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Key National Performance Indicators

Keeping Tabs on Homeland Security

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KEEPING TABS ON
Homeland Security

SEVERE
HIGH
ELEVATED
GUARDED
LOW

David M. Walker
Comptroller General of the United States
Maxwell School National Security Management Course
Syracuse, New York
March 20, 2003

Notes:

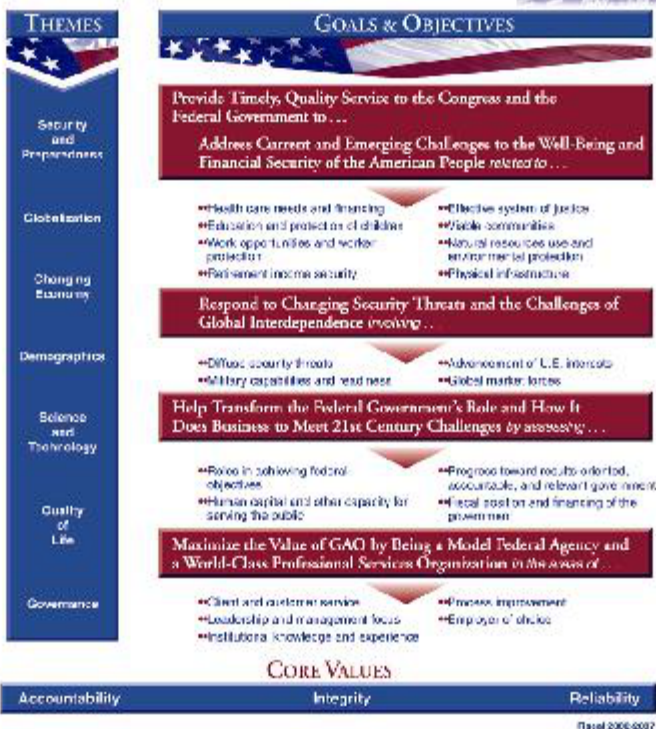


SERVING THE CONGRESS GAO'S STRATEGIC PLAN FRAMEWORK



MISSION

GAO exists to support the Congress in meeting its constitutional responsibilities and to help improve the performance and ensure the accountability of the federal government for the benefit of the American people.



Revised 2006-0097

Notes:

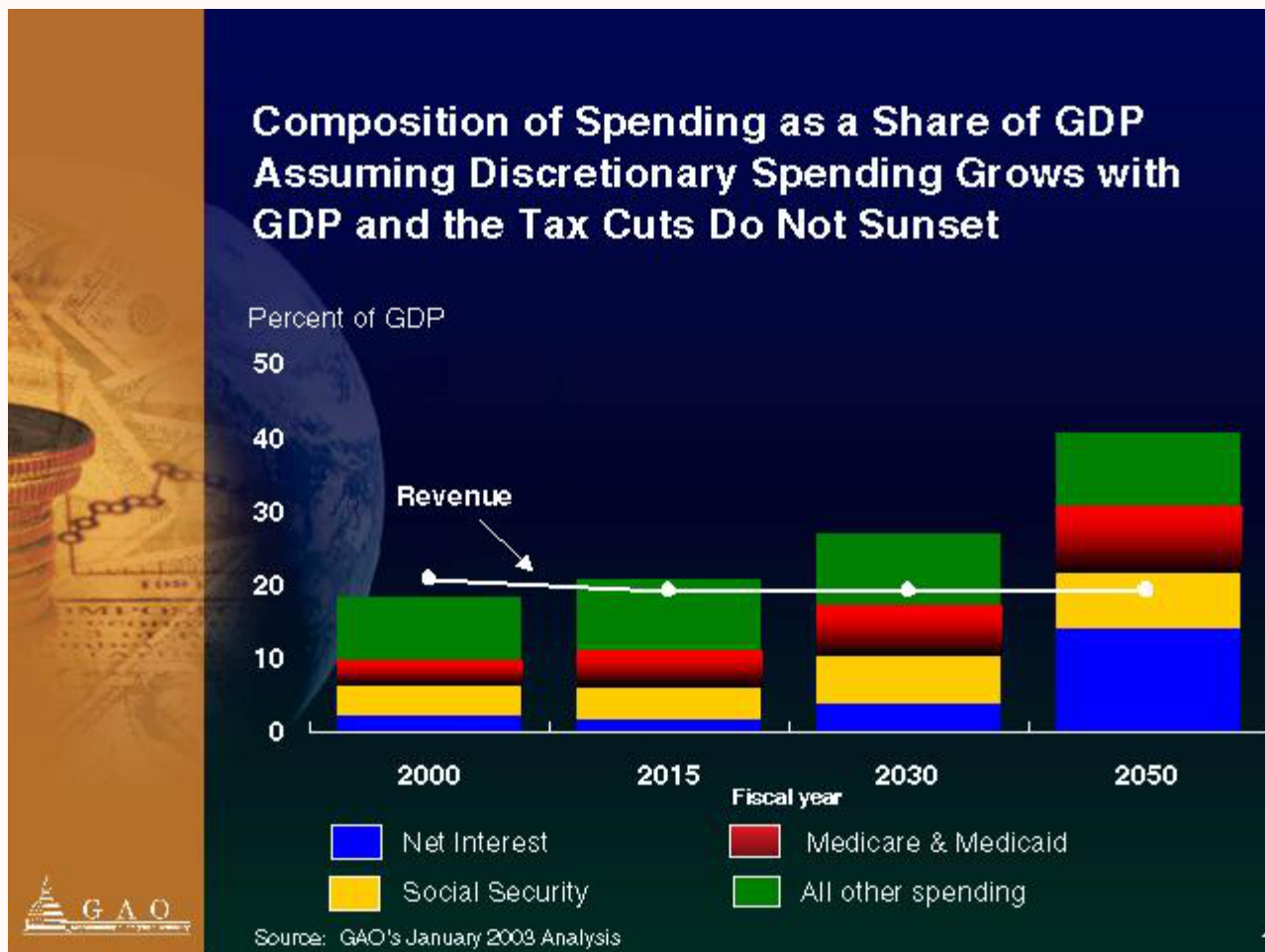


Composition of Federal Spending By Budget Function



Source: Budget of the United States Government, FY2004, Office of Management and Budget

Notes:



Notes:



Notes:

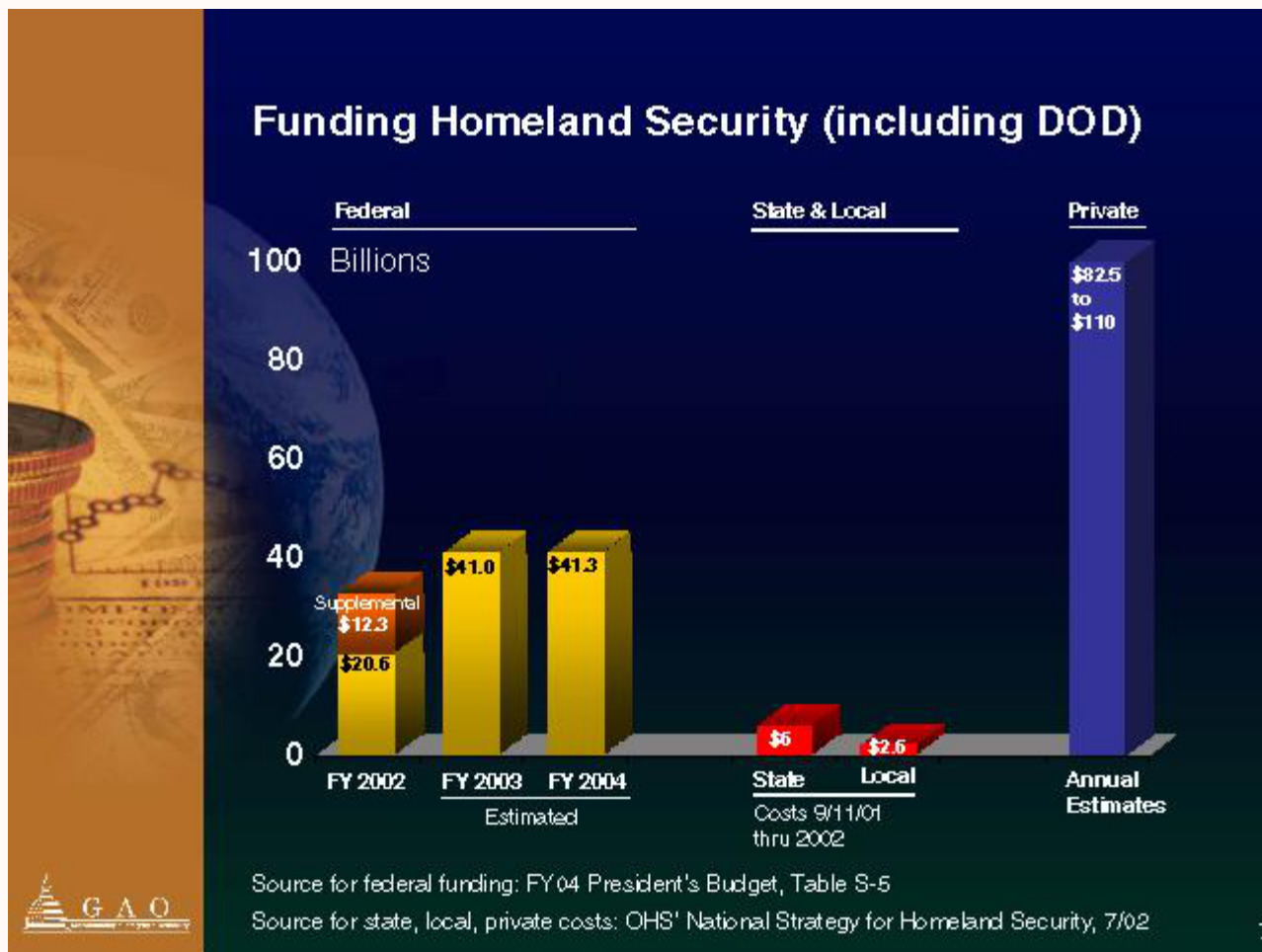


The Mission of The Department of Homeland Security (P.L. 107-296)

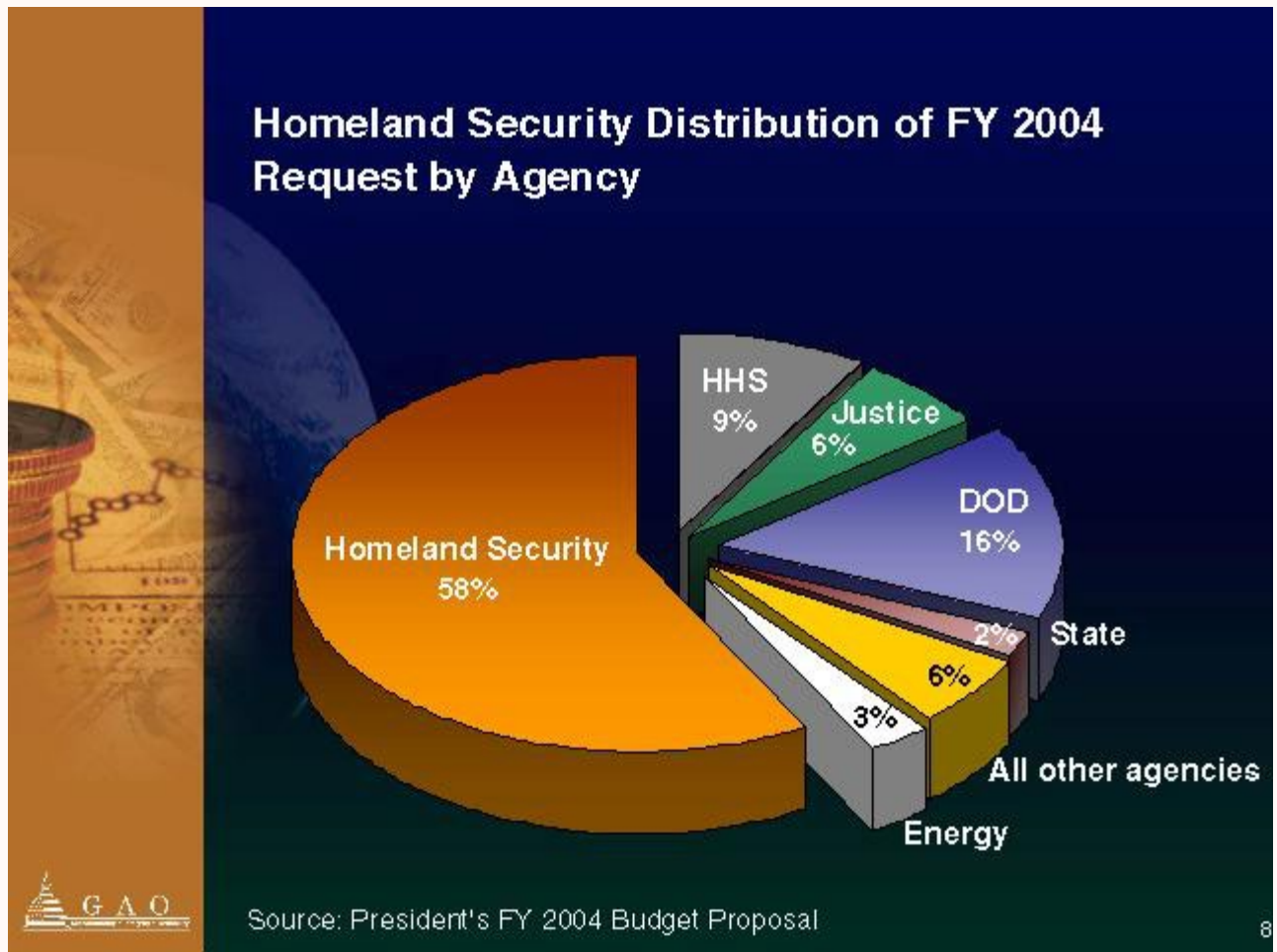
- Prevent terrorist attacks within the United States.
- Reduce the vulnerability of the United States to terrorism.
- Minimize the damage, and assist in the recovery, from terrorist attacks that do occur within the United States.
- Carry out non-homeland security functions.
- Ensure that United States overall economic security is not diminished by homeland security.
- Sever connections between illegal drug trafficking and terrorism.



Notes:



Notes:



Notes:



GAO's High Risk List

High Risk Areas Year Designated High Risk

Addressing Challenges in Broad-based Transformations

Protecting Information Systems Supporting the Federal Government and The Nation's Critical Infrastructures	1997
Strategic Human Capital Management*	2001
U.S. Postal Service Transformation Efforts and Long-Term Outlook*	2001
Implementing and Transforming the New Department of Homeland Security	2003
Modernizing Federal Disability Programs ^	2003
Federal Real Property ^	2003

Ensuring Major Technology Investments Improve Services

FAA Air Traffic Control Modernization	1995
IRS Business Systems Modernization	1995
DOD Systems Modernization	1995

Providing Basic Financial Accountability

DOD Financial Management	1995
IRS Financial Management	1995
Forest Service Financial Management	1999
FAA Financial Management	1999

Reducing Inordinate Program Management Risks

Medicare*	1990
Collection of Unpaid Taxes	1990
DOD Inventory Management	1990
Student Financial Aid Programs	1990
HUD Single-Family Mortgage Insurance and Rental Assistance Programs	1994
Earned Income Credit Noncompliance	1995
DOD Support Infrastructure Management	1997
Medicaid Program ^	2003

Managing Large Procurement Operations More Efficiently

DOD Weapon Systems Acquisition	1990
Department of Energy Contract Management	1990
NASA Contract Management	1990
DOD Contract Management	1992

^ Additional authorizing legislation is likely to be required as one element of addressing this high-risk area.

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Notes:



Why High Risk?

- The implementation and transformation of DHS, not the department itself, is a high-risk endeavor that will require ongoing oversight to ensure effectiveness.
- DHS' unprecedented size, scope, complexity, and importance are unparalleled in our history, and it will take years to transform it into an efficient, integrated, and smooth-running operation.
- DHS' initial success will depend not only on smart management and effective oversight but on identifying the right people, developing an action plan, setting the right priorities, and building effective partnerships.



Notes:



Four Keys to Maximizing DHS' Chances of Success

- **People** - Putting the right people in the right spots
- **Plan** - Developing an implementation and transformation plan that can be used as a framework for action and a means to measure progress based on critical efforts and desired outcomes
- **Priorities** - Focusing on a short list of priorities based on value and risk (e.g., watch lists, border security, port security, improving information sharing on threats)
- **Partnerships** - Forming effective partnerships with other federal agencies, state and local governments, and the private sector



Notes:



Major DHS Internal Transition Risks

- Implementing an effective transformation process and building management capacity.
- Preventing performance degradation and ensuring maintenance of non-homeland security missions
- Setting performance objectives, milestones, and measures.
- Addressing management challenges and program risks in components organized into DHS.
- Setting fiscally responsible budgets and identifying costs for non-federal actors.
- Consolidating/reorganizing multiple management systems and field office structures.
- Strengthening human capital management.
- Developing strong partnerships - interagency, intergovernmental, public-private, international.
- Providing mechanisms and means to assess where federal funds flow and what we get for these funds.



Notes:



DHS Programmatic Challenges

- **Information Analysis and Infrastructure Protection**
 - Protecting information systems and the nation's critical physical infrastructures.
 - Improving analysis and warning capabilities.
 - Effectively coordinating, communicating, and sharing information.
- **Border and Transportation Security**
 - Strengthening Customs' border security capabilities, both people and goods.
 - Expanding TSA focus on all transportation modes and improvements in aviation security.
 - Improving visa processing and immigration services and enforcement.



Notes:

The President is proposing a \$48 billion increase in defense spending, raising the Department of Defense's budget to \$379 billion. The President is proposing nearly a doubling of the budget for national preparedness, to \$38 billion. It's anticipated that other nondefense/preparedness discretionary programs will see slower growth or even cuts. CBO and Administration projections indicate a budget deficit for the next two years, followed by surpluses in the outyears that are much smaller than previously expected. This year's deficit of \$21 billion represents a change of more than \$300 billion from last January's projection. Most of the reduction results from a weak economy, CBO says. Long term budget claims remain, including aging population and health care costs further reduce fiscal flexibility in the future.



DHS Programmatic Challenges

- **Emergency Preparedness and Response**
 - Preparing for and responding to terrorism and nonterrorism-related disasters.
 - Ensuring every community and each local health department meets a basic standard of preparedness.
 - Strengthening the public health infrastructure, as well as aspects of the private sector health care system.
- **Coast Guard**
 - Balancing multiple missions.
 - Addressing modernization project problems.
 - Attaining stable, sustained funding.
- **Science and Technology**
 - Integrating diverse research functions and activities.



Notes:

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DHS Challenges: Impact on Quality of Life

- Utilizing risk management to estimate character, probability, and impact of attacks.
- Identifying desirable or attainable levels of prevention, protection, and response and recovery.
- Devising ways to use multiple sources and methods for gathering intelligence, investigating and synthesizing information, and providing appropriate warning methods.
- Creating layers of defense for prevention and protection that balance other factors, such as economic security.
- Recognizing legal and cultural constraints on government action.
- Protecting civil liberties and appropriate public access to information.



Notes:



Implementing the National Strategies

- New constellation of related national strategies for national security, homeland security, and terrorism, almost all issued since 9/11.
- Strategies drive a very large percentage of the federal government and its resources.
- Represent difficult implementation challenges for the federal government and national programs as a whole.



Notes:



National Strategies' Hierarchy

- Top level strategy
 - *National Security Strategy*
- Specific to terrorism/homeland security
 - *National Strategy for Homeland Security*
 - *National Strategy for Combating Terrorism*
- Specific to functions and issues with major terrorism/homeland security components
 - *National Military Strategic Plan for the War on Terrorism*
 - *National Strategy for Combating Weapons of Mass Destruction*
 - *National Money Laundering Strategy*
 - *National Strategy to Secure Cyberspace*
 - *National Strategy for the Physical Protection of Critical Infrastructures and Key Assets*
- Specific to functions and issues with minor terrorism/homeland security components
 - *National Military Strategy*



Notes:



Webster's Definition of Transformation

An act, process, or instance of change in structure, appearance, or character

A conversion, revolution, makeover, alteration, or renovation




Notes:

The slide features a dark blue background with a globe on the left side. A vertical orange bar on the far left contains a financial chart with a line graph and a stack of coins. The text is centered on the right side of the slide.

DOD Transformation Definition

Creating the future of warfare and national defense while improving how the department, and all of its various parts, does business in order to support and sustain our position as the world's pre-eminent military power within current and expected resource limits



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Notes:



Transformation: A New Model for Government Organizations

Government organizations will need to:

- Become less hierarchical, process-oriented, stovepiped, and inwardly focused.
- Become more partnership-based, results-oriented, integrated, and externally focused.
- Achieve a better balance between results, customer, and employee focus.
- Work better with other governmental organizations, non-governmental organizations, and the private sector, both domestically and internationally, to achieve results.



Notes:



Major DHS Flexibilities: P.L. 107-296

- Gives DHS broad power to waive certain provisions of civil service law (e.g., compensation, evaluation, reward).
- Authorizes DHS to exempt certain transactions from procurement laws and regulations.
- Allows flexibility in securing private sector services.
- Gives limited authority (up to 5 %) to transfer funding between appropriation accounts.



Notes:



Key Human Capital Provisions in Homeland Security Act

- Chief Human Capital Officers and Chief Human Capital Officers Council.
- Human capital plans in agency strategic plans, annual performance plans, and performance reports.
- Hiring flexibility such as direct hire authority, categorical ranking.
- Voluntary separation incentives and early retirement.
- Transit subsidies.
- Repeal of SES re-certification.
- SES total pay cap.
- Payment for academic degrees.



Notes:



“The implementation and transformation of the new department will provide both challenges and opportunities, as well as valuable lessons on how the government should do business in the 21st Century and beyond.”



Notes: