



Homeland
Security

OFFICE OF INSPECTOR GENERAL

10TH ANNIVERSARY

2003 - 2013

ANNUAL PERFORMANCE PLAN
FOR FISCAL YEAR 2014



The *Government Performance and Results (GPRA) Modernization Act of 2010* 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.

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A Message From the Deputy Inspector General

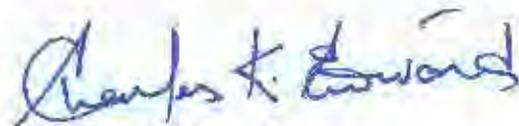
On March 3, 2013, our office along with the Department of Homeland Security (DHS), celebrated the 10th anniversary of the founding of DHS. Over the years, the Office of Inspector General (OIG) has remained steadfast in its focus and commitment to helping the Department achieve its major missions of preventing terrorism and enhancing security, securing and managing our borders, enforcing and administering our immigration laws, safeguarding and securing the Nation's cyberspace, ensuring resilience to disasters, and providing essential support to national and economic security, while aiding in maturing and strengthening DHS. This year will be no exception.

We will continue our outstanding legacy of leadership and service to DHS, Congress, and the American people, while strengthening our transparency and internal oversight. I am extremely proud of the organization that we have built. And, I am pleased to present our *Fiscal Year 2014 Annual Performance Plan*, which describes the projects that we intend to undertake this fiscal year to evaluate DHS' programs and operations.

This year promises to be challenging as DHS continues to face new and emerging threats, while striving to maximize its resources and increase efficiency and effectiveness. Despite these challenges, we will continue to address the many complex issues confronting the Department in its effort to reduce America's vulnerability to terrorism and to minimize the affect of unforeseen events that may occur.

In developing the plan, we focused on aligning our planned projects with the mission areas and priorities identified in the Department's *Strategic Plan*, issued February 2012, and the nine major management challenges identified in our report, *Major Management Challenges Facing the Department of Homeland Security*, OIG-13-09. We factored in the requirements of the *American Recovery and Reinvestment Act of 2009* and other legislative mandates. We also attempted to address the interests and concerns of DHS senior management officials, Congress, and the Office of Management and Budget (OMB). Finally, we built enough flexibility into this plan to accommodate new circumstances and requests that may occur.

I look forward to keeping you informed of our progress and that of the Department via our website, www.oig.dhs.gov, and on Twitter, @dhsoig.



Charles K. Edwards
Deputy Inspector General

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Chapter 1 – OIG Mission and Responsibilities

The *Homeland Security Act of 2002* provided for the establishment of an OIG to ensure independent and objective oversight of the DHS through audits, inspections, and investigations of DHS' programs and operations.

DHS OIG's Inspector General is appointed by the President and confirmed by the Senate. The Inspector General 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.

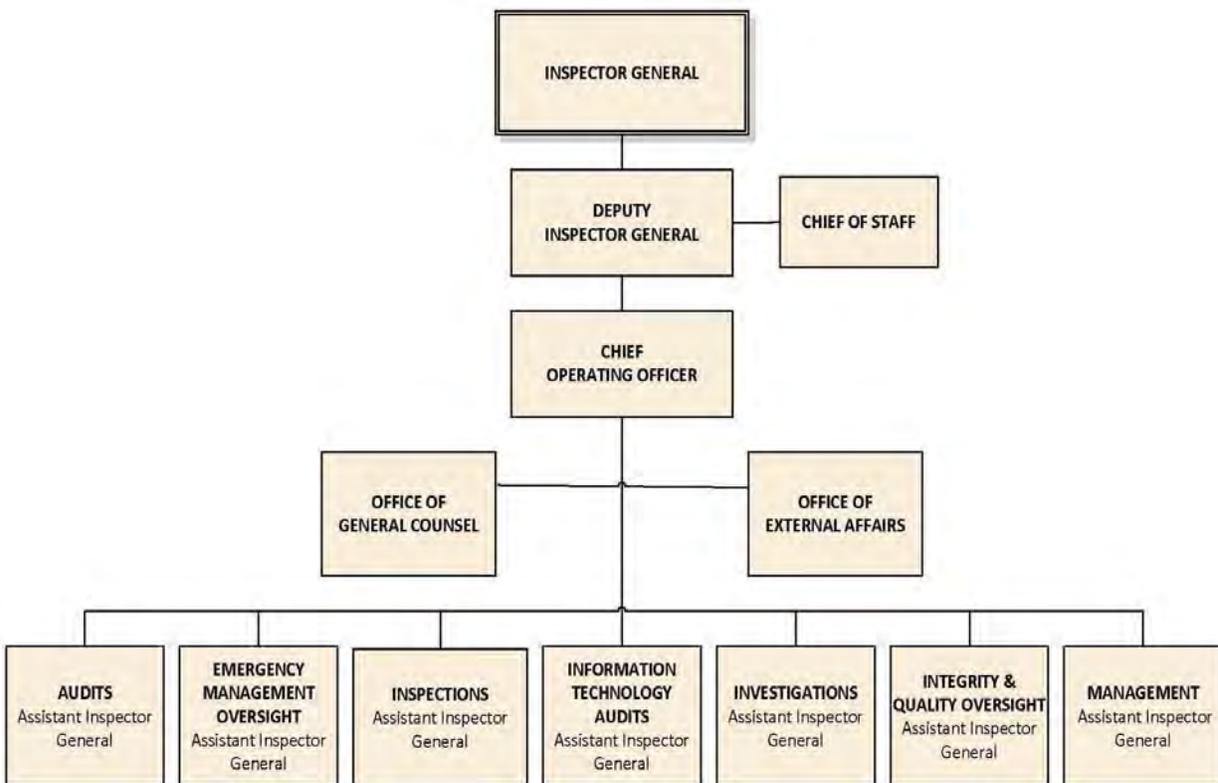
Our office's key legislated responsibilities are as follows:

- Conduct and supervise independent and objective audits, inspections 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 the Department's officials and staff, and with other Federal, State, and local government agencies and nongovernment 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 were authorized 681 full-time employees under the President’s Budget for Fiscal Year 2014. We consist of an Executive Office and nine functional components lead primarily by Assistant Inspectors General (AIG) and others who are based in Washington, DC. In fiscal year (FY) 2013, we added the Office of Integrity and Quality Oversight, and combined our Offices of Public Affairs and Legislative Affairs into the Office of External Affairs. We provide a description of each office on the following page. We also have field offices throughout the country. Figure 1 illustrates the DHS OIG management team in our updated organization chart.

Figure 1: DHS OIG Organization Chart



The OIG consists of the following components:

The **Executive Office** consists of the Inspector General, the Deputy Inspector General (DIG), a Chief Operating Officer (COO), a Chief of Staff, and a Special Assistant. It provides executive leadership to the OIG.

(New) The **Office of Integrity and Quality Oversight (IQO)** is a new office that aims to improve the OIG's operations and enhance support of the DHS mission, programs and operations. Part of a comprehensive reorganization of the OIG, the new office's goal is to foster a more efficient and responsive OIG, revitalize oversight efforts, and better serve employees. The IQO manages matters pertaining to the Hotline, Whistleblower Protection, and Ombudsman programs; investigative case files; compliance and quality assurance; and audit and inspection report quality. IQO ensures that the Hotline, Whistleblower Protection, and Ombudsman programs are transparent and function independently, that internal and external quality assurance matters such as desk audits and peer reviews are executed timely and properly, and the quality requirements for investigative, audit, and inspections reports are fulfilled.

(New) The **Office of External Affairs (EA)** is our primary liaison to members of Congress and their staffs, and OIG's principal point of contact for all media outlets and the public. This office tracks and responds to inquiries from Congress; notifies Congress about OIG initiatives, policies, and programs; coordinates preparation of testimony and briefings for Congress; tracks legislation of interest to the Department and the Inspector General community; and provides advice to the Inspector General staff as they address questions and requests from Congress. This office also provides news organizations with accurate and timely information in compliance with legal, regulatory, and procedural rules. It prepares and issues news releases, arranges interviews, and coordinates and analyzes information to support OIG's policy development and mass communications needs. This office develops OIG's integrated communications strategy and helps promote understanding and transparency of OIG work products. In addition, it advises the Inspector General and staff about complex programmatic and public affairs issues that affect OIG and its relationship with DHS; other Federal agencies; State and local government; the media; and the public.

The **Office of General Counsel (Counsel)** provides legal advice to the Inspector General and other management officials; supports audits, inspections, and investigations by identifying and construing applicable laws and regulations; serves as OIG's designated ethics office; manages OIG's *Freedom of Information Act (FOIA)* and *Privacy Act* responsibilities; represents OIG in administrative litigation and assists the Department of Justice (DOJ) in Federal litigation affecting OIG; furnishes attorney services for the issuance and enforcement of OIG subpoenas; reviews OIG reports for legal sufficiency; reviews proposed legislation and regulations; proposes legislation on behalf of OIG, 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 that the Department, components, grantees, and contractors employ in carrying out essential programs or activities. Audits evaluate whether established goals and objectives are achieved, resources are used economically and efficiently, and intended and realized results are consistent with laws, regulations, and good business practice; and determine 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 spent appropriately, while identifying fraud, waste, and abuse as early as possible. EMO keeps the Congress, the Secretary, the Administrator of the Federal Emergency Management Agency (FEMA), and others fully informed on problems relating to disaster operations and assistance programs and on progress regarding corrective actions. EMO's focus is weighted heavily toward prevention, including internal controls, and monitoring and advising DHS and FEMA officials on subgrantee contracting and financial management activities. This allows EMO to stay current on all disaster relief operations and provide advice on internal controls and precedent-setting decisions. A portion of its full-time and temporary employees are dedicated to gulf coast hurricane recovery.

The **Office of Information Technology Audits (ITA)** conducts audits and evaluations of DHS' information technology (IT) management, cyber infrastructure, systems integration, and systems privacy activities protections. The office reviews the cost-effectiveness of acquisitions, implementation, and management of major systems and telecommunications networks across DHS. The office audits systems that affect privacy to assess whether the organizational governance, culture, and safeguards comply with Federal privacy requirements. 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' cybersecurity program as mandated by the *Federal Information Security Management Act (FISMA)*. In addition, the office conducts audits and provides technical forensics assistance to OIG offices in support of OIG's fraud prevention and detection program.

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. ISP 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 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. There is collaboration between INV and the separate OIG component offices. For example, during an investigation, if INV identifies a systemic vulnerability, deficiency, or irregularity, they would inform the relevant OIG component office such as EMO, OA or ISP. Conversely, INV may receive referrals from OIG components alleging criminal, civil, or administrative misconduct that they identify during an inspection or audit. The office includes investigative staff working on gulf coast hurricane recovery operations. INV will also respond appropriately to investigations requested by a Member of Congress.

The **Office of Management** (OM) provides administrative support functions, including OIG strategic planning; development and implementation of administrative directives; information technology, including OIG's information and office automation systems; budget formulation and execution; correspondence control; human resources; acquisitions; facilities; asset management; security; training and workforce development; and oversight of the travel and accounting services provided to OIG on a reimbursable basis by the Bureau of the Public Debt. The office also prepares OIG's annual performance plan and semiannual reports to Congress.

Chapter 3 – Fiscal Year 2014 Planning Approach

The Annual Performance Plan is our “roadmap” for the projects planned 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 may describe more projects than may be completed in FY 2014 and tries to take into account future developments and requests from DHS management and Congress that may occur as the year progresses. We have planned just over 90 new projects for FY 2014. However, resource issues affect the number of projects we can complete. The plan also includes over 100 projects carried forward from the prior fiscal year that are referred to as *in-progress* projects. We have provided web links to give details on the *in-progress* projects, i.e., background and objectives. Also, some projects initiated this year may carry over into FY 2015.

We will also review the major management challenges facing DHS, as described in our report entitled, *Management Challenges Facing the Department of Homeland Security*, OIG-13-09 (Revised), which can be viewed via our web link: http://www.oig.dhs.gov/assets/Mgmt/2013/OIG_13-09_Dec12.pdf. For a better understanding of how these challenges relate to the overall operations of the DHS, our report lists DHS operations under two main themes—Mission Areas and Accountability Issues, as follows:

DHS Major Management Challenges (MC)	
Mission Areas (M)	
<p>In the mission areas of intelligence, transportation security, border security, infrastructure protection, and disaster preparedness and response, we are planning reviews of the Office of Intelligence and Analysis (I&A), the Transportation Security Administration (TSA), U.S. Customs and Border Protection (CBP), Directorate for National Protection Programs (NPPD), and FEMA programs, among other components and directorates. This list is referred to as Management Challenges - Mission Areas (MCM).</p>	
<i>Area</i>	<i>Abbreviation</i>
Intelligence	MCM/I
Transportation Security	MCM/TS
Border Security	MCM/BS
Infrastructure Protection	MCM/IP
Disaster Preparedness and Response	MCM/ER

DHS Major Management Challenges (cont'd)

Accountability Issues (A)

In the area of accountability, we are examining or plan to examine DHS and its components' and directorates' controls over acquisitions and critical financial systems and data, information security, privacy stewardship, management of grants, and cybersecurity, among other mandated and discretionary reviews. This list is referred to as Management Challenges - Accountability Issues (MCI).

<i>Issue</i>	<i>Abbreviation</i>
Acquisition Management	MCA/AQ
Financial Management	MCA/FM
IT Management	MCA/IT
Grants Management	MCA/GM
Employee Accountability and Integrity	MCA/Staff
Cybersecurity	MCA/Cyber

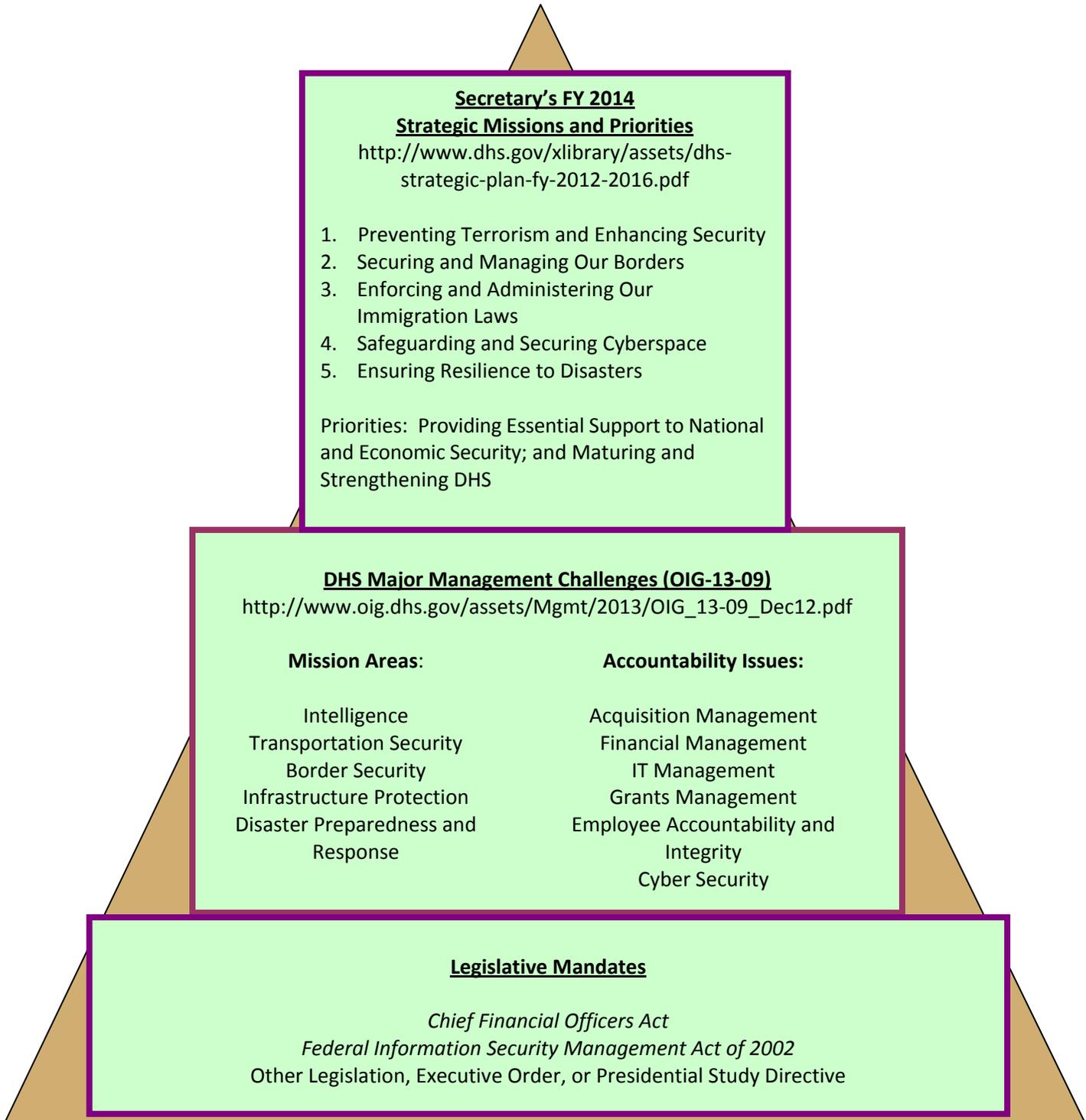
We placed emphasis on legislative mandates such as the *Chief Financial Officers Act* (P.L. 101-576) and FISMA (44 U.S.C. §§ 3541, et seq.). We are also aware of congressional mandates through our Office of External Affairs. We focused on the Department's mission and priorities outlined in its Strategic Plan for Fiscal Years 2012 through 2016:

Mission 1: Preventing Terrorism and Enhancing Security	Mission 4: Safeguarding and Securing Cyberspace
Mission 2: Securing and Managing Our Borders	Mission 5: Ensuring Resilience to Disasters
Mission 3: Enforcing and Administering Our Immigration Laws	Priorities: Providing Essential Support to National and Economic Security; and Maturing and Strengthening DHS ¹

¹ Under DHS' development of its second Quadrennial Homeland Security Review (QHSR), the priority of *providing essential support to national and economic security* was eliminated and incorporated into each of the five major mission areas above.

Figure 2 is a snapshot of our FY 2014 planning priorities, which are derived from the Department’s FY 2014 strategic missions and 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.

Figure 2: DHS OIG’s FY 2014 Planning Priorities



Chapter 4 – Aligning Our Projects With DHS’ Missions, Priorities, and Legislative Mandates

The Department’s revised Strategic Plan for Fiscal Years 2012 through 2016 outlines the Department’s vision, missions, and goals. The Plan also includes the Department’s efforts to prioritize frontline operations while maximizing the effectiveness and efficiency of tax dollars. The following represents DHS’ missions and priorities. OIG will align its projects and activities with the stated missions and goals of the Department. The Department’s revised Strategic Plan presents the following primary missions and priorities:

*Mission 1 (M1): Preventing Terrorism and
Enhancing Security*

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



*Mission 2 (M2): Securing and Managing
Our Borders*

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



*Mission 3 (M3): Enforcing and
Administering Our Immigration Laws*

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



Mission 4 (M4): Safeguarding and Securing Cyberspace

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

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

Mission 5 (M5): Ensuring Resilience to Disasters

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



Priority (P1): Providing Essential Support to National and Economic Security

Note: DHS is incorporating this priority into each of the five mission areas mentioned earlier under an updated Quadrennial Homeland Security Review (QHSR). DHS plans to submit an updated QHSR to the Office of Management and Budget for review in February 2015.

Homeland security is an integral element of broader U.S. national security and domestic policy. It is not, however, the only element.

The National Security Strategy clearly identifies national defense and economic security as other elements—along with homeland security—of overall U.S. national security.



DHS leads and supports many activities that provide essential support to national and economic security, including, but not limited to, maximizing collection of customs revenue; maintaining

the safety and security of the marine transportation system; preventing the exploitation of children; providing law enforcement training; and coordinating the Federal Government's response to global intellectual property theft. DHS contributes in many ways to these elements of broader U.S. national and economic security while fulfilling its homeland security missions.

Priority (P2): Maturing and Strengthening DHS

Maturing and strengthening DHS and the entire homeland security enterprise—the collective efforts and shared responsibilities of Federal, State, local, tribal and territorial, nongovernmental, and private-

sector partners, as well as individuals, families, and communities—is critical to the Department's success in carrying out its core missions and operational objectives. This includes enhancing shared awareness of risks and threats; building capable, resilient communities; and fostering innovative approaches and solutions through cutting-edge science and technology, while continuing to foster a culture of efficiency, sustainability, and resilience.



The programs and functions associated with each of these missions and priorities 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 improvement to the efficacy of DHS' programs and operations.

Chapter 5 – Fiscal Year 2014 Project Objectives

The following projects and the resulting reports should aid the Department in assessing its progress toward achieving its FY 2014 missions and priorities. We present projects under two broad categories: *Planned* or *In-progress*. *Planned* projects are defined as new projects that we should begin during FY 2014. *In-progress* projects are defined as projects that began in a prior fiscal year, but will continue in FY 2014. Our planned projects are organized by Department component and include the objective, the origin of the project, and the related mission and priority area being assessed. Our *In-progress* projects are also organized by Department component and will contain a web link to the previous annual performance plan for purposes of offering additional details on the project.

Wherever projects involve two or more Department components, we refer to these projects as “Multiple Components.”

We also describe whether our projects are—

1. **Mandatory**, or referring to projects that are legislatively required.
2. **Congressional Requests**, or referring to projects that are *not* legislatively mandated by statute, but rather requested by one or more members of Congress, or a congressional committee.
3. **Discretionary**, or referring to projects which are initiated by DHS OIG.

Directorate for Management (MGMT)

Planned Projects

The Directorate for Management is responsible for Department budgets and appropriations, expenditure of funds, accounting and finance, procurement; human resources, information technology systems, facilities and equipment, and for identifying and tracking performance measurements.

DHS Major Management Challenges FY 2014, Mandatory

Objective: Summarize the Department's major management challenges for FY 2014 as required by the Reports Consolidation Act of 2000. *Office of Audits*

FY 2014 Chief Financial Officers Act Audits – Audits of DHS' Consolidated Financial Statements, Internal Control over Financial Reporting, and the Individual Financial Statements of Select DHS Components, Mandatory

Objectives: Determine the fairness of presentations of DHS general and individual component FY 2014 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. *Office of Audits*

FY 2014 Office of National Drug Control Policy Reviews at CBP, ICE, USCG, FLETC, and FEMA, Mandatory

Objective: Determine the reliability of management's assertions in its annual accounting of Drug Control Program funds. *Office of Audits*

DHS' FY 2014 Compliance with the Improper Payments Elimination and Recovery Act of 2010, Mandatory

Objective: For FY 2014, determine whether the Department is in compliance with the Improper Payments Elimination and Recovery Act of 2010. *Office of Audits*

Other than Full and Open Competition Contracting During FY 2014, Mandatory

Objective: Assess Departmental compliance with applicable laws and regulations for grants and contracts awarded by any other than full and open competition contracting during FY 2014. *Office of Audits*

Single Audit Act Reviews, Mandatory

Objective: Review nonfederal auditors' work for compliance with OMB Circular A-133 requirements and applicable auditing standards and regulations. *Office of Audits*

Annual Evaluation of DHS' Information Security Program for FY 2014, Mandatory

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

Penetration Testing Evaluation of Non-Trusted Internet Connection (TIC) Use, Discretionary

Objective: Determine whether DHS has implemented effective controls on the internet connections external to the DHS TICs. *Office of IT Audits*

DHS IT Management Follow Up, Discretionary

Objective: Determine the Department's progress in implementing an effective IT management program and assess progress made in establishing CIO oversight and authority. *Office of IT Audits*

Projects In-progress

FY 2013 Chief Financial Officers Act Audits—Audits of DHS' Consolidated Financial Statements, Internal Control Over Financial Reporting, and the Individual Financial Statements of Select DHS Components, Mandatory

Objectives: Determine the fairness of presentations of DHS general and individual component FY 2013 financial statements by (1) obtaining an understanding of internal controls 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. *Office of Audits*
http://www.oig.dhs.gov/assets/PDFs/OIG_APP_FY13.pdf#Page16

FY 2013 Office of National Drug Control Policy Reviews at CBP, ICE, USCG, FLETC and FEMA, Mandatory

Objective: Determine the reliability of management's assertions in its annual accounting of Drug Control Program funds. *Office of Audits*
http://www.oig.dhs.gov/assets/PDFs/OIG_APP_FY13.pdf#Page61

DHS Pandemic Preparedness, Discretionary

Objective: Determine whether DHS has a comprehensive plan to respond to a pandemic.
Office of Audits
(not previously published)

DHS' Acquisition of Unmanned Aircraft Systems, Discretionary

Objective: Determine the effectiveness of DHS' acquisition and use of Unmanned Aircraft Systems. *Office of Audits*
http://www.oig.dhs.gov/assets/PDFs/OIG_APP_FY13.pdf#Page62

DHS Conference Spending, Discretionary

Objective: Determine whether DHS' spending on selected DHS-hosted or sponsored conferences was appropriate, necessary, and reasonable. *Office of Audits*
(not previously published)

DHS' Efforts to Reduce Petroleum Use and Greenhouse Gas Emissions in its Motor Vehicle Fleets, Discretionary

Objective: Determine, for FY 2012, whether the Department is meeting requirements for fuel efficiency for its fleets, appropriately limiting vehicle size, and purchasing electric, hybrid, and alternative fuel vehicles. *Office of Audits*
http://www.oig.dhs.gov/assets/PDFs/OIG_APP_FY13.pdf#Page16

DHS Home-to-Work Transportation, Discretionary

Objective: Determine whether DHS and its components have the information necessary to justify the use of home-to-work transportation. *Office of Audits*
(not previously published)

DHS Major Management Challenges FY 2013, Mandatory

Objective: Summarize the Department's major management challenges for FY 2013 as required by the Reports Consolidation Act of 2000. *Office of Audits*
http://www.oig.dhs.gov/assets/PDFs/OIG_APP_FY13.pdf#Page69

DHS' FY 2013 Compliance with the Improper Payments Elimination and Recovery Act of 2010, Mandatory

Objective: Determine, for FY 2013, whether the Department is in compliance with the Improper Payments Elimination and Recovery Act of 2010. *Office of Audits*
http://www.oig.dhs.gov/assets/PDFs/OIG_APP_FY13.pdf#Page17

Annual Evaluation of DHS' Information Security Program for FY 2013, Mandatory

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

http://www.oig.dhs.gov/assets/PDFs/OIG_APP_FY13.pdf#Page12

DHS Financial Systems, Discretionary

Objective: Determine the progress DHS is making in reengineering and consolidating its core financial processes and systems. *Office of IT Audits*

http://www.oig.dhs.gov/assets/PDFs/OIG_APP_FY13.pdf#Page14

Technical Security Evaluation of Dallas-Fort Worth International Airport (DFW), Discretionary

Objective: Determine the effectiveness of safeguards and compliance with technical security standards, controls, and requirements of DHS activities at DFW. *Office of IT Audits*

http://www.oig.dhs.gov/assets/PDFs/OIG_APP_FY13.pdf#Page14

Telework Security, Discretionary

Objective: Determine whether DHS and its components have implemented effective controls as part of its telework program. *Office of IT Audits*

http://www.oig.dhs.gov/assets/PDFs/OIG_APP_FY13.pdf#Page13

Directorate for National Protection and Programs (NPPD)

Planned Project

NPPD leads the Department's national effort to protect and enhance the resilience of the Nation's physical and cyber infrastructure. Critical infrastructure provides essential services to the Nation's security, economic welfare, public health, and safety. NPPD helps public and private sector critical infrastructure owners and operators reduce risk by providing them information, tools, and analysis that can help them make informed decisions.

Implementation Status of NPPD's Enhanced Cybersecurity Services (ECS) Program, Discretionary

Objective: Determine the implementation status of ECS and the effectiveness of DHS' efforts to build partnerships with the critical infrastructure sectors to share classified cyber threat and technical information. *Office of IT Audits*

Project In-progress

Implementation Status of National Cybersecurity Protection System (EINSTEIN 3 Accelerated), FY 2013, Discretionary

Objectives: Determine (1) the implementation status of EINSTEIN 3 Accelerated, and (2) whether security and privacy concerns are addressed to protect the sensitive data collected and processed by the system. *Office of IT Audits (not previously published)*

Directorate for Science and Technology (S&T)

Planned Projects

S&T is the primary research and development arm of the Department. It provides Federal, state, and local officials with the technology and capabilities to protect the homeland.

S&T's Research and Development Efforts to Detect Cyber Attacks Against the DHS' Network Systems, Discretionary

Objective: Determine whether S&T has effective processes for selecting and developing programs to address potential cyber disruptions. *Office of Inspections*

Effects of Recent Portfolio Balancing Reviews and Budgetary Constraints on S&T's Workforce and Ability To Carry Out Its Mission, Discretionary

Objective: Determine whether S&T has effectively managed organizational changes as a result of portfolio balancing reviews and budget cuts. *Office of Inspections*

Domestic Nuclear Detection Office (DNDO)

Project In-progress

DNDO, a jointly staffed agency within DHS, is the primary entity in the U.S. government for implementing domestic nuclear detection efforts for a managed and coordinated response to radiological and nuclear threats, as well as for integration of Federal nuclear forensics programs.

DNDO Insider Threats, Discretionary

Objectives: Determine the current risk posed by trusted insiders by assessing how effectively DNDO is prepared to detect or prevent insider attacks. This includes determining whether (1) an Insider Threat Program Office or similar initiative has been established, (2) an insider threat-specific security awareness program exists, and (3) how effectively DNDO is prepared to detect and resolve insider attacks

from employees, trusted partners, and external entities. *Office of IT Audits*
http://www.oig.dhs.gov/assets/PDFs/OIG_APP_FY13.pdf#Page36

Federal Emergency Management Agency (FEMA)

Planned Projects

FEMA supports the public and first responders to ensure that as a Nation we work together to build, sustain, and improve our capability to prepare for, protect against, respond to, recover from and mitigate all hazards.

Port Security Grants Awarded to Lower Mississippi Port Wide Strategic Security Council, Discretionary

Objective: Determine whether the Lower Mississippi Port Wide Strategic Security Council managed, distributed, and spent Port Security Grant Program funds in compliance with applicable Federal laws, regulations, and guidance. *Office of Audits*

State Homeland Security Program (SHSP) and Urban Areas Security Initiative (UASI) Grant Audits, Mandatory

Objective: Determine whether selected States have effectively and efficiently implemented the SHSP and, where applicable, the UASI program; achieved the goals of the programs; and spent funds according to grant requirements. *Office of Audits*

Annual Report to Congress on States' and Urban Areas' Management of Homeland Security Grant Programs Fiscal Year 2013, Mandatory

Objectives: Determine whether each state distributed and spent the grant funds (1) effectively and efficiently and (2) in compliance with applicable Federal laws and regulations. We will also address the extent to which grant funds enhanced the States' ability to prevent, prepare for, protect against, and respond to natural disasters, acts of terrorism, and other manmade disasters. *Office of Audits*

Assistance to Firefighter Grants, Discretionary

Objective: Determine the extent to which Assistance to Firefighter Grant recipients comply with grant requirements and guidance precluding waste, fraud, and abuse of grant funds. *Office of Audits*

FEMA Regional Inspections, Discretionary

Objectives: Assess the realignment of responsibilities and authorities to FEMA's 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 Audits*

Insurance Review of Public Assistance Funding to Florida Community Colleges, Discretionary

Objective: Determine whether duplicate funding existed from FEMA's funding of the Florida Division of Community Colleges and the individual colleges for disasters declared in 2004 and 2005. *Office of Emergency Management Oversight*

Disallow FEMA Public Assistance Grant Funds Awarded for Hurricanes Katrina/Rita that Are No Longer Needed, Discretionary

Objective: Identify total number of projects and total project worksheet amounts for projects not yet started and determine subgrantee, grantee, and FEMA reasons for the lack of project initiation. *Office of Emergency Management Oversight*

Flooding Disasters and Public Assistance Grants in the State of Tennessee, Discretionary

Objective: Determine whether flood easement conditions existed for portions of the State of Tennessee that were impacted by flooding during Disaster 1909. *Office of Emergency Management Oversight*

Unused Hazard Mitigation Grant Program Funds, Discretionary

Objective: Determine why states are not able to use all available Hazard Mitigation Grant Program (HMGP) funds. *Office of Emergency Management Oversight*

Louisiana's Public Assistance State Management Costs, Discretionary

Objective: To determine whether the Governor's Office of Homeland Security and Emergency Preparedness (GOHSEP) is accounting for State Management Costs in accordance with OMB requirements. *Office of Emergency Management Oversight*

Capping Report: FY 2013 FEMA Public Assistance and Hazard Mitigation Grant and Subgrant Audits, Discretionary

Objectives: Summarize the results of Public Assistance and HMGP grant and subgrant audit reports issued in FY2013, identify frequently occurring audit findings, and quantify the financial impact of these findings. *Office of Emergency Management Oversight*

Disaster Assistance Grant Audits and Reviews

The Robert T. Stafford Disaster Relief and Emergency Assistance Act, as amended, governs disasters declared by the President of the United States. Title 44 of the Code of Federal Regulations provides further guidance and requirements for administering disaster assistance grants awarded by FEMA as a result of a presidentially declared disaster. During FY 2014, our Office of Emergency Management Oversight will complete approximately 60 disaster assistance grant audits and reviews that cover the following three types of projects:

(1) Disaster Assistance Grants, Discretionary

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

(2) Early Monitoring of Disaster Assistance Grants, Discretionary

Objectives: Early in the Public Assistance process, determine whether selected subgrantees are accounting for and expending FEMA grant funds according to Federal regulations and FEMA guidelines. And, determine whether subgrantees need specific technical assistance and additional grantee monitoring to ensure compliance with regulations and FEMA guidelines in awarding contracts and accounting for costs.
Office of Emergency Management Oversight

(3) Emergency Management Oversight Team (EMOT) Deployment, Discretionary

Objectives: Review FEMA’s response and recovery efforts during Presidentially-declared major disasters and to provide FEMA an additional resource for proactive evaluation to prevent and detect systemic problems in disaster programs and help ensure accountability over Federal funds. *Office of Emergency Management Oversight*

Sheltering and Permanent Housing Pilot Program for DR 4122 – Alaska Flooding, Discretionary

Objectives: Determine (1) whether FEMA has statutory authority to implement a winter sheltering base camp and permanent housing pilot program in Alaska; (2) whether FEMA has safeguards/internal controls in place to ensure fiscal accountability; and (3) to what extent FEMA has implemented similar pilot programs in the past.

Office of Emergency Management Oversight

Funds Can Be Put to Better Use if FEMA Closed Out Disasters, Discretionary

Objectives: For the 804 disasters that are currently open, determine how many projects are open and can be closed based on FEMA policy. Identify the unliquidated obligation balances associated with the open projects. *Office of Emergency Management Oversight*

IT Matters Related to the FEMA Component of the FY 2014 DHS Financial Statement Audit, Mandatory

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

FEMA Telework Security Discretionary

Objective: Determine whether FEMA has implemented effective IT controls as required by the *Telework Enhancement Act of 2010*. *Office of IT Audits*

Projects In-progress

State Homeland Security Program and Urban Areas Security Initiative Grant Audits (Alabama, Alaska, Delaware, District of Columbia, Idaho, Iowa, Maine, New Hampshire, North Dakota, Oregon, South Dakota, Vermont, and Wyoming), Mandatory

Objective: Determine whether selected States have effectively and efficiently implemented the SHSP and, where applicable, the UASI program; achieved the goals of the programs; and spent funds in accordance with grant requirements. *Office of Audits*

http://www.oig.dhs.gov/assets/PDFs/OIG_APP_FY13.pdf#Page31

FEMA's Logistics Supply Chain Management System, Discretionary

Objective: Determine whether FEMA's new Logistics Supply Chain Management System has the ability to support Federal disaster logistics operations effectively in the event of a catastrophic disaster. *Office of Audits*

http://www.oig.dhs.gov/assets/PDFs/OIG_APP_FY13.pdf#Page30

FEMA Programs for Emergency Sheltering Assistance after Hurricane Sandy, Discretionary

Objective: Determine whether FEMA's programs for emergency sheltering after Hurricane Sandy are cost effective and comply with Federal laws and regulations and FEMA's policies and guidelines. *Office of Emergency Management Oversight*

(not previously published)

May 2013 Oklahoma Tornado EMOT Deployment, Discretionary

Objective: Review FEMA's response and recovery efforts during the Oklahoma tornadoes.

Office of Emergency Management Oversight

(not previously published)

Hurricane Wilma Insurance Settlements to FEMA Subgrantees by the Florida League of Cities – Florida Municipal Insurance Trust, Discretionary

Objective: Determine whether the Florida Municipal Insurance Trust properly applied insurance coverage to insured properties of FEMA Florida subgrantees that received Public Assistance funding for property damaged by Hurricane Wilma. This is a follow-on audit to the audit at Vero Beach. *Office of Emergency Management Oversight*

http://www.oig.dhs.gov/assets/PDFs/OIG_APP_FY13.pdf#Page30

Mission Assignment Eligibility and Closeout Activities, Discretionary

Objectives: Determine whether FEMA (1) mission-assigned activities are eligible according to Federal regulations and FEMA guidelines; (2) closed out mission assignments in a timely manner so that unliquidated obligations are returned to the disaster relief fund.

Office of Emergency Management Oversight

http://www.oig.dhs.gov/assets/PDFs/OIG_APP_FY13.pdf#Page28

FEMA’s Policy for Land Acquisition Costs of Permanently Relocated Damaged Facilities, Discretionary

Objective: Determine whether FEMA’s land acquisition policies and procedures for permanently relocated damaged projects can be strengthened to ensure that proceeds from the sale of the original property are used to reduce Federal funding, whether the property is sold before or after the grant is closed out. *Office of Emergency Management Oversight*
http://www.oig.dhs.gov/assets/PDFs/OIG_APP_FY13.pdf#Page32

Management Cost of FEMA’s Area Field and Long Term Recovery Offices, Discretionary

Objectives: Determine (1) to what extent FEMA is working toward closing Long Term Recovery and Area Field Offices and (2) to what extent the closure of these offices will provide cost savings to the Federal government. *Office of Emergency Management Oversight*
http://www.oig.dhs.gov/assets/PDFs/OIG_APP_FY13.pdf#Page27

Federal Law Enforcement Training Center (FLETC)

Planned Project

FLETC provides career-long training to law enforcement professionals to help them fulfill their responsibilities safely and proficiently.

IT Matters Related to the FLETC Component of the FY 2014 DHS Financial Statement Audit, Mandatory

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

Office of Health Affairs (OHA)

Planned Project

OHA coordinates all medical activities of DHS to ensure appropriate preparation for and response to incidents having medical significance.

Effectiveness of DHS' National Biosurveillance Integration Center Operations and Coordination with Stakeholders, Discretionary

Objective: Congress established the National Biosurveillance Integration Center (NBIC) within DHS

to “rapidly identify, characterize, localize, and track a biological event of national concern ..., and disseminate alerts and other information to Member Agencies.” We will determine whether NBIC effectively communicates and coordinates with Federal, State, and local stakeholders. *Office of Inspections*

Office of Intelligence and Analysis (I&A)

Planned Projects

I&A is responsible for using information and intelligence from multiple sources to identify and assess current and future threats to the United States.

Annual Evaluation of DHS' Information Security Program (Intelligence Systems) for FY 2014, Mandatory

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*

Annual Evaluation of DHS' Information Security Program (Intelligence Systems-Intelligence Community for FY 2014), Mandatory

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*

IT Matters Related to the FY 2014 Financial Statement Audit – DHS Consolidated, Mandatory

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

I&A Privacy Stewardship, Discretionary

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

Project In-progress

Annual Evaluation of DHS' Information Security Program (Intelligence Systems) for FY 2013 Mandatory

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*
http://www.oig.dhs.gov/assets/PDFs/OIG_APP_FY13.pdf#Page36

Transportation Security Administration (TSA)

Planned Projects

TSA protects the Nation's transportation systems to ensure freedom of movement for people and commerce.

TSA's Airport Screening Equipment Maintenance Program, Discretionary

Objective: Determine whether airport screening equipment is being routinely and periodically maintained according to contractual requirements and manufacturers' specifications. *Office of Audits*

Effectiveness of Automated Target Recognition in Passenger Screening, Discretionary

Objective: Determine the effectiveness of automated target recognition software used with TSA's Advanced Imaging Technology (AIT) units. *Office of Audits*

Penetration Testing of Passenger/Checked Baggage, Mandatory

Objective: Determine, through covert testing, whether TSA's screening activities are effectively identifying and preventing potential threats from being carried onto commercial aircraft. *Office of Audits*

TSA's Foreign Airports Assessment Program, Discretionary

Objective: Determine whether there are effective processes and standards for the Foreign Airports Assessment Program. *Office of Inspections*

Management of TSA's Advanced Imaging Technology Inventory, Congressional Request: Representative Bennie Thompson

Objective: Determine whether there are effective processes and procedures for the management of TSA's inventory of more than 740 AIT units. *Office of Inspections*

IT Matters Related to the TSA Component of the FY 2014 DHS Financial Statement Audit, Mandatory

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

Projects In-progress

Access to Secured Airport Perimeter Areas, Discretionary

Objective: Determine whether airports, aircraft operators, and contractors are complying with TSA's security requirements to control access to these secured airport perimeter areas.

Office of Audits

http://www.oig.dhs.gov/assets/PDFs/OIG_APP_FY13.pdf#Page38

TSA's Preclearance Aviation Security Operations Program, Discretionary

Objective: Determine whether TSA has effective processes and standards for conducting preclearance aviation security. *Office of Inspections*

http://www.oig.dhs.gov/assets/PDFs/OIG_APP_FY13.pdf#Page39

United States Citizenship and Immigration Services (USCIS)

Planned Projects

USCIS secures America's promise as a Nation of immigrants by providing accurate and useful information to customers, granting immigration and citizenship benefits, promoting an awareness and understanding of citizenship, and ensuring the integrity of the U.S. immigration system.

IT Matters Related to the USCIS Component of the FY 2014 DHS Financial Statement Audit, Mandatory

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

USCIS Controls over Detecting and Deterring Fraud in EB-5 Investor Visas, Discretionary

Objective: Perform data analytics to determine whether USCIS databases contain indicators of fraudulent and abusive petitions for EB-5 investment visas, and whether this data can be used by USCIS to detect and deter fraud, waste, and abuse. *Office of IT Audits*

Projects In-progress

Security and Monitoring of USCIS' EB-5 Immigrant Investor Pilot Program, Discretionary

Objectives: Determine whether the USCIS' Employment-Based Fifth Preference regional center program is effectively administered and managed. *Office of Audits*
http://www.oig.dhs.gov/assets/PDFs/OIG_APP_FY13.pdf#Page45

USCIS IT Management (formally USCIS Transformation), Discretionary

Objectives: Assess progress made in implementing transformation program initiatives, as well as addressing our prior recommendations. *Office of IT Audits*
http://www.oig.dhs.gov/assets/PDFs/OIG_APP_FY13.pdf#Page45

USCIS Controls To Ensure That Employers With 50 Percent or More H1B Employees Properly Declare Their Status, Discretionary

Objective: Perform data analysis to determine whether employers meeting the requirements of P.L. 111-230 are correctly self-identifying themselves. *Office of IT Audits*
http://www.oig.dhs.gov/assets/PDFs/OIG_APP_FY13.pdf#Page44

United States Coast Guard (USCG)

Planned Projects

The USCG is one of the five armed forces of the United States and the only military organization within DHS. The USCG protects the maritime economy and the environment, defends our maritime borders, and saves those in peril.

USCG's Annual Mission Performance (FY 2013), Mandatory

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

USCG Abandoned Vessel Program Discretionary

Objectives: Determine whether the USCG has maintained a complete and accurate inventory record of abandoned barges, identified and contacted owners, fined owners unwilling to remove barges, and ensured that barges posing a serious environmental or safety threat are cleaned up and removed. *Office of Audits*

USCG Alteration of the Burlington Bridge Project, Discretionary

Objective: Determine whether the use of federal funds for the Burlington Bridge Project were properly authorized and expended. *Office of Audits*

Effectiveness of Coast Guard's Maritime Safety & Security Teams, Discretionary

Objective: Determine whether USCG's Maritime Transportation Security Act of 2002 Maritime Safety and Security Teams are meeting their mission to enhance the domestic maritime security capability of the United States. *Office of Inspections*

IT Matters Related to the USCG Component of the FY 2014 DHS Financial Statement Audit, Mandatory

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

USCG Biometrics at Sea System, Discretionary

Objectives: Determine whether the USCG 1) has effective procedures and controls in place to monitor the quality of the Biometrics at Sea System (BASS) interface with the Automated Biometric Identification System (IDENT); 2) has effective security and change management controls over BASS; and 3) has processes to ensure BASS contract performance. *Office of IT Audits*

Projects In-progress

USCG's Implementation of Recommendations in Deepwater Horizon After-Action Reports, Discretionary

Objective: Determine whether the USCG's programmatic oversight of recommendations made in the Deepwater Horizon oil spill after-action reports is effective for tracking corrective actions and implementation. *Office of Audits*

http://www.oig.dhs.gov/assets/PDFs/OIG_APP_FY13.pdf#Page49

Readiness of USCG Small Boat Stations, Discretionary

Objective: Determine the readiness of USCG small boat stations for Search and Rescue program operations. *Office of Audits*

(not previously published)

USCG Command, Control, Communications, Computers, Intelligence, Surveillance, and Reconnaissance (C4ISR) Modernization, Discretionary

Objectives: Evaluate the progress USCG has made with C4ISR systems and determine how well these systems support the integration of USCG and DHS. *Office of IT Audits*

http://www.oig.dhs.gov/assets/PDFs/OIG_APP_FY13.pdf#Page48

USCG Privacy Stewardship, Discretionary

Objectives: Determine whether USCG (1) instills a culture of privacy that protects sensitive personally identifiable information and (2) ensures compliance with Federal privacy laws and regulations, based on our review of USCG's handling, protecting, sharing, and storing the public and employee health data by the Merchant Mariner Licensing and Documentation Program and Composite Health Care Program. *Office of IT Audits*

http://www.oig.dhs.gov/assets/PDFs/OIG_APP_FY13.pdf#Page47

USCG Information Technology Insider Threat, Discretionary

Objectives: Determine the effectiveness of the steps USCG has taken to address the insider threat risk on IT systems. This includes determining whether (1) an Insider Threat Program Office has been established, (2) an insider threat-specific security awareness program exists, and (3) USCG is prepared to detect and resolve insider attacks. *Office of IT Audits*

http://www.oig.dhs.gov/assets/PDFs/OIG_APP_FY13.pdf#Page48

United States Customs and Border Protection (CBP)

Planned Projects

CBP is one of DHS' largest and most complex components, with a priority mission of keeping terrorists and their weapons out of the U.S. It also has a responsibility for securing and facilitating trade and travel while enforcing hundreds of U.S. regulations, including immigration and drug laws.

CBP's Use of Unattended Ground Sensors To Secure U.S. Land Borders, Discretionary

Objective: Determine whether CBP is effectively deploying, maintaining, and utilizing unattended ground sensors at U.S. land borders.

Office of Audits

CBP's Ability to Respond to Incursion on the Southwest Border, Discretionary

Objective: Determine whether CBP's operational strategy and agent deployment provide adequate zone coverage to respond to incursions on the southwest border. *Office of Audits*

Acquisition, Operation, and Maintenance of CBP's Cessna C550 Citation Airplane, Discretionary

Objective: Determine whether CBP is effectively managing its Cessna C550 Citation program to support DHS' cross-component collaboration and coordination of aviation assets.

Office of Audits

Port Inspections, Discretionary

Objective: Determine whether the selected ports are operating efficiently and in accordance with CBP's policies and procedures. *Office of Audits*

Alien Transfer Exit Program and the Mexico Interior Repatriation Program, Discretionary

Objective: Determine whether the Alien Transfer Exit Program and the Mexico Interior Repatriation Program are effective at deterring illegal entry into the United States.

Office of Audits

CBP's Automated Export System/Automated Targeting System, Mandatory

Objective: Determine whether CBP has sufficient internal controls to ensure that information from the Automated Targeting System that is used to assess and target outbound shipments is accurate. *Office of Audits*

Use of the Electronic System for Travel Authorization Fees, Discretionary

Objective: Determine whether CBP efficiently and effectively manages the Electronic System for Travel Authorization fees. *Office of Inspections*

CBP's Forward Operating Bases on the Southern Border, Discretionary

Objective: Determine whether the Forward Operating Bases are effective in deterring aliens and provide adequate living conditions, security, and safety for CBP employees.
Office of Inspections

CBP's Implementation and Enforcement of Exclusion Orders, Congressional Request: Representative Howard Coble

Objective: Determine whether CBP effectively implements and enforces exclusive orders in its efforts to prevent unlawful methods of competition and unfair practices in the importation or sale of goods. *Office of Inspections*

Information Technology Matters Related to the FY 2014 Financial Statement Audit of CBP, Mandatory

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

CBP's Analytical Framework for Intelligence Systems, Discretionary

Objectives: Determine the implementation status of Analytical Framework and whether effective controls have been implemented to protect the sensitive information stored and processed by the system from unauthorized access. *Office of IT Audits*

Global Entry Program Controls, Discretionary

Objectives: Determine (1) what systems CBP uses for screening Global Entry applicants and the accuracy and completeness of screening data and (2) whether and how new derogatory information or evidence of wrongdoing is used to identify potential new threats and actions taken to address these threats. *Office of IT Audits*

Projects In-progress

DHS Oversight of CBP's Workload Staffing Model, Discretionary

Objective: Determine the reliability of CBP Office of Field Operations' Workload Staffing Model in establishing the number of CBP Officers needed to fulfill mission requirements.

Office of Audits

(not previously published)

Acquisition and Management of CBP's National Aviation Maintenance Contract, Discretionary

Objective: Determine whether CBP properly managed its National Aviation Maintenance contract. *Office of Audits*

(not previously published)

CBP's Advanced Training Center Acquisition, Discretionary

Objective: Determine whether CBP provided effective oversight and managed the Advanced Training Center acquisition according to Federal, departmental, and component requirements.

Office of Audits

(not previously published)

Inspection of CBP at Miami Ports of Entry, Discretionary

Objective: Determine whether the Miami ports of entry are operating efficiently and in accordance with CBP's policies and procedures for ports of entry. *Office of Audits*

(not previously published)

CBP's Acquisition of Housing for Employees, Discretionary

Objectives: Determine whether CBP adequately considered all potential cost-effective housing options before proceeding with the acquisition and construction of new personnel housing, and whether there was adequate competition in awarding contracts for this construction.

Office of Audits

(not previously published)

Ensuring the Integrity of CBP's Secure Electronic Network for Travelers Rapid Inspection (SENTRI) Program, Discretionary

Objective: Determine whether CBP has adequate internal controls to detect and deter smugglers and drug traffickers from using SENTRI participants to transport illegal persons, contraband, or drugs. *Office of Inspections*

http://www.oig.dhs.gov/assets/PDFs/OIG_APP_FY13.pdf#Page53

United States Immigration and Customs Enforcement (ICE)

Planned Projects

ICE promotes homeland security and public safety through the criminal and civil enforcement of Federal laws governing border control, customs, trade, and immigration.

ICE's Management of Medical Care for Detained Aliens, Discretionary

Objective: Determine whether ICE has developed and implemented policies, procedures, and controls to provide medical care to detainees in accordance with the 2011 Performance-Based National Detention Standards. *Office of Audits*

Social Media Use at ICE, Discretionary

Objectives: Determine to what extent ICE is using social media services and whether there are adequate policies and procedures in place to govern social media use and protect privacy and information systems. *Office of IT Audits*

Management of the Student and Exchange Visitor Program, Discretionary

Objective: Determine whether ICE's management controls for the Student and Exchange Visitor Program prevent misuse of student visas and ensure compliance with student visa conditions. *Office of Audits*

ICE's Oversight and Response to ATD Electronic Monitoring Violations, Discretionary

Objective: Determine whether ICE is providing effective oversight of the vendors monitoring the supervised aliens in the Alternative to Detention (ATD) program are addressing any alarm or other indications of release condition violations. *Office of Audits*

Assessing the Progress of the Development of the Student and Exchange Visitor Information System (SEVIS) II, Discretionary

Objective: Determine ICE's progress in developing the Student and Exchange Visitor Information System II and its implementation. *Office of Inspections*

IT Matters Related to the ICE Component of the FY 2014 DHS Financial Statement Audit, Mandatory

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

Projects In-progress

ICE Worksite Enforcement Strategy, Discretionary

Objective: Determine whether ICE is meeting the requirements of the Immigration Reform and Control Act of 1986 through the administrative inspection process for its worksite enforcement strategy. *Office of Audits*

http://www.oig.dhs.gov/assets/PDFs/OIG_APP_FY13.pdf#Page58

ICE's Management of the Federal Employees' Compensation Act Program, Discretionary

Objectives: Determine whether ICE (1) is effectively managing its Federal Employees' Compensation Act (FECA) program to minimize lost workdays and FECA-related compensation costs by returning work-capable employees to work at the earliest date suggested in a medical report, and (2) uses an effective process to validate its workers' compensation chargeback reports to ensure that the billing is correct. *Office of Audits*

http://www.oig.dhs.gov/assets/PDFs/OIG_APP_FY13.pdf#Page55

Effectiveness of Alternatives to Detention, Discretionary

Objective: Determine whether ICE has effective processes and procedures for its Intensive Supervision Appearance Program. *Office of Inspections*

http://www.oig.dhs.gov/assets/PDFs/OIG_APP_FY13.pdf#Page56

DHS' Efforts To Address Weapons Smuggling to Mexico, Discretionary

Objective: Determine whether ICE has effective processes and procedures to interdict and suppress the flow of weapons to Mexico. *Office of Inspections*

http://www.oig.dhs.gov/assets/PDFs/OIG_APP_FY13.pdf#Page65

Expansion of the DHS Visa Security Program to Additional Overseas Posts, Congressional Request: Senator Charles E. Grassley

Objective: Determine whether ICE has effective and efficient processes for managing and expanding VSP. *Office of Inspections*

http://www.oig.dhs.gov/assets/PDFs/OIG_APP_FY12.pdf#Page64

ICE's Release of Immigration Detainees, Congressional Request: Senators Tom A. Coburn, M.D. and John S. McCain

Objective: Determine whether ICE has effective procedures and policies for releasing immigration detainees. *Office of Inspections*
(not previously published)

United States Secret Service (USSS)

Project In-progress

USSS safeguards the nation's financial infrastructure and payment systems to preserve the integrity of the economy, and protects national leaders, visiting heads of state and government, designated sites, and National Special Security Events.

Adequacy of USSS Efforts to Identify, Mitigate, and Address Instances of Misconduct and Inappropriate Behavior, Congressional Interest

Objective: Determine whether USSS has effective processes and policies for identifying and addressing misconduct or inappropriate behavior.

Office of Inspections

http://www.oig.dhs.gov/assets/PDFs/OIG_APP_FY13.pdf#Page59

Multiple Components

Planned Projects

The projects listed in this section involve two or more Department Components.

Oversight and Management of DHS Acquisitions, Discretionary

Objective: Determine whether the Office of Program Accountability and Risk Management has effective oversight and management of Department acquisitions. *Office of Audits*

DHS' Process for Managing and Assessing Warehouse Needs, Discretionary

Objective: Determine whether DHS has a process to manage and assess its warehousing needs effectively. *Office of Audits*

Operation Streamline's Deterrent Effect on Illegal Border Crossing, Discretionary

Objective: Determine Operation Streamline's effect on reducing the number of migrants' illegal reentries. *Office of Inspections*

DHS' Use of Special Government Employees, Congressional Request: Representative Bennie Thompson

Objective: Determine whether DHS effectively and efficiently manages and uses SGEs. *Office of Inspections*

USCIS and ICE Data Use to Identify Potential Trafficking of Children, Discretionary

Objectives: Determine whether (1) ICE maintains data on legal and illegal aliens who have been arrested for prostitution, (2) analyze the data to identify minors who may have been coerced into sex trafficking and (3) correlate this information to USCIS database to determine whether indicators exist that certain organizations are legally bringing in children and coercing them into the sex trade. *Office of IT Audits*

Projects In-progress

Information Sharing Prior to the April 15, 2013, Boston Marathon Bombing, Mandatory, Presidential Request

Objective: Determine whether information shared within the U.S. government and with State and local entities was complete, accurate, and in compliance with U.S. counterterrorism and information sharing policies, regulations within the Intelligence Community and DHS, and U.S. laws. *Office of Inspections*
(not previously published)

The Use of Radio Frequency Identification Technology at CPB and USCIS, Discretionary

Objective: Determine whether DHS has effectively managed the implementation of Radio-Frequency Identification technology. Note - Individual reports will be issued to CPB and USCIS.
Office of IT Audits
http://www.oig.dhs.gov/assets/PDFs/OIG_APP_FY13.pdf#Page60

DHS Intelligence Enterprise and Activities, Discretionary

Objective: Determine whether DHS Intelligence Enterprise has effective processes for integrating, coordinating, and information sharing between intelligence components and offices. *Office of Inspections*
http://www.oig.dhs.gov/assets/PDFs/OIG_APP_FY13.pdf#Page62

TSA's Oversight of the Pre✓™ Screening Initiative, Discretionary

Objective: Determine whether TSA and CBP have effective processes and procedures to ensure proper vetting of airline passengers. *Office of Inspections*
http://www.oig.dhs.gov/assets/PDFs/OIG_APP_FY13.pdf#Page63

Chapter 6 – Other OIG Activities Planned for Fiscal Year 2014

Council of the Inspectors General on Integrity and Efficiency (CIGIE)

CIGIE Homeland Security Roundtable

The Council of the Inspectors General on Integrity and Efficiency (CIGIE) was 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.

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 affect homeland security. To a large extent, this oversight has been accomplished through collaborative efforts among multiple Inspectors 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 and Efficiency, now CIGIE, established the CIGIE 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 Government entities addressing homeland security issues. The DHS OIG Deputy Inspector General is the roundtable chair.

Office of Integrity and Quality Oversight (IQO)

Hotline, Whistleblower Protection, and Ombuds

IQO ensures that the DHS OIG Hotline, Whistleblower Protection, and Ombuds programs are transparent and function independently, that internal and external quality assurance matters such as desk audits and peer reviews are executed timely and properly, and the quality requirements for investigative, audit, and inspections reports are fulfilled.

IQO maintains the DHS OIG Hotline and acts as the single coordination point for the intake of all external and internal complaints. Ensures each intake item is properly acknowledged, vetted, and referred to the appropriate component or external entity for resolution. Educates DHS components and the public on the purpose of the Hotline, which is to detect and prevent fraud, waste, and abuse in DHS programs and operations.

IQO operates the DHS Whistleblower Protection program by informing all DHS components of the program and coordinating whistleblower status with the Office of Special Council and coordinates with the Integrity Committee of the Council of Inspectors General. IQO operates the DHS OIG Ombuds program by informing OIG personnel of the program and operating the program in a transparent and independent manner. The ombuds representative

independently, confidentially, neutrally and impartially, informally addresses or resolves problems, complaints or issues brought by individuals or groups and brings about systemic change where needed.

Investigations Quality Assurance

IQO conducts internal and coordinates external quality reviews of investigative process and case files for compliance with operating standards set forth in the OIG investigative manual. The purpose of the reviews is to provide assurance that investigative operations adhere to established standards, policies, and procedures. The office reports information of interest to top OIG management and recommends improvement in management and operations.

Audits and Inspections Quality Assurance

IQO conducts internal and coordinates external quality reviews of the audit and inspection processes and documentation for compliance with operating standards set forth in the DHS OIG audit and inspections manuals. The purpose of the reviews is to provide assurance that audit and inspection operations adhere to established standards, policies, and procedures. The office reports information of interest to top OIG management and recommends improvement in management and operations.

Reports Quality Assurance

IQO oversees report quality. This office reviews all investigative, audit, and inspections reports prior to public release. The quality assurance team reviews reports for adherence to standards set forth in the respective investigative, audit, and inspections manuals.

Audit and Inspection Offices

In this section we present the nontraditional projects and non-audit services that our offices will undertake in FY 2014. The projects may or may not result in our issuing a report. Instead, these 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.

Intelligence Oversight and Quarterly Reporting, Mandatory

Objective: Our quarterly reports are published not later than 60 days after the end of each calendar year quarter. We determine whether I&A and USCG have effective processes and standards for collecting, retaining, or disseminating information on U.S. persons. *Office of Inspections*

Disaster Assistance Working Group

CIGIE established the Disaster Assistance Working Group (DAWG) to coordinate the disaster assistance audits and investigations conducted by the Inspectors General overseeing agencies that fund disaster assistance programs. EMO chairs the interagency DAWG, which continues the efforts initiated immediately after the 2005 Gulf Coast hurricanes. The DAWG is the primary forum for the Inspector General community, along with the Department of Justice and the Government Accountability Office, to conduct ongoing discussions of and planning for disaster oversight. Coordination of Federal emergency management oversight efforts is essential given that the President signed the Disaster Relief Appropriations Act that appropriated over \$50 billion dollars to nearly 20 agencies to response to devastation caused by Superstorm Sandy. The DAWG meets on a regular basis to share and discuss lessons learned from previous disaster oversight efforts and to plan for current and future disasters oversight efforts. *Office of Emergency Management Oversight*

Office of Investigations

Case and Strategy Review Process

Background: A discretionary review of all pending cases began in FY 2013 in each DHS OIG investigative field office to assess whether managers and investigators were responsibly addressing all pending cases.

Objectives: Determine whether managers and investigators have appropriately prioritized case work to focus on the high-impact, significant investigations and whether managers and investigators were conducting those investigations in full compliance with existing guidelines. We will assess whether: managers provided specific guidance, direction and feedback to the investigators; investigative activity was regularly occurring and completed in a timely manner; investigative activity was thoroughly conducted and accurately documented in the file; investigative activity was uploaded into Enterprise Data System (EDS) and supporting documentation was visible; and investigative activity was results oriented and conducted as economically and efficiently as possible. *Office of Investigations*

Office of Management (OM)

Efficiency Review Initiative

OM leads participation in the Department's Efficiency Review Initiative (ERI), 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/Onboarding, and IT. OM participates in bimonthly Component Efficiency Representative meetings and DHS working groups to develop new efficiency initiatives. OM will

submit efficiency performance metrics quarterly to DHS Efficiency. The metrics allow the Department to review components' operational performance, and monitor the progress of efficiency initiatives using quantifiable and qualitative standards of measure.

Since ERI's inception, DHS OIG has continued to reduce contractual support services; consolidate and minimize subscription services, professional publications, and newspapers; produce and distribute reports and information as cost effectively as possible; eliminate non-mission travel; reduce attendance at conferences and training outside of the National Capital Region; and conduct in-house training.

In line with the spirit of both the ERI and the Administration's Campaign to Cut Waste, OM will continue to increase the efficiency and effectiveness of DHS OIG operations, and reduce administrative costs to make funds available for our significant mission-related priorities.

Efficiency Task Forces

OM leads and coordinates DHS OIG's participation in several of the Secretary's efficiency task forces, including Civil Rights and Civil Liberties, Executive Secretariat, FOIA/Privacy, Executive Secretariat, Intergovernmental Programs, International Affairs, Legal Issues/General Counsel, Legislative Affairs, and Policy and Public Affairs. The task forces are to optimize the alignment of responsibilities, resources, and critical coordination and collaboration requirements across DHS components to streamline operations and improve performance and consistency.

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 information on homeland security and weapons of mass destruction. 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.

OM also participates in Information Sharing Coordinating Council biweekly meetings, monitors council activities, and participates in its initiatives, as appropriate.

Human Resources Initiatives

OM will recruit and retain a highly qualified and diverse workforce to carry out its mission and enhance the reputation and distinctiveness of our office. As part of OM's efforts to improve the efficiency of day-to-day operations within our office, we will review and enhance human resources systems, processes, procedures, and policies using the principles of continuous quality improvement and service excellence. OM will focus on carrying out human resources policies and procedures in an open and honest fashion, welcoming comments, suggestions, and

advice from our customers, while partnering with top management by providing professional and expert advice and services on matters that affect human resources issues. Our goal is to work with supervisors to create an environment that will encourage and reward exemplary performance and enhance strategies and programs that provide support and networking opportunities for new employees, especially for those from underrepresented groups.

Alternative Workplace and Workforce Transformation — Mission-Centric Mobility

Since real estate represents the second highest cost for our office, OM reviewed all leases to reduce the office footprint and evaluated how to utilize space better to improve our return on investment. Following the administration's Freeze the Footprint initiative, OM identified opportunities to increase occupancy rates in current facilities through a phased approach and to offset reductions in inventory when new space is required.

Beginning in FY 2014, OM will implement alternative workplace arrangements. These arrangements will be referred to as Workforce Transformation — Mission-Centric Mobility. Workforce Transformation combines nontraditional work practices, settings and locations, and leverages mobile technologies to increase workforce mobility and effectiveness. Our goal is to reduce lease costs, minimize renovation costs, and improve organizational flexibility and agility to respond to current and future workforce mobility demands. Workforce Transformation focuses beyond the traditional office environment and offers a variety of flexible work settings conducive to aid staff in achieving the OIG's mission.

Throughout our transformation, DHS OIG will remain focused on our mission while increasing efficiency and effectiveness.

IT Infrastructure Rationalization and Optimization Strategy

Objectives: Beginning in FY 2014, OM Information Technology Divisions (ITD) will identify and analyze alternative service delivery methods and operating models to increase efficiencies and the effectiveness of our IT infrastructure operation and maintenance activities. ITD will explore new business models for delivering more efficient, cost-effective IT services in the near and long-term.

Continuous Diagnostics and Mitigation Implementation

ITD will take action to reduce cyberspace risks in our offices and DHS at large, in part, by increasing our knowledge about IT assets on the network, as well as reducing vulnerabilities present in DHS OIG systems. We plan to install continuous diagnostics and mitigation tools in the first quarter of FY 2014, and establish a strong patching and vulnerability management process in the second quarter based on government-wide and industry best practices. The performance indicators for this project are FY 2014 FISMA performance metrics and implementing proactive IT security processes.

Homeland Security Presidential Directive 12 Compliance

ITD will work with OIG personnel to implement use of their personal identity verification (PIV) credentials to access DHS and OIG systems. ITD will expand the current pilot activities to focus groups, and begin to deliver capabilities to DHS OIG offices in mid-2014. Employees will utilize their PIV card for login authentication to DHS OIG systems. A single-sign-on environment will be established to reduce the need for password-based authentication to the majority of OIG and DHS systems. This project will change the way the OIG Helpdesk resolves some of the most common service requests. For resiliency, ITD will also implement an alternative authentication method. The alternative authenticator will enable access in cases of forgotten personal identification numbers, and faulty or lost credentials.

Mobility Enhancement

ITD will develop a plan for enabling a mobile workforce. The plan will embrace smartphones and tablets to support OIG's mission. The criteria for this initiative includes usability, security, and leveraging existing government-furnished mobile devices to better support a mobile workforce.

Operating System Upgrade

In FY 2014, the vendor will no longer support the current Windows XP operating system (OS). ITD will begin planning to upgrade all laptop computers with the latest base operating system. This new platform will also include updating to newer releases of core applications, including: Microsoft Office, Adobe, Encryption, and TeamMate. The OS upgrade will provide employees with additional features, security, and functionality. To meet this goal, ITD will build the framework for automated system configurations. OM will propose a communications plan to limit disruptions, and ITD along with the OM Training and Workforce Development Division (TWD) will begin training employees prior to deployment. This upgrade is expected to start in the first quarter of FY 2014 and continue through the third quarter.

Video Teleconferencing Upgrade

ITD will replace legacy video teleconferencing (VTC) systems with new modular technology using one standard platform. Our goal is to upgrade VTC services to provide a solution to reduce the need for travel, increase collaboration, and distribute training to OIG field locations. ITD will evaluate hosting VTC services for all OIG locations and for investing in unified communications technology to support computer-based VTC.

Public Website Redesign

DHS OIG's public website is built on a content management platform that is no longer supported by DHS. The legacy platform is not 508 compliant, nor does it maintain any inherent security controls required by FISMA. ITD will redesign the current OIG public website using a

new standard content management system that places OIG in alignment with DHS. ITD's efforts will improve the security posture, 508 compliance, and website usability.

Enterprise Data System Dashboard Enhancement

ITD will introduce a statistical dashboard for all DHS OIG employees by allowing OIG offices to access statistical information about their functional products through EDS, as well as information related to employees' upcoming milestones across other EDS applications like the Time Tracking System and the Enterprise Performance Analysis System (ePAS). This project will take advantage of the common platform among the applications to increase the efficiency and standardization in reporting and data sharing, as well as improve data integrity by providing a single source for information. ITD plans to provide Investigative reports for IG and AIG for Investigations by the end of the first quarter of FY 2014.

Enterprise Applications Process Improvement

ITD's Enterprise Applications manages multiple projects with multiple resources using a manual System Development Life Cycle process that is cumbersome, time consuming, and, at times, faulty. ITD will automate the process, from managing requirements from the customer to the end-point of its deployment, including managing various deployment releases to improve efficiency, accuracy, and turnaround time on our products. In the first quarter of FY 2014, ITD will configure and enable managing source code and deployments using modular technologies to support OIG missions.

Training and Workforce Development

TWD will focus on enhancing programs that support employees' professional goals OIG-wide to provide comprehensive, systematic, and cost-effective career development, education, and training systems to improve organizational efficiency and effectiveness. TWD incorporates human performance improvement methodologies, processes, and policies to strengthen the DHS OIG workforce with a focus on "work, worker, and workplace" initiatives. This approach further refines and supports individual competencies that directly contribute to a well-trained, certified, and highly qualified workforce.

TWD will collaborate with OIG offices and a cadre of subject matter experts to conduct formal needs assessments and training analyses; benchmarking studies; and development of training standards, policies, procedures, lesson plans, and locally produced curriculums for in-residence, eLearning and blended learning initiatives. TWD will continue the Mentor-Protégé coaching program, providing invaluable insight and a continuity of pass-along knowledge beyond the employee's own education and experiences.

TWD plans to (1) launch the OIG Learning Portal, a consolidated home for all OIG Learning and Development initiatives, and the Enterprise-wide Talent Management System (ETMS), an integrated DHS-wide learning management and performance management system solution; (2)

conduct studies to build and create a comprehensive library of all DHS OIG competencies; (3) work with key OIG stakeholders to consolidate, resource, and identify workforce developmental efficiencies across all OIG offices; and (4) consolidate all OIG training resources under TWD to gain significant and measurable efficiencies.

TWD will partner with internal and external stakeholders, and work collaboratively with the CIGIE Training Institute, DHS' Enterprise Learning Division, and other Federal resources to standardize and consolidate learning/knowledge management and Web-based instructional systems. TWD will also lead CIGIE's community-wide initiative to establish a Knowledge Management-based Community of Practice for all CIGIE entities.

Budget Management Initiatives

The OM Budget Division will conduct periodic audits of headquarters and field offices budget allotment to ensure compliance with budgetary, procurement, purchase card, travel card, financial, and travel policies, procedures, and regulations; address noncompliance and establish corrective action plans; prepare and execute DHS OIG's operating plan and budget; obligate funds and monitor and report expenditures; execute interagency agreements and make payments; manage travel service, including Government travel card transactions and travel voucher processing; and collaborate with stakeholders such as DHS, OMB, and congressional.

Acquisition Management Initiatives

The OM Acquisition Division will establish an internal control program to review all purchase card transactions on a monthly basis. The program will include a system to track procurements received and processed to identify contracts to be renewed and those that will be expiring, and a system to track all employees who receive transit subsidies and other transportation subsidies. The division will also develop internal acquisition instructions for acquisition personnel to use in their day-to-day acquisition operations, and institute close-out procedures for contracts that have closed or expired.

Performance Management Program

The DHS OIG Performance Management Program's mission is to support the OIG organizational goals by promoting and sustaining a high-performance culture. Its purpose is to establish and maintain an employee performance appraisal program designed to improve individual and organizational performance through effective communication of performance. It is designed to foster two-way communication, establish accountability, and provide joint ownership of performance goals and outcomes.

Office of General Counsel

Legislation and Policy

Our Counsel's office 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. Our Counsel's attorneys serve on task forces, prepare policy papers, and review and comment on proposed legislation, regulations, directives, and other such matters. In addition, Counsel reviews internal policies for audits, inspections, investigations, and other divisions within DHS OIG.

External Liaison and Memoranda of Understanding

Our Counsel works closely at times with attorneys in DHS, DOJ, 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. Counsel drafts and reviews Memoranda of Understanding with external entities, both governmental and nongovernmental. Counsel also assists DOJ U.S. Attorneys by providing internal investigation status information for DHS employees who may be called as witnesses in criminal proceedings throughout the country.

Freedom of Information Act/Privacy Act

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

Ethics

Our Counsel ensures DHS OIG's compliance with Federal ethics laws and regulations. Counsel provides guidance on activities and provides individualized advice to our employees in response to questions about specific actions. Counsel provides new employees with an ethics orientation and departing employees with postemployment counseling, provides annual ethics training, and reviews annual financial disclosure reports for our employees.

Personnel

Our Counsel works closely with our OM's human resources staff 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. Our Counsel represents DHS OIG in administrative proceedings before the Merit Systems Protection Board and the Equal

Employment Opportunity Commission, and works closely with DOJ attorneys on DHS 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

Our Counsel also handles or coordinates with DOJ on actions against DHS OIG under the *Federal Torts Claims Act* or against individual employees for actions taken in their official capacity—so-called Bivens actions. Our Counsel attorneys work closely with DOJ attorneys, attorneys elsewhere in DHS, and throughout the Federal Government.

Training

Our Counsel provides ongoing training throughout our office on a wide range of legal issues, including ethics, FOIA and *Privacy Act* matters, suspension and debarment, legislation, the False Claims Act, and the Fourth Amendment. Counsel stays abreast of ongoing legislative and policy initiatives and provides written comments as appropriate.

Council of Counsels to Inspectors General

Our attorneys play a leading role in the Council of Counsels to the Inspectors General (CCIG), the organization for all attorneys in OIGs throughout the Federal Government. Our Counsel attorneys have also served on instructional panels regarding access to information, FOIA and the *Privacy Act*, and suspension and debarment; served on working groups to provide responses to legal questions posed by FLETC; and helped plan training sessions for new OIG attorneys and summer interns. Our Counsel attorneys intend to continue to play an active role in the CCIG.

The President's FY 2014 DHS budget constitutes \$39.0 billion in net discretionary funding. An additional \$5.6 billion for the Disaster Relief Fund is provided separately, pursuant to the Budget Control Act of 2011. The budget—

- Provides \$39 billion in discretionary funding for the Department. The Budget funds critical capital needs and core homeland security functions, such as transportation security, cybersecurity, and border security.

- Invests \$714 million in a new, state-of-the-art laboratory to develop countermeasures for diseases.

- Allocates \$44 million in new funding in support of the expansion of the Comprehensive National Cybersecurity Initiative Five to develop a comprehensive and coordinated system that will foster cybersecurity information sharing.

- Eliminates duplicative, stand-alone FEMA grant programs, consolidating them into a new homeland security grants program.

- Focuses immigration detention resources on priority aliens such as criminals, repeat immigration law violators, recent border entrants, and immigration fugitives.

- Provides \$114 million to support, expand, and enhance the E-Verify system to build additional system capacity, enhance fraud-prevention and detection capabilities, and improve individuals' ability to ensure their employment eligibility records are accurate.

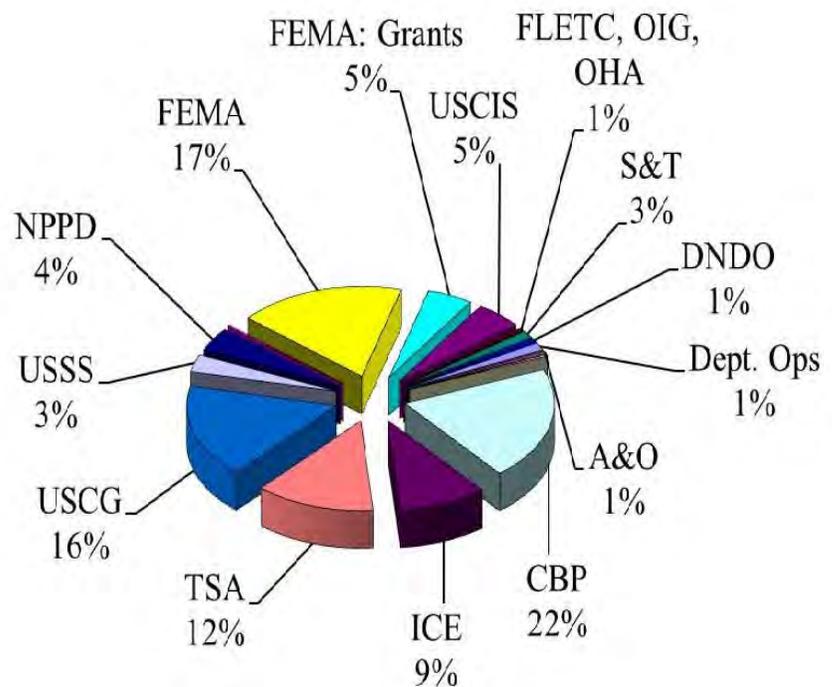
- Provides \$494 million to fund important research and development advances in cybersecurity, explosives detection, and chemical/biological response systems.

- Supports job growth and expansion of the U.S. economy with \$221 million to add 1,600 new CBP officers and mobile equipment.

Appendix A

Percent of the Department's Proposed FY 2014

Total Budget Authority of \$59,959,337,000 By Component



Source: Budget in Brief, FY 2014, pp. 3-5.

<http://www.dhs.gov/sites/default/files/publications/MGMT/FY%202014%20BIB%20-%20FINAL%20-508%20Formatted%20%284%29.pdf>

Notes:

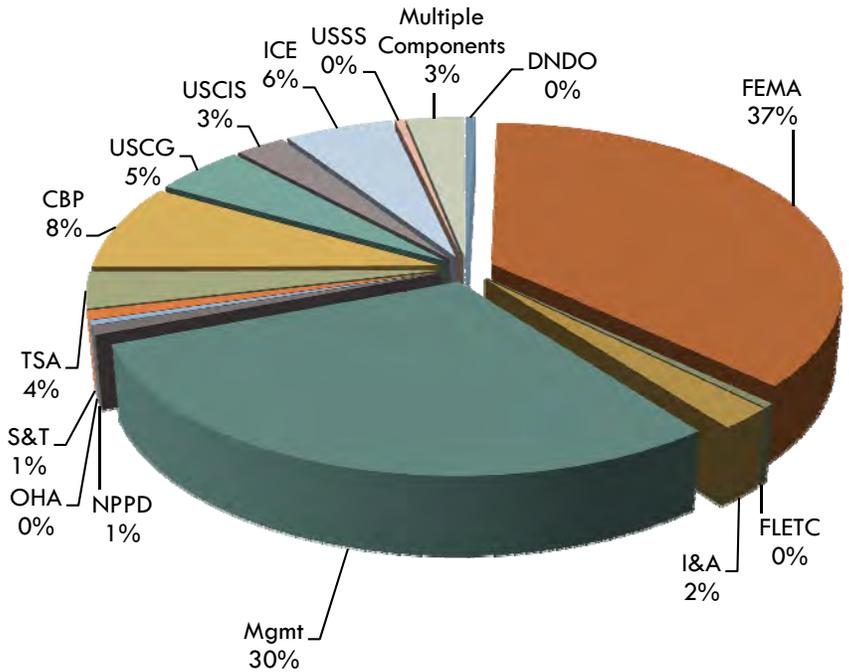
Departmental Operations (Dept. Ops) is comprised of the Office of the Secretary and Executive Management, DHS Headquarters Consolidation, the Office of the Undersecretary for Management, the Office of the Chief Financial Officer, and the Office of the Chief Information Officer.

We endeavor to align our projects with the Department's FY 2014 strategic missions and budget priorities. The 16 **major** components that currently make up DHS are:

- The Directorate for National Protection and Programs (NPPD)
- The Directorate for Science and Technology (S&T)
- The Directorate for Management (MGMT)
- The Office of Policy
- The Office of Health Affairs (OHA)
- The Office of Intelligence and Analysis (I&A)
- The Office of Operations Coordination and Planning
- The Federal Law Enforcement Training Center (FLETC)
- The Domestic Nuclear Detection Office (DNDO)
- The Transportation Security Administration (TSA)
- The United States Customs and Border Protection (CBP)
- The United States Citizenship and Immigration Services (USCIS)
- The United States Immigration and Customs Enforcement (ICE)
- The United States Coast Guard (USCG)
- The Federal Emergency Management Agency (FEMA)
- The United States Secret Service (USSS)

Appendix B

OIG's Activities by DHS Component



Legend:

- See text to the left for the major DHS operating Components.
- Multiple Components– represents OIG projects involving more than one DHS Component.

Summary:

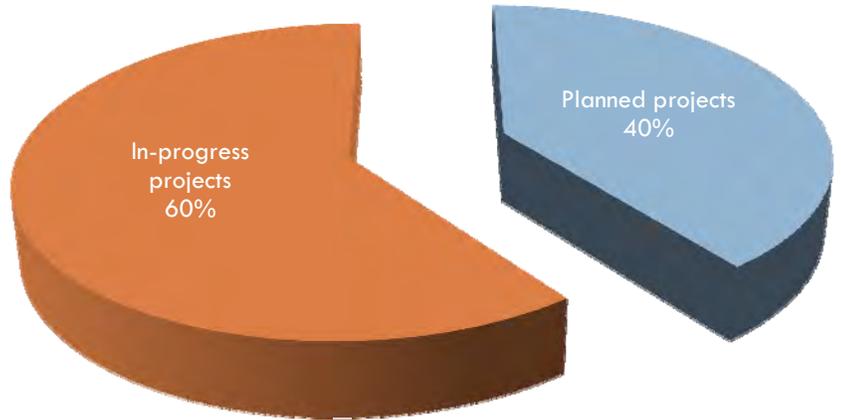
The majority of OIG planned and in-progress projects for FY 2014 involve these six major DHS Components: MGMT, FEMA, ICE, CBP, USCG, and TSA.

Our FY 2014 Plan lists just over 90 “new” **planned projects**. Our plan also includes more than 100 projects that are **in-progress**—those projects carried forward from the previous fiscal year. Our planned projects make up 40 percent of the work we plan to initiate in FY 2014, while in-progress projects make up 60 percent of our FY 2014 portfolio of projects.

As noted earlier, our plan describes more projects than may be completed in FY 2014, and some projects initiated in FY 2014 may carry forward into FY 2015. Throughout FY 2014, we may also adjust the plan based on future developments and requests from DHS management and Congress that may occur as the year progresses. As a result, circumstances or events may necessitate deferring or canceling some projects in this plan.

Appendix C

OIG's Planned and In-Progress Projects



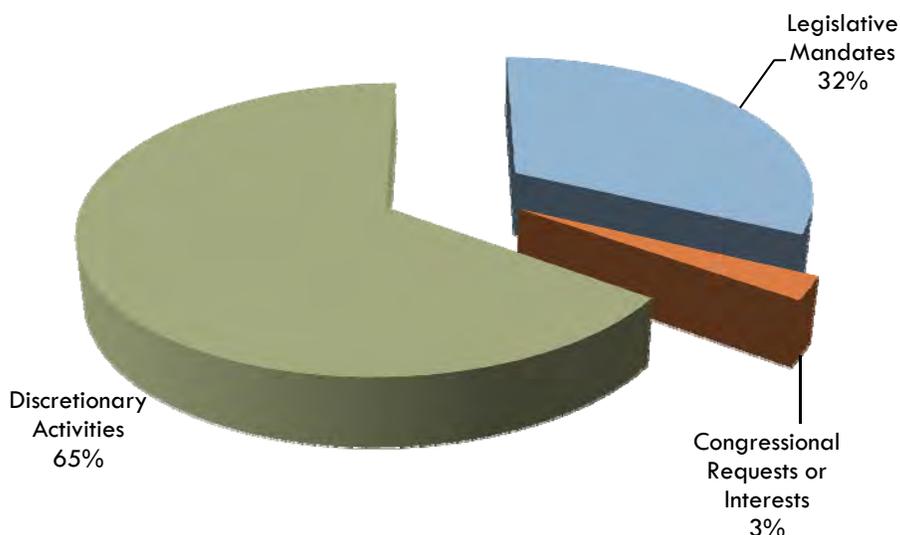
In FY 2014, DHS OIG will address over 70 mandated projects. We place emphasis on the timely completion of all **legislative mandates** such as the Chief Financial Officers Act (P.L. 101-576) and FISMA (44 U.S.C. §§ 3541, et seq.).

We are also aware of **congressional requests and interests** through our Office of External Affairs – Legislative Division. This year’s plan includes audits and inspections requested by Members of Congress.

We also focus on the Department’s mission and priorities described in its Strategic Plan for Fiscal Years 2012 through 2016, which is based on the Department’s first Quadrennial Homeland Security Review. We endeavor to include projects that are aligned with the Department’s mission and priorities. Our plan includes over 140 **discretionary activities**, which are initiated by our office based on an assessment of the Department’s mission critical risk areas.

Appendix D

OIG Projects by Type: Legislative Mandates, Congressional Requests, and Discretionary Activities



The Department's revised Strategic Plan for Fiscal Years 2012 through 2016 outlines the Department's vision, missions, and goals. DHS' Strategic Plan describes the Department's efforts to prioritize mission critical operations while maximizing the effectiveness and efficiency of tax dollars.

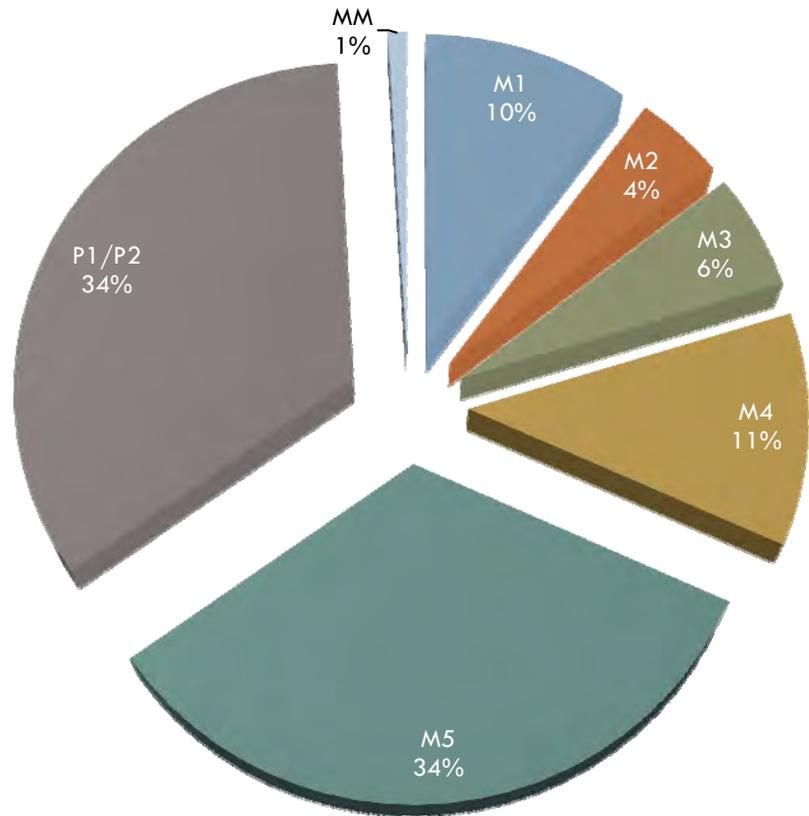
DHS named five major missions in its 2012 Strategic Plan in addition to stating two priorities: 1) supporting national and economic security and 2) maturing and strengthening DHS. DHS OIG aligns its projects and activities with the stated missions, priorities, and goals of the Department. Recently, however, DHS announced plans to incorporate one of the two priorities into its five major mission areas when it issues a new strategic plan. In FY 2014, we continue to track our work related to both 2012 strategic priorities.

The chart illustrates how our planned and in-progress projects will align with DHS major missions and priorities.

- **Mission 1 (M1):** Preventing Terrorism and Enhancing Security
- **Mission 2 (M2):** Securing and Managing Our Borders
- **Mission 3 (M3):** Enforcing and Administering Our Immigration Laws
- **Mission 4 (M4):** Safeguarding and Securing Cyberspace
- **Mission 5 (M5):** Ensuring Resilience to Disasters
- **Priority (P1):** Providing Essential Support to National and Economic Security **Please note:** DHS plans to incorporate this priority into the five major missions.
- **Priority (P2):** Maturing and Strengthening DHS

Appendix E

OIG Projects Aligned by DHS Mission Areas and Priorities



Legend:

- See text to the left for descriptions of DHS major missions and priorities.
- MM represents Multiple Missions: DHS OIG projects involving more than one DHS Mission/Priority.

Summary:

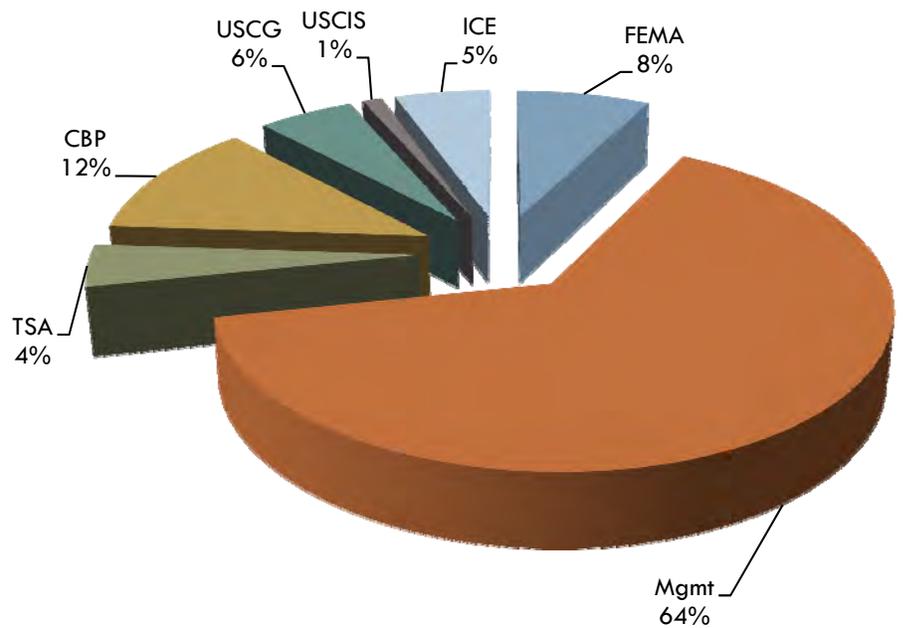
The majority of DHS OIG planned and in-progress projects for FY 2014 involves these six major DHS Components: MGMT, FEMA, ICE, CBP, USCG, and TSA.

The Office of Audits conducts and coordinates audits and program evaluations of the management and financial operations of DHS. Auditors examine the methods that the Department, components, grantees, and contractors employ in carrying out essential programs or activities.

Appendix F

OIDG's Activities by Component Under Our Audit Offices

Office of Audits



The Office of Audits planned and in-progress projects for FY 2014 will cover major DHS Components, such as MGMT, FEMA, ICE, USCG, CBP, and TSA. The Office of Audits will conduct several audits mandated through the Chief Financial Officers Act, and will also conduct several Office of National Drug Control Policy Reviews. These audits are included in the chart under the Directorate for Management.

The Office of Emergency Management Oversight provides an aggressive and ongoing audit effort designed to ensure that disaster relief funds are spent appropriately, while identifying fraud, waste, and abuse as early as possible.

Appendix F (cont'd)

OIG's Activities by Component Under Our Audit Offices

Office of Emergency Management Oversight



The Office of Emergency Management Oversight (EMO) planned and in-progress work will include discretionary programmatic audits, disaster assistance grant audits, and reviews related to DHS' FEMA Component in FY 2014. These projects relate to DHS' major management challenge (MC)-Emergency Response (ER), and DHS' mission area: *Ensuring Resilience to Disasters*.

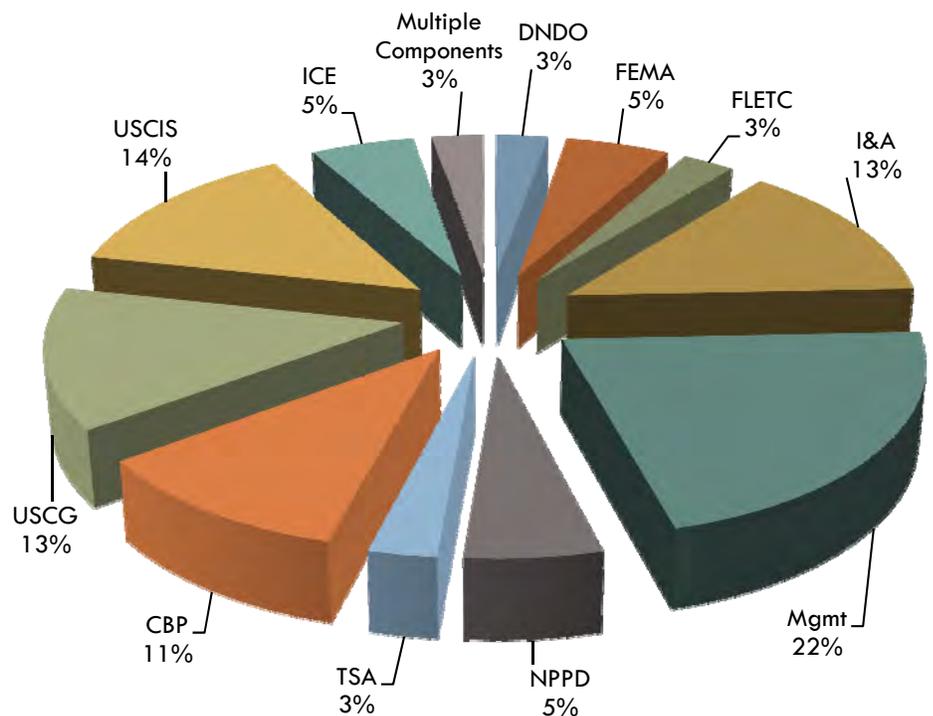
EMO disaster assistant grant work will focus on FEMA's Public Assistance grants, and other disaster grant funds awarded to states and local governments, as a result of major presidentially declared disasters.

The Office of Information Technology Audits conducts audits and evaluations of DHS' information technology (IT) management, cyber infrastructure, systems integration, and systems privacy activities protections. The office reviews the cost-effectiveness of acquisitions, implementation, and management of major systems and telecommunications networks across DHS.

Appendix F (cont'd)

OIG's Activities by Component Under Our Audit Offices

Office of Information Technology



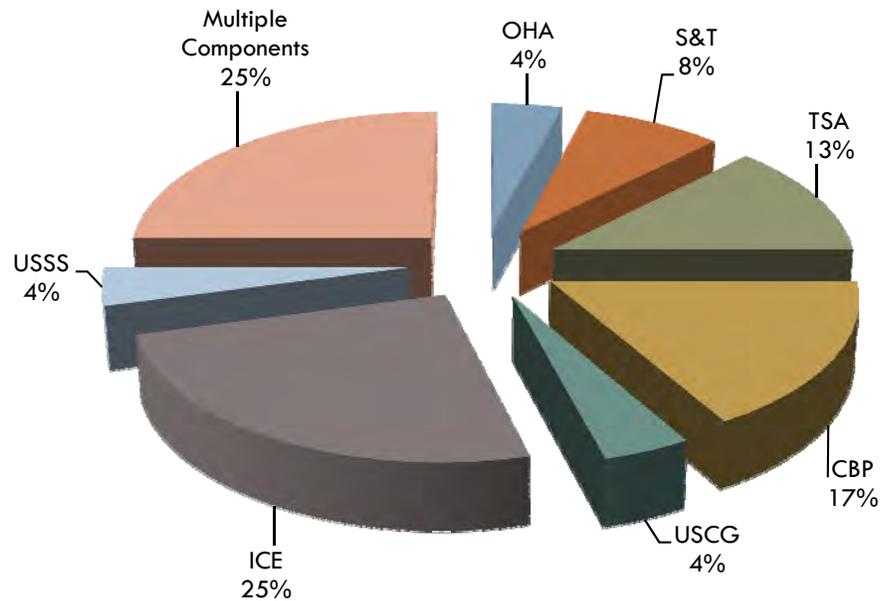
The Office of Information Technology Audits has planned and in-progress projects that will cover major DHS Components, such as USCIS, USCG, USCBP, I&A, and MGMT.

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.

ISP may examine any area of the Department. In addition, ISP is the lead DHS 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.

Appendix G

OIG's Activities by Component Under Our Inspection Office



The Office of Inspections has planned and in-progress projects which will cover major DHS Components, such as ICE, CBP, TSA, S&T, and projects covering multiple DHS Components.

Appendix H

OIG Headquarters and Field Office Contacts

Headquarters Mailing Address:

Office of Inspector General/MAIL STOP 0305
Department of Homeland Security
245 Murray Lane SW
Washington, DC 20528-0305

Headquarters Telephone/Fax:

(202) 254-4100 / Fax: (202) 254-4285

Email:

dhs-oig.officepublicaffairs@dhs.gov

Field Office Address:

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OIG Headquarters Senior Management Team:

Charles K. Edwards	Deputy Inspector General
Carlton I. Mann	Chief Operating Officer
Yvonne Manino	Acting Chief of Staff
Dorothy Balaban	Special Assistant to the Deputy Inspector General
Jennifer A. Kendrick	Acting Deputy General Counsel
Anne L. Richards	Assistant Inspector General/Audits
John Kelly	Assistant Inspector General/Emergency Management Oversight
Frank Deffer	Assistant Inspector General/Information Technology Audits
Deborah Outten-Mills	Acting Assistant Inspector General/Inspections
D. Michael Beard	Assistant Inspector General/Integrity & Quality Oversight
John Dupuy	Assistant Inspector General/Investigations
Russell H. Barbee Jr.	Assistant Inspector General/Management
(vacant)	Director, Office of External Affairs

Appendix I – Acronyms and Abbreviations

Acronyms and Abbreviations	Description
AIG	Assistant Inspector General
AIT	advanced imaging technology
ARRA	<i>American Reinvestment and Recovery Act of 2009</i>
ATC	Advanced Training Center
ATD	Alternative to Detention
ATEP	Alien Transfer Exit Program
BASS	Biometrics at Sea System
C4ISR	Command, Control, Communications, Computers, Intelligence, Surveillance, and Reconnaissance
CBP	United States Customs and Border Protection
CIGIE	Council of the Inspectors General on Integrity and Efficiency
CIO	Chief Information Officer
COO	Chief Operating Officer
DAWG	Disaster Assistance Working Group
DFW	Dallas Fort Worth
DHS	Department of Homeland Security
DIG	Deputy Inspector General
DOJ	Department of Justice
E3A	EINSTEIN3 Accelerated
EA	Office of External Affairs, Office of Inspector General
ECS	Enhanced Cybersecurity Services
EDS	Enterprise Data System
EMO	Office of Emergency Management Oversight, Office of Inspector General
EMOT	Emergency Management Oversight Team
ePAS	Enterprise Performance Analysis System
ERI	Efficiency Review Initiative
ETMS	Enterprise-wide Talent Management System
FECA	<i>Federal Employees' Compensation Act</i>
FEMA	Federal Emergency Management Agency
FISMA	<i>Federal Information Security Management Act</i>
FLETC	Federal Law Enforcement Training Center
FOIA	<i>Freedom of Information Act</i>
FY	fiscal year
GAO	Government Accountability Office
GOHSEP	Governor's Office of Homeland Security and Emergency Preparedness
HMGP	Hazard Mitigation Grant Program
I&A	Office of Intelligence and Analysis
ICE	United States Immigration and Customs Enforcement
IDENT	Automated Biometric Identification System
INV	Office of Investigations, Office of Inspector General
IQO	Office of Integrity and Quality Oversight, Office of Inspector General
ISP	Office of Inspections, Office of Inspector General
IT	Information technology
ITA	Office of Information Technology Audits, Office of Inspector General
ITD	Information Technology Division
MTSA	<i>Maritime Transportation Security Act of 2002</i>

Acronyms and Abbreviations	Description
NBIC	National Bio-surveillance Center
NBIS	National Biosurveillance Integration System
NCSD	National Cyber Security Division
NPPD	National Protection and Programs Directorate
OA	Office of Audits, Office of Inspector General
OFM	Office of Financial Management
OIG	Office of Inspector General
OM	Office of Management, Office of Inspector General
OMB	Office of Management and Budget
OPA	Office of Public Affairs, Office of Inspector General
OS	operating system
PAR	Performance and Accountability Report
PIN	personal identification number
PIV	personal identity verification
QHSR	Quadrennial Homeland Security Review
S&T	Directorate for Science and Technology
SENTRI	Secure Electronic Network for Travels Rapid Inspection
SEVIS	Student and Exchange Visitor Information System
SGE	Special Government Employee
SHSP	State Homeland Security Program
TIC	Trusted Internet connection
TSA	Transportation Security Administration
TWD	Training and Workforce Development Division
UASI	Urban Areas Security Initiative
USCG	United States Coast Guard
USCIS	United States Customs and Immigration Service
USSS	United States Secret Service
VSP	Visa Security Program
VSU	Visa Security Unit
VTC	video teleconferencing



Homeland
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