

**DHS Open Unresolved
Recommendations
Over Six Months Old,
as of September 30, 2015**





OFFICE OF INSPECTOR GENERAL

Department of Homeland Security

Washington, DC 20528 / www.oig.dhs.gov

October 31, 2015

The Department of Homeland Security (DHS) Office of Inspector General (OIG) is committed to helping DHS achieve its critical missions. To do that, we conduct and supervise independent audits, investigations, and inspections of DHS programs and operations, and recommend ways for DHS to carry out its responsibilities in the most effective, efficient, and economical manner. We also issue recommendations and pursue cases to address fraud, abuse, mismanagement, and waste of taxpayer funds entrusted to DHS.

This *DHS Open Unresolved Recommendations Over Six Months Old* report lists recommendations we issued to DHS more than six months ago that require action. The Office of Management and Budget established the six month resolution timeframe to ensure prompt resolution and corrective actions on OIG findings and recommendations.

Recommendations remain open unresolved until DHS submits to DHS OIG a corrective action plan (plan) that addresses the findings and recommendations, and DHS OIG accepts the plan. A recommendation is closed once DHS completes the agreed upon corrective actions and DHS OIG verifies that the actions were completed. Recommendations may also be closed by DHS OIG at the request of DHS' Resolution Official or based on special circumstances.

Implementation of these recommendations should result in a more effective, efficient, and economical DHS. We continually strive to resolve the remainder of open and unresolved recommendations. In the last six months, working with DHS and component leadership, we have reduced the number of open unresolved recommendations over six months old from 40 to 21.

Additional information about each recommendation is included in the corresponding report. Please view the *Reports* section of our website at www.oig.dhs.gov to review our reports.

DHS Open Unresolved Recommendations Over 6 Months Old, as of September 30, 2015

No. of Reports	Report No.	Report Title	Date Issued	Rec. No.	Recommendation Text	Component	Age of Rec. on 9/30/15 (Days)
1	OIG-13-44	Massachusetts' Management of Homeland Security Grant Program Awards for Fiscal Years 2008 Through 2011	2/28/2013	4	We recommend that the Federal Emergency Management Agency (FEMA) Assistant Administrator, Grant Programs Directorate require EOPSS to return funds that exceeded the statutory limits for management and administrative expenses.	FEMA	930
	OIG-13-44	Massachusetts' Management of Homeland Security Grant Program Awards for Fiscal Years 2008 Through 2011	2/28/2013	5	We recommend that the Federal Emergency Management Agency Assistant Administrator, Grant Programs Directorate correct the Homeland Security Grant Program Guidance to comply with statutory limitations on management and administration expenditures.	FEMA	930
2	OIG-13-93	USCG Must Improve the Security and Strengthen the Management of Its Laptops	5/29/2013	2	We recommend that the Assistant Commandant for Command, Control, Communications, Computers, and Information Technology implement required U.S. Government Configuration Baseline and DHS configuration settings on all U.S. Coast Guard (USCG) laptops or follow applicable DHS policy to submit a waiver to acknowledge and accept the risk of non-compliance.	USCG	841
3	OIG-13-110	DHS Needs To Strengthen Information Technology Continuity and Contingency Planning Capabilities (Redacted)	8/28/2013	6	We recommend that the Acting Chief Information Officer (CIO) develop and implement a process to maintain backup data for enterprise mission essential systems	Management	752
	OIG-13-110	DHS Needs To Strengthen Information Technology Continuity and Contingency Planning Capabilities (Redacted)	8/28/2013	7	We recommend that the Acting Chief Information Officer identify and establish adequate alternate facilities for the Network Operations Center (NOC) and Security Operations Center (SOC).	Management	752
	OIG-13-110	DHS Needs To Strengthen Information Technology Continuity and Contingency Planning Capabilities (Redacted)	8/28/2013	9	We recommend that the Acting Chief Information Officer perform full failover contingency testing for enterprise mission essential systems.	Management	752

DHS Open Unresolved Recommendations Over 6 Months Old, as of September 30, 2015

No. of Reports	Report No.	Report Title	Date Issued	Rec. No.	Recommendation Text	Component	Age of Rec. on 9/30/15 (Days)
4	OIG-14-25	Hawaii's Management of Homeland Security Grant Program Awards for Fiscal Years 2009 Through 2011	1/7/2014	24	We recommend that the Assistant Administrator, Grant Programs Directorate, require the Office of the Adjutant General, Grant Management Office to develop a sustainability plan that includes future funding sources and options for achieving the federally required national information sharing capabilities.	FEMA	623
	OIG-14-25	Hawaii's Management of Homeland Security Grant Program Awards for Fiscal Years 2009 Through 2011	1/7/2014	26	We recommend that the Assistant Administrator, Grant Programs Directorate, require the Office of the Adjutant General, Grant Management Office to establish and enforce a protocol for assessing the Center's progress in achieving the goals and objectives included in the sustainability plan.	FEMA	623
5	OIG-14-132	Audit of Security Controls for DHS Information Technology Systems at Dallas/Fort Worth International Airport	9/5/2014	6	We recommend that the Transportation Security Administration (TSA) CIO establish interconnection security agreements to document the interconnection between the Security Technology Integrated Program and non-DHS baggage handling systems.	TSA	385
6	OIG-14-142	(U) Vulnerabilities Exist in TSA's Checked Baggage Screening Operations	9/16/2014	5	The report is classified.	TSA	374

DHS Open Unresolved Recommendations Over 6 Months Old, as of September 30, 2015

No. of Reports	Report No.	Report Title	Date Issued	Rec. No.	Recommendation Text	Component	Age of Rec. on 9/30/15 (Days)
7	OIG-15-16	Evaluation of DHS' Information Security Program for Fiscal Year 2014	12/12/2014	1	We recommend that the Chief Information Security Officer declare and report a material weakness, in accordance with Federal Information Security Management Act of 2002 (FISMA) requirements, on Components' information security programs that are consistently lagging behind in key performance metrics (e.g., system inventory, security authorization, continuous monitoring, and weakness remediation) of the information scorecard or when Components fail to provide the required continuous monitoring data feeds.	Management	288
8	OIG-15-17	U.S. Customs and Border Protection's Unmanned Aircraft System Program Does Not Achieve Intended Results or Recognize All Costs of Operations	12/24/2014	1	We recommend that the Commissioner, U.S. Customs and Border Protection (CBP) coordinate with the DHS Office of the Chief Readiness Support Officer to conduct an independent study, before acquiring more unmanned aircraft, to determine whether: additional unmanned aircraft are needed and justified; and future funding should be used to invest in the current program or invested in other alternatives, such as manned aircraft and ground assets, to enhance surveillance needs.	CBP	276
9	OIG-15-18	Audit of Security Controls for DHS Information Technology Systems at John F. Kennedy International Airport (JFK)-Sensitive Security Information (Redacted)	1/16/2015	6	We recommend that the TSA CIO designate the intrusion detection and surveillance Security Systems as DHS information technology (IT) systems and implement applicable management, technical, operational, and privacy controls and reviews.	TSA	254
	OIG-15-18	Audit of Security Controls for DHS Information Technology Systems at John F. Kennedy International Airport-Sensitive Security Information (Redacted)	1/16/2015	8	We recommend that the CBP CIO secure CBP information technology equipment from unauthorized access.	CBP	254

DHS Open Unresolved Recommendations Over 6 Months Old, as of September 30, 2015

No. of Reports	Report No.	Report Title	Date Issued	Rec. No.	Recommendation Text	Component	Age of Rec. on 9/30/15 (Days)
	OIG-15-18	Audit of Security Controls for DHS Information Technology Systems at John F. Kennedy International Airport-Sensitive Security Information (Redacted)	1/16/2015	10	We recommend that the CBP CIO designate the surveillance systems as CBP/DHS IT systems and implement applicable management, technical, operational controls, and privacy controls and reviews.	CBP	254
	OIG-15-18	Audit of Security Controls for DHS Information Technology Systems at John F. Kennedy International Airport-Sensitive Security Information (Redacted)	1/16/2015	14	We recommend that the U.S. Immigration and Customs Enforcement (ICE) CIO upgrade the closed-circuit television (CCTV) system and surveillance monitoring systems for the Joint Narcotics and Smuggling Unit at JFK.	ICE	254
	OIG-15-18	Audit of Security Controls for DHS Information Technology Systems at John F. Kennedy International Airport-Sensitive Security Information (Redacted)	1/16/2015	15	We recommend that the DHS CIO coordinate steps with DHS components located at JFK, to ensure their compliance with DHS Sensitive Systems Policy Directive 4300A, Section 1.4.8, and to designate the JFK CCTV cameras and surveillance systems as DHS IT systems.	Management	254
	OIG-15-18	Audit of Security Controls for DHS Information Technology Systems at John F. Kennedy International Airport-Sensitive Security Information (Redacted)	1/16/2015	16	We recommend that the DHS Chief Privacy Officer require DHS components located at JFK to prepare privacy threshold assessments (PTAs) and, as applicable, privacy impact assessments (PIAs) for the JFK CCTV cameras and surveillance systems as directed by privacy laws and policy.	Privacy	254
10	OIG-15-29	Security Enhancements Needed to the TSA PreCheck Initiative	1/28/2015	1	The recommendation contains Sensitive Security Information.	TSA	242

DHS Open Unresolved Recommendations Over 6 Months Old, as of September 30, 2015

No. of Reports	Report No.	Report Title	Date Issued	Rec. No.	Recommendation Text	Component	Age of Rec. on 9/30/15 (Days)
11	OIG-15-38	Science and Technology Directorate (S&T) Needs to Improve its Contract Management Procedures	2/27/2015	3	We recommend that the Under Secretary for S&T review S&T's contract portfolio to ensure all contract files contain sufficient evidence of program review to allow management to make well-informed decisions, including whether programs are meeting intended objectives.	S&T	213
12	OIG-15-45	Allegations of Granting Expedited Screening through TSA PreCheck Improperly (OSC File No. DI-14-3679) (Redacted)	3/16/2015	1	The recommendation contains Sensitive Security Information.	TSA	194
Total Number of Recommendations				21			
(U) - Unclassified							

ADDITIONAL INFORMATION AND COPIES

To view this and any of our other reports, please visit our website at: www.oig.dhs.gov.

For further information or questions, please contact Office of Inspector General Public Affairs at: DHS-OIG.OfficePublicAffairs@oig.dhs.gov. Follow us on Twitter at: @dhsoig.



OIG HOTLINE

To report fraud, waste, or abuse, visit our website at www.oig.dhs.gov and click on the red "Hotline" tab. If you cannot access our website, call our hotline at (800) 323-8603, fax our hotline at (202) 254-4297, or write to us at:

Department of Homeland Security
Office of Inspector General, Mail Stop 0305
Attention: Hotline
245 Murray Drive, SW
Washington, DC 20528-0305