jurisdiction of DHS by holding hearings or otherwise exercising formal oversight activity, such as staff briefings.

The Office of Congressional and Public Affairs (C&PA) is the primary liaison to members of Congress, their staffs, and the public. C&PA regularly provides information to Congress and replies to inquiries from various committees of the House and Senate and to members of Congress who are interested in aspects of DHS.

The mission of C&PA is to be the most effective representative of our office to Congress and the public. C&PA responds to inquiries from Congress, the public at large, and the public; notifies Congress about OIG initiatives, policies, and programs; coordinates preparation of testimony and talking points for Congress; and coordinates distribution of reports to Congress. C&PA tracks congressional requests that are either submitted by a member of Congress or mandated through legislation. It also provides advice to the Inspector General and supports our staff as they address questions and requests from the public and Congress.

C&PA monitors and tracks current legislation to anticipate possible changes to policies affecting DHS and the Inspector General community. In many instances, legislation includes reporting requirements for the OIG. During 2011, C&PA will focus on tracking and providing input to legislation affecting DHS, OIG, and the OIG community.

Congress regularly asks the Inspector General or senior staff to submit and present testimony to oversight committees about specific activities of interest to Congress. C&PA drafts testimony and assists in the preparation for these hearings, which cover a wide range of homeland security issues. C&PA also responds to all media inquiries that result from our office's participation at congressional hearings or our reports.

## OFFICE OF COUNSEL TO THE INSPECTOR GENERAL

The mission of the Office of Counsel (OC) is to enhance and support the Inspector General's independence and provide a full range of legal services for our office. OC is headed by the Counsel to the Inspector General and is composed of attorneys, paralegals, *Freedom of Information Act* specialists, legal interns, and administrative personnel. OC attorneys are the only attorneys in the DHS who do not report to the department's General Counsel. Instead, attorneys in OC are hired and report, through the chain of command, only to the Inspector General. In this manner, the Inspector General can ensure that the legal advice received is entirely objective and not influenced by departmental policy preferences.

### Report Reviews

OC provides legal advice to the Inspector General and other employees in our office. Among other matters, OC interprets laws, rules, and regulations; analyzes cases; and researches the legislative history that leads to the passage of a particular act. OC attorneys review virtually all our written products, such as reports, congressional testimony, correspondence, and many reports of investigation, for legal accuracy.

### Freedom of Information Act/Privacy Act

In keeping with our commitment to transparency, OIG reports, reviews, and testimony are posted on our public website. All of these documents first are examined by OC to ensure compliance with the FOIA, the *Privacy Act*, and other legal and policy directives. In addition, OC processes FOIA and *Privacy Act* requests filed with the OIG or referred from other DHS components or other agencies.

### Ethics

OC ensures our office's compliance with federal ethics laws and regulations. OC provides guidance on activities and provides individualized advice to our employees in response to questions about specific actions. OC provides new employees with an ethics orientation and departing employees with post-employment counseling, and provides annual ethics training and reviews annual financial disclosure reports for our employees.

### Personnel

OC works closely with our office's Human Resources department and with individual supervisors on personnel issues, providing legal review, advice, and guidance on handling wide-ranging personnel issues, from the availability of accommodations for employees with disabilities to performance-based matters or disciplinary actions. OC represents our office in administrative proceedings before the Merit Systems Protection Board and the Equal

Employment Opportunity Commission, and works closely with Department of Justice attorneys on OIG matters that are the subject of federal litigation.

### **Administrative Subpoenas**

The Inspector General is one of the few DHS officials with authority to issue administrative subpoenas. All administrative subpoenas, ordinarily issued through or in support of our Office of Investigations, undergo legal scrutiny prior to issuance.

### **Tort Claims**

OC also handles or coordinates with Department of Justice on actions against the OIG under the *Federal Torts Claims Act* or against individual employees for actions taken in their official capacity—so-called Bivens actions. OC attorneys work closely with Department of Justice attorneys, attorneys elsewhere in DHS, and throughout the federal government.

### **Training**

OC provides ongoing training throughout our office on a wide range of legal issues, including ethics, FOIA and *Privacy Act* matters, suspension and debarment, and legislation. OC stays abreast of ongoing legislative and policy initiative and provides written comments as appropriate.

### **Legislation**

OC also plays an active role in various legislative initiatives affecting our office, Inspector General authorities throughout the federal government, and matters in which our office plays a significant role, such as procurement fraud and emergency management oversight. OC attorneys serve on task forces, prepare policy papers, and review and comment on proposed legislation, regulations, directives, and other such matters.

### **External Liaison**

OC ensures a close liaison and ongoing working relationship with attorneys in the DHS, Department of Justice, the Office of Special Counsel, the Office of Government Ethics, and throughout the federal government, and, on occasion, with attorneys in state and local governments and in private practice.

### **Council of Counsels to Inspectors General**

Attorneys in OC play a leading role in the Council of Counsels to Inspectors General, the umbrella organization for all attorneys in OIGs throughout the federal government. OC attorneys have served on instructional panels regarding access to information, *Freedom of Information Act* and *Privacy Act*, and suspension and debarment; served on working groups to provide responses to legal questions posed by the Federal Law Enforcement Training



Center; and helped plan training sessions for new OIG lawyers and summer interns. OC intends to continue to play an active role in the Council of Counsels to Inspectors General.

## Appendix A – FY 2010 Performance Goals, Measures, and Accomplishments

### Goal 1. Add value to DHS programs and operations.

- |     |   |     |
|-----|---|-----|
| 1.1 | Provide audit and inspection coverage of 75% of DHS' strategic objectives, the President's Management Agenda, and major management challenges facing DHS.       | Yes |
| 1.2 | Achieve at least 85% concurrence with recommendations contained in OIG audit and inspection reports.  | 95% |
| 1.3 | Complete draft reports for at least 75% of inspections and audits within 6 months of the project start date, i.e., entrance conference (excludes grant audits). | 39% |

### Goal 2. Ensure integrity of DHS programs and operations.

- |     |  |     |
|-----|--|-----|
| 2.1 | At least 75% of substantiated investigations are accepted for criminal, civil, or administrative action.                 | 80% |
| 2.2 | At least 75% of investigations referred resulted in indictments, convictions, civil findings, or administrative actions. | 80% |
| 2.3 | Provide audit coverage of major DHS' grant programs.   | Yes |
| 2.4 | Achieve at least 85% concurrence from DHS management with OIG recommendations on grant audits.                           | 90% |

### Goal 3. Deliver quality products and services.

- |     |  |      |
|-----|--|------|
| 3.1 | Establish and implement an internal quality control review program covering all elements of DHS OIG. In particular, conduct peer reviews to ensure that applicable audit, inspection, and investigation standards and policies are being followed. | 100% |
| 3.2 | Ensure that 100% of DHS OIG employees have an annual Individual Development Plan.  | 100% |
| 3.3 | Ensure that 100% of all eligible DHS OIG employees have a performance plan and receive an annual Rating of Record  | 100% |

## Appendix B – FY 2011 Performance Goals and Measures

The performance measures identified below were included in our FY 2010 performance plan. Each year we reassess our goals and measures to ensure that we continue to use the most meaningful measures as a basis for assess the overall effectiveness of our work.

### Goal 1. Add value to DHS programs and operations.

- 1.1 Provide audit and inspection coverage of 75% of DHS' strategic objectives, the President's Management Agenda, and major management challenges facing DHS.
- 1.2.1 Achieve at least 85% concurrence with recommendations contained in OIG audit and inspection reports.
- 1.3 Complete draft reports for at least 75% of inspections and audits within 6 months of the project start date (i.e., entrance conference).
- 1.4 Achieve at least a 50% implementation rate for OIG recommendations that are more than 1 year old.

### Goal 2. Ensure integrity of DHS programs and operations.

- 2.1 At least 75% of substantiated investigations are accepted for criminal, civil, or administrative action.
- 2.2 At least 75% of investigations referred resulted in indictments, convictions, civil findings, or administrative actions.
- 2.3 Provide audit coverage of DHS' major grant programs. Provide audit coverage of \$500 million in DHS grants.
- 2.4 Achieve at least 85% concurrence from DHS management with OIG recommendations on grant audits.

### Goal 3. Deliver quality products and services.

- 3.1 Establish and implement an internal quality control review program covering all elements of DHS OIG. In particular, conduct peer reviews to ensure that applicable audit, inspection, and investigation standards and policies are being followed, and implement 100% of peer review recommendations.
- 3.2 Ensure that 100% of DHS OIG employees have an annual Individual Development Plan.
- 3.3 Ensure that 100% of all eligible DHS OIG employees have a performance plan and receive an annual Rating of Record.

## Appendix C

### OIG Headquarters and Field Office Contacts

**Department of Homeland Security  
Attn: Office of Inspector General  
245 Murray Drive, Bldg 410  
Washington, D.C. 20528**

**Telephone Number (202) 254-4100  
Fax Number (202) 254-4285  
Website Address [www.dhs.gov](http://www.dhs.gov)**

#### **OIG Headquarters Senior Management Team**

|                           |       |  |
|---------------------------|-------|--|
| <b>Richard L. Skinner</b> | ..... | <b>Inspector General</b>   |
| <b>Charles K. Edwards</b> | ..... | <b>Deputy Inspector General</b>  |
| <b>Denise S. Johnson</b>  | ..... | <b>Chief of Staff</b>  |
| <b>Marta Metelko</b>      | ..... | <b>Director, Congressional and Public Affairs</b>  |
| <b>Richard N. Reback</b>  | ..... | <b>Counsel to the Inspector General</b>  |
| <b>Thomas M. Frost</b>    | ..... | <b>Assistant Inspector General/Investigations</b>  |
| <b>Anne L. Richards</b>   | ..... | <b>Assistant Inspector General/Audits</b>  |
| <b>Frank Deffer</b>       | ..... | <b>Assistant Inspector General/Information<br/>Technology Audits</b>                     |
| <b>Carlton I. Mann</b>    | ..... | <b>Assistant Inspector General/Inspections<br/>Assistant Inspector General/Emergency</b> |
| <b>Matthew Jadacki</b>    | ..... | <b>Management Oversight</b>  |
| <b>Charles K. Edwards</b> | ..... | <b>Acting Assistant Inspector General/<br/>Management</b>                                |

## Locations of Audits Field Offices

### **Boston, MA**

Boston, MA 02222  
(617) 565-8700 / Fax: (617) 565-8996

### **Chicago, IL**

Chicago, IL 60603  
(312) 886-6300 / Fax: (312) 886-6308

### **Denver, CO**

Denver, CO 80225  
(303) 236-2878 / Fax: (303) 236-2880

### **Houston, TX**

Houston, TX 77027  
(713) 212-4350 / Fax: (713) 212-4361

### **Miami, FL**

Miramar, FL 33027  
(954) 538-7840 / Fax: (954) 602-1034

### **Philadelphia, PA**

Marlton, NJ 08053  
(856) 596-3810 / Fax: (856) 810-3412

## Location of IT Audits Field Office

### **Seattle, WA**

Kirkland, WA 98033  
(425) 250-1363

## Locations of Emergency Management Oversight Field Offices

### **Atlanta, GA**

Atlanta, GA 30309  
(404) 832-6700 / Fax: (404) 832-6645

### **Biloxi, MS**

Biloxi, MS 39531  
(228) 822-0563 Fax: (228) 822-0296

### **Dallas, TX**

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### **New Orleans, LA**

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### **San Francisco, CA**

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### **San Juan, PR**

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(787) 294-2530 / Fax: (787) 771-3617

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**Atlanta, GA**

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**Miami, FL**

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**Seattle, WA**

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## Appendix D Acronyms/Abbreviations

|                 |   |
|-----------------|---|
| <b>ARRA</b>     | <i>American Recovery and Reinvestment Act of 2009</i>     |
| <b>CBP</b>      | Customs and Border Protection                             |
| <b>CIGIE</b>    | Council of Inspectors General on Integrity and Efficiency |
| <b>C&amp;PA</b> | Office of Congressional and Public Affairs                |
| <b>CNCI</b>     | Comprehensive National Cybersecurity Initiative           |
| <b>COTR</b>     | Contracting officer's technical representative            |
| <b>C-TPAT</b>   | Customs-Trade Partnership Against Terrorism               |
| <b>DHAP</b>     | Disaster Housing Assistance Program                       |
| <b>DHS</b>      | Department of Homeland Security                           |
| <b>DNI</b>      | Director of National Intelligence                         |
| <b>DRO</b>      | Office of Detention and Removal                           |
| <b>EMO</b>      | Office of Emergency Management Oversight                  |
| <b>EMOT</b>     | Emergency Management Oversight Team                       |
| <b>EMPG</b>     | Emergency Management Performance Grants                   |
| <b>ESF</b>      | Emergency Support Function                                |
| <b>FAMS</b>     | Federal Air Marshal Service                               |
| <b>FAST</b>     | Free and Secure Trade                                     |
| <b>FECA</b>     | <i>Federal Employees Compensation Act</i>                 |
| <b>FEMA</b>     | Federal Emergency Management Agency                       |
| <b>FFRDC</b>    | Federally Funded Research and Development Centers         |
| <b>FISMA</b>    | <i>Federal Information Security Management Act</i>        |
| <b>FLETC</b>    | Federal Law Enforcement Training Center                   |
| <b>FOIA</b>     | <i>Freedom of Information Act</i>                         |
| <b>FTE</b>      | full-time equivalent                                      |
| <b>FY</b>       | fiscal year   |
| <b>HPPG</b>     | High-priority performance goals                           |
| <b>HSPD</b>     | Homeland Security Presidential Directive                  |
| <b>I&amp;A</b>  | Intelligence and Analysis                                 |
| <b>IA-TAC</b>   | Individual Assistance–Technical Assistance Contract       |
| <b>ICE</b>      | Immigration and Customs Enforcement                       |
| <b>INV</b>      | Office of Investigations                                  |
| <b>IPA</b>      | independent public accounting                             |
| <b>ISP</b>      | Office of Inspections                                     |
| <b>IT</b>       | information technology                                    |
| <b>ITA</b>      | Office of Information Technology Audits                   |
| <b>JFC-PMO</b>  | Joint Fusion Center Program Management Office             |
| <b>JFO</b>      | Joint Field Office  |



## Appendix D Acronyms/Abbreviations (continued)

|                |   |
|----------------|---|
| <b>NCSC</b>    | National Cybersecurity Center                             |
| <b>NCSD</b>    | National Cybersecurity Division                           |
| <b>NFIP</b>    | National Flood Insurance Program                          |
| <b>NPPD</b>    | National Policy and Programs Directorate                  |
| <b>NRF</b>     | National Response Framework                               |
| <b>OA</b>      | Office of Audits  |
| <b>OC</b>      | Office of Counsel   |
| <b>ODNI</b>    | Office of the Director of National Intelligence           |
| <b>OIG</b>     | Office of Inspector General                               |
| <b>OM</b>      | Office of Management                                      |
| <b>OMB</b>     | Office of Management and Budget                           |
| <b>ONDCP</b>   | Office of National Drug Control Policy                    |
| <b>PA</b>      | Public Assistance   |
| <b>PA-TAC</b>  | Public Assistance–Technical Assistance Contract           |
| <b>PCIE</b>    | President’s Council on Integrity and Ethics               |
| <b>P.L.</b>    | Public Law  |
| <b>PTS</b>     | Project Tracking System                                   |
| <b>QHSR</b>    | Quadrennial Homeland Security Review                      |
| <b>S&amp;T</b> | Directorate for Science and Technology                    |
| <b>SBP</b>     | Secretary’s Budget Priorities                             |
| <b>SIDA</b>    | Security Identification Display Area                      |
| <b>SPOT</b>    | Screening of Passengers by Observation Techniques         |
| <b>TSA</b>     | Transportation Security Administration                    |
| <b>TWD</b>     | Training and Workforce Development (Division)             |
| <b>UAS</b>     | unmanned aircraft system                                  |
| <b>USC</b>     | United States Code  |
| <b>USCG</b>    | United States Coast Guard                                 |
| <b>USCIS</b>   | United States Citizenship and Immigration Service         |
| <b>USSS</b>    | United States Secret Service                              |
| <b>VIPR</b>    | Visible Intermodal Prevention and Response                |
| <b>VTVPA</b>   | <i>Victims of Trafficking and Violence Protection Act</i> |
| <b>WAN</b>     | wide area network   |



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