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United States Government Accountability Office  
Washington, DC 20548

December 16, 2010

The Honorable Joseph I. Lieberman  
Chairman  
The Honorable Susan M. Collins  
Ranking Member  
Committee on Homeland Security and Governmental Affairs  
United States Senate

The Honorable Daniel K. Akaka  
Chairman  
The Honorable George V. Voinovich  
Ranking Member  
Subcommittee on Oversight of Government Management, the Federal Workforce, and the  
District of Columbia  
Committee on Homeland Security and Governmental Affairs  
United States Senate

*Subject: Quadrennial Homeland Security Review: 2010 Reports Addressed Many Required  
Elements, but Budget Planning Not Yet Completed*

The United States continues to face a myriad of broad and evolving threats, such as the October 2010 attempted attack on the nation's air cargo system, that underscore the high priority the federal government places on homeland security and efforts to coordinate security roles, responsibilities, and activities across a wide variety of stakeholders, including state, local, tribal, private sector, nongovernmental, and international partners. The Implementing Recommendations of the 9/11 Commission Act of 2007 (9/11 Commission Act) required that beginning in 2009 and every 4 years thereafter the Department of Homeland Security (DHS) conduct a quadrennial review that provides a comprehensive examination of the homeland security strategy of the United States.<sup>1</sup> According to the act, the review is to delineate the national homeland security strategy, outline and prioritize critical homeland security missions, and assess the organizational alignment of DHS to the homeland security strategy and mission areas, among other things. The act required that DHS conduct the quadrennial review in consultation with stakeholders, such as heads of federal agencies; state, local, and tribal governments; private sector representatives; and academics and other policy experts. The act also specified that DHS was to issue a report on the results of the review, including reporting on nine specific elements such as the homeland security strategy and prioritized list of homeland security missions, by December 31, 2009.<sup>2</sup>

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<sup>1</sup> Pub. L. No. 110-53, § 2401(a), 121 Stat. 266, 543-45 (2007) (codified at 6 U.S.C. § 347).

<sup>2</sup> 6 U.S.C. § 347(c). Although the act requires the first QHSR to be conducted in 2009, the QHSR report was issued in February 2010, and we refer to it in this report as the "2010 QHSR." Throughout this report, we refer

In February 2010, DHS issued its first Quadrennial Homeland Security Review (QHSR) report, outlining a strategic framework for homeland security to guide the activities of homeland security partners, including federal, state, local, and tribal government agencies; the private sector; and nongovernmental organizations.<sup>3</sup> The report identified five homeland security missions—preventing terrorism and enhancing security; securing and managing our borders; enforcing and administering our immigration laws; safeguarding and securing cyberspace; and ensuring resilience to disasters—and goals and objectives to be achieved within each mission. The QHSR report also identified threats and challenges confronting U.S. homeland security, strategic objectives for strengthening the homeland security enterprise, and federal agencies’ roles and responsibilities for homeland security.<sup>4</sup> In addition to the QHSR report, in July 2010 DHS issued a report on the results of its Bottom-Up Review (BUR), a departmentwide assessment to align DHS’s programmatic activities, such as investigating drug smuggling and inspecting cargo at ports of entry, and its organizational structure to the missions and goals identified in the QHSR.<sup>5</sup> The BUR report described DHS’s current activities within each of the five QHSR missions and two broad DHS functional areas that complement the homeland security missions—department management and accountability. The BUR report also identified priority initiatives to strengthen its activities.

You asked us to review DHS’s process for conducting its quadrennial review and DHS’s reported results. This report addresses the extent to which the QHSR and BUR reports addressed the reporting elements specified for the QHSR in the 9/11 Commission Act. Enclosure I provides additional information on the process DHS used to conduct the quadrennial review.

To assess the extent to which the 2010 QHSR and BUR reports addressed reporting elements listed in the 9/11 Commission Act, we determined the extent to which each element was addressed in the QHSR or BUR reports. Three GAO analysts independently compared the QHSR and BUR reports to each of the nine reporting elements to determine whether each element was addressed, addressed in part, or not addressed. In cases when the analysts disagreed, they reviewed and discussed their independent assessments to reach concurrence. We considered an element addressed if all portions of it were explicitly included in either the QHSR or BUR reports, addressed in part if one or more but not all portions of the element were included, and not addressed if neither the QHSR nor the BUR reports explicitly addressed any part of the element. In addition, we interviewed DHS officials involved in the quadrennial review to discuss their implementation of the 9/11 Commission Act requirements and the review’s analytic approach and findings. To

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to the elements that the 9/11 Commission Act required to be included in the QHSR report as “reporting elements.” The 9/11 Commission Act required DHS to conduct various tasks as part of the quadrennial review. For this report, we reviewed the extent to which DHS addressed the 9/11 Commission Act reporting elements and not the extent to which DHS conducted the tasks.

<sup>3</sup> DHS, *Quadrennial Homeland Security Review Report: A Strategic Framework for a Secure Homeland* (Washington, D.C.: February 2010).

<sup>4</sup> In the QHSR report, the term enterprise refers to the collective efforts and shared responsibilities of federal, state, local, tribal, territorial, nongovernmental, and private-sector partners—as well as individuals, families, and communities—to maintain critical homeland security capabilities.

<sup>5</sup> DHS, *Bottom-Up Review Report* (Washington, D.C.: July 2010).

determine the process DHS followed in conducting the quadrennial review, including the QHSR and BUR, we reviewed documents provided by DHS that outlined the quadrennial review process, such as DHS's time frames for the review, planning and guidance documents that specified how DHS would conduct its analyses, briefing slides provided to Congress, and correspondence between DHS officials and stakeholders consulted as a part of the quadrennial review. To describe the actions DHS took to consult with the stakeholders listed in the 9/11 Commission Act while conducting the QHSR, we obtained and evaluated DHS documentary evidence of outreach to stakeholders, such as letters to stakeholders requesting input on the QHSR report and documents provided to DHS by stakeholders in response to DHS's request. We also interviewed DHS officials and officials from the seven federal agencies listed as stakeholders in the 9/11 Commission Act to determine how DHS consulted with these stakeholders throughout the QHSR development phases.<sup>6</sup> For the purposes of this report, we did not evaluate the effectiveness of DHS's quadrennial review process or validate the results of the quadrennial review analyses; we are conducting additional work in response to a request from the Senate Committee on Homeland Security and Governmental Affairs and its Oversight of Government Management, the Federal Workforce, and the District of Columbia Subcommittee evaluating the strengths and weaknesses of the quadrennial review and will report on the results of that work in 2011.

We conducted this performance audit from June 2010 through December 2010 in accordance with generally accepted government auditing standards. Those standards require that we plan and perform the audit to obtain sufficient, appropriate evidence to provide a reasonable basis for our findings and conclusions based on our audit objectives. We believe that the evidence obtained provides a reasonable basis for our findings and conclusions based on our audit objectives.

### **DHS Fully or Partially Addressed Many Reporting Elements in the QHSR and BUR Reports, but Did Not Provide Required Budget Planning Descriptions**

Of the nine 9/11 Commission Act reporting elements for the QHSR, DHS addressed three and partially addressed six through the QHSR and BUR reports, as shown in table 2. Elements DHS addressed included a description of homeland security threats and an explanation of underlying assumptions for the QHSR report. Elements addressed in part included a prioritized list of homeland security missions, an assessment of the alignment of DHS with the QHSR missions, and discussions of cooperation between the federal government and state, local, and tribal governments. DHS did not include, in either the QHSR or the BUR report, budget plans for executing the QHSR missions. However, DHS officials anticipate including a budget plan for implementing the QHSR missions in DHS's fiscal year 2012 budget request and in its Fiscal Year 2012-2016 Future Years Homeland Security Program (FYHSP) documents. In addition, DHS issued the QHSR and the BUR reports after December 31, 2009, the date specified in the 9/11 Commission Act for DHS to report on the results of the quadrennial review. According to DHS officials, DHS released the QHSR report after this date because final agreement was needed among federal agencies on material in the report and DHS targeted releasing the QHSR report on the same date as the Department of Defense's Quadrennial Defense Review (QDR).

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<sup>6</sup> The seven agencies listed in the 9/11 Commission Act are the Departments of Agriculture, Defense, Health and Human Services, Justice, State, and the Treasury, and the Office of the Director of National Intelligence.

**Table 1: GAO Assessment of Reporting Elements in DHS’s 2010 QHSR and BUR Reports**

Required elements and comments	Our assessment
<p><b>(1) Each report shall include “the results of the quadrennial homeland security review.”</b></p> <p><b>Comments:</b> The 9/11 Commission Act lists six tasks that DHS is to include in conducting the quadrennial review. The QHSR and BUR reports included at least partial descriptions of the results of five of these tasks, such as a description of the homeland security strategy and the homeland security mission areas of the nation. However, the QHSR and BUR did not include descriptions of the results of one review task—identifying the budget plan required to execute the mission areas. DHS plans to include the results of this task in its fiscal year 2012 budget request and Fiscal Year 2012-2016 FYHSP.</p>	<p><b>Addressed in part</b></p>
<p><b>(2) Each report shall include “a description of the threats to the assumed or defined national homeland security interests of the Nation that were examined for the purposes of that review.”</b></p> <p><b>Comments:</b> The QHSR report identified six threats and hazards as well as five global challenges and long-term trends considered by DHS to be threats to U.S. interests from a homeland security perspective.</p>	<p><b>Addressed</b></p>
<p><b>(3) Each report shall include “the national homeland security strategy, including a prioritized list of the critical homeland security missions of the Nation.”</b></p> <p><b>Comments:</b> The QHSR report identified five homeland security missions, but did not prioritize among these missions. The QHSR’s five mission areas are:</p> <ul style="list-style-type: none"> <li>(1) preventing terrorism and enhancing security,</li> <li>(2) securing and managing our borders,</li> <li>(3) enforcing and administering our immigration laws,</li> <li>(4) safeguarding and securing cyberspace, and</li> <li>(5) ensuring resilience to disasters.</li> </ul> <p>Within each of the five missions, the QHSR identified goals and objectives. For example, within the preventing terrorism and enhancing security mission, the QHSR identified a goal of preventing terrorist attacks and an objective of stopping the spread of violent extremism.</p>	<p><b>Addressed in part</b></p>
<p><b>(4) Each report shall include “a description of the interagency cooperation, preparedness of Federal response assets, infrastructure, budget plan, and other elements of the homeland security program and policies of the Nation associated with the national homeland security strategy, required to execute successfully the full range of missions called for in the applicable national homeland security strategy referred to in subsection (b)(1) and the homeland security mission areas outlined under subsection (b)(2).”</b></p> <p><b>Comments:</b> The QHSR and/or BUR reports discussed interagency cooperation, infrastructure, and other elements of the homeland security program required to execute the five QHSR mission areas. However, neither the QHSR nor the BUR provided a description of a budget plan and did not fully describe the preparedness of federal response assets required to execute the five QHSR mission areas. With regard to interagency cooperation, the BUR report described initiatives that will require interagency cooperation to execute the five QHSR mission areas. With regard to the preparedness of federal response assets, the BUR report provided examples of DHS response assets, but did not discuss other federal assets for homeland security. Within the discussion of the QHSR missions and goals in the BUR report, DHS provided examples of infrastructure that could assist with achieving these goals. The QHSR and BUR reports included other elements of the homeland security program, such as how DHS plans to mature and strengthen the homeland security enterprise. Both the QHSR and the BUR reports indicated that a DHS budget plan for implementing the QHSR missions will be included in DHS’s fiscal year 2012 budget request and in its Fiscal Year 2012-2016 FYHSP documents.</p>	<p><b>Addressed in part</b></p>
<p><b>(5) Each report shall include “an assessment of the organizational alignment of the Department with the applicable national homeland security strategy referred to in subsection (b)(1) and the homeland security mission areas outlined under subsection (b)(2), including the Department’s organizational structure, management systems, budget and accounting systems, human resources systems, procurement systems, and physical and technical infrastructure.”</b></p> <p><b>Comments:</b> The BUR report assessed alignment of DHS’s organizational structure with the QHSR mission strategies by listing how the various DHS component activities align with the five QHSR missions. Although</p>	<p><b>Addressed in part</b></p>

Required elements and comments	Our assessment
<p>the BUR report included examples of DHS’s management systems, budget and accounting systems, human resources systems, procurement systems, and physical and technical infrastructure in its description of DHS’s roles, authorities, or planned initiatives, it did not include an assessment the alignment of each of these sub-elements with QHSR mission areas.</p>	
<p><b>(6) Each report shall include “a discussion of the status of cooperation among Federal agencies in the effort to promote national homeland security.”</b></p> <p><b>Comments:</b> The BUR report provided descriptions of cooperation between DHS and other federal agencies, but, along with the QHSR report, did not discuss cooperation among other federal agencies in efforts to promote national homeland security. For example, the BUR report stated that DHS works closely with other federal departments and agencies, such as the Departments of Justice, Transportation, and Defense, in securing U.S. air, land, and sea borders. The QHSR report described homeland security roles and responsibilities for federal agencies with brief descriptions of coordination leadership roles for several, but not all, federal agencies. The descriptions indicated leadership roles in coordination efforts, but did not provide the status of cooperation among federal agencies to promote homeland security.</p>	<p><b>Addressed in part</b></p>
<p><b>(7) Each report shall include “a discussion of the status of cooperation between the Federal Government and State, local, and tribal governments in preventing terrorist attacks and preparing for emergency response to threats to national homeland security.”</b></p> <p><b>Comments:</b> The BUR report provides descriptions of cooperation between DHS and state, local, tribal, and territorial governments but neither the QHSR nor the BUR report discussed cooperation between other federal agencies and these entities. The BUR report provided an overview of DHS’s role within each mission area, including a discussion of how such cooperation occurs. For example, it stated that DHS responsibilities for preventing terrorist attacks include assisting state, local, tribal, and territorial governments to obtain the information and capabilities to address threats through federal grant programs. According to the BUR report, these grant programs help state, local, tribal, and territorial governments build and sustain capabilities necessary to prevent terrorist attacks, as well as address other threats, prepare for, respond to, and recover from all hazards.</p>	<p><b>Addressed in part</b></p>
<p><b>(8) Each report shall include “an explanation of any underlying assumptions used in conducting the review.”</b></p> <p><b>Comments:</b> The QHSR report stated that three broad assumptions shaped the development of DHS’s homeland security strategy: (1) rapid technological change; (2) multiple simultaneous crises that will likely challenge the nation and its resources; and (3) the need for United States to guard against complacency as memories of 9/11 recede. The QHSR also listed nine specific assumptions concerning the current security environment, such as violent extremist groups that will continue to use terrorism to attack U.S. targets and climate change that will increase the severity and frequency of weather-related hazards.</p>	<p><b>Addressed</b></p>
<p><b>(9) Each report shall include “any other matter the Secretary considers appropriate.”</b></p> <p><b>Comments:</b> The 9/11 Commission Act required DHS to report on the national homeland security strategy, including the critical missions of the nation. DHS also reported on the goals and objectives that would support each of the mission areas. In addition, the QHSR report described objectives for maturing and strengthening the homeland security enterprise based on common themes across the QHSR mission areas, such as ensuring a shared awareness and understanding of risks and threats and building capable communities. In addition to endeavoring to fulfill the 9/11 Commission Act requirement of aligning DHS’s organization with the QHSR missions, the BUR report described initiatives and enhancements aimed at increasing mission performance and improving department management.</p>	<p><b>Addressed</b></p>

Source: GAO analysis of DHS information and the 9/11 Commission Act.

Enclosure I describes DHS’s process for conducting the quadrennial review. Enclosure II includes our detailed evaluation of each of the nine reporting elements required by the 9/11 Commission Act for inclusion in the quadrennial review report documents.<sup>7</sup> The required quadrennial review elements are reprinted in enclosure III.

<sup>7</sup> 6 U.S.C. § 347(c)(2)(A)-(I). For the purposes of this review, we did not evaluate the extent to which DHS conducted tasks specified in the 9/11 Commission Act for the quadrennial review.

## Agency Comments and Our Evaluation

We requested comments on our report from the Departments of Agriculture, Defense, Health and Human Services, Homeland Security, Justice, State, and Treasury and the Office of the Director of National Intelligence. On December 8, 2010, DHS provided written comments, which are summarized below and reprinted in enclosure IV. The Department of Defense provided technical comments, which we incorporated as appropriate. The other six agencies did not provide comments.

In commenting on our draft report, DHS noted that it believes that we conducted a fair and accurate assessment of DHS's efforts to execute the first Quadrennial Homeland Security Review and agreed with our assessment for eight of the nine reporting elements we evaluated. DHS disagreed with our assessment of reporting element 5 as "Addressed in part," stating that it believes that this reporting element should have been assessed as "Addressed." Reporting element 5 states that each quadrennial review shall include an assessment of the organizational alignment of the department with the applicable national homeland security strategy referred to in subsection (b)(1) and the homeland security mission areas outlined under subsection (b)(2), including the department's organizational structure, management systems, budget and accounting systems, human resources systems, procurement systems, and physical and technical infrastructure.

DHS disagreed with our conclusion that reporting element 5 requires the department to assess the alignment of each of its business lines to the QHSR mission areas. According to DHS, business lines such as those listed in the above requirement cut across all mission areas and support all QHSR mission goals and objectives and the conclusions described in the BUR report also apply equally to all missions. DHS stated that it believes that alignment of the department's business lines to specific missions is neither desired nor feasible.

We found that the QHSR and BUR reports provided examples of DHS's business lines, but did not include an assessment of the alignment of DHS's management systems, budget and accounting systems, human resource systems, and procurement systems to QHSR mission areas. In addition, neither the QHSR nor the BUR report included an explanation of why the department did not consider it to be appropriate or feasible to assess the alignment of DHS's management systems, budget and accounting systems, human resource systems, and procurement systems to the QHSR mission areas, such as a statement or conclusion that these business lines equally apply to all QHSR missions. Such a statement could have helped to explain how DHS viewed its business lines as supporting all of the QHSR mission goals and objectives. Therefore, we continue to believe that reporting element 5 was "Addressed in part" by DHS.

We are sending copies of this report to the Secretaries of Agriculture, Defense, Health and Human Services, Homeland Security, State, and the Treasury; the Attorney General; the Director of National Intelligence; and selected congressional committees. This report is also available at no charge on the GAO Web site at <http://www.gao.gov>. Should you or your staff have any questions, please contact me at (202) 512-9627 or [maurerd@gao.gov](mailto:maurerd@gao.gov). Contact points for our Offices of Congressional Relations and Public Affairs may be found on the last page of this report. Key contributors to this report were Rebecca Gambler, Assistant

Director; Ben Atwater, Analyst-in-Charge; Labony Chakraborty; Michele Fejfar; Tracey King; Amy Martin; Jean Orland; and Janay Sam.

A handwritten signature in black ink, reading "David C. Maurer". The signature is written in a cursive style with a prominent initial "D" and a long, sweeping underline.

David C. Maurer  
Director, Homeland Security and Justice

Enclosures – 4

## Enclosure I: DHS Conducted the Quadrennial Review in Three Related Phases and Obtained Input from Key Stakeholders

The Department of Homeland Security (DHS) approached the 9/11 Commission Act requirement for a quadrennial homeland security review in three phases (see fig. 1). In the first phase, DHS defined the nation's homeland security interests, identified the critical homeland security missions, and developed a strategic approach to those missions by laying out the principal goals, objectives, and strategic outcomes for the mission areas.<sup>8</sup> DHS reported on the results of this effort in the February 2010 Quadrennial Homeland Security Review (QHSR) report in which the department identified five homeland security missions and associated goals and objectives. In the second phase—the Bottom-Up Review (BUR)—DHS identified its component agencies' activities; aligned those activities to the QHSR missions and goals; and made recommendations for improving the department's organizational alignment and business processes. DHS reported on the results of this second phase in the July 2010 BUR report. In the third phase, which is currently underway, DHS is developing its budget plan necessary to execute the QHSR missions. DHS plans to present this budget plan in the President's fiscal year 2012 budget request and the accompanying Fiscal Year 2012-2016 Future Years Homeland Security Program (FYHSP).<sup>9</sup> DHS officials stated that together, these three phases and their resulting reports, when completed, will address the 9/11 Commission Act requirement for the quadrennial homeland security review.<sup>10</sup>

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<sup>8</sup> Approximately 25 full-time equivalent staff oversaw the QHSR report process, including Office of Policy staff, study group lead officials, and liaisons from the Office of Program Analysis and Evaluation, according to DHS.

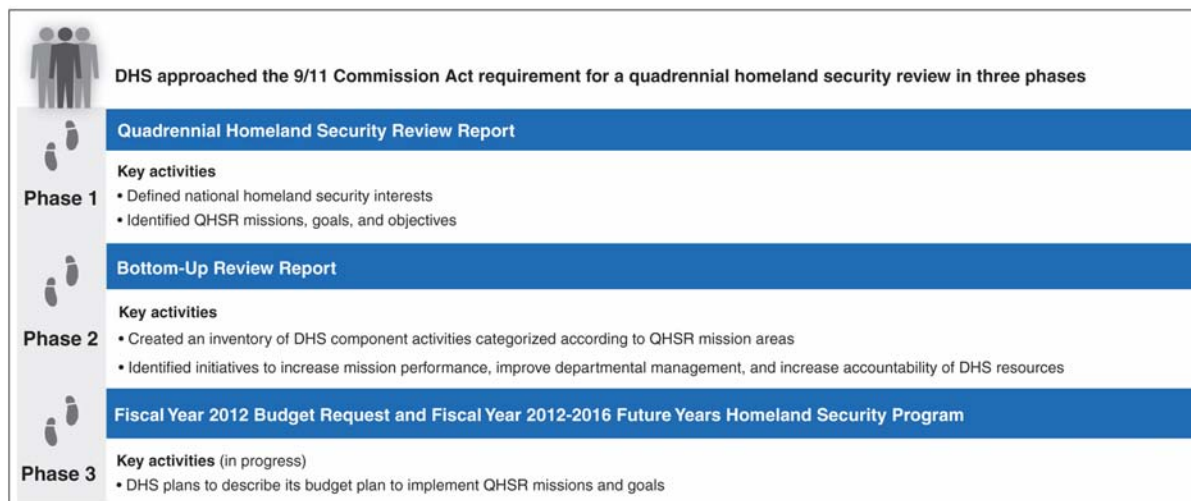
<sup>9</sup> The FYHSP provides a summary and breakdown of DHS program resources over a 5-year period, including resource alignment by goals, component appropriations, and component programs, as well as program descriptions, milestones, performance measures, and targets.

<sup>10</sup> Because DHS used a three-phased approach to conduct the quadrennial review specified in the 9/11 Commission Act and the QHSR and BUR phases have been completed, we refer to DHS's QHSR and BUR processes collectively as the "quadrennial review processes" throughout this report.



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Figure 1: DHS's Three-Phased Approach to Meeting 9/11 Commission Act Requirements



Source: GAO analysis of DHS information; Art Explosion (images).

DHS initiated the QHSR in August 2007. Led by the DHS Office of Policy, the department initially formed an internal DHS working group and conducted outreach with the Department of Defense (DOD) and congressional committees to develop the department's analytical approach for conducting the review. Specifically, DHS reviewed DOD's Quadrennial Defense Review (QDR) process as a possible model for the QHSR, but determined that DHS did not have the analytic infrastructure to perform force structure planning and risk analysis as DOD had.<sup>11</sup> Instead DHS developed a homeland security strategy based on missions, and aligned component activities to the missions and intends to develop a budget plan based on the QHSR missions. However, DHS is building the analytic infrastructure necessary to conduct force structure planning and risk analysis for the next QHSR, according to DHS officials. For example, one BUR report initiative describes the need for DHS to enhance its strategic planning processes, resource allocation processes, risk analyses, modeling capabilities, statistical analyses, and data collection, in order to effectively project capability and capacity requirements for DHS missions and functions.

In July 2009 DHS issued its QHSR terms of reference, outlining the framework for conducting the quadrennial review and identifying threats and assumptions to be used in

<sup>11</sup> The 2010 QDR is a legislatively mandated review that articulates DOD's strategic plan to rebalance capabilities in order to prevail in current operations and develop capabilities to meet future threats. The QDR results are intended to guide the military services in making resource allocation decisions when developing future budgets. DOD examined the force structure needed for three sets of scenarios, each consisting of multiple concurrent operations, chosen to reflect the complexity and range of events that may occur in overlapping time frames. According to the 2010 QDR, DOD used a multidisciplinary approach in assessing risk drawing on best practices, quantitative analysis, informed judgment, expert opinions, and the use of scenarios. For evaluations of the two most recent QDRs, see GAO, *Quadrennial Defense Review: 2010 Report Addressed Many but Not All Required Items*, GAO-10-575R (Washington, D.C.: Apr. 30, 2010); and GAO, *Quadrennial Defense Review: Future Reviews Could Benefit from Improved Department of Defense Analyses and Changes to Legislative Requirements*, GAO-07-709 (Washington, D.C.: Sept. 14, 2007).

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conducting the review.<sup>12</sup> Through the terms of reference, DHS also identified the initial four homeland security mission areas to be studied—counterterrorism and domestic security management; securing our borders; smart and tough enforcement of immigration laws; and preparing for, responding to, and recovering from disasters—as well as three other separate, nonmission study areas to be part of the review—DHS strategic management, homeland security national risk assessments, and homeland security planning and capabilities. The fifth QHSR mission area on safeguarding and securing cyberspace was added after DHS issued the terms of reference. DHS established seven study groups corresponding to these areas, which were composed of officials from across DHS offices and components. According to the QHSR report, more than 200 participants comprised the study groups from DHS's 4 directorates and 7 components, as well as 31 offices and entities within DHS. The DHS study group participants were supported by 35 subject matter experts and research analysts. The study groups were each led by a DHS official and facilitated by an independent subject matter expert from the Homeland Security Studies and Analysis Institute. These study groups conducted their analysis over a 5-month period with work products being shared with other stakeholder groups, such as outlines of mission areas and assumptions, in order to develop goals and objectives for each mission area. At the end of the study group period, DHS senior leadership, including the Deputy Secretary of Homeland Security, the General Counsel, and office and component heads, met multiple times to review and discuss the study group recommendations. According to DHS officials, the DHS senior leadership meetings focused on key points of the study groups' work, including results of consultations with other federal departments and external stakeholders. The DHS Office of Policy consolidated the study groups' recommendations into a draft QHSR report and obtained and incorporated feedback on the draft report from other federal agencies and stakeholder groups, including the stakeholders listed in the 9/11 Commission Act. Agreement on the QHSR report's final content was reached between the Secretary for Homeland Security and senior White House officials. DHS issued the final QHSR report in February 2010, on the same date as DOD's QDR.

Throughout the QHSR, DHS solicited input from various stakeholder groups, including federal agencies, DHS offices and components, and other governmental and nongovernmental entities. DHS obtained input from these groups through a variety of mechanisms, such as multiagency working groups, solicitation of homeland security research papers, and a Web-based forum, as shown in table 1.

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<sup>12</sup> DHS distributed the draft QHSR terms of reference for internal DHS review in May 2009. The final draft QHSR terms of reference was distributed to study group lead officials in early June 2009. The Secretary of Homeland Security formally signed the QHSR terms of reference in July 2009.

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**Table 1: Mechanisms Used by DHS for Obtaining Input on the QHSR from Various Stakeholder Groups**

Stakeholder coordination mechanism	Lead agency/office	Stakeholder participants	Nature of collaboration and activities
Study Groups	DHS Office of Policy; each study group was chaired by a DHS official and facilitated by a subject matter expert from the Homeland Security Studies and Analysis Institute	DHS directorates, components, offices, subject matter experts, and research analysts	Provided analysis over a 5-month period with work products that defined the nature and purpose of the homeland security missions to collaboratively share with other stakeholder groups.
Steering Committee	DHS – Deputy Assistant Secretary for Policy (Strategic Plans)	DHS study group chairs and independent facilitators, Director of DHS’s Office of Program Analysis and Evaluation, and representatives from DHS’s Office of Intergovernmental Affairs, Science and Technology Directorate, Office of International Affairs, Office of General Counsel, and Office of Intelligence and Analysis	Provided day-to-day management and oversight of the QHSR report process. According to the QHSR report, they met weekly to review and integrate study group materials into the QHSR report. The committee also held monthly meetings during which each study group presented its progress towards developing recommendations and issues that required leadership consideration and decision.
Senior Leadership Meetings	DHS	DHS senior leadership, such as the Deputy Secretary of Homeland Security, and the heads of directorates and components	Reviewed and provided concurrence on study group recommendations for the QHSR mission goals, and objectives.
National Security Staff Sub-Interagency Policy Committees (Sub-IPC)	National Security Staff and DHS officials led each of six Sub-IPCs.	26 federal departments and agencies and 6 entities within the Executive Office of the President. <sup>a</sup> Departments and agencies participated in Sub-IPCs based on whether they	Provided a forum for study groups to gather interagency input as the study groups developed proposals for QHSR mission goals, objectives, and other report content.

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		had roles or activities related to the Sub-IPCs' mission areas	
Strategy Coordination Group	DHS – Deputy Assistant Secretary for Policy (Strategic Plans)	Representatives of DHS, other federal agencies and White House staff	In addition to the Sub-IPCs, interagency input was provided by the Strategy Coordination Group to allow strategy and policy planners from across federal agencies an opportunity to share their feedback and perspectives on the review. According to the QHSR report, monthly meetings allowed federal officials responsible for similar strategic reviews to share lessons learned and best practices regarding their respective reviews and planning processes.
Solicitation of Stakeholder Position Papers	DHS	Various homeland security stakeholder organizations representing state, local, tribal, territorial, nongovernmental, private-sector, and professional interests	Solicited position papers from 118 stakeholder groups, such as the All Hazards Consortium and the Airports Council International North America. DHS study groups used the 43 documents submitted by the stakeholders groups to help frame and inform study group discussions.
Web-based Discussion Forum	DHS with the National Academy of Public Administration	Open to anyone, including the general public, who wanted to provide input on the QHSR content. DHS engaged in deliberate outreach to organizations with interests in homeland security such as business and academia	Provided a series of three Web-based discussions to obtain direct input and perspectives from participants to comment on study group materials. According to DHS, this forum resulted in over 3,000 comments on study group material. The study groups used this information to inform the QHSR analyses and posted updated materials on each successive dialogue to show participants how their comments informed study group work.
Executive Committee	DHS	10 stakeholder associations, such as the National Governors Association and the U.S. Conference of Mayors	Provided monthly teleconferences with associations throughout the review to keep the associations apprised of the review progress.

Source: GAO analysis of DHS information.

<sup>a</sup>The 26 federal departments and agencies and 6 entities within the Executive Office of the President were: Department of Homeland Security, Department of State, Department of Justice, Department of Defense, Department of Transportation, Department of Energy, Department of Health and Human Services, Office of the Director of National Intelligence, Department of the Treasury, National Counterterrorism Center, United States Postal Service, General Services Administration, Office of Management and Budget, National Security Staff, Office of Global Maritime Situational Awareness, Department of Labor, Domestic Policy Council, United States Trade Representative, Council of Economic Advisors, National Economic Council, Department of Education, United States Department of Agriculture, Nuclear Regulatory Commission, Office of Science and Technology Policy, Office of Personnel Management, Department of Veterans Affairs, Environmental Protection Agency, United States Geological Survey, United States Army Corps of Engineers, National Guard Bureau, National Institute of Standards and Technology, and Department of Housing and Urban Development.

## **Enclosure I: DHS Conducted the Quadrennial Review in Three Related Phases and Obtained Input from Key Stakeholders**

DHS initiated the BUR in November 2009. Each DHS directorate, component, and office created an inventory of its activities and categorized them according to the QHSR missions. For example, the Transportation Security Administration identified one of its activities as inspecting domestic air cargo, which it categorized under the preventing terrorism and enhancing security QHSR mission area. U.S. Immigration and Customs Enforcement identified one of its activities as investigating human smuggling and trafficking, which it categorized under the securing and managing our borders QHSR mission area. The BUR resulted in a catalogue of about 1,300 DHS activities organized under each of the five QHSR mission areas or the DHS functional areas of department management and accountability. Under the department management functional area, DHS identified one of its activities as the efficiency review to identify and implement initiatives to reduce costs or streamline operations. Under the accountability functional area, DHS identified one of its activities as strengthening data and performance management. DHS identified over 300 potential initiatives for increasing mission performance and accountability and improving department management, derived 43 priority initiatives from this list, and highlighted them in the July 2010 BUR report.<sup>13</sup> For example, under the enforcing and administering our immigration laws mission area, DHS identified as priority initiatives improving DHS's immigration services processes and dismantling human smuggling organizations. Under the ensuring resilience to disasters mission area, DHS identified as priority initiatives enhancing catastrophic disaster preparedness and improving DHS's ability to lead in emergency management.

DHS is developing its fiscal year 2012 budget request and the Fiscal Year 2012-2016 FYHSP. According to DHS officials, all the BUR initiatives will not be accomplished in fiscal year 2012. DHS plans to begin working on the highest-priority initiatives in the near term. We have ongoing work reviewing how DHS is implementing the QHSR and BUR and, as part of that work we will report in 2011 on how the fiscal year 2012 budget request and Fiscal Year 2012-2016 FYHSP align with the QHSR and BUR.

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<sup>13</sup>While 43 initiatives are listed in the BUR report, DHS tracks 44 BUR initiatives because 2 initiatives were consolidated into 1 for implementation purposes, according to DHS officials.



## Reporting Element: Results of the Review

### Reporting Element 1

According to 6 U.S.C. § 347(c)(2)(A) each report shall include “the results of the quadrennial homeland security review.”

### Our Assessment: Addressed in Part

Based on our assessment, we found that this element was addressed in part.

### Detailed Assessment of This Element

We found that this element was addressed in part because the 2010 Quadrennial Homeland Security Review (QHSR) and Bottom-Up Review (BUR) reports included descriptions of the results of some but not all of the tasks that the 9/11 Commission Act specified for the quadrennial review. Specifically, the act required that, in conducting the review, DHS include six tasks, such as outlining and prioritizing the full range of critical homeland security mission areas of the nation. The act required the Department of Homeland Security (DHS) to report on this and other tasks as part of the QHSR report. As shown in table 1, the QHSR and BUR reports discussed some, but not all, of the six task areas specified by the 9/11 Commission Act for the quadrennial review.

**Table 1: GAO’s Assessment of Extent to Which the QHSR and BUR Reports Addressed the 9/11 Commission Act Quadrennial Review Tasks**

QHSR tasks	Our assessment
Delineate and update, as appropriate, the national homeland security strategy, consistent with appropriate national and department strategies, strategic plans, and Homeland Security Presidential Directives, including the National Strategy for Homeland Security, the National Response Plan, and the Department Security Strategic Plan	The QHSR report delineates a national homeland security strategy, through its description of five homeland security mission areas and identification of corresponding goals, objectives, and strategic outcomes. In addition, the BUR report stated that the QHSR was consistent with, and expands upon, the May 2010 White House National Security Strategy. DHS officials collaborated with White House staff as the National Security Strategy was developed to ensure that the QHSR and National Security Strategy were consistent, according to DHS officials. However, the QHSR and BUR reports did not identify how the QHSR homeland security strategy is consistent with other national and DHS strategies, such as the National Strategy for Homeland Security, issued by the White House in October 2007, or DHS’s current strategic plan. Regarding consistency with the National Strategy for Homeland Security, according to DHS officials, no effort was made by DHS officials to evaluate the consistency of the QHSR report with the National Strategy for Homeland Security, and DHS did not comment on the effect of the QHSR report on the strategy. Regarding consistency with DHS’s fiscal year 2008-2013 strategic plan, DHS considers the QHSR and BUR reports to supersede the current strategic plan and therefore

## Reporting Element: Results of Review

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	<p>consistency between the two strategies was not evaluated, according to DHS officials. However, DHS officials stated that DHS is currently considering whether publication of the QHSR report is sufficient to supersede the current strategic plan or whether additional action, including releasing a new strategic plan, is required.</p>
<p>Outline and prioritize the full range of the critical homeland security mission areas of the nation</p>	<p>In the QHSR report, DHS outlined five homeland security mission areas, but did not prioritize among those areas. For additional details on our assessment, see the section of this enclosure on Reporting Element 3.</p>
<p>Describe the interagency cooperation, preparedness of federal response assets, infrastructure, budget plan, and other elements of the homeland security program and policies of the nation associated with the national homeland security strategy, required to execute successfully the full range of missions called for in the national homeland security strategy</p>	<p>The QHSR and BUR reports discussed interagency cooperation, infrastructure, and other elements required to execute the QHSR missions, but did not provide a description of a budget plan or fully describe the preparedness of federal response assets. DHS proposes to include a budget plan in its fiscal year 2012 budget request and Fiscal Year 2012-2016 Future Years Homeland Security Program. For additional details on our assessment, see the section of this enclosure on Reporting Element 4.</p>
<p>Identify the budget plan required to provide sufficient resources to successfully execute the full range of missions called for in the national homeland security strategy</p>	<p>The QHSR and BUR reports did not identify a budget plan for providing resources to execute the missions called for in the national homeland security. DHS plans to include the budget plan in its fiscal year 2012 budget request and Fiscal Year 2012-2016 Future Years Homeland Security Program. For additional details on our assessment, see the section of this enclosure on Reporting Element 4.</p>
<p>Include an assessment of the organizational alignment of the department with the national homeland security strategy</p>	<p>The BUR report included an assessment of the organizational alignment of DHS with the QHSR strategy missions and goals. For additional details on our assessment, see the section of this enclosure on Reporting Element 5.</p>
<p>Review and assess the effectiveness of the mechanisms of the department for executing the process of turning the requirements developed in the quadrennial homeland security review into an acquisition strategy and expenditure plan within the department</p>	<p>The BUR report stated that DHS conducted a review and assessment of the effectiveness of mechanisms for executing the QHSR report requirements into an acquisition strategy and expenditure plan. As a result of this assessment, the BUR report included three initiatives for improving the effectiveness of these mechanisms—increasing analytic capability and capacity, improving performance measurement and accountability, and strengthening acquisition oversight.</p>

Source: GAO analysis of DHS information.



## Reporting Element: Description of Threats

### Reporting Element 2

According to 6 U.S.C. § 347(c)(2)(B), each report shall include “a description of the threats to the assumed or defined national homeland security interests of the Nation that were examined for the purposes of that review.”

### Our Assessment: Addressed

Based on our assessment, we found that this element was addressed.

### Detailed Assessment of This Element

We found that this element was addressed because the 2010 Quadrennial Homeland Security Review (QHSR) report prefaced its mission descriptions by listing six threats as well as five global challenges considered by the Department of Homeland Security (DHS) to be threats to U.S. interests from a homeland security perspective. According to the QHSR report, these threats and challenges were the backdrop against which DHS planned to pursue its homeland security efforts. The threats defined in the QHSR report were:

- (1) High-consequence weapons of mass destruction, in particular, improvised nuclear devices and high-consequence biological weapons, which would have the greatest potential effects if used against the United States.
- (2) Al-Qaeda and global violent extremism which directly threaten the United States and its allies.
- (3) High-consequence and/or wide-scale cyber attacks, intrusions, disruptions, and exploitations, which, when used by hostile state or nonstate actors, could massively disable or impair critical international financial, commercial, physical, and other infrastructure.
- (4) Pandemics, major accidents, and natural hazards, which can result in massive loss of life and livelihood equal to or greater than many deliberate malicious attacks.
- (5) Illicit trafficking and related transnational crime, which can undermine effective governance and security, corrupt strategically vital markets, slow economic growth, and destabilize weaker states.
- (6) Smaller scale terrorism, which may include violent extremists and other state or nonstate actors conducting small-scale explosive and cyber attacks and intrusions against population centers, important symbolic targets, or critical infrastructure.

The five global challenges affecting homeland security defined in the QHSR report were:

- (1) Economic and financial instability that can undermine confidence in the international order, fuel global political turbulence, and induce social and political instability in weak states abroad.
- (2) Dependence on fossil fuels and the threat of global climate change that can open the United States to disruptions and manipulations in energy supplies and to changes in natural environment on an unprecedented scale. Climate change is expected to increase the severity and frequency of weather-related hazards, which could, in turn, result in social and political destabilization, international conflict, or mass migrations.
- (3) Nations unwilling to abide by international norms that can threaten U.S. security interests directly or indirectly by sponsoring terrorism, encouraging weapons of mass destruction proliferation, serving as a source of cyber disruptions, committing human rights atrocities, or providing safe haven to transnational criminal networks.



## Reporting Element: Description of Threats

(4) Sophisticated and broadly available technology which empowers adversaries. According to the QHSR report, intelligence and counterintelligence practices must be adapted to defeat hostile operations and the use of intelligence tradecraft by small groups and individuals planning destructive attacks against the United States.

(5) Other drivers of illicit, dangerous, or uncontrolled movement of people and goods, including fragile and failing states, regional instability, competition for resources, demographic shifts, environmental degradation, genocide, and other gross violations of human rights. These same drivers can also foster terrorism and violent extremist ideology, breed transnational crime, and facilitate the proliferation of high-consequence weaponry.

According to DHS officials, the threats and global challenges listed in the QHSR report were developed through discussions with federal national security officials and through reviews of intelligence community materials.

In addition, the QHSR report includes an objective within its strategies for maturing and strengthening the homeland security enterprise on the importance of continuing to study and understand homeland security threats and vulnerabilities, given the changing spectrum of threats, vulnerabilities, and disaster scenarios faced by the United States. Specifically, the objective is for the both the public and the private sectors to pursue a rigorous scientific understanding of current and future threats to homeland security and the possible means to their prevention and mitigation.



## Reporting Element: Homeland Security Strategy, Including Prioritized Missions

### Reporting Element 3

According to 6 U.S.C. § 347(c)(2)(C), each report shall include “the national homeland security strategy, including a prioritized list of the critical homeland security missions of the Nation.”

### Our Assessment: Addressed in Part

Based on our assessment, we found that this element was addressed in part.

### Detailed Assessment of This Element

We found that this item was addressed in part because the 2010 Quadrennial Homeland Security Review (QHSR) report included the national homeland security strategy and a list of five homeland security missions, but did not prioritize these missions. According to DHS officials, the five missions listed in the QHSR report have equal priority—no one mission is given greater priority than another.<sup>1</sup> Still, according to Department of Homeland Security (DHS) officials, in selecting the five missions from the many potential homeland security mission areas upon which DHS could focus its efforts, the QHSR report indicates that the five mission areas are DHS’s highest priority homeland security concerns. The QHSR’s five mission areas are listed in figure 1.

Figure 1: QHSR Missions and Goals



Source: DHS’s QHSR Report.

<sup>1</sup>According to DHS officials, both the QHSR and BUR reports noted that preventing a terrorist attack in the United States is and remains the cornerstone of homeland security.

## Reporting Element: Homeland Security Strategy, Including Prioritized Missions

The QHSR report acknowledged that defining homeland security missions and setting prioritized goals, objectives, and strategic outcome statements for each mission could help chart a course for action over the next 4 years. As shown in figure 1, within each of these mission areas, DHS specified goals for achieving the mission areas. For example, within the preventing terrorism and enhancing security mission area, the QHSR report listed preventing terrorist attacks as the first goal. Within the goal of preventing terrorist attacks, the QHSR report listed the following objectives: understand the threat, deter and disrupt operations, protect against terrorist capabilities, stop the spread of violent extremism, and engage communities.

In addition to listing goals and objectives within each mission area, the QHSR report listed strategic outcome statements associated with each objective. According to DHS, strategic outcome statements are not intended to comprehensively describe the associated objective. Rather, they reflect critical outcomes that are essential to achieving the objective. For example, regarding the preventing terrorism and enhancing security objectives described above, the QHSR report listed five key strategic outcomes: acts of terrorism against transportation systems are thwarted prior to successful execution; the manufacture, storage, or transfer of dangerous materials are protected by physical, personnel, and cybersecurity measures commensurate with the risks; any release of high-consequence biological weapons is detected in time to protect populations at risk from the release; critical infrastructure sectors adopt and sector partners meet accepted standards that measurably reduce the risk of disrupting public health and safety, critical government services, and essential economic activities; and governmental executive leadership is protected from hostile acts by terrorists and other malicious actors.



## Reporting Element: Interagency Cooperation, Preparedness of Federal Response Assets, Infrastructure, Budget Plan, and Other Elements

### Reporting Element 4

According to 6 U.S.C. § 347(c)(2)(D), each report shall include “a description of the interagency cooperation, preparedness of Federal response assets, infrastructure, budget plan, and other elements of the homeland security program and policies of the Nation associated with the national homeland security strategy, required to execute successfully the full range of missions called for in the applicable national homeland security strategy referred to in subsection (b)(1) and the homeland security mission areas outlined under subsection (b)(2).”

### Our Assessment: Addressed in Part

Based on our assessment, we found that this element was addressed in part.

### Detailed Assessment of This Element

We found that this element was addressed in part because the 2010 Quadrennial Homeland Security Review (QHSR) and Bottom-Up Review (BUR) reports discussed interagency cooperation, infrastructure, and other elements of the homeland security program required to execute the five QHSR mission areas. However, neither the QHSR nor the BUR report provided a description of a budget plan or did not fully describe the preparedness of federal response assets required to execute the five QHSR mission areas. The Department of Homeland Security (DHS) is currently developing its fiscal year 2012 budget request and the Fiscal Year 2012-2016 Future Years Homeland Security Program for implementing the QHSR missions and strategy.

- **Interagency cooperation.** The BUR report described initiatives that require interagency cooperation to execute the five QHSR mission areas—largely referring to cooperation between DHS and other agencies. For example, under Mission 1: Preventing Terrorism and Enhancing Security, DHS stated in the BUR report that it is partnering with the Department of Energy and private industry to develop new technologies to deter and disrupt terrorist threats. In regard to an initiative under Mission 4: Safeguarding and Securing Cyberspace, DHS stated that it will develop and implement a process to share cyber intelligence products with federal, state, local, tribal, territorial, and private sector partners. The QHSR report also provided examples of how interagency cooperation could benefit certain homeland security missions. For example, the report stated that Mission 2: Securing and Managing our Borders can only be achieved by cooperative efforts among federal departments and agencies, international partnerships, global private-sector partners, and federal, state, local, and tribal law enforcement agencies.
- **Preparedness of federal response assets.** The QHSR and BUR reports did not fully describe the preparedness of response assets across federal agencies required to execute the QHSR mission areas, such as the ability to deploy assets from federal agencies, other than DHS, that have critical homeland security roles and responsibilities.<sup>1</sup> However, the BUR report described the preparedness of DHS response assets required to execute the five QHSR mission areas. Specifically, the BUR report provided an overview of DHS’s role within each mission area, including a discussion of the preparedness of DHS assets and the ability to deploy these assets, if necessary. For example, for Mission 5: Ensuring Resilience to Disasters, it stated that

<sup>1</sup>According to DHS officials, DHS’s Federal Emergency Management Agency (FEMA) is responsible for reporting on federal preparedness capabilities. Also, the BUR report stated that FEMA acts as an aggregator of resources from across the federal government to oversee various duties, including disaster response, disaster logistics, individual and public assistance programs, as well as national continuity programs. However, in October 2010 GAO reported that since April 2009, FEMA has made limited progress in assessing preparedness capabilities. See GAO, *FEMA Has Made Limited Progress in Efforts to Develop and Implement a System to Assess National Preparedness Capabilities*, GAO-11-51R (Washington, D.C.: October 2010).

# Reporting Element: Interagency Cooperation, Preparedness of Federal Response Assets, Infrastructure, Budget Plan, and Other Elements

FEMA maintains Incident Management Teams and an emergency alert system, among other things, to provide a mechanism for meeting disaster response requirements. In regards to Mission 4, the BUR report stated that DHS maintains the United States Computer Emergency Readiness Team to provide response support and defense against cyber attacks as well as information sharing.

- **Infrastructure.** Within the discussion of the QHSR missions and goals in the BUR report, DHS provides examples of physical, human capital, or technological infrastructure that could assist with achieving these goals. For example, under Mission 2: Securing and Managing our Borders, the BUR report stated that U.S. Customs and Border Protection screens 100 percent of all arriving cargo through an automated risk assessment process and advanced manifest data. Under Mission 3: Enforcing and Administering Our Immigration Laws, DHS noted in the BUR report that it works to reduce demand for illegal immigrants by conducting investigations of employers who hire illegal immigrants and administers tools such as E-Verify, the department's electronic system for employers to verify the work authorization status of newly hired employees.
- **Budget plan.** Neither the QHSR nor the BUR report included a description of the budget plan required to execute the QHSR missions and strategy. DHS plans to include a budget plan for implementing the QHSR missions and strategy in DHS's fiscal year 2012 budget request and in its Fiscal Year 2012-2016 Future Years Homeland Security Program documents.
- **Other elements of the homeland security program.** The QHSR and the BUR reports included other elements of the homeland security program required to execute the five mission areas. For example, the QHSR report outlined 4 strategic goals and 18 objectives for maturing and strengthening the homeland security enterprise—that is, the federal, state, local, tribal, territorial, nongovernmental, and private-sector entities, as well as individuals, families, and communities who share a common national interest in homeland security. Relatedly, the BUR report described various initiatives and enhancements for improving department management, related to DHS's focus on maturing and unifying DHS, such as improving cross-departmental management, policy and functional integration, and enhancing DHS's workforce.



## Reporting Element: Assessment of DHS Organizational Alignment with QHSR Missions

### Reporting Element 5

According to 6 U.S.C. § 347(c)(2)(E), each report shall include “an assessment of the organizational alignment of the Department with the applicable national homeland security strategy referred to in subsection (b)(1) and the homeland security mission areas outlined under subsection (b)(2), including the Department’s organizational structure, management systems, budget and accounting systems, human resources systems, procurement systems, and physical and technical infrastructure.”

### Our Assessment: Addressed in part

Based on our assessment, we found that this element was addressed in part.

### Detailed Assessment of This Element

We found that this element was addressed in part because the 2010 Bottom-Up Review (BUR) report included an assessment of the alignment of the Department of Homeland Security’s (DHS) organizational structure with the five Quadrennial Homeland Security Review (QHSR) mission areas, but neither the QHSR nor the BUR report included an assessment or evaluation of the extent to which management systems, budget and accounting systems, human resources systems, procurement systems, and physical and technical infrastructure aligned with the QHSR missions. According to DHS officials, an assessment of the alignment of these systems with QHSR missions was not appropriate because these systems are critical to supporting all five QHSR mission areas.

- **Organizational structure.** The BUR report listed how the various DHS components’ current activities align with the five QHSR missions (see fig. 2). According to the BUR report, this analysis is intended to help facilitate a more detailed evaluation of what DHS does within each mission area and identify priority capability gaps and capacity overlaps within and across mission areas.

# Reporting Element: Assessment of DHS Organizational Alignment with QHSR Missions

Figure 2: Examples of DHS Component Activities' Alignment with QHSR Missions

QHSR Missions	Examples of DHS Component Activities*
<p><b>Mission 1: Preventing Terrorism and Enhancing Security</b></p>	<ul style="list-style-type: none"> <li>• Conducts physical screening of passengers and crew, baggage, and cargo - <b>Transportation Security Administration (TSA)</b></li> <li>• Coordinates national efforts to secure and protect critical infrastructure - <b>National Protection and Programs Directorate (NPPD)</b></li> </ul>
<p><b>Mission 2: Securing and Managing Our Borders</b></p>	<ul style="list-style-type: none"> <li>• Conducts screening of people and goods at ports of entry while facilitating trade and travel - <b>U.S. Customs and Border Protection (CBP)</b></li> <li>• Conducts inspections of foreign airports with flights to the United States, and regulates security at domestic airports - <b>TSA</b></li> <li>• Investigates over 400 statutes that protect the United States against the unlawful entry and export of people, goods, and monetary instruments - <b>U.S. Immigration and Customs Enforcement (ICE)</b></li> </ul>
<p><b>Mission 3: Enforcing and Administering Our Immigration Laws</b></p>	<ul style="list-style-type: none"> <li>• Provides immigration and naturalization benefits, as well as asylum and other services to immigrants; works to reduce demand for illegal immigrants by conducting investigations of employers who hire illegal immigrants and administers tools such as E-Verify, the department's electronic system for employers to verify the work authorization status of newly hired employees - <b>U.S. Citizenship and Immigration Services (USCIS)</b></li> <li>• Administers the detention and removal system by which foreign nationals found to be a national security or public safety threat are arrested, detained, and removed from the United States - <b>ICE</b></li> </ul>
<p><b>Mission 4: Safeguarding and Securing Cyberspace</b></p>	<ul style="list-style-type: none"> <li>• Receives and analyzes reports of cyber incidents on federal networks and provides warnings to federal agencies, state, local, and tribal governments - <b>NPPD National Cyber Security and Communications Integration Center</b></li> <li>• Investigates, disrupts, and deters homeland security cyber crimes committed in cyberspace or against cyber networks - <b>U.S. Secret Service and ICE</b></li> </ul>
<p><b>Mission 5: Ensuring Resilience to Disasters</b></p>	<ul style="list-style-type: none"> <li>• Supports citizens and first responders ability to prepare for, protect against, respond to, recover from, and mitigate all hazards - <b>Federal Emergency Management Agency (FEMA)</b></li> <li>• Enforces safety and security regulations on mariners and vessels to ensure all-hazard preparedness - <b>U.S. Coast Guard (USCG)</b></li> </ul>

Source: GAO analysis of DHS's Bottom Up Review Report.

Note: DHS components and directorates listed in **bold text** are primarily responsible for carrying out the activities listed.

\*The following examples of DHS organizational components and activities were derived from (1) a description of DHS authorities and roles in the BUR report, and (2) information contained in Annex D in the BUR report, which is a high-level summary of selected major categories from DHS's existing program structure and alignment of DHS's major investments with each mission. It is important to note that: (1) the table represents only a sample of DHS organizational activities, which includes DHS components and directorates, and (2) according to the BUR report, certain activities cross over multiple QHSR mission areas.

The BUR report stated that DHS's bottom-up review process included an assessment of the organizational alignment of the Department with QHSR missions, including an assessment of management systems, procurement systems, and physical and technical infrastructure. However, our review determined that although the BUR report included examples of DHS's management systems, procurement systems, and physical and technical infrastructure planned initiatives—mainly related to improving department management and increasing accountability—it did not include

# Reporting Element: Assessment of DHS Organizational Alignment with QHSR Missions

an assessment of the extent to which each of these sub-elements aligned with QHSR mission areas. We also found that the BUR report identified initiatives related to the two remaining sub-elements—budget and accounting systems and human resources systems—but did not include an assessment of how these systems aligned with QHSR mission areas.

- **Management systems.** In the BUR report DHS described not only its activities within each of the five QHSR missions, but also its activities within two broad DHS functional areas that complement the homeland security missions—department management and accountability. Within the department management functional area, the BUR report identified initiatives related to the department’s management systems, such as improving cross-departmental management, policy, and functional integration.<sup>1</sup> Under this initiative, DHS plans to examine the creation of a Headquarters Services Division in the Management Directorate; elevate the position of Assistant Secretary for Policy to an Undersecretary; and focus on transforming to a “One DHS” culture through seven specific initiatives such as headquarters consolidation—the collocation of the department by combining existing department and component leases and building out St. Elizabeth’s campus in Washington, D.C.<sup>2</sup> However, the BUR and QHSR reports did not describe how DHS’s management systems align with the QHSR mission areas.
- **Budget and accounting systems.** The BUR report described department management initiatives to transform DHS’s budget and accounting systems. For example, one initiative related to integrating DHS management functions is the Transformation and Systems Consolidation program, DHS’s initiative to consolidate financial, acquisition, and asset management systems, establish a single line of accounting, and standardize business processes. Further, the BUR report identified another initiative to increase departmental accountability by DHS reforming its budget account structure to increase its ability to compare like costs across components and offices. Still, the QHSR and BUR reports did not discuss how DHS’s budget and accounting systems are aligned with the QHSR mission areas.

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<sup>1</sup>For more information on DHS’s management integration efforts, see GAO, *Department of Homeland Security: Actions Taken Toward Management Integration, but a Comprehensive Strategy Is Still Needed*, GAO 10-131 (Washington, D.C.: November 2009).

<sup>2</sup>According to the BUR report, the other six initiatives DHS has identified to drive transformation and integration of departmental functions to a “One DHS” culture are (1) Enterprise governance, a governance model that would allow DHS to implement mechanisms for integrated management of DHS programs as parts of broader portfolios of related activities; (2) Transformation and Systems Consolidation, a DHS initiative to consolidate financial, acquisition, and asset management systems, establish a single line of accounting, and standardize business processes; (3) Human resources information technology, a DHS initiative to consolidate, replace, and modernize existing departmental and component payroll and personnel systems; (4) Data center migration, an initiative to move DHS component agencies’ data systems from the agencies’ multiple existing data centers to two DHS consolidated centers; (5) , a Balanced workforce strategy that includes workforce planning efforts to identify the proper balance of federal employees and private labor resources; and (6) Homeland Security Presidential Directive 12 personal identification verification cards deployment, the provision of cards to DHS employees and contractors for use to access secure facilities, communications, and data.



# Reporting Element: Assessment of DHS Organizational Alignment with QHSR Missions

- **Human resources systems:** As a part of DHS's efforts to improve department management, the BUR report described initiatives to strengthen DHS's human resources systems, such as plans to enhance DHS's workforce through an employee recruitment initiative to improve diversity of applicants and a reexamination of the department's workforce needs and reliance on contractors. The BUR report also identified the current composition of DHS's workforce, but did not align these workforce resources with the QHSR mission areas. The QHSR report also did not discuss how DHS's human resource systems are aligned with the QHSR mission areas.
- **Procurement systems:** The BUR report identified initiatives to strengthen DHS's procurement systems as a part of DHS's efforts to increase accountability for DHS resources. For example, one initiative regarding strengthening acquisition oversight is to increase DHS's cost analysis capability to ensure program cost estimates are reasonable reflections of the program's requirements and can withstand the scrutiny of external reviews and audits. The BUR report also noted that DHS plans to conduct rigorous analysis of operational requirements, technology alternatives, and testing of technology acquisitions to ensure investments result in mission improvements. However, the BUR and QHSR reports did not discuss how DHS's procurement systems align with the QHSR mission areas.
- **Physical and technical infrastructure:** The BUR report identified examples of DHS's physical and technical infrastructure initiatives associated with some of the QHSR mission areas. For example, under Mission 1: Preventing Terrorism and Enhancing Security, the BUR report stated that DHS will create an information-sharing architecture to consolidate and streamline access to intelligence, law enforcement, and screening across DHS.<sup>3</sup> Under DHS's management initiatives, the BUR report described DHS's plans to align the seven separate regional structures currently in use by the operating components to a single, nationwide regional structure. However, the BUR and QHSR reports did not discuss how DHS's physical and technical infrastructure aligns with the QHSR mission areas.

According to DHS, while conducting analysis supporting the BUR report, DHS officials assessed the alignment of DHS's component activities with the QHSR report missions, and included this assessment in the BUR report. In addition, DHS provided us with documentation of DHS's strategic management study group's assessment of DHS's management systems, budget and accounting systems, human resources systems, and procurement systems.<sup>4</sup> However, according to DHS officials, an assessment of the alignment of DHS's management systems, budget and accounting systems, human resource systems, procurement systems, and physical and technical infrastructure with QHSR missions was not

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<sup>3</sup>According to the BUR report, the information-sharing architecture will include, among other things, the capability for automated recurrent screening and vetting for individuals to whom DHS has provided a license, privilege, or status (including immigration status) so that, as new information becomes available, DHS can assess whether the individual is no longer eligible for the benefit or presents a threat.

<sup>4</sup>An assessment of DHS's physical and technical infrastructure was not included as a part of the DHS strategic management study group analysis.

## Reporting Element: Assessment of DHS Organizational Alignment with QHSR Missions

appropriate for inclusion in the BUR report because none of these systems were unique to any particular mission. For example, DHS's procurement systems are critical to supporting all five mission areas and therefore DHS focused its assessment on building an effective procurement system across the department and not assessing how the system aligned with each mission, according to DHS officials. To that end, the BUR report provided initiatives for enhancing its procurement system across the department, described above, but did not assess the alignment of the system with the QHSR report missions. In addition, the QHSR and BUR reports did not include an explanation as to why the department did not include an assessment of the alignment of DHS's management systems, budget and accounting systems, human resources systems, procurement systems, and physical and technical infrastructure to QHSR mission areas.



## Reporting Element: Status of Cooperation among Federal Agencies

### Reporting Element 6

According to 6 U.S.C. § 347(c)(2)(F), each report shall include “a discussion of the status of cooperation among Federal agencies in the effort to promote national homeland security.”

### Our Assessment: Addressed in part

Based on our assessment, we found that this element was addressed in part.

### Detailed Assessment of This Element

We found that this element was addressed in part because the 2010 Bottom-Up Review (BUR) report provided descriptions of cooperation between the Department of Homeland Security (DHS) and other federal agencies for homeland security, and the Quadrennial Homeland Security Review (QHSR) report discussed homeland security roles and responsibilities for federal agencies. However, the QHSR and BUR reports did not discuss cooperation for homeland security efforts among federal agencies other than DHS, such as cooperation between the Departments of Justice and State for sharing terrorist watchlist information among themselves. According to DHS officials, the QHSR and BUR reports did not include a discussion of the status of cooperation among federal agencies other than DHS because DHS officials viewed such an assessment as outside of DHS’s authority to conduct, and noted that such assessments were already conducted in other venues. For example, the National Infrastructure Protection Plan and the National Response Framework discuss the mechanisms by which federal agencies coordinate with each other in those contexts.<sup>1</sup>

The BUR report discussed the status of cooperation between DHS and other federal agencies as a part of the BUR’s descriptions of DHS’s current role in executing the QHSR’s five mission areas. However, the BUR report did not discuss the status of cooperation among other federal agencies for homeland security, as the report was intended to align DHS’s activities and organizational structure to the QHSR missions and goals. For example:

- Mission 1 – Preventing Terrorism and Enhancing Security.** According to the BUR report, DHS shares the responsibility to prevent terrorist attacks with several federal departments and agencies, including the Departments of State, Justice, and Defense; the Federal Bureau of Investigation (FBI); and the National Counterterrorism Center (NCTC). For example, the NCTC maintains the Terrorist Identities Datamart Environment, the federal government’s central repository of information on international terrorist identities.<sup>2</sup> The FBI administers the Terrorist Screening Center, which determines which individuals will be placed into the Terrorist Screening Database—the comprehensive terrorist watchlist—and administers the process

<sup>1</sup> The National Infrastructure Protection Plan is DHS’s governmentwide plan for protecting critical infrastructure and key resources within the United States, such as chemical facilities and gas pipelines, from terrorist attacks. The plan includes assignment of protection roles and responsibilities across federal agencies. The National Response Framework defines coordinating structures to align key roles and responsibilities across the United States and describes specific authorities and best practices for managing incidents.

<sup>2</sup> The Terrorist Identities Datamart Environment supports the federal government’s various terrorist screening systems or watchlists.

# Reporting Element: Status of Cooperation among Federal Agencies

by which the No Fly and Selectee lists are derived.<sup>3</sup> The FBI and the Department of Justice also lead terrorism investigations; coordinate law enforcement efforts to detect, prevent, and disrupt terrorist attacks against the United States; and are responsible for the related intelligence collection activities within the United States. DHS operates as a principal consumer of NCTC and FBI watchlist products for DHS border and aviation security operations and vetting of key transportation workers. Further, the BUR report notes that DHS is a partner in data sharing and threat analysis, and supports the NCTC and national network of the FBI Joint Terrorism Task Forces.

- **Mission 2 – Securing and Managing Our Borders.** According to the BUR report, DHS works with other federal departments and agencies, including the Departments of Justice, Transportation, and Defense, in conducting activities such as detecting and interdicting threats approaching U.S. borders and monitoring off-shore activity to ensure security along maritime borders.
- **Mission 3 – Enforcing and Administering Our Immigration Laws.** The BUR report states that DHS works to prevent illegal entry by partnering with the Department of State both domestically and overseas to help ensure that visas to enter the United States are not granted to foreign nationals who pose a threat to public safety or national security. The BUR report also states that DHS works with the Departments of Justice and State as well as foreign governments and nongovernmental partners to share information used to combat alien smuggling and human trafficking. In addition, DHS works with the Department of Justice to ensure timely hearing of immigration cases and appeals, and with the FBI's Joint Terrorism Task Forces with respect to foreign nationals who pose a national security threat.
- **Mission 4 – Safeguarding and Securing Cyberspace.** The BUR report states that in cooperation with the Department of Commerce and the Office of Management and Budget (OMB), DHS develops and issues cyber security advisories and best practices to federal agencies, to help ensure that known vulnerabilities are addressed and that preparations are made to mitigate emerging threats. DHS also operates the National Cyber Security Center, which promotes coordination and common situational awareness across federal cyber security operations centers.
- **Mission 5 – Ensuring Resilience to Disasters.** According to the BUR report, during domestic disasters, DHS's role, largely executed through the Federal Emergency Management Agency, is among other things, to aggregate resources from across the federal government to mitigate and respond to incidents. The BUR report also notes that, as of July 2010, DHS co-chaired with the Department of Housing and Urban Development a federal

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<sup>3</sup> DHS's Transportation Security Administration uses the No Fly list to identify individuals who are prohibited from boarding an aircraft and the Selectee list to identify individuals who are to receive additional physical screening prior to boarding an aircraft.

## Reporting Element: Status of Cooperation among Federal Agencies

interagency working group to strengthen long-term disaster recovery at the federal, state, local, tribal, and territorial levels.

As the BUR report was intended to discuss DHS's homeland security activities and alignment to the QHSR missions and goals, the report did not discuss cooperation among federal agencies other than DHS. For example, under Mission 4, the report did not describe how federal agencies other than DHS coordinate with OMB to secure federal information systems. According to an August 2009 OMB memorandum, all federal departments and agencies submit to OMB annual reports that determine the adequacy and effectiveness of their information security procedures and practices, including reports on the security adequacy of national security-related information systems.

In addition, the QHSR report described homeland security roles and responsibilities for federal agencies with brief summaries of coordination leadership roles for several federal agencies. According to the QHSR report, the role and responsibility descriptions are derived from statutes, Presidential directives, the National Infrastructure Protection Plan, and the National Response Framework. The descriptions indicated leadership roles in coordination efforts, but did not provide the status of cooperation among federal agencies to promote homeland security. For example, the QHSR report stated that the Department of Health and Human Services leads the coordination of all federal functions relevant to public health emergency preparedness and disaster medical response and that the Department of Energy is the designated federal agency to provide a unifying structure for the integration of federal critical infrastructure and key resources protection efforts specifically for the energy sector. While helpful for understanding which federal agencies lead particular homeland security efforts, the QHSR report did not provide a description of how the federal agencies cooperate with one another in addressing the efforts. For example, the QHSR report did not state how the Department of Health and Human Services coordinates with other federal departments in leading public health emergency preparedness and disaster medical response. Similarly, the QHSR report did not describe how the Department of Energy coordinates with other federal agencies in protecting the energy sector's infrastructure.



## Reporting Element: Cooperation between Federal Government and State, Local, and Tribal Governments

### Reporting Element 7

According to 6 U.S.C. § 347(c)(2)(G), each report shall include “a discussion of the status of cooperation between the Federal Government and State, local, and tribal governments in preventing terrorist attacks and preparing for emergency response to threats to national homeland security.”

### Our Assessment: Addressed in Part

Based on our assessment, we found that this element was addressed in part.

### Detailed Assessment of This Element

We found that this element was addressed in part because the Bottom-Up Review (BUR) report provided descriptions of cooperation between the Department of Homeland Security (DHS) and state, local, tribal, and territorial governments. However, the 2010 Quadrennial Homeland Security Review (QHSR) and BUR reports did not discuss the status of cooperation between other federal agencies and these entities, such as cooperation between other federal departments that have critical homeland security roles and responsibilities, like the Department of Justice, with state, local, and tribal governments. According to DHS, the QHSR report is not intended to define the roles and responsibilities of federal departments or institutions.

The BUR report addressed cooperation between DHS and state, local, tribal, and territorial governments. Specifically, the BUR report provided an overview of DHS’s role within each mission area, including a discussion of how such cooperation occurs. For example, for Mission 1: Preventing Terrorism and Enhancing Security, the BUR report states that DHS responsibilities for preventing terrorist attacks include assisting state, local, tribal, and territorial governments to obtain the information and capabilities to address threats by awarding almost \$4 billion annually to state, local, tribal, and territorial governments through the State Homeland Security Grant Program, the Urban Areas Security Initiative, and other grant programs.<sup>1</sup> According to the BUR report, these grant programs help state, local, tribal, and territorial governments build and sustain capabilities necessary to prevent terrorist attacks, as well as address other threats, prepare for, respond to, and recover from all hazards. In regards to Mission 5: Ensuring Resilience to Disasters, the BUR report noted DHS’s role in supporting communities during a disaster and enabling state, local, regional, tribal, and territorial partners to take steps to decrease risk and mitigate future hazards before disasters occur.

However, the QHSR and BUR reports did not discuss the status of cooperation between other federal agencies and these entities. The QHSR report acknowledged that the report is not intended to define the roles and responsibilities of federal departments or institutions for each of the five mission areas, but instead, functions as a strategic document to guide participants toward a common end. The QHSR report also acknowledged existing relationships, roles, and responsibilities, and seeks to set forth a shared vision of homeland security. However, it did not include a discussion of the specific roles and responsibilities of the federal agencies and stakeholders across the homeland security enterprise. The QHSR

<sup>1</sup>The State Homeland Security Grant Program provides funds to build state and local capabilities and implement state homeland security goals. The Urban Areas Security Initiative focuses on enhancing regional preparedness in major metropolitan areas, including providing assistance with developing regional systems for prevention, protection, response, and recovery.

## Reporting Element: Cooperation between Federal Government and State, Local, and Tribal Governments

report stated that the division of operational roles and responsibilities among federal departments and agencies for various homeland security mission goals and objectives emerged as a major area requiring further study following the QHSR report. According to the QHSR report, an analysis of roles and responsibilities across the homeland security missions would help resolve gaps or unnecessary redundancies between departments and agencies going forward.

DHS officials confirmed an attempt was not made in the quadrennial review reporting process to discuss the status of cooperation among other federal departments and state, local, and tribal governments. However, they said that DHS solicited comments from other federal departments and state, local, and tribal governments on the role and responsibility descriptions for each of these entities listed in the QHSR report.



## Reporting Element: Quadrennial Review Assumptions

### Reporting Element 8

According to 6 U.S.C. § 347(c)(2)(H), each report shall include “an explanation of any underlying assumptions used in conducting the review.”

### Our Assessment: Addressed

Based on our assessment, we found that this element was addressed.

### Detailed Assessment of This Element

We found that this element was addressed because the 2010 Quadrennial Homeland Security Review (QHSR) report stated that three broad assumptions shaped the development of DHS’s homeland security strategy: (1) rapid technological change that will continue to alter social, economic, and political forces, rapidly disperse information, and provide new means for adversaries and competitors to challenge the United States; (2) multiple simultaneous crises that will likely challenge the United States and its resources, requiring all stakeholders to be capable of managing crises including some for extended periods; and (3) the need for the United States to guard against complacency as memories of 9/11 recede.

The QHSR report also listed nine specific assumptions concerning the current security environment:

- (1) violent extremist groups, including potential homegrown extremists, that will continue to use terrorism to attack U.S. targets;
- (2) technologies associated with weapons of mass destruction, often dual-use, that will circulate easily in a globalized economy, challenging traditional weapons of mass destruction nonproliferation and counterproliferation efforts, especially in the nuclear and biological areas;
- (3) terrorists, proliferators, and other criminal elements that will seek to take advantage of the increasingly globalized financial system and its legitimate and beneficial functions to move money in support of their dangerous conduct;
- (4) economic crises and disparities that will continue to induce social and/or political instability, in some cases increasing migrant and refugee flows—legal and illegal—into the United States;
- (5) globalization that will continue to make it increasingly difficult to prevent health threats to the United States, whether from emerging disease or deliberate attacks, or via imports;
- (6) technological change and cyber threats from state and non-state actors that will continue to alter social, economic, and political forces, allow for the rapid dissemination of information, and provide new means for adversaries to challenge the United States;
- (7) climate change that will increase the severity and frequency of weather-related hazards such as extreme storms, high rainfalls, floods, droughts, and heat waves;
- (8) the security environment that will continue to pose the potential for multiple simultaneous crises; and



## Reporting Element: Quadrennial Review Assumptions

(9) the danger of complacency as major crises recede.

According to DHS officials, the QHSR report's broad and specific assumptions were developed through discussions with federal national security officials and through reviews of intelligence community materials.



## Reporting Element: Matters the Secretary Considers Appropriate

### Reporting Element 9

According to 6 U.S.C. § 347(c)(2)(I), each the report shall include “any other matter the Secretary considers appropriate.”

### Our Assessment: Addressed

Based on our assessment, we found that this element was addressed.

### Detailed Assessment of This Element

We found that this element was addressed because the 2010 Quadrennial Homeland Security review (QHSR) and Bottom-Up Review (BUR) reports included items, in addition to those that were specifically delineated in the 9/11 Commission Act, such as (1) specifying QHSR mission goals and objectives, (2) outlining a strategy for maturing the homeland security enterprise to support QHSR missions, and (3) developing initiatives and enhancements aimed at increasing mission performance and improving department management.

The 9/11 Commission Act required the Department of Homeland Security (DHS) to report on the national homeland security strategy, including the critical missions of the nation. In addition to identifying five homeland security missions (see fig. 1 in the section of this enclosure related to reporting element 3), DHS also included goals and objectives to support each of the mission areas in the QHSR report.

Further, the QHSR report discussed the need for maturing and strengthening what is referred to as the homeland security enterprise—that is, the federal, state, local, tribal, territorial, nongovernmental, and private-sector entities, as well as individuals, families, and communities who share a common national interest in homeland security. The QHSR report described the following four strategic goals for maturing and strengthening the homeland security enterprise based on common themes across the five homeland security mission areas:

- establish a comprehensive system for awareness and understanding of homeland security risks and threats;
- build capable communities that have resources to prevent and respond to threats;
- foster a national culture of cooperation across all levels of the homeland security enterprise; and
- foster innovative science and technology approaches to studying threats and developing solutions.

Beyond endeavoring to fulfill the 9/11 Commission Act requirement of aligning DHS’s organizational activities with the QHSR missions, the BUR report described 43 initiatives and enhancements aimed at increasing mission performance, improving department management, and increasing accountability. DHS organized the initiatives and enhancements under each of the five QHSR mission areas or the DHS functional areas of department management and accountability to align with the QHSR report. According to DHS, all initiatives and enhancements will not be accomplished in fiscal year 2012. DHS plans to begin working on the

## Reporting Element: Matters the Secretary Considers Appropriate

highest-priority initiatives in the near term.<sup>1</sup> DHS plans to propose initiation of others in the President's fiscal year 2012 budget request, and accomplish others through the Fiscal Year 2012–2016 Future Years Homeland Security Program that require programmatic or budgetary changes.

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<sup>1</sup>According to DHS officials, senior DHS leadership, including DHS component leaders, each rated the priority of the 43 BUR initiatives. The results of these ratings were presented to the DHS Secretary, who made the final decision on which initiatives were highest priority for implementation. As of October 2010, DHS officials could not identify which initiatives were chosen for more immediate implementation because the budget process identifying these initiatives was not complete.

### Enclosure III: QHSR Legislative Requirements

#### SEC. 2401. QUADRENNIAL HOMELAND SECURITY REVIEW.

(a) REVIEW REQUIRED.—Title VII of the Homeland Security Act of 2002 is amended by adding at the end the following:

“(a) REQUIREMENT.—

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

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

“(3) CONSULTATION.—The Secretary shall conduct each quadrennial homeland security review under this subsection in consultation with—

“(A) the heads of other Federal agencies, including the Attorney General, the Secretary of State, the Secretary of Defense, the Secretary of Health and Human Services, the Secretary of the Treasury, the Secretary of Agriculture, and the Director of National Intelligence;

“(B) key officials of the Department; and

“(C) other relevant governmental and nongovernmental entities, including State, local, and tribal government officials, members of Congress, private sector representatives, academics, and other policy experts.

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

“(b) CONTENTS OF REVIEW.—In each quadrennial homeland security review, the Secretary shall—

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

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

“(3) describe the interagency cooperation, preparedness of Federal response assets, infrastructure, budget plan, and other elements of the homeland security program and policies of the Nation associated with the national homeland security strategy, required to execute successfully the full range of missions called for in the national homeland security

### **Enclosure III: QHSR Legislative Requirements**

strategy described in paragraph (1) and the homeland security mission areas outlined under paragraph (2);

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

“(5) include an assessment of the organizational alignment of the Department with the national homeland security strategy referred to in paragraph (1) and the homeland security mission areas outlined under paragraph (2); and 6 USC 347.

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

“(c) REPORTING.—

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

“(2) CONTENTS OF REPORT.—Each report submitted under paragraph (1) shall include—

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

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

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

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

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

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

### **Enclosure III: QHSR Legislative Requirements**

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

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

“(I) any other matter the Secretary considers appropriate.

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

“(d) AUTHORIZATION OF APPROPRIATIONS.—There are authorized to be appropriated such sums as may be necessary to carry out this section.”

(b) PREPARATION FOR QUADRENNIAL HOMELAND SECURITY REVIEW.—

(1) IN GENERAL.—During fiscal years 2007 and 2008, the Secretary of Homeland Security shall make preparations to conduct the first quadrennial homeland security review under section 707 of the Homeland Security Act of 2002, as added by subsection (a), in fiscal year 2009, including—

(A) determining the tasks to be performed;

(B) estimating the human, financial, and other resources required to perform each task;

(C) establishing the schedule for the execution of all project tasks;

(D) ensuring that these resources will be available as needed; and

(E) all other preparations considered necessary by the Secretary.

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

(c) CLERICAL AMENDMENT.—The table of sections in section 1(b) of such Act is amended by inserting after the item relating to section 706 the following new item:

“Sec. 707. Quadrennial Homeland Security Review.”

## Enclosure IV: Comments from the Department of Homeland Security

U.S. Department of Homeland Security  
Washington, DC 20528



**Homeland  
Security**

December 8, 2010

Mr. David Maurer  
Director, Homeland Security and Justice  
U.S. Government Accountability Office  
441 G Street, N.W.  
Washington, DC 20548

Re: GAO-11-153R: Quadrennial Homeland Security Review

Dear Mr. Maurer:

Thank you for providing us with the opportunity to respond to the GAO Draft Report GAO-11-153R: Quadrennial Homeland Security Review, dated November 20, 2010 (GAO Code 440876). Overall, DHS believes that GAO has conducted a fair and accurate assessment of DHS's efforts in executing the first Quadrennial Homeland Security Review (QHSR) as described in Section 2401 of the *Implementing Recommendations of the 9/11 Commission Act of 2007*. Of the nine reporting elements evaluated, GAO found that DHS "Addressed" three elements in full and "Addressed in Part" six of the elements. As noted in the draft report, DHS takes exception only with the rating of reporting element (5) as "Addressed in part."

Reporting element (5) stipulates that: "Each report shall include 'an assessment of the organizational alignment of the Department with the applicable national homeland security strategy referred to in subsection (b) (1) and the homeland security mission areas outlined under subsection (b) (2), including the Department's organizational structure, management systems, budget and accounting systems, human resources systems, procurements systems, and physical and technical infrastructure.'"

GAO found that DHS assessed the alignment of DHS's organizational structure with the QHSR mission strategies. GAO further found that the Bottom Up Review (BUR) report included examples of DHS's management systems, budget and accounting systems, human resources systems, procurements systems, and physical and technical infrastructure roles, authorities and planned initiatives (which we refer to as business lines). DHS believes that these examinations satisfied reporting element (5) in full.

However, GAO concluded that DHS addressed reporting element (5) only in part because DHS did not include an assessment of the extent to which each of these business lines align to the QHSR mission areas. DHS disagrees with GAO's interpretation that reporting element (5) requires DHS to make such an alignment of each of its business lines to the

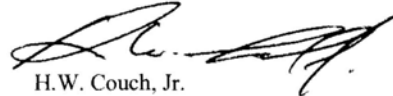
## Enclosure IV: Comments from the Department of Homeland Security

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QHSR mission areas. Moreover, within DHS, the business lines cut across all mission areas and support all QHSR mission goals and objectives; likewise, the conclusions described in the BUR Report apply equally to all missions. DHS believes that specific alignment of the Department's business lines to specific missions is neither desired nor feasible. The cross-Departmental nature of these business lines and their associated processes is critical to ensuring that a department as diverse as DHS is able to efficiently and effectively optimize management activities across the missions. For these reasons, DHS believes that reporting element (5) should be evaluated as "Addressed."

The Department appreciates the opportunity to comment on the draft report. For further questions concerning this report, please contact Alan Cohn, Deputy Assistant Secretary for Policy (Strategic Plans), at (202) 282-9382 or alan.cohn@dhs.gov.

Sincerely,



H.W. Couch, Jr.  
Deputy Director  
Departmental GAO/OIG Liaison Office

(440876)



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