

**Fiscal Year 2015  
Annual Performance Plan**



*I look forward to keeping you informed of our progress and that of the Department via our website, [www.oig.dhs.gov](http://www.oig.dhs.gov), and on Twitter, @dhsoig*



**John Roth**  
**Inspector General**

## ***A Message from the Inspector General***

I am honored to lead the talented staff at the Office of Inspector General in providing independent oversight and promoting excellence, integrity and accountability within the Department of Homeland Security's programs and operations.

In fiscal year 2015, our work will focus on determining the effectiveness of the Department's efforts to (1) prevent terrorism and enhance security; (2) enforce and administer our immigration laws; (3) secure and manage our borders; (4) strengthen national preparedness and resilience to disasters; and (5) safeguard and secure the Nation's cyberspace. We will also continue our efforts to promote management stewardship and ensure program integrity.

We will determine how the Department's programs are evolving to counter emerging terrorist threats. We will assess whether DHS is effectively enforcing immigration laws and providing timely and effective immigration services. We will more proactively audit FEMA's initial response to disasters as well as grantees' capacity to carry out their grant-related responsibilities. We will determine whether DHS information security is adequate, and whether critical DHS sites comply with technical security controls and information security policies and procedures. We will evaluate management and financial controls to ensure DHS is efficiently managing and safeguarding its programs and resources and making well-informed decisions on program investments.

I will make it a priority to communicate the results of our work quickly and thoroughly and report regularly on the status of the Department's efforts to address our recommendations and take corrective actions.

For additional information about this plan or the resulting work, please contact our Office of Public Affairs at [DHS-OIG.OfficePublicAffairs@oig.dhs.gov](mailto:DHS-OIG.OfficePublicAffairs@oig.dhs.gov) or follow us on twitter, @dhsoig.

A handwritten signature in black ink that reads "John Roth". The signature is written in a cursive, flowing style.

John Roth  
Inspector General

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## **Our Mission**

The Department of Homeland Security (DHS) Office of Inspector General (OIG) is an agent of positive change focused on detecting and eliminating fraud, waste, and abuse; identifying risk areas; and recommending corrective actions to be implemented by Department management. DHS OIG was established through the *Homeland Security Act of 2002* by amendment to the *Inspector General Act of 1978* and proudly serves the men and women of the Department and its Secretary, the President, the Congress, and the American people. We provide a unified and coordinated program of independent and objective audits, inspections, and investigations that help the Department fulfill its vital mission to secure our Nation and safeguard its people.

Through our work, the Department and its stakeholders receive impartial, timely information about the performance of the Department's programs and an objective assessment of emerging concerns. We make recommendations to promote good governance, informed decision making, and accountability. This work provides the Department, the Congress, our stakeholders, and the American people with timely factual information and recommended corrective actions about sensitive issues facing the Department and the Nation.

## **Our Planning Approach**

As we planned our work for fiscal year (FY) 2015, we began with two priorities: to aid the Department in achieving its critical missions and priorities and to ensure the proper stewardship and integrity of Department programs and resources. We are also obligated to conduct legislatively mandated work and make an earnest effort to address the concerns of Congress and the Department, along with our other stakeholders.

Our goal is to deliver relevant, accurate, and timely quality products and services, which identify the best use of taxpayer dollars through a series of integrated audits, inspections, and investigations focused on high-risk and high-impact, vulnerable programs and activities. To do this, we will initiate work related to the Department's five missions: (1) preventing terrorism and enhancing security, (2) enforcing and administering immigration laws, (3) securing and managing our borders, (4) ensuring preparedness and resilience to disasters, and (5) safeguarding and securing cyberspace. We will also initiate work to improve management stewardship and program integrity.

## Fiscal Year 2015 Projects

The following projects and the resulting reports should aid the Department in assessing its progress toward achieving its stated missions as outlined in its *2<sup>nd</sup> Quadrennial Homeland Security Review*<sup>1</sup> (QHSR) issued in June 2014, and improve the overall management and integrity of Department programs and operations.

In the project charts that follow, we organized our planned work by QHSR mission area and two additional areas: management stewardship and program integrity. Under these categories, we present projects in two broad groups: *New* or *In-Progress*. *New* projects are defined as projects that we plan to begin during FY 2015. *In-Progress* projects are defined as ongoing projects that we began in a prior fiscal year but will continue in FY 2015, or projects that we listed in a previous Plan that we did not begin but expect to begin in FY 2015. We also identify the DHS component or directorate to be reviewed.

Please note that even though we intend to conduct each project listed in our Plan, circumstances may require that we set aside some of our planned work to address emerging issues and changing circumstances the Department may face during the year.

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<sup>1</sup> The Department's 2014 QHSR provides strategic guidance and sets priorities for homeland security over the next four years based on risk and charts a path for addressing emerging threats and hazards.

## Preventing Terrorism and Enhancing Security

According to the Department’s 2014 QHSR, the terrorist threat has changed since the attacks of September 11, 2001. The United States has seen a rise in organized terrorist groups that have made repeated efforts to export terrorism to our Nation. We also are threatened by domestic-based “lone offenders” and those who are inspired by extremist ideologies to radicalize to violence and commit terrorist acts, as illustrated by the Boston Marathon bombing. These types of threats can be the hardest to detect. In countering terrorism, DHS focuses on preventing attacks; preventing unauthorized acquisition, importation, movement, or use of chemical, biological, radiological, and nuclear materials and capabilities in the United States; and reducing the vulnerability of critical infrastructure and key resources, essential leadership, and major events to terrorist attacks and other hazards. OIG will conduct work to determine how the Department’s programs are evolving to counter these emerging threats, including reviews of DHS’ efforts to gather and share information and implement controls for high-risk cargo and passenger rail systems.

Project Title	Objective(s)	Component or Directorate
<b>New</b>		
<b>TSA Advanced Imaging Technology and Carry-on Luggage Penetration Testing</b>	Determine whether the automated target recognition software used with TSA’s Advanced Imaging Technology screening equipment is operating effectively. (Covert Testing)	TSA
<b>TSA Security Vetting of Passenger Rail Reservation Systems</b>	Determine the extent to which TSA has the policies, processes, internal controls, and funding needed to assess the security risks of individuals traveling on our national railroad system (AMTRAK).	TSA
<b>Joint Review of Fusion Centers</b>	Congressional request for a joint review of fusion centers by the Inspectors General of the Intelligence Community and the Department of Justice.	I&A
<b>I&amp;A's Intelligence Gathering and Dissemination Capabilities</b>	Determine (1) I&A’s information gathering and dissemination capabilities; and (2) how effectively the Homeland Security Intelligence Priorities Framework supports the National Intelligence Priority	I&A

Project Title	Objective(s)	Component or Directorate
<b>TSA's Efforts to Screen Cargo Transported on Passenger Aircraft</b>	<p>Framework.</p> <p>Determine (1) whether TSA efforts to monitor and maintain industry certification in the Certified Cargo Screening Program are effective; (2) how TSA processes evaluate, test, and validate secure cargo chain of custody requirements; and (3) the extent to which TSA's Certified Cargo Screening Program and other initiatives help industry reach the 9/11 Act's 100 percent screening mandate.</p>	TSA
<b>TSA's Coordination and Oversight of the Alien Flight School Student Program</b>	<p>Determine whether TSA (1) vets Alien Flight School Student Program candidates effectively and in a timely manner; (2) performs adequate coordination with and oversight of the flight schools; and (3) coordinates with other Federal agencies as appropriate to ensure that candidates who may pose a threat to aviation security do not receive flight school training in the United States.</p>	TSA
<b>TSA's Drug Testing Program</b>	<p>Determine whether TSA (1) instituted an organizational structure and workforce to support an effective drug testing program; (2) implemented adequate policies and procedures to ensure employees responsible for safety-security functions are not impaired by alcohol or drug abuse; and (3) incorporated testing technologies to detect the most commonly abused drugs.</p>	TSA
<b>In Progress</b>		
<b>CBP's Automated Commercial Environment</b>	<p>Determine whether CBP's Automated Commercial Environment/ International Trade Data System is achieving its desired results.</p>	CBP
<b>Progress of the Student and Exchange Visitor Information System (SEVIS) II</b>	<p>Determine (1) the extent to which SEVIS II will address SEVIS I vulnerabilities; (2) the implementation schedule for the full</p>	ICE

Project Title	Objective(s)	Component or Directorate
	release of SEVIS II; (3) the total funding that has been used to develop and implement SEVIS II to date; (4) the extent to which stakeholders like Department of State and schools are cooperating with DHS' effort to develop SEVIS II; and (5) which, if any, of the four high-level upgrades have been developed and rolled out to users, and with what result.	
<b>Security Enhancements Needed to the TSA Pre ✓™ Initiative</b>	Follow up on our prior findings to determine the effectiveness and timeliness of TSA's processes and procedures for vetting applicants and assessing members' continued eligibility.	TSA
<b>Intelligence Oversight - Quarterly Reports</b>	Determine whether I&A and USCG have effective processes and standards for collecting, retaining, or disseminating information on U.S. persons.	I&A & USCG

## Enforcing and Administering Our Immigration Laws

DHS and its components must work together, as well as with other Federal, state, and local partners, to prevent dangerous individuals from entering and remaining in the United States; and to ensure that those who pose a threat to national security do not receive immigration benefits. The Department must also administer immigration laws equitably and promptly for those seeking immigration benefits and focus on providing more efficient and timely services to immigrants. These efforts will help reduce illegal immigration and residence. OIG will conduct work to determine the effectiveness of the Department’s efforts to strengthen immigration enforcement, provide timely and effective immigration services, and administer and manage immigration benefits. OIG will assess whether DHS is effectively combating immigration fraud, improving the reliability and accuracy of personal identification documents, and enhancing information sharing and privacy safeguards.

Project Title	Objective(s)	Component or Directorate
<b>New</b>		
<b>Scalability of USCIS’ Visa and Immigration Benefit Processing</b>	Determine whether USCIS has an effective planning tool in place to identify and respond to changes in demand for visa and immigration benefits.	USCIS
<b>Immigration Policy Outreach</b>	Determine whether DHS improved communication with the public about immigration services and procedures.	ICE
<b>ICE’s I-9 Inspections</b>	Determine whether ICE has effective policies and practices to identify and select businesses for I-9 inspections and re-inspections.	ICE
<b>USCIS’ Efforts to Deter Identity Fraud in the Refugee Admission Program</b>	Determine (1) the effectiveness of Refugee Admissions Program measures to establish and verify the identity and familial relationships of applicants; (2) whether USCIS faces communications and technology challenges in establishing and verifying applicant identity; and (3) whether there are cost- effective measures DHS can take to improve applicant identity verification processes.	USCIS
<b>Credible Fear Screening</b>	Determine (1) what criteria USCIS asylum officers use to establish whether an asylum seeker has a significant possibility of being determined eligible for asylum; (2) whether historical trends exist in asylum applications;	USCIS

Project Title	Objective(s)	Component or Directorate
	(3) what training asylum officers receive for credible fear screening; and (4) whether USCIS asylum offices along the Southwest border use available resources effectively and efficiently to perform credible fear screenings for aliens in expedited removal proceedings.	
<b>In-Progress</b>		
<b>ICE's Use of Discretion for Immigration Enforcement</b>	Determine whether DHS ensures coordinated development and implementation of law enforcement discretion policies for removable aliens and the extent to which DHS uses the data to inform and assess policy decisions.	ICE
<b>DHS Use of Biometric Information to Detect and Respond to Naturalization Fraud</b>	Determine whether (1) USCIS has granted naturalization to aliens without identifying biometric records that associated the aliens with multiple identities and Final Removal Orders; (2) USCIS uses biometric information effectively to identify naturalization applicants with multiple identities and Final Removal Orders; and (3) USCIS, CBP, and ICE procedures for handling these suspected immigration fraud cases are effective.	CBP, ICE & USCIS
<b>Unaccompanied Alien Children</b>	Monitor DHS compliance with laws, regulations and policies on unaccompanied alien children.	CBP, CRCL, FEMA, ICE, POLICY & USCIS
<b>ICE's Alternatives to Detention</b>	Determine whether (1) ICE's release risk assessment tool is effective; (2) the rate at which individuals in the Intensive Supervision Appearance Program II have committed criminal acts or absconded has been reduced since 2009; and (3) ICE can improve the effectiveness of its alternatives to detention program, either by revising or expanding its ISAP II contract, or through other cost-effective means.	ICE

## Securing and Managing Our Borders

The Department must protect the Nation’s borders by excluding terrorists, preventing human and drug trafficking, and countering other threats to our national security, economic security, and public safety. DHS must respond quickly and adapt to evolving trends in illegal border crossings from Central America and elsewhere. DHS’ border management focuses on securing all points of entry, safeguarding and streamlining lawful trade and travel, and disrupting and dismantling transnational criminal and terrorist organizations. The Department plans to use enhanced technology to screen incoming cargo at ports of entry and will work with foreign partners to monitor the international travel of suspicious individuals who seek to enter the country. OIG will continue to assess whether DHS and its partners are securing and managing the flow of people and goods to minimize risk and ensure economic prosperity. We plan to review the Department’s efforts to prevent contraband and human smuggling and to deter illegal border crossings. OIG will also assess whether DHS collaborates effectively with its international partners in securing our borders.

Project	Objective(s)	Component or Directorate
<b>New</b>		
<b>Controls Over Approval of Global Entry Applications</b>	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.	CBP
<b>Coast Guard’s Drug Interdiction Efforts</b>	Determine whether the Coast Guard is adequately interdicting illegal narcotics entering through U.S. waterways and ports.	USCG
<b>Operational Readiness of Border Patrol’s Special Operations Groups</b>	Determine whether CBP’s Special Operations Groups are trained and ready to achieve their mission.	CBP
<b>ICE’s Efforts to Combat Human Smuggling</b>	Determine (1) how ICE prioritizes human smuggling as the lead U.S. law enforcement agency responsible for fighting human smuggling; (2) the extent to which ICE Homeland Security Investigations (HSI) coordinates with Federal agencies and private sector partners to investigate human smuggling cases; (3) whether HSI assesses trends and evaluates strategies using investigative data from human smuggling-	ICE

Project	Objective(s)	Component or Directorate
	related operations and cases; and (4) whether HSI uses available resources effectively to pursue human smuggling investigations.	
<b>ICE Internal Controls Over Undercover Money Laundering Operations</b>	Determine (1) the extent of ICE engagement in undercover money laundering operations; (2) whether internal controls over such operations are effective to ensure that ICE does not inadvertently aid organized crime; and (3) how ICE balances the financial, political, and policy risks of these operations against the potential to prosecute or disrupt organized crime.	ICE
<b>In-Progress</b>		
<b>CBP's Automated Targeting System</b>	Determine whether CBP effectively targets and examines high-risk rail cargo shipments from Mexico and Canada.	CBP
<b>Inspection of CBP Houston Ports</b>	Determine whether CBP Houston Seaport's Advanced Targeting Unit complied with CBP's <i>National Maritime Targeting Policy</i> and the <i>CERTS Port Guidance</i> .	CBP
<b>Inspection of CBP Miami Ports</b>	Determine whether CBP Miami Field Office Port of Entry operations comply with CBP policies and procedures.	CBP
<b>CBP's Forward Operating Bases on the Southern Border</b>	Determine (1) what challenges confront CBP when selecting sites for forward operating bases (FOB); (2) whether CBP's site selection methodology is adequate and effectively accounts for these challenges; (3) whether FOBs provide adequate living conditions, security, and safety for CBP employees; and (4) FOB's effectiveness to interdict aliens.	CBP
<b>Streamline's Deterrent Effect on Illegal Border Crossing</b>	Determine (1) whether Office of Border Patrol has processes and procedures to evaluate Streamline's effect on illegal re-entry; (2) whether Streamline costs in each participating sector can be determined; and (3) how Streamline affects ICE's Office of Enforcement and Removal Operations resources.	CBP & ICE

## Strengthening National Preparedness and Resilience to Disasters

Every year, natural disasters put millions of Americans in danger and destroy billions of dollars' worth of property. FEMA must work with Federal, state, local, and private sector partners to prevent, prepare for, and respond to natural and manmade disasters. Since Hurricane Katrina, FEMA has taken steps to improve disaster planning, but disaster assistance is inherently high risk. In the last 5 years, FEMA provided about \$10 billion annually in assistance to state and local governments and to those affected by disasters. FEMA has also provided about \$5.5 billion in preparedness grants since 2009. In FY 2015, OIG will more proactively audit FEMA's initial response to presidentially declared disasters and community grantees' capacity to carry out grant-related responsibilities; we will also assess early community compliance with Disaster Relief Fund spending requirements. Additionally, we will assess FEMA's efforts to improve its grant management and to more efficiently carry out its myriad of preparedness and response missions.

Project Title	Objective(s)	Component or Directorate
<b>New</b>		
<b>FEMA IT Management Follow Up</b>	Determine whether FEMA's IT management approach addresses planning, governance, and management of technology to support its mission.	FEMA
<b>FEMA's "Initial Response" to Presidentialy Declared Disasters</b>	Determine the effectiveness of FEMA's initial response to presidentially declared disasters. OIG will conduct about five audits.	FEMA
<b>A Community's "Capacity" to Effectively Manage FEMA Disaster Grant Funding</b>	Determine whether grantees and subgrantees need additional FEMA and/or state monitoring and technical assistance to account for and expend FEMA disaster grant funds according to Federal requirements. OIG will complete about 20 audits.	FEMA
<b>"Early Warnings" – A Community's Initial Compliance with Federal Financial and Procurement Requirements for Disaster Grant Funding</b>	Early in the disaster recovery-rebuilding phase, determine whether grantees and subgrantees are accounting for and expending FEMA disaster grant funds according to Federal requirements, and provide them the opportunity to correct or minimize the financial impact of noncompliance. OIG will complete about 20 audits.	FEMA

Project Title	Objective(s)	Component or Directorate
<b>Permanent Projects Funded with <i>Sandy Recovery Improvement Act</i> Section 428 Alternative Procedures Authority</b>	Determine whether FEMA’s <i>Sandy Recovery Improvement Act</i> section 428 alternative procedure permanent project grants comply with FEMA’s <i>Public Assistance Alternative Procedures Pilot Program Guide for Permanent Work</i> .	FEMA
<b>Debris Removal Projects Funded with <i>Sandy Recovery Improvement Act</i> Section 428 Alternative Procedures Authority</b>	Determine whether FEMA’s <i>Sandy Recovery Improvement Act</i> section 428 alternative procedure debris removal grants comply with FEMA’s <i>Public Assistance Alternative Procedures Pilot Program Guide for Debris Removal</i> .	FEMA
<b>State Disaster Grant Management and Administrative Costs Charged to the Disaster Relief Fund</b>	Determine (1) the amounts of management costs and direct administrative costs that states receive to manage and administer grants funded by the Disaster Relief Fund; (2) whether those costs comply with Federal regulations; and (3) whether FEMA is properly accounting for and reporting those costs.	FEMA
<b>FEMA’s Procedures to Ensure Compliance with Requirements to “Obtain and Maintain” Insurance</b>	Determine the effectiveness of FEMA’s procedures to ensure disaster grant recipients obtain and maintain required amounts of insurance for future damages.	FEMA
<b>Summary of Disaster Grant Audit Procurement Findings and FEMA’s Actions to Recover Improperly Spent Procurement Funds</b>	Summarize procurement findings in disaster grant audit reports issued from FYs 2009–13, and determine the extent to which FEMA recovered money improperly spent.	FEMA
<b>Public Assistance Grantee Cash Management Practices</b>	Determine (1) FEMA’s Public Assistance cash management policies for selected grantees, and (2) whether the grantees complied with these policies.	FEMA
<b>FEMA-approved Public Assistance Projects that Applicants Have Not Started</b>	Determine (1) the number of approved Public Assistance projects in which applicants have not started construction, (2) when those projects were approved, and (3) why some applicants take years to begin construction on some projects.	FEMA

Project Title	Objective(s)	Component or Directorate
<b>The Reliability and Effectiveness of FEMA’s Cost Estimating Format</b>	Determine (1) the reliability of the Cost Estimating Format FEMA uses to estimate the cost of disaster grant projects, and (2) whether FEMA needs to adjust how it uses the Cost Estimating Format.	FEMA
<b>The Extent to which FEMA Public Assistance Grants Are Closed in a Timely Manner</b>	Determine the average amount of time it takes for (1) recipients of Public Assistance grants to complete projects, and (2) FEMA to close presidentially declared disasters.	FEMA
<b>FEMA Disaster Management and <i>Stafford Act</i> Implementation</b>	Determine whether FEMA is developing a long-term strategy to improve its implementation of <i>Stafford Act</i> provisions.	FEMA
<b>States’ Management of Homeland Security Grant Program Awards</b>	Determine whether selected states distributed, administered, and spent Homeland Security Grant Program funds strategically, effectively, and in compliance with laws, regulations, and guidance. States will be selected based on (1) the value of grant awards received, (2) unimplemented prior recommendations, (3) significance of previous audit issues, (4) time elapsed since last audit, and (5) geographical representation among FEMA regions.	FEMA
<b>In-Progress</b>		
<b>A Community’s “Capacity” to Effectively Manage FEMA Disaster Grant Funding</b>	Determine whether grantees and subgrantees need additional FEMA and/or state monitoring and technical assistance to account for and expend FEMA disaster grant funds according to Federal requirements. OIG has four audits in-progress.	FEMA
<b>“Early Warnings” – A Community’s Initial Compliance with Federal Financial and Procurement Requirements for Disaster Grant Funding</b>	Early in the disaster recovery-rebuilding phase, determine whether grantees and subgrantees are accounting for and expending FEMA disaster grant funds according to Federal requirements, and provide them the opportunity to correct or minimize the financial impact of noncompliance. OIG has four audits in-progress.	FEMA

Project Title	Objective(s)	Component or Directorate
<b>FEMA's Qualification System</b>	Determine whether FEMA's Qualification System is effective in providing sufficient and qualified staff in a timely manner.	FEMA
<b>FEMA's Initial Response to the State of Washington Landslide</b>	Determine whether FEMA's initial response to the Washington landslide disaster was effective and efficient.	FEMA
<b>New Jersey Joint Field Office Selection and Costs - Hurricane Sandy</b>	Determine the cost effectiveness of FEMA's choice for the location of the Hurricane Sandy Joint Field Office for New Jersey.	FEMA
<b>FEMA Programs for Emergency Sheltering in New York</b>	Determine whether FEMA-funded emergency sheltering programs in New York are cost effective and comply with Federal regulations and FEMA's policies and guidelines.	FEMA
<b>FEMA's Transitional Sheltering Assistance for Hurricane Sandy</b>	Determine whether FEMA's Transitional Sheltering Assistance program was effective for Hurricane Sandy.	FEMA
<b>FEMA's Mission Assignment for Fuel Deliveries in New York after Hurricane Sandy</b>	Determine whether FEMA's efforts were adequate to ensure mission-assigned fuel deliveries were made only to designated recipients after Hurricane Sandy.	FEMA
<b>FEMA Needs to Track Performance Data and Develop Policies, Procedures, and Performance Measures for Long Term Recovery Offices</b>	Determine whether FEMA's policies, procedures, and performance measures for establishing, operating, and closing Long Term Recovery Offices meet Federal statutes and are consistently applied.	FEMA
<b>State of Ohio's Management of Homeland Security Grant Program Awards for Fiscal Years 2010 Through 2012</b>	Determine whether the State of Ohio distributed, administered, and spent Homeland Security Grant Program funds strategically, effectively, and in compliance with laws, regulations, and guidance.	FEMA
<b>FEMA Regional Inspections</b>	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.	FEMA

Project Title	Objective(s)	Component or Directorate
<b>State Homeland Security Program/Urban Area Security Initiative Grants - New York</b>	Determine whether the State has effectively and efficiently implemented the State Homeland Security Program and Urban Area Security Initiative grant programs; achieved the goals of the programs; and spent funds according to grant requirements.	FEMA

## Safeguarding and Securing Cyberspace

DHS' cybersecurity responsibilities focus on implementing protective measures to secure cyberspace and its associated infrastructure, as well as restoring information systems and data to ensure their confidentiality, integrity, and availability. The Department also seeks to protect computers and networks from accidental or malicious harm by preventing, detecting, and responding to risks and attacks. OIG will conduct work to determine whether the Department's information security program and practices are adequate, the extent to which critical DHS sites comply with the Department's technical security controls and information security policies and procedures, and the implementation status of an Analytical Framework for intelligence systems. We will also review the roles and responsibilities of component cyber centers, information sharing and coordinated response efforts, and progress toward minimizing the risk of insider threats.

Project	Objective(s)	Component or Directorate
<b>New</b>		
<b>Annual Evaluation of DHS' Information Security Program for FY 2015</b>	Determine whether DHS' information security program and practices are adequate.	MGMT
<b>Annual Evaluation of DHS' Information Security Program (Intelligence Systems-Intelligence Community) for FY 2015</b>	Determine whether DHS' information security program and practices are adequate and effective in protecting the information and the information systems that support DHS' intelligence operations and assets for FY 2015.	MGMT
<b>Annual Evaluation of DHS' Information Security Program (Intelligence Systems) for FY 2015</b>	Determine whether DHS' information security program and practices are adequate and effective in protecting the information and the information systems that support DHS' intelligence operations and assets for FY 2015.	MGMT
<b>IT Security Controls at Orlando International Airport</b>	Determine the extent to which critical DHS sites comply with the Department's technical and information security policies and procedures according to <i>DHS Directive 4300A</i> and its companion document, the <i>DHS 4300A Handbook</i> .	MGMT
<b>Information Technology Security Controls for the Security Technology Integrated Program</b>	Determine whether TSA has incorporated adequate information technology security controls for passenger and baggage screening equipment to ensure that these devices are	TSA

Project	Objective(s)	Component or Directorate
	performing as required.	
<b>CBP's Analytical Framework for Intelligence Systems</b>	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.	CBP
<b>Coordination Between DHS' Cyber Centers</b>	Determine whether DHS has (1) delineated the roles and responsibilities between the component cyber centers to avoid confusion, and (2) established an environment and infrastructures necessary to promote cyber information sharing and coordinate response efforts.	ICE, NPPD & USSS
<b>Risk of Insider Threats at I&amp;A</b>	Assess progress I&A has made toward protecting its IT assets from unauthorized access, disclosure, or removal by its employees, especially those with elevated or privileged access to classified information.	I&A
<b>In-Progress</b>		
<b>Annual Evaluation of DHS' Information Security Program (Intelligence Systems) for FY 2014</b>	Evaluate 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.	MGMT
<b>Annual Evaluation of DHS' Information Security Program for FY 2014</b>	Evaluate DHS' information security program and practices and determine what progress DHS has made in resolving weaknesses cited in the prior year's review.	MGMT
<b>USCG Biometrics at Sea System</b>	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.	USCG
<b>Technical Security Evaluation of DHS Activities at John F.</b>	Determine the effectiveness of safeguards and compliance with technical security standards, controls, and requirements.	MGMT

Project	Objective(s)	Component or Directorate
<b>Kennedy International Airport</b>		
<b>Penetration Testing Evaluation of Non-Trusted Internet Connection Use</b>	Determine whether DHS has implemented effective controls on the internet connections external to the DHS Trusted Internet Connections.	MGMT
<b>USCG Information Technology Insider Threat</b>	Determine the effectiveness of the steps USCG has taken to address the insider threat risk on IT systems.	USCG
<b>Technical Security Evaluation of DHS Activities at San Francisco International Airport</b>	Determine the effectiveness of safeguards and compliance with technical security standards, controls, and requirements.	MGMT
<b>Science and Technology's Research and Development Effort and Advancement</b>	For the Cyber Security Division, determine (1) the effectiveness of the research and development lifecycle; (2) the adequacy of research and development efforts in satisfying end-user needs; (3) whether its program aligns with Federal policies; and (4) the adequacy of communications between the public and private sectors to coordinate and share cybersecurity research and development efforts.	S&T

## Promoting Management Stewardship

DHS is the third largest agency in the Federal Government, with a budget of more than \$60 billion in FY 2014. The Department's funding is directed to prevent terrorism and enhance security; secure and manage our borders; enforce and administer our immigration laws; safeguard and secure cyberspace; ensure resilience to disasters; and provide essential support to national and economic security. Sound management and effective stewardship practices are critical in the Department's efforts to conduct its complex and vital mission and achieve its objectives within allocated resources. OIG will focus our oversight on areas of high risk to ensure that DHS is efficiently managing and safeguarding its programs and resources and making well-informed decisions on program investments.

Project Title	Objective(s)	Component or Directorate
<b>New</b>		
<b>IT Matters Related to the FY 2015 DHS Consolidated Financial Statement Audit - DHS Consolidated</b>	Determine the effectiveness of DHS' general and application controls that govern critical financial systems and data.	MGMT
<b>IT Matters Related to Select DHS Components of the FY 2015 DHS Financial Statement Audit</b>	Determine the effectiveness of a components' general and application controls that govern critical financial systems and data. Separate reports will be issued for the listed components.	MGMT, FEMA, FLETC, CPB, ICE, TSA, USCIS, USCG & USSS
<b>National Protection and Programs Directorate Information Technology Management</b>	Determine whether NPPD's IT approach includes adequate planning, implementation, and management to effectively support its effort to protect the Nation's physical and cyber infrastructure.	NPPD
<b>Social Media Use at the Office of Intelligence and Analysis</b>	Determine to what extent I&A 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.	I&A
<b>Potential for Greater Revenue from H2B Visas</b>	Determine the extent to which additional revenues can be generated if employers can only bring one employee per application (as in H1B applications) and the extent USCIS adjudicators have to spend vetting 20 or more employees.	USCIS

Project Title	Objective(s)	Component or Directorate
<b>Compliance with Federal Disaster Grant Spending Requirements</b>	For substantially completed disaster projects, determine whether grantees and subgrantees accounted for and spent FEMA disaster grant funds according to Federal requirements. OIG will complete about 20 audits.	FEMA
<b>Capping Report of FY 2014 Disaster Grant Audits</b>	Summarize the results of reports issued in FY 2014 on FEMA grantees' and subgrantees' compliance with Federal disaster grant spending requirements.	FEMA
<b>Improvements to FEMA Oversight of Homeland Security Grant Program Based on Audits of States and Territories</b>	Determine whether FEMA implemented permanent changes to its oversight of the Homeland Security Grant Program based on recurring recommendations from audits of states and territories. Determine if these changes improved the ability of states and territories to manage the program in accordance with the law, regulations, and guidance.	FEMA
<b>CBP's Implementation of Improved Performance Measures</b>	Determine whether the Office of Border Patrol has made progress toward the implementation of results-driven performance measures that are in alignment with CBP's Strategic Plan.	CBP
<b>Acquisition, Operation, and Maintenance of CBP's Large Ground and Air Assets</b>	Determine whether CBP is effectively managing its American Eurocopter AS-350 A-Star program in support of DHS' cross-component coordination and collaboration of aviation assets.	CBP
<b>CBP's Acquisition of an Integrated Fixed Tower System</b>	Determine whether CBP properly awarded and managed the acquisition of an Integrated Fixed Tower System.	CBP
<b>TSA Capital Investment Plan</b>	Determine whether TSA properly assessed mission needs, before investing \$2.2 billion in technologies, infrastructure, and capabilities.	TSA
<b>Acquisition and Oversight of the U.S. Coast Guard's National Security Cutter Fleet</b>	Determine if USCG is effectively awarding and managing the remaining acquisition of eight National Security Cutters.	USCG

Project Title	Objective(s)	Component or Directorate
<b>TSA's Office of Human Capital Contracts</b>	Determine whether TSA's human capital contracts are managed effectively, comply with DHS Acquisition guidelines, and are achieving expected goals.	TSA
<b>TSA Screening Partnership Program</b>	Determine if TSA is creating and using an appropriate Federal Cost Estimate in making decisions on Screening Partnership Program requests and to evaluate TSA's compliance with procurement documentation practices established by existing Federal guidance and TSA policy for Screening Partnership Program decisions.	TSA
<b>DHS Major Management and Performance Challenges</b>	Annual report summarizes OIG's conclusion on the most serious management and performance challenges facing DHS and assesses its progress in addressing those challenges.	DHS
<b>Federal Protective Service Management of Vehicle Fleet Operations</b>	Determine if FPS is appropriately managing its vehicle fleet.	FPS
<b><i>Chief Financial Officers Act of 1990 (P.L. 101-576) Sec. 304</i></b>	Determine the fairness of presentations of DHS FY 2015 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.	DHS
<b><i>DHS Financial Accountability Act (P.L. 108-330); OMB Circular A-123, Appendix A</i></b>	Determine the effectiveness of DHS' internal controls over financial reporting.	DHS
<b><i>Improper Payments Elimination and Recovery Act of 2010 (P.L. 111-204)</i></b>	Determine whether DHS is in compliance with the <i>Improper Payment Elimination and Recovery Act of 2010</i> (Annual Requirement)	DHS

Project Title	Objective(s)	Component or Directorate
<b>Office of National Drug Control Policy Reauthorization Act of 1998 (P.L. 105-277)</b>	Express a conclusion about the reliability of each assertion made in CBP's, ICE's, and USCG's Office of National Drug Control Policy Detailed Accounting Submissions and Performance Summary Reports.	CBP, ICE, USCG & ONDCP
<b>Government Charge Card Abuse Prevention Act of 2012 (P.L. 112-194)</b>	Assess DHS' purchase cards programs (i.e., convenience checks, combined integrated card programs, and travel card programs) to analyze the risks of illegal, improper, or erroneous purchases. (Annual Requirement)	DHS
<b>Federal Law Enforcement Training Centers Training Costs</b>	Determine whether FLETC's methodology to determine cost of training is capturing all appropriate costs.	FLETC
<b>In-Progress</b>		
<b>DHS Chief Information Officer Management Review</b>	Determine whether the DHS Chief Information Officer has the authority and oversight to effectively support the Homeland Security missions and business areas.	MGMT
<b>I&amp;A Privacy Stewardship</b>	Determine whether I&A (1) promotes a culture of privacy that is effective in protecting sensitive personally identifiable information (PII) and (2) ensures compliance with Federal privacy regulations.	I&A
<b>USCG Privacy Stewardship</b>	Determine whether USCG (1) promotes 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.	USCG
<b>IT Matters Related to the FY 2014 DHS Consolidated Financial Statement Audit</b>	Determine the effectiveness of DHS' general and application controls that govern critical financial systems and data.	MGMT

Project Title	Objective(s)	Component or Directorate
<b>IT Matters Related to Select Components of the FY 2014 DHS Financial Statement Audit</b>	Determine the effectiveness of DHS' general and application controls that govern critical financial systems and data. Separate reports will be issued for the listed components.	FEMA, CBP, FLETC, ICE, MGMT, TSA, USCG & USCIS
<b>Compliance with Federal Disaster Grant Spending Requirements</b>	For substantially completed disaster projects, determine whether grantees and subgrantees accounted for and spent FEMA disaster grant funds according to Federal requirements. OIG has about 22 audits in-progress.	FEMA
<b>Chief Financial Officers Act of 1990 (P.L. 101-576) Sec. 304</b>	Determine the fairness of presentations of DHS 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.	DHS
<b>DHS Financial Accountability Act (P.L. 108-330); OMB Circular A-123, Appendix A</b>	Determine the effectiveness of DHS' internal controls over financial reporting. (FY 2014)	DHS
<b>Improper Payments Elimination and Recovery Act of 2010 (IPERA) (P.L. 111-204)</b>	Determine whether DHS is in compliance with the <i>Improper Payment Elimination and Recovery Act of 2010</i> . (Annual Requirement)	DHS
<b>Office of National Drug Control Policy Reauthorization Act of 1998 (P.L. 105-277)</b>	Express a conclusion about the reliability of each assertion made in CBP's, ICE's, and USCG's Office of National Drug Control Policy Detailed Accounting Submissions and Performance Summary Reports.	CBP, ICE, USCG & ONDCP

Project Title	Objective(s)	Component or Directorate
<b>Government Charge Card Abuse Prevention Act of 2012 (P.L. 112-194)</b>	Determine the level of risk associated with the design of internal controls implemented to prevent illegal, improper, or erroneous purchases and payments for purchase cards, travel cards, and centrally billed accounts. (Annual Requirement)	DHS
<b>United States Coast Guard's Alteration of the Burlington Bridge Project</b>	Determine whether the claimed federal cost share for the Burlington Bridge Project was appropriate and supported.	USCG
<b>CBP Non-Intrusive Equipment Maintenance</b>	Determine whether corrective and preventive maintenance is being performed on CBP's screening equipment in accordance with contractual requirements and manufacturers' specifications.	CBP
<b>ICE Air Transport for Detainees</b>	Determine whether Enforcement and Removal Operation's processes for the air transfer and removal of detainees comply with Federal regulations and ensure the most effective use of resources.	ICE
<b>Assistance to Firefighter Grants</b>	Determine the extent to which Assistance to Firefighter Grant recipients comply with grant requirements and guidance precluding waste, fraud, and abuse of grant funds.	FEMA
<b>DHS' Unmanned Aerial Systems</b>	Determine the cost and effectiveness of CBP's Unmanned Aircraft Systems.	DHS
<b>Offline Reservations Used for Travel in DHS</b>	Determine whether (1) the Department's offline travel reservations costs are excessive and, if so, identify areas of potential savings; and (2) the Department has reduced the number of offline reservations in FY 2014.	DHS
<b>DHS Warehouses</b>	Determine whether DHS has a process to manage and assess its warehousing needs effectively.	DHS
<b>Lower Mississippi River Port Wide Strategic Security Council</b>	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.	FEMA

Project Title	Objective(s)	Component or Directorate
<b>TSA Screening Maintenance</b>	Determine whether routine and periodic maintenance is being performed on airport screening equipment in accordance with contractual requirements and manufacturers' specifications	TSA
<b>Award and Management of S&amp;T's New Venture Strategies Contract</b>	Determine whether S&T properly awarded and managed its New Venture Strategies contract.	S&T
<b>National Aviation Maintenance Contract</b>	Determine whether CBP properly managed its National Aviation Maintenance contract.	CBP & MGMT
<b>Secret Service Purchases and Acquisitions</b>	Determine whether USSS established adequate management oversight and controls over its procurement and acquisition programs.	USSS
<b>National Flood Insurance Program: Write Your Own Program</b>	Determine the adequacy of FEMA's oversight of the Write Your Own Program for Flood Insurance.	FEMA

## Promoting Program Integrity

Threats to the integrity of DHS' programs are pervasive. Corruption in border management and the acquisition process can be especially detrimental to the Department's efforts to accomplish its mission effectively and efficiently. To help DHS overcome these challenges, OIG will continue to investigate employee corruption and misconduct and to evaluate management controls over high-risk programs. We will also determine whether the Department's program safeguards ensure compliance with laws, regulations, and best practices, including compliance with insider threat policies and standards. To protect DHS' financial interests, we will identify vulnerabilities and fraud indicators. We will continue to share information, participate in DHS training efforts, and coordinate with the Department on a DHS-wide integrity strategy of preventing, reporting, and responding to corruption.

Project Title	Objective(s)	Directorate or Component
<b>New</b>		
<b>Grant Management for Interoperable Communication Equipment</b>	Determine whether (1) DHS provides grant guidance over the acquisition of public safety communications equipment that promotes interoperability, and (2) the East Bay Regional Communications System Authority has been able to receive DHS interoperability grants while insisting that all of its participating agencies purchase Motorola equipment.	MGMT
<b>DHS' Use of Deadly Force</b>	Determine the extent to which DHS components are being properly and uniformly trained to execute DHS' use of deadly force policy.	DHS
<b>DHS' Use of Reimbursable Work Authorizations and Interagency Agreements</b>	Determine whether DHS' use of Reimbursable Work Authorizations is in compliance with statutory, regulatory, departmental, and component requirements.	DHS
<b>DHS Acquisitions Training DHS-Wide</b>	Determine whether DHS acquisition professionals have adequate training.	DHS
<b>DHS' Working Capital Fund</b>	Determine whether the Working Capital fund is operating in accordance with the required laws and regulations.	DHS
<b>United States Coast Guard Annual Mission Performance – FY 2014</b>	Determine whether the USCG is maintaining its historical level of effort on non-homeland security missions.	USCG

Project Title	Objective(s)	Directorate or Component
<b>DHS Asset Forfeiture Information Sharing</b>	Determine (1) the criteria DHS applies when deciding whether to “adopt” a state or local currency seizure as a Federal seizure; (2) how DHS is involved in financing or using the Black Asphalt network; (3) whether DHS information is transferred to the Black Asphalt network and whether Black Asphalt derived information is stored in DHS information systems; and (4) whether DHS complies with Federal laws and regulations, and DHS policies, including privacy and civil liberties requirements, in its use of the Black Asphalt network.	CBP & ICE
<b>FEMA Inspection</b>	Determine whether FEMA's Office of the Chief Security Officer is meeting its intended mission and complying with applicable policies and regulations.	FEMA
<b>In-Progress</b>		
<b>USCIS and ICE Data Use to Identify Potential Trafficking of Children</b>	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.	USCIS & ICE
<b>DHS Use of Administratively Uncontrollable Overtime</b>	Determine whether administratively uncontrollable overtime was paid in accordance with applicable laws and regulations.	DHS
<b>USCG Small Boat Stations</b>	Determine the readiness of USCG boat stations to perform its Search and Rescue and Ports and Waterways Coastal Security missions.	USCG

Project Title	Objective(s)	Directorate or Component
<b>TSA's Management of the Federal Employees' Compensation Act</b>	Determine if TSA is effectively managing its <i>Federal Employees' Compensation Act</i> program to minimize lost workdays and <i>Federal Employees' Compensation Act</i> - related compensation costs.	TSA
<b>USCG's Travel for Health Care</b>	Determine if the USCG's travel to obtain health care program has sufficient internal controls to ensure travel is necessary.	USCG
<b>DHS' Use of Special Government Employees</b>	Determine DHS' process for hiring Special Government Employees and the following information about those employees: (1) the number appointed by component; (2) dates of service; (3) description of the work performed; (4) days worked since April 12, 2012; (5) financial disclosure form certification dates; (6) affiliation with for-profit and non-profit entities that have received contracts/compensation from DHS; and (7) the identity of Ethics Officers who reviewed the relationship between the SGE and the entity. (Congressional Request)	DHS
<b>CBP Internal Affairs Information Sharing of Personally Identifiable Information</b>	Determine whether CBP Internal Affairs (1) appropriately collected, stored, and shared PII during one investigation; and appropriately stored and shared PII during another investigation; (2) has adequate privacy policies and agreements for collecting, storing, and sharing PII; and 3) has privacy practices for sharing PII that comply with law and DHS policy. (Congressional Request)	CBP

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## ***Appendix I – Acronyms and Abbreviations***

<b>Acronyms and Abbreviations</b>	<b>Descriptions</b>
BASS	Biometrics at Sea Systems
CBP	United States Customs and Border Protection
DHS	Department of Homeland Security
FEMA	Federal Emergency Management Agency
FLETC	Federal Law Enforcement Training Center
FOB	forward operating bases
FPS	Federal Protective Service
FY	fiscal year
HSI	Homeland Security Investigations, ICE
I&A	Office of Intelligence and Analysis
ICE	United States Immigration and Customs Enforcement
IT	information technology
MGMT	Management Directorate
NPPD	National Protection and Programs Directorate
OIG	Office of Inspector General
ONDCP	Office of National Drug Control Policy
QHSR	Quadrennial Homeland Security Review
PII	personally identifiable information
POLICY	Office of Policy, DHS
SEVIS	Student and Exchange Visitor Information System
S&T	Science and Technology Directorate
TSA	Transportation Security Administration
USCG	United States Coast Guard
USCIS	United States Customs and Immigration Service
USSS	United States Secret Service

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