

## Department of Homeland Security

### Section 1: Highlights of Agency E-Government Activities

#### **A. Enhanced Delivery of Information and Services to the Public - Sec. 202(g)**

*Section 202(g) of the E-Gov Act requires agencies to provide information on how electronic Government is used to improve performance in delivering programs to constituencies. In no more than 250 words, describe one IT agency activity or initiative that enhances the delivery of information and services to the public and others, or makes improvements in government operations. This example should highlight how electronic government improved the effectiveness, efficiency, and quality of services provided by your agency.*

HSIN Supports 2015 Road World Championship. The Road World Championship is considered one of cycling’s pinnacle events. This year, the nine-day event was held in Richmond, VA, and welcomed 1,000 athletes and 645,000 spectators from around the world—almost 200,000 more attendees than anticipated. With a race course that wound its way through the heart of the city and neighboring towns, the impact on local infrastructure was significant. Using HSIN, critical infrastructure professionals were able to maintain awareness of the impact of the race and manage support efforts more efficiently. “We used HSIN to track incidents and activities across sectors,” explained Protective Security Advisor Rob Mooney, “like road closures or a utility outage. We were able to identify areas that needed additional resources and make sure they got it.” In the past two years, HSIN event and incident support has more than doubled. Currently, more than 47,000 emergency managers, law enforcement officers, intelligence analysts and other public safety officials rely on HSIN to support critical information sharing. To learn more about how HSIN can support public safety activities, visit <http://www.dhs.gov/hsin> or contact [HSIN.Outreach@hq.dhs.gov](mailto:HSIN.Outreach@hq.dhs.gov)

#### **B. Public Access to Electronic Information - Sec. 207(f)(1)(B)**

*Section 207(f)(1)(B) of the E-Gov Act requires that agency websites assist public users to navigate agency websites, including the speed of retrieval of search results and the relevance of the results. Provide the updated URL(s) that contains your agency's customer service goals and describes activities that assist public users in providing improved access to agency websites and information, aid in the speed of retrieval and relevance of search results, and uses innovative technologies to improve customer service at lower costs. For example, include the URL to your agency's Customer Service Plan.*

Public Facing Agency URL(s)	Brief Explanation (if necessary)
<a href="http://www.dhs.gov/information-quality-standards">http://www.dhs.gov/information-quality-standards</a>	DHS Information Quality Standards
<a href="http://www.dhs.gov/how-do-i/by-type">http://www.dhs.gov/how-do-i/by-type</a>	DHS "How do I?" Guidance
<a href="http://www.dhs.gov/main-contact-us">http://www.dhs.gov/main-contact-us</a>	How to Contact DHS - Main Page

## Section 2: Compliance with Goals and Provisions of the E-Gov Act

### A. Performance Integration - Sec. 202(b)

*The E-Gov Act requires agencies to develop performance metrics that demonstrate how electronic government supports agency objectives, strategic goals, and statutory mandates. In no more than 250 words, describe what performance metrics are used and tracked for IT investments and how these metrics support agency strategic goals and statutory mandates. Please discuss performance metrics that focus on customer service, agency productivity, innovative technology adoption and best practices. If applicable, include a description of your agency's evaluation model and how it is used. Provide applicable URL(s) for performance goals related to IT.*

DHS uses performance metrics to evaluate IT investments, programs/projects at various lifecycle stages to determine if they continue to be funded, paused for review with course correction, stopped, or eliminated, supporting Federal mandates for increased accountability and performance. DHS participates in monthly reporting to the Federal IT Dashboard [www.itdashboard.gov](http://www.itdashboard.gov) As required, DHS submits IT Business Cases for its major IT investments. DHS shows how measures support agency strategic goals and/or statutory mandates by linking all Operational Performance Measures to the agency strategic plan and/or priority goal. DHS provides 5 performance measures for each IT investment covering Customer Satisfaction, Strategic/Business Results (based on mission results, system productivity, availability, etc.), and Financial Performance (based on cost per transaction, per user, cost savings, etc.). Measures addressing Innovative Technology may be addressed by the investment or system's Financial Performance or in the annual Operational Analysis. Data is displayed on the IT Dashboard [www.itdashboard.gov](http://www.itdashboard.gov) Operational Analyses: Operational IT systems are required to provide performance metrics considering innovative technology and best practices to justify continuation of asset investment. IT Program Health Assessments: Criteria determines health of IT programs performance areas for corrective action. Scoring for performance targets are assigned point values(0-10) based on level of achievement in a particular area. IT Benchmarking Collaborative efforts with OMB and other Agencies address IT Commodity/Infrastructure Spending/Benchmarking, performing business practices reviews leveraging opportunities: standardizing IT Spending categories & definitions, benchmarking IT Spending unit volumes categories & definitions, normalizing IT spend and volume measures for process and program improvement.

### B. Accessibility - Sec. 202(c) and (d)

*The E-Gov Act requires agencies to consider the impact of implementing policies on persons without access to the internet, and ensure accessibility to people with disabilities. Provide the URL(s) for your agency's website which describes actions taken by your agency in accordance with Section 508 of the Rehabilitation Act of 1973 (29 U.S.C. 794d).*

Public Facing Agency URL(s)	Brief Explanation (if necessary)
<a href="http://www.dhs.gov/accessibility">http://www.dhs.gov/accessibility</a>	Disability Access to DHS Web Pages
 N/A	N/A

Public Facing Agency URL(s)	Brief Explanation (if necessary)
✘ N/A	N/A

### **C. Government-Public Collaboration - Sec. 202(e)**

*The E-Gov Act requires agencies to sponsor activities that use information technology to engage the public in the development and implementation of policies and programs. In no more than 250 words, describe one example of how your agency utilized technology to initiate government-public collaboration in the development and implementation of policies and programs.*

The DHS Office of Public Affairs has improved upon its use of IdeaScale, a web-based idea crowdsourcing tool. This tool enables the Department to directly engage with the public on a range of issues and policies. IdeaScale creates participatory, moderated communities and allows agencies to interact directly with the community that is formed around a concept, proposal or set of ideas. Ideas can be submitted directly by the public and then others may vote for or against an idea and add their comments to the discussion. Agency representatives can leave comments and communicate the status of an idea while building strong relationships with citizens by confirming that their voices are heard. IdeaScale is available for headquarters offices, directorates, and operational components for separate dialogues and stand-alone iterations of the tool, with prior approval from and coordination with OPA. A sampling of a few of the IdeaScale communities that took place this past year include: 1. Science & Technology Directorate “National Conversation on Homeland Security Technology” outreach to both internal and external stakeholders 2. USCIS Customer Service and Public Engagement (CSPE) and E-Verify outreach to both internal and external stakeholders 3. Federal Emergency Management Agency (FEMA) outreach to both internal and external stakeholders

### **D. Credentialing - Sec. 203**

*The E-Gov Act seeks to achieve interoperable implementation of electronic signatures for appropriately secure electronic transactions with Government. In no more than 250 words, describe current activities your agency is undertaking to achieve the interoperable implementation of electronic credential authentication for transactions within the Federal Government and/or with the public (e.g. agency implementation of HSPD-12 and/or digital signatures).*

DHS took significant steps toward strong electronic credentialing in FY 15. In June 2015, the Federal Chief Information Officer (CIO) set goals beyond Homeland Security Presidential Directive 12 (HSPD-12) guidance as part of the 30-Day Federal Cybersecurity Sprint. DHS leadership further committed to 100% compliance for mandatory authentication to networks using Personal Identity Verification (PIV) cards for both privileged and unprivileged users. As of September 30, 2015, DHS as a whole reached 95% compliance across both user groups--an increase of 11% from FY 14. In line with federal guidance, DHS prioritized migrating privileged users and here achieved 99% compliance—an increase of 63% from FY 14. The Department attained 95% compliance for unprivileged users—an increase of 14% from FY 14. In addition, compliance for remote access users expanded to 74%--an increase of 27% from FY 14. Beyond mandatory PIV-card initiatives for employees and contractors, DHS is working on several related efforts on electronic credentialing, including: Mobile Authentication: Piloting a Derived

Credentials solution for Email as a Service (EAAS) on iOS devices, to eventually be expanded to further use cases  
 Non-DHS PIV Authentication: Evaluating strong authentication solutions for mission-critical network users who do not possess DHS PIV cards  
 Digital Signatures: Updating MD 4300A policy guidance on Electronic Signature usage  
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**E. USA.gov activities - Sec. 204 and Sec. 207(f)**

*In accordance with Section 204 of the E-Gov Act, www.USA.gov serves as an integrated internet-based system for providing the public with access to government information and services. In accordance with Section 207(f)(3), provide the URL(s) your agency's activities on www.USA.gov.*

Public Facing Agency URL(s)	Brief Explanation (if necessary)
<a href="http://www.dhs.gov">www.dhs.gov</a>	Main DHS Public-facing Web Page
<a href="http://www.dhs.gov/contact-us">http://www.dhs.gov/contact-us</a>	How to Contact DHS
<a href="https://www.usa.gov/federal-agencies/t">https://www.usa.gov/federal-agencies/t</a>	Main DHS-TSA Public-facing Web Page
<a href="https://www.usa.gov/federal-agencies/f">https://www.usa.gov/federal-agencies/f</a>	Main DHS-FEMA Public-facing Web Page
<a href="https://www.usa.gov/federal-agencies/n">https://www.usa.gov/federal-agencies/n</a>	National Flood Insurance Program (NFIP) Public-facing Web Page

**F. eRulemaking - Sec. 206**

*The E-Gov Act seeks to assist the public, including the regulated community, in electronically submitting information to agencies under Federal requirements, by reducing the burden of duplicate collection and ensuring the accuracy of submitted information. In no more than 250 words, provide a description of your agency's use of online electronic regulatory submission capabilities, specifically the usage of www.Regulations.gov and the Federal Docket Management System (FDMS).*

DHS is an active partner in the eRulemaking initiative through its continued support and usage of the Federal Docket Management System (FDMS). FDMS is a government-wide system that provides DHS the ability to efficiently search, view, download, and review comments on rulemaking and non-rulemaking initiatives. Additionally, FDMS.gov provides DHS with extensive docket management functionality, batch processing capabilities, a comment deduplication engine, and the ability to publicly post all DHS documents associated with regulatory actions on www.regulations.gov. The www.regulations.gov website continues to provide enhanced access to DHS regulatory content for public participation in an open rulemaking process. This website continues to increase usability for the general public through an improved user interface, enhanced comment receipt email security, updated home page content/layout, and improvements of the docket folder summary page. This site also provides the public access to current and historical versions of the agency Unified Agenda of Regulatory and Deregulatory Actions and the Regulatory and Retrospective Review Plans. During FY 2015, DHS posted 21,171 documents to www.regulations.gov including agency rules, notices, supporting

documentation and public comments.

**G. National Archives Records Administration (NARA) Recordkeeping - Sec. 207(d-e)**

*The E-Gov Act requires agencies to adopt policies and procedures to ensure that chapters 21, 25, 27, 29, and 31 of title 44, United States Code, are applied effectively and comprehensively to Government information on the Internet and to other electronic records. In no more than 250 words, describe your agency's adherence to NARA recordkeeping policies and procedures for electronic information online and other electronic records. Additionally, please indicate the number of electronic records that have been scheduled with NARA and any pending scheduling for electronic systems at your agency.*

DHS has 114 systems that use either an Agency approved schedule, or apply GRS dispositions. 35 systems are being evaluated as to whether or not the system creates or maintains Federal records. DHS continues to develop additional enterprise schedules, which will ensure compliance with record series and system dispositions. DHS has established the Information Governance Advisory Team. One of the missions of this team is to develop and institute a formal process within the Systems Development Life Cycle (SDLC) to become notified and develop systems schedules early in the development cycle. This process will require that systems owners have a schedule drafted for approval prior to receiving a favorable Acquisition Decision Event (ADE) during the SDLC. DHS continues to develop metadata standards and practices at the program level for the proper identification of records. DHS has established a formal process for the capture and review of records for departing executives. DHS promulgates these policies and procedures through Directives, Instructions, and training. Mandatory training is provided during employee in-processing as well as through the DHS Learning Management System to Federal and contract staff.

**H. Freedom of Information Act (FOIA) - Sec. 207(f)(A)(ii)**

*The E-Gov Act requires agency websites to include direct links to information made available to the public under the Freedom of Information Act. Provide the updated URL for your agency's primary FOIA website.*

Public Facing Agency URL(s)	Brief Explanation (if necessary)
<a href="http://www.dhs.gov/freedom-information-act-and-privacy-act">http://www.dhs.gov/freedom-information-act-and-privacy-act</a>	DHS FOIA and Privacy Act Main Landing Page

**I. Information Resources Management (IRM) Strategic Plan - Sec. 207(f)(A)(iv)**

*The E-Gov Act requires agency websites to include the strategic plan of the agency developed under section 306 of title 5, US Code. Provide the updated URL to your agency's IRM Strategic Plan. This plan should encompass activities in FY14. If your agency does not have an updated plan, please provide the URL to the most recent plan and indicate when an updated plan will be available.*

Public Facing Agency URL(s)	Brief Explanation (if necessary)
<a href="http://www.dhs.gov/publication/dhs-information-technology-strategic-plan">http://www.dhs.gov/publication/dhs-information-technology-strategic-plan</a>	URL for DHS IT Strategy (aka IRM Strategic Plan)

**J. Research and Development (R&D) - Sec. 207(g)**

*If your agency funds R&D activities, provide the updated URL(s) for publicly accessible information related to those activities, and specify whether or not each website provides the public information about Federally funded R&D activities and/or the results of the Federal research.*

Public Facing Agency URL(s)	Brief Explanation (if necessary)
<a href="http://www.dhs.gov/safecom">http://www.dhs.gov/safecom</a>	Web page content about the DHS-SAFECOM Federally Funded R&D Activities
<a href="http://www.dhs.gov/science-and-technology/">http://www.dhs.gov/science-and-technology/</a>	Web page content about DHS-Science & Technology Federally Funded R&D Activities

**K. Privacy Policy and Privacy Impact Assessments - Sec. 208(b)**

*The E-Gov Act requires agencies to conduct a privacy impact assessment; ensure the review of the privacy impact assessment by the Chief Information Officer, or equivalent official, as determined by the head of the agency; and if practicable, after completion of the review under clause, make the privacy impact assessment publicly available through the website of the agency, publication in the Federal Register, or other means. In no more than 250 words, describe your agency's adherence to this provision, including adherence to OMB's guidance pertaining to the use of IT to collect, maintain, or disseminate identifiable information, or when new systems are procured for this purpose. In addition, describe your agency's process for performing and updating privacy impact assessments for IT.*

The DHS Privacy Office provides extensive guidance on the use of personally identifiable information, including DHS policies on when and how to conduct a Privacy Impact Assessment and System of Records Notice. DHS requires that all new and existing IT systems conduct a Privacy Threshold Analysis (PTA), performed by the program manager and validated by the DHS Privacy Office prior to security authorization. More information can be obtained at [www.dhs.gov/privacy](http://www.dhs.gov/privacy) under "Privacy Compliance."

**K2. Privacy Policy and Privacy Impact Assessment Links - Sec. 208(b)**

*In addition to the narrative provided above in section K., provide the updated URL(s) for your agency's privacy policy and the website where your agency's privacy impact assessments are available.*

Public Facing Agency URL(s)	Brief Explanation (if necessary)
<a href="http://www.dhs.gov/privacy-policy">http://www.dhs.gov/privacy-policy</a>	Privacy Policy
<a href="http://www.dhs.gov/privacy-office-privacy-impact-assessments-pia">http://www.dhs.gov/privacy-office-privacy-impact-assessments-pia</a>	Privacy Impact Assessment

### **M. Agency IT Training Programs - Sec. 209(b)(2)**

*The E-Gov Act calls for agencies to establish and operate information technology training programs. The act states that such programs shall have curricula covering a broad range of information technology disciplines corresponding to the specific information technology and information resource management needs of the agency involved; be developed and applied according to rigorous standards; and be designed to maximize efficiency, through the use of self-paced courses, online courses, on-the-job training, and the use of remote instructors, wherever such features can be applied without reducing the effectiveness of the training or negatively impacting academic standards. In no more than 250 words, describe your agency's IT training program, privacy training program, cross-agency development programs, and competencies reviews for IT workforce.*

The DHS Information Technology (IT) Program Management Development Track (Track) is an IT-focused, program/project management training program managed by the DHS CIO. The DHS ITPM training was launched in response to the OMB 25 Point Implementation Plan requirement to "design a formal IT program management career plan," and is following the new OMB policy guidance to conduct IT specialization training. The purpose of the DHS ITPM program is to provide the framework and training to program and project managers, who oversee the Department's IT programs and projects. The overall focus of the Track is to provide practical IT program and project management training, which addresses applicable DHS IT policies, methods, and practices. The certification program is designed to develop a cadre of qualified and well-trained professional managers who are eligible for formal assignment to IT programs and projects within DHS. Upon completion of the Track, ITPM graduates are eligible to obtain the Federal Acquisition Certification for Program and Project Managers (FAC-P/PM) mid-level certification and eligible to enroll in the DHS ITPM Rotational Assignment program. In participating in 6-12 month rotational assignments in Program offices throughout DHS, ITPM graduates will gain hands-on experience in managing major IT programs and projects at the appropriate level of certification. Additionally, DHS offers its IT workforce options to acquire IT specialization training through a variety of face-to-face, online, and remote delivery methods such as internal group training programs, multi-cross agency entities (i.e. FAITAS, PALMS, etc.), and vendor-specific companies identified by the Federal Acquisition Institute (FAI).

### **N. Disaster Preparedness - Sec. 214**

Disaster Assistance Improvement Program (DAIP) The Disaster Assistance Improvement Program (DAIP) maintains a Government-wide, single portal for disaster survivors to submit electronic applications for assistance. DAIP's mission is to ease the burden on disaster survivors by providing them with a mechanism to access and apply for disaster assistance through the collaborative efforts of Federal, state, local, tribal, and nonprofit partners. Following a presidentially declared disaster for individual assistance, survivors in need of assistance can register online at DAIP's DisasterAssistance.gov. DisasterAssistance.gov portal provides

disaster survivors with a single source for potential assistance programs, easy access to the application, application updates and disaster related information. The secure portal ensures that disaster survivors, who may be displaced or otherwise out of contact, have access all Federal agencies that offer forms of disaster assistance, and continue to receive benefits from non-disaster related assistance programs. In Fiscal Year 2015, DAIP provided Registration Intake (RI) for 9 presidentially declared Individual Assistance (IA) disasters. It hosted 1,472,988 DisasterAssistance.gov site visits (538,291 new visitors and 934,697 returning visitors). It also registered 59,135 online registrations for disaster assistance via the internet (11,214 from mobile devices and 47,921 from desktops). The program experienced high customer satisfaction scores from survivors using the site. The program continues to achieve "green" ratings in DHS's Office of Accessible Systems and Technology and the DHS CIO program health assessments. Furthermore, through continued investment, the DAIP program released a new website design, improved the survivor experience with the implementation of enhanced survivor centric application and account creation processes, increase stakeholder engagement, increased the resiliency of its technical infrastructure, and continued to increase operational efficiencies. SAFECOM Through collaboration with emergency responders and policymakers across all levels of Government, SAFECOM works to improve multi-jurisdictional and intergovernmental communications interoperability. SAFECOM works with existing Federal communications programs and key emergency response stakeholders to address the need to develop better technologies and processes for the multi-jurisdictional and cross-disciplinary coordination of existing communications systems and future networks. In FY15 SAFECOM, in partnership with the National Council of Statewide Interoperability Coordinators developed the Emergency Communications Governance Guide for State, Local, Tribal, and Territorial Officials (Governance Guide). The Governance Guide serves as a comprehensive tool that provides recommendations and best practices for public safety officials at all levels of government to establish, assess, and update governance structures that represent all emergency communications capabilities (Land Mobile Radio [LMR], broadband, 911/Next Generation 911 [NG911], alerts and warnings). SAFECOM also updated and delivered the annual SAFECOM grant guidance document to provide the most current information on emergency communications policies, eligible costs, technical standards and best practices for State, territorial, tribal, and local grantees investing Federal funds in emergency communications projects. SAFECOM provides members of the emergency response community and other constituents with comprehensive information on topics relevant to emergency response communications and features best practices that have evolved from real-world situations.