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June 2014

# DHS INTELLIGENCE ANALYSIS

## Additional Actions Needed to Address Analytic Priorities and Workforce Challenges

## Why GAO Did This Study

DHS plays a vital role in securing the nation, and its intelligence analysis capabilities are a key part of this effort. Within DHS, I&A has a lead role for intelligence analysis, but other operational components also perform their own analysis activities. GAO was asked to review the management of departmental analysis efforts.

This report addresses the extent to which (1) DHS intelligence analysis activities are integrated to support departmental intelligence priorities, (2) I&A customers find analytic products and services useful, and (3) I&A has addressed challenges in maintaining a skilled analytic workforce.

GAO examined mechanisms DHS used to coordinate analysis across components, I&A reports and feedback surveys, and human capital plans. GAO also interviewed officials from I&A, the five DHS components with intelligence analysis as a core function, the Office of the Director of National Intelligence who represent the Intelligence Community, 7 of 78 fusion centers (focal points within states that analyze and share information), and the private sector. The fusion center and sector interviews, chosen based on geographic location and other factors, are not generalizable, but provided insight on progress.

## What GAO Recommends

GAO recommends, among other things, that DHS (1) establish strategic intelligence priorities and use them to inform analytic activities and (2) establish mechanisms to evaluate workforce initiatives and use results to determine any needed changes. DHS concurred with our recommendations.

View [GAO-14-397](#). For more information, contact Eileen Larence at (202) 512-8777 or [larencee@gao.gov](mailto:larencee@gao.gov).

## DHS INTELLIGENCE ANALYSIS

### Additional Actions Needed to Address Analytic Priorities and Workforce Challenges

## What GAO Found

The Department of Homeland Security (DHS) has established mechanisms—including an intelligence framework and an analytic planning process—to better integrate analysis activities throughout the department, but the mechanisms are not functioning as intended. For example, the framework does not establish strategic departmental intelligence priorities that can be used to inform annual planning decisions, such as what analytic activities to pursue and the level of investment to make, as called for in DHS guidance. According to officials from DHS's Office of Intelligence and Analysis (I&A), it can be challenging for DHS components to focus on developing both strategic priorities and more tactical priorities that support their specific operations. Absent strategic priorities, DHS used component subject matter experts and other information to develop key questions of common interest they would address through analysis. As a result, DHS does not have reasonable assurance that component analytic activities and resource investments are aligned to support departmental priorities. The mechanisms to integrate analysis, however, gave components insight into one another's work and helped them avoid unnecessary overlap and duplication.

I&A customers had mixed views on the extent to which its analytic products and services are useful. GAO's interviews with representatives of I&A's five customer groups indicate that two groups—DHS leadership and state, local, tribal, and territorial partners—found products to be useful, while three groups—DHS components, the Intelligence Community, and the private sector—generally did not. Representatives of four of the five groups said that they found other types of services, such as briefings, to be useful. Results from surveys that are attached to I&A products indicate that most customers were very satisfied with the products' usefulness, but the results are not generalizable because they reflect only the views of customers who chose to respond. To address this issue, I&A is conducting more comprehensive surveys and interviews with customers to evaluate the products and services that best meet their needs. I&A expects to complete this effort by the end of June 2014.

I&A has taken steps to address challenges it faced in maintaining a skilled workforce, but has not assessed whether its efforts are resolving the challenges. For example:

- I&A faced challenges in recruiting and hiring analysts, in part because of its hiring authority, which put it at a disadvantage compared with other agencies that were able to process hiring actions more quickly. I&A's hiring authority was changed in 2013, a fact that could help ease these challenges.
- I&A experienced low morale and high rates of attrition, particularly among its lower-level analysts. To help address these issues, I&A restructured its grade levels in 2012 to provide additional career advancement opportunities.

However, I&A has not established mechanisms to evaluate its efforts and use the results to make any needed changes because I&A leadership has focused on other priorities. Such mechanisms will help I&A evaluate if efforts are achieving their intended results of improving recruiting and hiring, bolstering morale, and reducing attrition. In addition, using the evaluation results to determine any needed changes will help ensure that I&A is making sound workforce decisions.

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**Abbreviations**

CBP	U.S. Customs and Border Protection
CINT	Chief Intelligence Officer
DHS	Department of Homeland Security
FAST	Field Analytic Support Taskforce
FBI	Federal Bureau of Investigation's
FTE	full-time equivalent
I&A	Office of Intelligence and Analysis
ICE	U.S. Immigration and Customs Enforcement
ISAC	Information Sharing and Analysis Center
ODNI	Office of the Director of National Intelligence
OPM	Office of Personnel Management
PCIS	Partnership for Critical Infrastructure Security
POA	Program of Analysis
TSA	Transportation Security Administration
USCIS	United States Citizenship and Immigration Services

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June 4, 2014

### Congressional Requesters

The bombings at the Boston Marathon in April 2013 underscore the importance of ensuring that intelligence is analyzed and shared with stakeholders across all levels of government in an effective and timely manner. Within the Department of Homeland Security (DHS), the Office of Intelligence and Analysis (I&A) has a lead role in analyzing and sharing law enforcement, intelligence, and other information in support of the department's missions and responsibilities. Other DHS components also have their own intelligence analysis capabilities and are part of the DHS Intelligence Enterprise (the enterprise).<sup>1</sup> In an effort to promote the understanding of threats, members of the enterprise are to deliver intelligence analysis and information to DHS leadership; state, local, tribal, and territorial partners; DHS components; the Intelligence Community; and private sector partners.<sup>2</sup>

Established by the Homeland Security Act of 2002 in response to the terrorist attacks of September 11, 2001, DHS has a primary mission that includes preventing terrorist attacks within the United States and reducing the vulnerability of the United States to terrorism.<sup>3</sup> In furtherance of the department's mission, the Under Secretary for Intelligence and Analysis is responsible for ensuring that the department's information analysis activities are carried out.<sup>4</sup> For example, to identify and assess the nature and scope of terrorist threats to the homeland and to understand such threats in light of actual and potential vulnerabilities, the Under Secretary for I&A is to access, receive, analyze, and integrate information from

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<sup>1</sup>The enterprise consists of all entities of DHS that are engaged in directing, collecting, reporting, processing, analyzing, and disseminating intelligence and information in support of the department's missions.

<sup>2</sup>The Intelligence Community consists of 17 U.S. intelligence agencies whose mission is to collect and convey essential information that the President and members of the policymaking, law enforcement, and military communities require to execute their appointed duties. See app. I for a list of Intelligence Community member agencies.

<sup>3</sup>See 6 U.S.C. §§ 111(a)-(b).

<sup>4</sup>See 6 U.S.C. § 121(c) (providing specifically that the Secretary of Homeland Security, through the Under Secretary for Intelligence Analysis, is responsible for carrying out the department's information analysis activities).

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federal, state, and local government agencies, and private sector entities, in support of DHS's missions.<sup>5</sup> To assist in the deterrence, prevention, preemption of, or response to, terrorist attacks against the United States, the Under Secretary is to, as appropriate, disseminate DHS-analyzed information within the department; to other federal, state, and local agencies, and to private sector entities, with responsibilities relating to homeland security.<sup>6</sup> In general, the Under Secretary's responsibilities encompass intelligence analysis; information sharing; department-wide intelligence integration; and supporting state, local, and tribal governments, as well as the private sector.<sup>7</sup>

In 2005, we designated the sharing of terrorism-related information as high risk because of the significant challenges the federal government faces in sharing this information in a timely, accurate, and useful manner.<sup>8</sup> We have since monitored federal efforts to implement the Information Sharing Environment—an approach that is intended to serve as an overarching solution to strengthening the sharing of intelligence, terrorism, law enforcement, and other information among federal, state, local, tribal, international, and private sector partners.<sup>9</sup> DHS's analysis and sharing of terrorism-related information is a key part of this effort. You asked that we assess DHS's progress in managing the enterprise's intelligence analysis efforts, as well as the usefulness of I&A products, and how I&A ensures that it has a staff capable of performing I&A's analysis mission. This report addresses the following questions:

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<sup>5</sup>See 6 U.S.C. § 121(d)(1) (providing further that the analysis and integration of such information is to support the functions of the National Counterterrorism Center, which serves as the primary organization in the U.S. government for integrating and analyzing all intelligence pertaining to terrorism—except purely domestic terrorism—possessed or acquired by the U.S. government).

<sup>6</sup>See 6 U.S.C. § 121(d)(8).

<sup>7</sup>See generally 6 U.S.C. §§ 121-124m.

<sup>8</sup>Terrorism-related information sharing remained a high-risk area for our February 2013 update. See GAO, *High-Risk Series: An Update*, [GAO-13-283](#) (Washington, D.C.: Feb. 14, 2013) for the most recent update. Every 2 years, at the start of a new Congress, we call attention to agencies and program areas that, according to our audits and evaluations, are at high risk of fraud, waste, abuse, and mismanagement, or are most in need of transformation.

<sup>9</sup>See 6 U.S.C. § 485.

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- To what extent are the intelligence analysis activities of the enterprise integrated to support departmental strategic intelligence priorities, and to what extent are enterprise analysis activities unnecessarily overlapping or duplicative?
  - To what extent do I&A's customers report that they find I&A products and other analytic services to be useful?<sup>10</sup>
  - What challenges does I&A face in maintaining a skilled analytic workforce and what steps has it taken to address these challenges?

For all objectives, we focused on the six DHS entities in the enterprise for which intelligence analysis is a core function in supporting their unique missions and operations: I&A, the U.S. Coast Guard, Transportation Security Administration (TSA), U.S. Customs and Border Protection (CBP), U.S. Immigration and Customs Enforcement (ICE), and U.S. Citizenship and Immigration Services (USCIS).<sup>11</sup> Subject to departmental direction, and consistent with any direction and guidance from the President and, as applicable, by the Office of the Director of National Intelligence (ODNI),<sup>12</sup> the head of each DHS intelligence component is responsible for, among other things, ensuring the effective and efficient collection, processing, analysis, and dissemination of intelligence information, and supporting and implementing the intelligence mission of the department.<sup>13</sup> See appendix II for a description of the intelligence products generated by each entity.

To address the first objective, we analyzed DHS and I&A documents intended to set strategic departmental intelligence priorities—such as the fiscal years 2011 through 2014 *DHS Intelligence Enterprise Program of*

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<sup>10</sup>I&A's five customer groups are (1) DHS leadership; (2) DHS operational components; (3) Intelligence Community members; (4) state, local, tribal, and territorial partners; and (5) private critical infrastructure sectors.

<sup>11</sup>As discussed later, there are other DHS entities in the enterprise. However, intelligence analysis is not a core function of these entities; therefore we excluded them from our review.

<sup>12</sup>The Office of the Director of National Intelligence was established by the Intelligence Reform and Terrorism Prevention Act of 2004 to manage the efforts of the Intelligence Community. See 50 U.S.C. §§ 3023-25. Its mission is to lead intelligence integration and forge an Intelligence Community that delivers the most insightful intelligence possible. Among its goals are to integrate intelligence analysis and collection to inform decisions, drive responsible and secure information sharing, and set strategic direction and priorities for national intelligence resources and capabilities.

<sup>13</sup>See 6 U.S.C. § 124d.

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*Analysis (POA) and the fiscal years 2012 and 2013 Homeland Security Intelligence Priorities Framework (the Framework)—to determine how strategic intelligence priorities are established and how the enterprise is to follow them.*<sup>14</sup> We also analyzed component documents—such as TSA’s Mission and Functional Statement and ICE’s intelligence fact sheet on securing borders, safe travel, and legal trade—to help determine to what extent components address departmental priorities. We met with officials responsible for managing the enterprise to determine expectations for components in following the priorities, and with officials from I&A and the intelligence offices of CBP, the U.S. Coast Guard, ICE, TSA, and USCIS to obtain views on the extent to which the POA and Framework guide their analytic production. We compared DHS’s actions with requirements of the Homeland Security Act of 2002, as amended, that call for the Secretary of Homeland Security, acting through the Under Secretary for I&A, to, among other things, establish departmental intelligence priorities.<sup>15</sup> To assess potential overlap or duplication in finished intelligence products, we analyzed all 21 products written by I&A, CBP, and ICE in response to questions in the 2012 POA related to the DHS mission area of U.S. border security. We selected the 2012 POA because it was the most recent available when we began this analysis. We selected this mission area because it contained the most questions assigned to multiple components, and chose I&A, CBP, and ICE products to review because these components all have responsibility for different aspects of intelligence related to border security. By reviewing only one mission area, we cannot determine if there was duplication in other areas.

To address the second objective, we met with staff from I&A’s Production Management Division, which is responsible for distributing finished intelligence products and measuring their usefulness, to determine how I&A uses surveys to obtain feedback on products and identify other efforts to improve customer satisfaction. We also analyzed the results of customer satisfaction surveys that were included with all fiscal year 2012 I&A finished analytic products to determine what users of I&A products

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<sup>14</sup>The POA is the document used to plan and manage the more specific intelligence analysis activities of the enterprise. Specifically, the POA is to identify a series of key intelligence questions that the enterprise will seek to address in the upcoming year. The Framework is intended to present the department’s overall strategic intelligence priorities and to inform annual intelligence planning decisions related to collection, analysis, and resource management.

<sup>15</sup>See, e.g., 6 U.S.C. § 121(d)(19).



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think of the quality and usefulness of the products. We compared I&A's efforts to ensure its products' quality and usefulness with criteria in the *Standards for Internal Control in the Federal Government* related to meeting stakeholder needs.<sup>16</sup> Also, to determine how customers view the usefulness of I&A products and other analytic support, we met with officials from four of I&A's five customer groups. While we did not meet with representatives from DHS leadership, we did meet with representatives of the I&A unit that briefs leadership. Specifically, we met with (1) officials from DHS component intelligence programs (USCIS, the U.S. Coast Guard, CBP, ICE, and TSA); (2) staff from ODNI; (3) state and local officials from 7 of the 78 nationwide fusion centers;<sup>17</sup> and (4) members of the Partnership for Critical Infrastructure Security (PCIS) and the National Council of Information Sharing and Analysis Centers (ISAC), two organizations composed of private sector critical infrastructure sectors that coordinate with the federal government on security measures.<sup>18</sup> The information we obtained from fusion centers and the private sector may not be generalized across all fusion centers and throughout the private sector, but provided us with an overview of users' perspectives on the usefulness of I&A's products and other analytic support.

For the third objective, we reviewed documents from the Office of Personnel Management (OPM), DHS, I&A, and ODNI to obtain information on intelligence analyst hiring needs and practices, such as the November 2012 I&A memorandum on hiring standards and the January 2010 I&A recruitment strategy. To determine the challenges I&A experienced maintaining a skilled workforce, we reviewed I&A data such

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<sup>16</sup>GAO, *Standards for Internal Control in the Federal Government*, [GAO/AIMD-00-21.3.1](#) (Washington, D.C.: Nov. 1, 1999).

<sup>17</sup>State and major urban area fusion centers serve as primary focal points within the state and local environment for the receipt, analysis, gathering, and sharing of threat-related information among federal, state, local, tribal, and territorial homeland security partners. We selected these centers to provide access to a range of state-level users of I&A analytic products with an emphasis on border issues because of our examination of potential overlap or duplication related to DHS components' intelligence analysis reporting on border issues.

<sup>18</sup>We met with representatives from 5 of the 17 critical infrastructure sector committees of PCIS and 6 of the 16 information-sharing and analysis center members of the National Council of ISACs during scheduled meetings of these organizations. We also met with private sector officials from the PCIS Commercial Facilities Sector Committee and the Transportation Sector Committee in separate meetings.

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as analyst attrition rates from 2009 through 2013,<sup>19</sup> and documents such as I&A's November 2012 memo to the Director of National Intelligence requesting conversion of competitive service positions to excepted service positions.<sup>20</sup> To assess I&A's training and development practices, we analyzed training expectations, offerings, and strategies by DHS and I&A. We also analyzed documents from DHS and I&A to determine I&A's performance management practices, including the January 2010 I&A Human Capital Standard Operating Procedures and the December 2008 DHS Human Resources Performance Management Program Guidance. We compared I&A's workforce hiring and development actions against criteria in DHS's *Workforce Planning Guide*.<sup>21</sup> We also met with officials from I&A's human capital office, training branch, mission support office, and the acting Chief of Staff to discuss attrition, recruitment, hiring, training, and evaluation practices and procedures. For a complete discussion of the objectives, scope, and methodology of this report see appendix III.

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<sup>19</sup>Attrition is the percentage of personnel losses for all reasons during the fiscal year, and is measured by comparing personnel losses during the year with the total number of personnel on board at the beginning of the year. Our work focused on attrition among I&A analysts classified as GS-0132. According to the Office of Personnel Management's Position Classification Standard for Intelligence Series, GS-0132s advise on, administer, supervise, or perform work in the collection, analysis, evaluation, interpretation, and dissemination of information on political, economic, social, cultural, physical, geographic, scientific, or military condition, trends, and forces in foreign and domestic areas that directly or indirectly affect the national security.

<sup>20</sup>The Director of National Intelligence may, with concurrence of the head of the department concerned and in consultation with the Director of OPM, convert competitive service positions within an element of the Intelligence Community in such department to excepted service positions as the Director of National Intelligence determines necessary to carry out the intelligence functions of such element. See 50 U.S.C. § 3024. See also 5 U.S.C. §§ 2102(a) (defining "competitive service"), 2103(a) (defining "excepted service"), and 5 C.F.R. pt. 213, subpt. C (specifying the types of positions eligible for excepted appointments) Pursuant to its regulations, OPM may except a position from the competitive service if it determines, for example, that appointments into such positions are not practicable. See 5 C.F.R. § 6.1(a).

<sup>21</sup>Department of Homeland Security, *DHS Workforce Planning Guide* (Washington, D.C.: November, 2012). The *DHS Workforce Planning Guide* outlines the process for workforce planning at DHS. It provides steps, tools, and resources to plan for current and future organizational and workforce needs. According to the guide, workforce planners must monitor and assess the progress of their strategies, evaluate the outcomes, and use the results from the evaluation to revise the strategies, if needed.

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We conducted this performance audit from August 2012 to May 2014 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 the evidence obtained provides a reasonable basis for our findings and conclusions based on our audit objectives.

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## Background

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### DHS Intelligence Enterprise

Consistent with provisions of the Homeland Security Act, as amended, the Chief Intelligence Officer (CINT) of the department—who also holds the position of DHS Under Secretary for Intelligence and Analysis and is the head of I&A—is to exercise leadership and authority over the enterprise and intelligence policy throughout the department.<sup>22</sup> For example, the CINT is to provide strategic oversight to and support the missions and goals of members of the enterprise.<sup>23</sup> The enterprise is composed of all DHS component intelligence programs.<sup>24</sup> Specifically, it consists of I&A, the intelligence elements of six DHS operational components (CBP, USCIS, ICE, TSA, the U.S. Coast Guard, and the U.S. Secret Service), and three DHS headquarters elements supported by I&A (the National Protection and Plans Directorate, the Office of Operations

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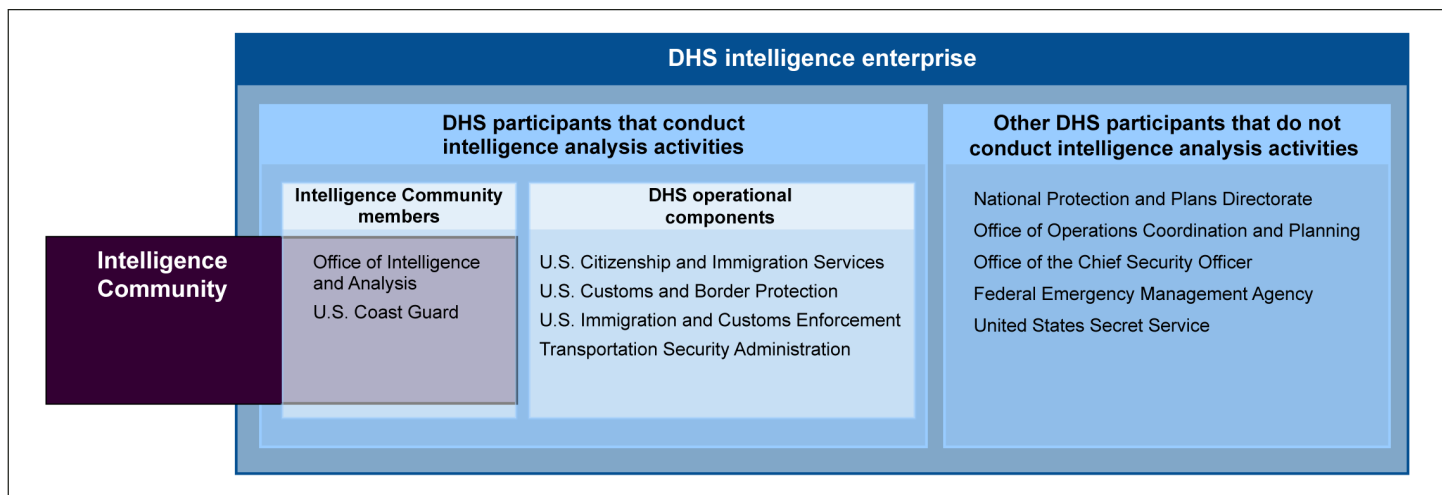
<sup>22</sup>See generally 6 U.S.C. § 121.

<sup>23</sup>See, e.g., 6 U.S.C. § 121(d)(18), (20).

<sup>24</sup>Pursuant to DHS Directive 264-01: *Intelligence Integration and Management* (June 12, 2013), component intelligence programs consist of any organizations within a DHS intelligence component, a significant purpose of which is the collection, gathering, processing, analysis, production, or dissemination of any intelligence, and would include any organization within a component that employs intelligence professionals (0132 job series) to perform national or departmental intelligence functions. The Homeland Security Act of 2002, as amended, defines “intelligence component of the Department [of Homeland Security],” in general, as “any element or entity of the Department that collects, gathers, processes, analyzes, produces, or disseminates intelligence information within the scope of the information sharing environment, including homeland security information, terrorism information, and weapons of mass destruction information, or national intelligence.” See 6 U.S.C. § 101(9).

Coordination and Planning, and the Office of the Chief Security Officer).<sup>25</sup> However, as shown in figure 1, not all members of the enterprise perform intelligence analysis activities.

**Figure 1: DHS Intelligence Enterprise**



Source: GAO analysis of DHS information. | GAO-14-397

## DHS Office of Intelligence and Analysis

I&A emerged from what the Homeland Security Act originally established as the Directorate for Information Analysis and Infrastructure Protection. Specifically, the Homeland Security Act established within DHS the directorate—led by the Under Secretary of Homeland Security for Information Analysis and Infrastructure Protection—to carry out DHS’s

<sup>25</sup>Each component maintains an intelligence capability consistent with its existing authorities. For example, the Aviation and Transportation Security Act, which established TSA, specifically requires that the head of TSA “receive, assess, and distribute intelligence information related to transportation security.” 49 U.S.C. § 114(f). The U.S. Coast Guard may also conduct intelligence activities when operating, for example, as an armed force under the command and control of the Commandant of the Coast Guard or, with respect to U.S. Coast Guard as an element of the Intelligence Community, under the authority of ODNI. See 6 U.S.C. § 101(9)(B). In addition, although U.S. Secret Service is specifically excluded from the definition of “intelligence component of the department,” DHS and the U.S. Secret Service officials indicated they do participate in the enterprise and, by statute, the U.S. Secret Service must provide certain information to and cooperate with the Under Secretary for I&A. See 6 U.S.C. § 101(9)(A); Pub. L. No. 110-53, § 502(b), 121 Stat. 266, 311 (2007), 6 U.S.C. § 124a Note.

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responsibilities in regard to, among other things, information analysis.<sup>26</sup> In 2007, amendments to the Homeland Security Act included in the Implementing Recommendations of 9/11 Commission Act of 2007 reorganized the department by dividing the directorate into an Office of Intelligence and Analysis—headed by the Under Secretary for Information and Analysis—and an Office of Infrastructure Protection, headed by the Assistant Secretary for Infrastructure Protection.<sup>27</sup> As a result of the reorganization, responsibilities previously assigned to the Under Secretary for Information Analysis and Infrastructure Protection relating to intelligence analysis became attributed to the Secretary (as carried out through the Under Secretary for Intelligence and Analysis) and remained largely unchanged.<sup>28</sup> I&A is an element of the Intelligence Community.<sup>29</sup>

According to its February 2011 strategic plan, I&A's mission is to equip the homeland security enterprise with the intelligence and information it needs to keep the homeland safe, secure, and resilient.<sup>30</sup> To carry out its mission, I&A is to ensure that information related to homeland security threats is collected, analyzed, and disseminated to homeland security partners to keep the homeland safe, secure, and resilient.

I&A prepares written, finished analytical products that it makes available to its customers. In addition to written analytical reports, I&A provides intelligence analysis to its customers through oral briefings (both classified and unclassified) and other analytic services, such as access to I&A analysts for review of the customers' intelligence products, and

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<sup>26</sup>See Pub. L. No. 107-296, § 201(a)-(b), 116 Stat. 2135, 2145 (2002) (establishing also the positions of Assistant Secretary for Information Analysis and Assistant Secretary for Infrastructure Protection to assist the Under Secretary).

<sup>27</sup>See Pub. L. No. 110-53, § 531(a), 121 Stat. at 332-35.

<sup>28</sup>See, e.g., Pub. L. No. 110-53, §§ 501(a)(2)(A), (b), 531(a), and 1002(a), 121 Stat. at 309, 332-35, 374.

<sup>29</sup>See 50 U.S.C. § 3003(4)(K). The U.S. Coast Guard is also recognized as a separate member of the Intelligence Community. See 50 U.S.C. § 3003(4)(H). See also Exec. Order No. 12,333, reprinted as amended at 73 Fed. Reg. 45,325, 45,340-41 (Aug. 4, 2008) (identifying both I&A and the U.S. Coast Guard as Intelligence Community elements).

<sup>30</sup>Department of Homeland Security, *Office of Intelligence and Analysis Strategic Plan, Fiscal Year 2011 - Fiscal Year 2018*, February 2011.

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advice and instruction on tradecraft standards.<sup>31</sup> For example, I&A provides services to state, local, tribal, and territorial partners, as well as the private sector, through deployed personnel at fusion centers. Additionally, I&A's deployed personnel are to assist fusion centers in obtaining needed information and analysis to aid in supporting their own customer bases. I&A is also to act as a conduit between the DHS component intelligence programs and the Intelligence Community. For example, I&A provides relevant information from the Intelligence Community to the components.

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## Fragmentation, Overlap, and Duplication

In 2010, we were mandated to identify programs, agencies, offices, and initiatives with duplicative goals and activities within departments and government-wide and report annually to Congress.<sup>32</sup> In March 2011, February 2012, April 2013, and April 2014 we issued our first four annual reports to Congress in response to this requirement.<sup>33</sup> The annual reports describe, in part, areas in which we found evidence of fragmentation, overlap, or duplication among federal programs. Using the framework we established in these reports, we used the following definitions for the purpose of assessing the analysis activities of the enterprise:

- *Fragmentation* occurs when more than one federal agency (or more than one organization within an agency) is involved in the same broad area of national need.
- *Overlap* occurs when multiple programs have similar goals, engage in similar activities or strategies to achieve those goals, or target similar beneficiaries.

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<sup>31</sup>In general, tradecraft denotes the skills, means, and techniques intelligence analysts use to develop intelligence analysis.

<sup>32</sup>See Pub. L. No 111-139, § 21, 124 Stat. 8, 29-30 (2010), 31 U.S.C. § 712 Note.

<sup>33</sup>GAO, *2011 Annual Report: Opportunities to Reduce Potential Duplication in Government Programs, Save Tax Dollars, and Enhance Revenue*, [GAO-11-318SP](#) (Washington, D.C.: Mar. 1, 2011); *2012 Annual Report: Opportunities to Reduce Duplication, Overlap and Fragmentation, Achieve Savings, and Enhance Revenue*, [GAO-12-342SP](#) (Washington, D.C.: Feb. 28, 2012); *2013 Annual Report: Actions Needed to Reduce Fragmentation, Overlap, and Duplication and Achieve Other Financial Benefits*, [GAO-13-279SP](#) (Washington, D.C.: Apr. 9, 2013); and *2014 Annual Report: Additional Opportunities to Reduce Fragmentation, Overlap, and Duplication and Achieve Other Financial Benefits*, [GAO-14-343SP](#) (Washington, D.C.: Apr. 8, 2014).

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- *Duplication* occurs when two or more agencies or programs are engaging in the same activities or providing the same services to the same beneficiaries.

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## Mechanisms to Integrate DHS Analysis Activities to Support Departmental Intelligence Priorities Are Not Functioning as Intended but Help Reduce Overlap and Duplication

DHS has established mechanisms—including a governance board, intelligence framework, and analysis planning process—intended to better integrate analysis activities across the enterprise and help ensure that activities support strategic departmental intelligence priorities. However, the framework does not establish strategic departmental intelligence priorities or drive the analytic planning process across the enterprise, as intended. On the other hand, intelligence officials from I&A and all five components in our review reported that efforts to implement these mechanisms, particularly the analytic planning process, have allowed them to coordinate component activities and avoid unnecessary overlap or duplication of efforts. Likewise, we did not find unnecessary overlap or duplication in our review of border security products from I&A and two components.

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## DHS's Intelligence Framework and Component Analysis Planning Process Are Not Functioning as Intended

According to the *DHS Intelligence Enterprise Strategic Plan*, an integrated and collaborative Intelligence Enterprise is crucial to the department accomplishing its homeland security mission.<sup>34</sup> Further, according to the plan, removing existing barriers to integration, while concurrently respecting and supporting DHS components' unique missions—such as CBP's mission to protect the borders—is necessary in order to fully integrate the DHS components that perform intelligence analysis. In 2005, DHS established a governance board—the Homeland Security Intelligence Council (the council)—to serve as the decision-making and implementation oversight body that supports the CINT in leading and managing the activities of the enterprise, and furthering a unified, coordinated, and integrated intelligence program for the department.<sup>35</sup>

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<sup>34</sup>In 2003, we designated implementing and transforming DHS as a high-risk area, as DHS faced challenges integrating its 22 legacy agencies into one cohesive department. See GAO, *High-Risk Series: An Update*, [GAO-03-119](#) (Washington, D.C.: January 2003). We have continued to assess the department's ability to build a single cohesive and effective department that is greater than the sum of its parts—a goal that requires effective collaboration and integration of DHS's various components and management functions.

<sup>35</sup>In accordance with its 2009 charter, the council is composed of members from the following DHS components: I&A, U.S. Coast Guard, USCIS, U.S. Secret Service, CBP, Federal Emergency Management Agency, TSA, and ICE. We did not evaluate the extent to which the council was meeting its goals as part of this review.

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The council's Analysis Working Group—composed of subject matter experts from I&A's analytic divisions and the intelligence elements of the components—is to coordinate analysis and production across the enterprise.

Additionally, DHS has established two key mechanisms to help ensure that component intelligence analysis activities and resource investments align to support strategic departmental intelligence priorities—the Framework and the POA. According to the Framework, this is an annual document that is intended to present the department's overall strategic intelligence priorities and to inform annual intelligence planning decisions related to collection, analysis, and resource management. In addition to the Framework, the POA is to be an annual document that DHS uses to plan and manage the more specific intelligence analysis activities of its enterprise. Specifically, according to DHS guidance, the POA is to identify a series of key intelligence questions that the enterprise will seek to address in the upcoming year. According to the 2011 I&A Strategic Plan and DHS guidance, the strategic priorities in the Framework should be used to drive analytic planning and production in the POA. However, neither mechanism is working as intended. Specifically, we identified two gaps in the implementation of these mechanisms that limit DHS's assurance that component analytic activities support strategic departmental intelligence priorities:

- **The Framework does not establish strategic departmental priorities:** The Framework does not establish strategic departmental intelligence priorities that can be used to inform annual intelligence planning decisions—such as what analytic activities to pursue and what level of investment to make, as called for in DHS guidance. The Framework—developed by I&A's Information Sharing and Intelligence Enterprise Management Division—was established in fiscal year 2011. However, the senior I&A official who assumed management of the Framework process in May 2013 stated that the Framework does not accomplish its intended purpose of informing annual intelligence planning decisions. According to this official, DHS took a bottom-up approach to developing the Framework in fiscal years 2011 through 2013. Specifically, DHS created a matrix that links the broad departmental missions outlined in the *Quadrennial Homeland Security Review*—such as preventing terrorist attacks and effectively controlling U.S. borders—to different intelligence categories that are



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relevant to these missions.<sup>36</sup> DHS allocated each component 100 points and asked the components to distribute these points across the QHSR missions and intelligence categories in accordance with the types of intelligence activities the component conducted. I&A then added up the total points assigned by the components for each intelligence category. These totals became a proxy for the intelligence priorities of the enterprise as a whole. Accordingly, the Framework presented the existing intelligence activities of the members of the enterprise, rather than outlining strategic departmental intelligence priorities.

According to officials responsible for the Framework, the goal of the fiscal years 2011 through 2013 Frameworks was to understand the diverse nature of intelligence priorities across the enterprise, not to establish overall departmental intelligence priorities. Accordingly, the officials acknowledged that the Framework does not fulfill its stated purpose of informing annual intelligence planning decisions. To begin addressing this problem, the officials stated that I&A plans to make some changes to the fiscal year 2014 Framework. However, the planned changes relate primarily to the methodology used to tally the current intelligence activities of the components. Specifically, the officials said that rather than giving all components equal weighting, the fiscal year 2014 Framework will give greater weight to the priorities of components that have a large intelligence portfolio. However, the official stated that the fiscal year 2014 Framework will look similar to the fiscal year 2013 Framework.<sup>37</sup> Therefore, the planned changes to the fiscal year 2014 Framework will not result in the establishment of strategic departmental intelligence priorities that can be used to inform annual intelligence planning and resource decisions, as called for in DHS guidance.

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<sup>36</sup>Pursuant to the Implementing Recommendations of the 9/11 Commission Act of 2007, DHS released its first *Quadrennial Homeland Security Review* (QHSR) in February 2010. See 6 U.S.C. § 347. The purpose of the QHSR is to outline the strategic framework to guide the activities of participants in homeland security toward a common end. The QHSR identified 14 goals, organized in five mission areas: (1) Preventing Terrorism and Enhancing Security, (2) Securing and Managing Our Borders, (3) Enforcing and Administering Our Immigration Laws, (4) Safeguarding and Securing Cyberspace, and (5) Ensuring Resilience to Disasters. Specific examples of intelligence categories are classified.

<sup>37</sup>As of March 2014, the fiscal year 2014 Framework had not been finalized.

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- **The Framework does not drive analytic planning and production:**

The Framework was not used to drive analytic planning and production in the POA. The POA, established in fiscal year 2011, is overseen by the Homeland Security Intelligence Council's Analysis Working Group. As with the Framework, DHS took a bottom-up approach to developing the POA for fiscal years 2012 and 2013.<sup>38</sup> Specifically, each component independently developed a set of key intelligence questions that it would address in the upcoming year. Officials from each of the five components we contacted said that they developed these questions in order to be responsive to their unique missions and customer needs. DHS then aggregated these individual component responses to generate the POA. For the 2013 POA, this resulted in a catalogue of more than 80 questions to be addressed.

DHS modified the process for the fiscal year 2014 POA in order to focus analytic planning efforts on a smaller, more strategic set of priority questions of common interest to the enterprise as a whole. As a result, the number of key intelligence questions decreased to 15. Also, rather than having each component individually generate key intelligence questions for inclusion in the POA, subject matter experts from participating DHS components brainstormed to collectively develop the 2014 key intelligence questions, determine which DHS components would contribute analysis to each question, and identify what specific intelligence products each would generate to address the questions. According to the I&A official responsible for the POA, the brainstorming was informed by the subject matter experts' daily engagement with DHS leadership, knowledge of operational and policy priorities and missions, the current threat environment, customer-specific requirements, and Intelligence Community and law enforcement engagement and collaboration. However, given the Framework limitations described above, and because of the new focus of the fiscal year 2014 POA, the official stated that the 2014 process was not informed or influenced by the Framework.

Because of the gaps we identified in the Framework and POA processes, DHS cannot provide reasonable assurance that component intelligence analysis activities and resource investments throughout the enterprise are aligned to support both strategic departmental intelligence priorities as

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<sup>38</sup>The fiscal year 2011 POA was an internal I&A document. Component participation in the POA began in fiscal year 2012.

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well as component-specific priorities driven by their unique operational missions. According to I&A officials, it can be challenging for components to focus on both overall strategic departmental intelligence priorities and their more tactical intelligence priorities that support their specific operations and component customers. As articulated in the *DHS Intelligence Enterprise Strategic Plan*, the CINT recognizes the importance of respecting and supporting these unique component intelligence missions. However, to achieve its strategic goal of establishing an integrated intelligence enterprise, it will be important for DHS to clearly define its departmental intelligence priorities and ensure that annual enterprise intelligence planning activities are aligned to support these priorities. Establishing strategic departmental intelligence priorities in the Framework, and using these priorities to inform the planned analytic activities of the enterprise, as articulated in the POA, would better assure DHS of this alignment.

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**Enterprise Officials Reported That the Component Analytic Planning Process Has Helped Reduce Duplication, and We Did Not Find Evidence of Unnecessary Duplication**

DHS's efforts to implement mechanisms—particularly the POA—have helped to minimize unnecessary overlap and duplication across component intelligence analysis activities. The intelligence analysis activities within DHS are inherently fragmented, as multiple DHS components conduct intelligence analysis in support of the same broad intelligence topics. For example, I&A, CBP, ICE, TSA, and the U.S. Coast Guard all contributed intelligence analysis to the DHS goal of Securing and Managing Our Borders in fiscal year 2012, as articulated in that year's POA. However, intelligence officials at I&A and all five operational components with whom we met stated that the mechanisms DHS instituted to integrate analysis throughout the enterprise—particularly the POA—helped to avoid unnecessary overlap and duplication. Specifically, senior intelligence officials in all five components said the POA helped them gain a better understanding of the work of other components or prevent duplication in the intelligence analysis activities of the components. For example, U.S. Coast Guard intelligence officials stated that through the POA process, they gained an understanding of what other DHS components were doing in the intelligence realm to meet their mission requirements and learned that they may have some areas of commonality with CBP. This understanding allowed U.S. Coast Guard analysts to reach out to CBP analysts to determine which component would lead analysis work on different topics, thereby preventing duplication. Specifically, the U.S. Coast Guard agreed to lead maritime border analysis work and CBP agreed to lead land border analysis work. Intelligence officials from another component stated that because of the POA, departmental components have developed a relationship such that

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### Enterprise Coordination in Support of the Secretary and DHS Senior Leaders

I&A has taken additional actions to coordinate enterprise activities in support of the Secretary. First, I&A's Current Intelligence Division—a group that monitors recent intelligence developments and is responsible for coordinating and publishing the Secretary's daily brief—began holding a weekly meeting in December 2011 with intelligence officials from the DHS operational components to discuss ongoing component analysis work that might be beneficial to include in the Homeland Intelligence Today product line, which is distributed daily to the Secretary and federal partners. This provides DHS with the opportunity to coordinate across the components to determine the current and immediate, versus longer-term, threats the Secretary needs to be aware of and how the department is addressing them. Second, I&A began to include an operational box—provided by DHS's Office of Operations Coordination and Planning—in its intelligence products in January 2013. The operational box outlines the actions the components are taking in response to the specific threat discussed in the intelligence product. Finally, I&A's Current Intelligence Division hosts detailees from several operational components. These initiatives help provide DHS with the opportunity to coordinate support for the Secretary across the various components within the department.

Source: GAO analysis of DHS information

two components conducting similar analysis will work together to determine which component is better suited to do the analysis.

Officials from four of the five DHS components we met with also reported that the revised POA process used in fiscal year 2014 was an improvement over the process used in prior years for various reasons. The reasons most often mentioned were improved coordination and reduced redundancy, and the ability of the components to display their contributions and inject the components' internal needs into the broader priorities included in the POA. Additionally, DHS is considering additional ways to enhance coordination across its enterprise, according to I&A officials. For example, officials said that DHS is exploring ways to have the Homeland Security Intelligence Council's Analysis Working Group—the group currently responsible for developing the POA—play a more active role in sharing information on planned analytic production throughout the enterprise and in monitoring joint production across the components.

In addition, we did not find evidence of any duplication among the intelligence analysis products that we reviewed as part of our case study in the area of border security. We did identify one instance of overlap where two DHS components provided similar information to similar customers in different products, but the information was packaged differently such that the products were not duplicative.<sup>39</sup> This result is consistent with our determination based on our case study review, which senior intelligence officials at I&A and the components confirmed, that I&A products tend to be more strategic and written to a broader customer base than are component intelligence products, which tend to be more tactical and written to component operators. We also found that I&A products tend to be based on multiple sources of information, including DHS component data and information from the Intelligence Community, whereas component products tend to be sourced primarily from internal component data. In this way, I&A products aggregate information from across the department and the Intelligence Community to present a national picture, whereas component products use component information to discuss the implications on component operations. For example, a component intelligence product may provide analysis of a specific law enforcement incident, such as a drug seizure in a specific

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<sup>39</sup>Additional details of our border security case study and results are contained in app. IV.

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jurisdiction, whereas an I&A product may provide a strategic look at drug activity across the country using data from CBP, ICE, and international law enforcement sources.<sup>40</sup>

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## Customers Reported Mixed Views on the Usefulness of I&A Products and Services; I&A Is Taking Steps to Better Understand Customers' Analytic Support Needs

Results from customer feedback surveys that are attached to I&A intelligence products indicate general satisfaction with these products, but the results have limitations that prevent I&A from drawing readership-wide conclusions. Our discussions with representatives of I&A's five customer groups indicate that customers in two groups—DHS leadership and state and local officials at fusion centers—found I&A's products to be useful, while customers in the other three groups—DHS components, the Intelligence Community, and private critical infrastructure sectors—generally did not. Customers in four of the five groups reported that they found other types of I&A analytic support to be useful, such as briefings from I&A analysts. I&A is taking steps to identify the analytic products and services that best meet its customers' needs.

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<sup>40</sup>There may be exceptions to the general trend we identified through our review of border security products. For example, according to a senior intelligence official from the U.S. Coast Guard, the U.S. Coast Guard generates strategic-level assessments of threats to the maritime domain and, as a standing member of the Intelligence Community, relies on Intelligence Community information sources. Similarly, a senior intelligence official from ICE stated that ICE also strives to write strategic intelligence products and may use non-ICE sources of information.

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Customer Feedback Surveys Indicate General Satisfaction with the Usefulness of I&A Products, but Results Cannot Be Used to Draw Readership-wide Conclusions

I&A assesses the accuracy and usefulness of its intelligence analysis products through voluntary customer feedback surveys that are attached to products. Survey results indicate general satisfaction, but the results have limitations that prevent I&A from drawing statistically significant conclusions about all the readers of its products. Specifically, during fiscal year 2013, 73 percent of I&A customers that responded to the feedback surveys were very satisfied with the products' usefulness, and 68 percent were very satisfied with the products' timeliness.<sup>41</sup> During this period, I&A issued a total of 830 intelligence products, of which 467 included a customer feedback survey.<sup>42</sup> I&A received survey responses for 104 (22 percent) of the 467 products, with a total of 4,162 responses.<sup>43</sup> According to ODNI officials, I&A's level of effort directed at obtaining feedback from its customers, along with the number of responses received, were above the norm for the Intelligence Community.

While generally positive, I&A survey results have limitations due in part to a bias in those who respond to the surveys. This bias exists because the results reflect the views of I&A customers who chose to respond to the feedback form and do not reflect the views of those who did not respond, a fact that prevents I&A from drawing statistically significant conclusions about the usefulness of its products since the results are not representative of all customers. Also, certain products concerning particularly notable topics can also account for a disproportionate number of survey responses received, which can bias the overall results since the responses do not reflect the full range of issued products. For example, in September 2012, I&A data show that three intelligence products accounted for 513 (88 percent) of the 586 total survey responses

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<sup>41</sup>I&A surveys ask customers to rate satisfaction on a five-point scale—very satisfied, somewhat satisfied, neither satisfied or dissatisfied, somewhat dissatisfied, or very dissatisfied.

<sup>42</sup>I&A officials noted that many of the products that did not include an attached survey were quick-turnaround, information-only in nature and produced by I&A's Current Intelligence Division. The officials noted that customer surveys are more appropriate for longer-term products that are often analytical in nature and produced by I&A's other analytic divisions.

<sup>43</sup>Ten of the 104 products had more than 100 responses—of which 4 concerned a recent high-profile terrorist incident—and 42 received fewer than 10 responses.

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received during the month. The remaining 73 responses (12 percent) I&A received during the month covered a total of 18 products.<sup>44</sup>

Further, because I&A's products are distributed through broad information-sharing networks and generally not sent directly to individual recipients, I&A cannot determine the full extent of its customer base.<sup>45</sup> I&A officials agree that this distribution method limits its ability to form readership-wide conclusions based on the survey results; however, I&A officials stated that I&A uses these networks to further its goal for a wide distribution of its products. Additionally, because of the broad distribution through information sharing networks, I&A cannot track the number of individuals who ultimately open and read its products in order to obtain more complete feedback. All of these factors limit I&A's ability to draw any readership-wide conclusions about its products.

Despite these limitations, I&A officials view the survey results as a useful tool for generally understanding how their products are being received by the customer base. The surveys also allow customers to submit product and service improvement recommendations that help to inform I&A in making adjustments to products to better serve customers' needs. Officials from I&A's Production Management Division said they provide the survey results to the I&A analytic division responsible for the product in order for the division to consider and make improvements in future products. In addition, I&A formed the Analytic Production Improvement Council in fiscal year 2012 to implement product quality improvement initiatives. For example, one product improvement effort the council implemented was to change product titles to better inform prospective customers of the topic of interest in those products.

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<sup>44</sup>Additional information on I&A's efforts to survey customers is discussed later in this report.

<sup>45</sup>I&A has established portals on web-based distribution networks to facilitate customers' access to its intelligence products, such as the Homeland Security Information Network for unclassified products and the Homeland Secure Data Network for classified reporting.

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Selected Officials from Two of I&A's Five Customer Groups Said Products Were Useful, and Officials from Four of the Five Groups Said Other Types of Analytic Services Were Useful

According to I&A's strategic plan, because of resource constraints and other factors, I&A gives priority in its intelligence analysis efforts to the needs of DHS leadership and state and local customers. I&A officials added that the priority order of customer groups is (1) departmental leadership; (2) state, local, tribal, and territorial partners; (3) DHS operational components; (4) Intelligence Community members; and (5) private critical infrastructure sectors. Our work indicates that I&A's finished intelligence products are useful and relevant to DHS leadership and state, local, tribal, and territorial customers, but generally not to customers in the other three groups. Officials from four of the five customer groups (state, local, tribal, territorial partners; DHS components; the intelligence community; and the private sector) said they found other types of I&A analytic support to be useful, including briefings on emerging threats, tradecraft review of the customers' own products, assistance with developing intelligence analysis, training, and the general exchange of information.<sup>46</sup>

DHS Leadership

I&A's first priority is to provide finished intelligence products and other analytic services to DHS leadership—which consists of the Secretary of Homeland Security, Deputy Secretary, and DHS component heads—to support decision making. According to I&A officials who brief the Secretary, I&A's products and services are useful and relevant to meeting leadership needs. For example, I&A's daily intelligence report and related threat briefing to the Secretary include actions DHS components plan to take in response to threats, which helps the Secretary ensure that the department is taking actions to mitigate these threats.

State, Local, Tribal, and Territorial Partners

I&A has given priority to providing intelligence reports and other support to state, local, tribal, and territorial entities, consistent with provisions of the Homeland Security Act, as amended, and subsequently enacted laws.<sup>47</sup> Officials from five of the seven fusion centers we contacted said that I&A products were useful for providing an overall, strategic-level perspective and situational awareness regarding emerging threats. The

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<sup>46</sup>Since I&A is internal to DHS and I&A analysts are already tasked with directly supporting DHS leadership, we did not discuss with leadership representatives their desire for direct access to I&A analysts (as we did with I&A's other four customer groups).

<sup>47</sup>See e.g., 6 U.S.C. §§ 121 (articulating the department's intelligence and analysis responsibilities), 124h (articulating the department's responsibilities with respect to fusion centers), and 485 (directing establishment of an information-sharing environment of which DHS is a participant).



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officials also said they incorporate threat analysis from I&A products into their own reporting to state and local customers. They specifically cited I&A's *Joint Intelligence Bulletins* and *Roll Call Releases* as products that were useful.<sup>48</sup> Officials at the two fusion centers that generally did not find I&A analytic products to be useful said the products rarely addressed concerns that were unique to their geographic area, such as domestic terrorist groups that operate in their regions. In addition, officials from all seven fusion centers said that they valued access to I&A personnel, including analysts, for assistance with fusion center needs related to intelligence analysis. This assistance included training on proper methods for developing analytic products, reviewing fusion center products, and providing other analytic services, such as oral briefings on emerging threats that may be relevant to the center.

I&A has deployed analysts to fusion centers on a limited basis. Specifically, I&A initially deployed one analyst to the Los Angeles and San Diego fusion centers. According to I&A officials responsible for FAST, the purpose of these embedded analysts is to work with fusion centers to do detailed analytic work in accordance with the tradecraft standards that I&A follows.<sup>49</sup> I&A Production Management Division officials noted that these analysts provide an avenue for improving the tradecraft skills of fusion center analysts, which could help reduce delays in the issuance of I&A's joint products with centers. I&A has recently taken steps to deploy additional analysts to fusion centers. According to the I&A Deputy Research Director, I&A deployed an additional four analysts to fusion centers and plans to deploy a fifth analyst in June.

## DHS Components

Intelligence officials from all five DHS components we contacted generally stated that they did not consider themselves customers of I&A with regard to finished intelligence products. The officials recognized the overall high-level perspectives and situational awareness that I&A products can provide, but noted that their operational elements generally have a more

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<sup>48</sup>The *Joint Intelligence Bulletin* is produced with the Federal Bureau of Investigation in response to significant or emerging threats or developments. The *Roll Call Release* is a single-topic intelligence product for first responders on terrorist tactics, techniques, and procedures that may be encountered during daily routines.

<sup>49</sup>I&A is to follow the same tradecraft standards as the rest of the Intelligence Community. These standards are detailed in Intelligence Community Directive Number 203—*Analytic Standards (June 21, 2007)*, which is the basis on which ODNI evaluates DHS intelligence analysis products (along with those from other members of the Intelligence Community).

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critical need for tactical information and analysis to support operations and investigations—such as details on specific individuals or groups—which their own intelligence groups typically provide. Officials from all five components noted the value of I&A’s other analytic support, such as providing access to the Intelligence Community and training. Managers of the intelligence elements of two components (the U.S. Coast Guard and USCIS) cited a desire to have I&A analysts placed in the components’ intelligence offices to allow for better exchanges of information, analysis, and subject matter expertise. For example, according to U.S. Coast Guard officials, colocating I&A analysts within components would allow I&A to better serve the Secretary by facilitating the identification of relevant information and analysis. In January 2014, I&A officials said that they were in the process of developing and considering several plans to deploy analysts to jointly work on high-priority issues of mutual interest to I&A and components.

## Intelligence Community

ODNI officials said that they generally do not perceive the members of the Intelligence Community to be customers of I&A’s finished intelligence products because the products are not targeted to the Intelligence Community elements, and these agencies rely on other sources for analysis. The officials noted that Intelligence Community elements also tend to have an international focus, while I&A focuses on the homeland. ODNI officials said that they appreciated that I&A serves state and local customers since they are not traditional Intelligence Community customers. The officials also noted that I&A frequently writes its products at an unclassified level, which hinders their usefulness to the Intelligence Community. According to ODNI officials, the daily interaction between their personnel and I&A analysts embedded at ODNI’s National Counterterrorism Center provides expertise and perspective on DHS data sets—such as data on individuals crossing the borders—that are valuable to the Intelligence Community.<sup>50</sup> The officials noted that they value being able to integrate information from these data sets into their own analyses.

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<sup>50</sup>The National Counterterrorism Center is organizationally part of ODNI and serves as the principal adviser to ODNI on intelligence operations and analysis related to counterterrorism. See 50 U.S.C. § 3056(a), (f)(1). Further, it describes its missions as, among other things, serving as the primary organization in the U.S. government for integrating and analyzing all intelligence related to terrorism possessed or acquired by the U.S. government (except purely domestic terrorism), serving as the central and shared knowledge bank on terrorism information, and providing all-source intelligence support to government-wide counterterrorism activities.

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## Private Critical Infrastructure Sectors

Representatives from all nine private critical infrastructure sectors and subsectors we contacted said that I&A generally does not generate products that are either useful or relevant to them, except for I&A's analytic efforts related to cyber security, for which all of the officials generally had positive views. The officials said that I&A's finished intelligence products are usually more strategic than they require, and I&A does not fully understand the intelligence needs of their industries.<sup>51</sup> The officials added that they are interested in developing a relationship with I&A. For example, officials from all nine sectors noted that having I&A analysts detailed to the private sector on a limited and temporary basis would better position I&A to understand their industries and related threats and provide intelligence analysis, including written reports, oral briefings, and other direct assistance. In January 2014, I&A officials said they are not considering long-term deployments (90 days or longer) in part because of staffing constraints, but are considering shorter-term deployments to interested private sector companies.

According to I&A officials, I&A has historically given the private sector lower priority with respect to intelligence analysis than its other customer groups because of resource considerations. However, the officials stated that I&A is continuing efforts going forward to perform outreach to the private sector to better determine private sector's analytic needs and how to satisfy them. For example, I&A is participating in the Federal Bureau of Investigation's (FBI) Infragard program for sharing information and analysis with the private sector.<sup>52</sup> Further, I&A's Strategic Plan calls for

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<sup>51</sup>Critical infrastructure refers to the systems and assets, whether physical or virtual, so vital that the incapacity or destruction of such may have a debilitating impact on security, national economic security, national public health or safety, environment, or any combination of those matters. See 42 U.S.C. § 5195c. The critical infrastructure sectors are the Defense Industrial Base; Energy; Food and Agriculture; Healthcare and Public Health; Financial Services; Water and Wastewater Systems; Chemical; Commercial Facilities; Critical Manufacturing; Dams; Emergency Services; Nuclear Reactors, Materials, and Waste; Information Technology; Communications; Transportation Systems; and Government Facilities. GAO, *Transportation Security Information Sharing: Stakeholders Generally Satisfied but TSA Could Improve Analysis, Awareness, and Accountability*, [GAO-12-44](#) (Washington, D.C.: Nov. 21, 2011).

<sup>52</sup>InfraGard is an FBI-sponsored initiative that brings together representatives from the private and public sectors to help protect our nation's critical infrastructure from attacks by terrorists and criminals. Members have access to an FBI secure communications network featuring an encrypted website, web mail, Listservs, and message boards. The FBI uses the InfraGard website to disseminate threat alerts and advisories. InfraGard also sends out intelligence products from the FBI and other agencies.

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enabling the National Network of Fusion Centers to serve as a conduit for disseminating products to private sector partners.<sup>53</sup>

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## I&A Is Taking Steps to Identify the Analytic Products and Services that Best Meet the Needs of Its Customers

I&A has not identified the types and mix of analytic products and services that best meet the needs of its various customers, but has recently taken steps that could support doing so. Specifically, the surveys I&A attaches to individual products help obtain customer feedback on various aspects of the products, but are not intended to obtain customer views on the full range of analytic products or services that I&A provides. However, in fiscal year 2012, I&A's Production Management Division initiated a Core Customer Study to ascertain, among other things, its core customers' organizations, the functions they perform, and their intelligence-related mission needs. The study is using a combination of interviews and surveys with members of I&A's five customer groups. I&A characterized the Core Customer Study as a long-term effort to define, identify, and profile its core customers as a step to better identify their overall intelligence needs. Production Management Division officials said they expect to complete the study by the end of June 2014.

In addition, in January 2014, I&A initiated the Customer Satisfaction Assessment to obtain views on I&A products and services that were provided to customers during 2013 and forecast how I&A can better meet customer needs in the future. To support this assessment, and in response to our September 2012 report, I&A initiated a survey in March 2014 to gain a better understanding of its customers' satisfaction with and use of I&A intelligence products and services.<sup>54</sup> Among other things, the survey covers the types of I&A products the customers read in 2013, including finished intelligence and current intelligence (e.g., alerts and

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<sup>53</sup>The National Network of Fusion Centers describes the association of individual fusion centers that serve the national homeland security mission, including counterterrorism. The federal government identifies fusion centers within the National Network as the primary conduit for sharing federal terrorism-related information with state, local, tribal, and territorial partners.

<sup>54</sup>See GAO, *Information Sharing: DHS Has Demonstrated Leadership and Progress, but Additional Actions Could Help Sustain and Strengthen Efforts*, [GAO-12-809](#) (Washington, D.C.: Sept. 18, 2012). In an e-mail accompanying the customer satisfaction survey, I&A officials stated they were conducting the survey in response to a recommendation in this GAO report to survey an identified population of I&A customers in order to (1) gauge their satisfaction with I&A products and services and (2) identify opportunities for future improvement.

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warnings); the extent to which the products were useful in informing actions and decisions, such as in making resource investments; and satisfaction with I&A services, such as threat briefings and tradecraft assistance. According to I&A officials, they sent the survey to customers who were likely recipients of I&A intelligence products and services in 2013. Specifically, I&A sent the survey to customers who maintained an active account to a portal where I&A products are posted (e.g., the Homeland Security Information Network), were members of a homeland security information-sharing network that regularly distributes I&A products (e.g., terrorism liaison officer network), or were individually referred by their local fusion center or the I&A private sector outreach program. According to I&A officials, the results of this survey will be analyzed and provided directly to I&A intelligence analysts, managers, and senior leadership to help them better understand how their customers use I&A intelligence and determine how to tailor and improve products and services in the future.

I&A officials said that as part of the Customer Satisfaction Assessment they also plan to conduct detailed interviews with a smaller group of customers in order to obtain a more in-depth understanding of ways to increase the usefulness of I&A's analytic products and services that will guide its improvement efforts. According to I&A officials, the assessment will also help I&A understand its customers' desired mix of products and analytic services. I&A plans to complete the first draft of a report on the results of the assessment by the end of April 2014.

Once completed, the Core Customer Study and Customer Satisfaction Assessment could provide I&A with information to help it more clearly define how it plans to support each customer group, the types of analytic products and services it will provide, and related levels of investment. The results could also assist I&A in determining how best to use its available analytic resources, including deciding whether additional deployments of I&A intelligence analysts to DHS components, fusion centers, and private sector entities would allow for better exchanges of information and analysis in support of national counterterrorism efforts.

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## I&A Has Taken Steps to Address Challenges It Faces in Maintaining a Skilled Workforce, but Assessing Results Could Help Strengthen Future Human Capital Efforts

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### I&A Has Taken Steps to Address Challenges Related to Recruiting, Hiring, and Professional Development

I&A has faced human capital challenges in recruiting and hiring the skilled workforce it needs and providing training and professional development opportunities that keep morale high and attrition low.<sup>55</sup> Specifically, according to I&A's recruitment strategy, I&A's hiring authority under competitive service put it at a disadvantage compared with other organizations that were able to process hiring actions more quickly and offer career advantages associated with excepted service status.<sup>56</sup> For example, according to officials, under competitive service status, it could take anywhere from several months to a year between the initial hiring

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<sup>55</sup>Attrition is the percentage of personnel losses for all reasons during the fiscal year, and is measured by comparing personnel losses during the year with the total number of personnel on board at the beginning of the year. Our work focused on attrition among I&A analysts classified as GS-0132. According to OPM's Position Classification Standard for Intelligence Series, GS-0132 analysts advise on, administer, supervise, or perform work in the collection, analysis, evaluation, interpretation, and dissemination of information on political, economic, social, cultural, physical, geographic, scientific, or military condition, trends, and forces in foreign and domestic areas that directly or indirectly affect the national security.

<sup>56</sup>The Director of National Intelligence may, with concurrence of the head of the department concerned and in consultation with the Director of OPM, convert competitive service positions within an element of the Intelligence Community in such department to excepted service positions as the Director of National Intelligence determines necessary to carry out the intelligence functions of such element. See 50 U.S.C. § 3024. See also 5 U.S.C. §§ 2102(a) (defining "competitive service"), 2103(a) (defining "excepted service"), and 5 C.F.R. pt. 213, subpt. C (specifying the types of positions eligible for excepted appointments) Pursuant to its regulations, OPM may except a position from the competitive service if it determines, for example, that appointments into such positions are not practicable. See 5 C.F.R. § 6.1(a).

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offer and completion of the hiring process, a time lag that they said led many applicants to seek employment elsewhere. The officials added that when they engaged in Intelligence Community career fairs, many individuals were looking for offers on the spot that other Intelligence Community elements could provide but that I&A could not, a fact that affected their ability to compete for top talent. In addition, according to officials, the perception of I&A as a less than prestigious intelligence agency than the others in the Intelligence Community also affects its ability to recruit top talent.

To some extent, such hiring challenges contributed to I&A's historical reliance on contractors to fill the gaps in Intelligence Community experience. For example, a 2009 Homeland Security Institute study concluded that burdensome recruitment and hiring processes resulted in I&A's heavy reliance on contract labor to staff key positions.<sup>57</sup> I&A officials stated that the use of contractors was the primary method outside of federal hiring to acquire the needed tradecraft skills. They added that budgetary limitations on the number of authorized full-time equivalent (FTE) positions, the desire for operational flexibility to deal with uncertainty, and the need for "surge capability" also made contractors a viable alternative. As of November 2013, I&A's Office of Analysis had the smallest percentage of contractors compared with the rest of I&A, but the office still relied on contractors to support analytical instruction, such as reviews of the Program of Analysis.<sup>58</sup>

I&A has also faced challenges in providing professional development opportunities for its workforce, and experienced low morale scores and high rates of attrition, particularly among its lower-level analysts. Regarding professional development, I&A historically did not institutionalize a commitment to investing in its workforce, according to I&A officials. For example, they said that some managers sent their employees to training, assigned mentors, and provided rotational opportunities, while others did not. Furthermore, I&A's training program did not always focus on mission-specific requirements that its workforce

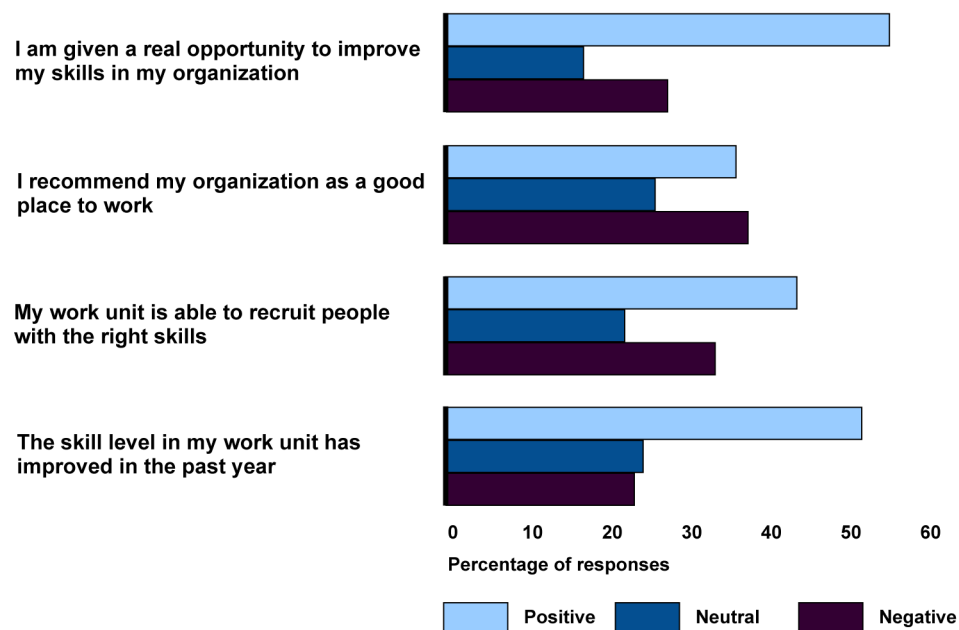
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<sup>57</sup>Homeland Security Institute, *Independent Evaluation of Office of Intelligence and Analysis Programs* (Arlington, Virginia: Apr. 25, 2009).

<sup>58</sup>See GAO, *Additional Actions Needed to Improve Reporting on and Planning for the Use of Contract Personnel*, [GAO-14-204](#) (Washington, D.C.: Jan. 29, 2014) for more on the use of contract personnel in the Intelligence Community.

needed, according to officials. The 2009 Homeland Security Institute report also concluded that I&A lacked a robust training program.<sup>59</sup> According to officials, these challenges contributed to I&A's low morale and high rates of attrition. For example, I&A employee responses to the 2012 Intelligence Community Climate Survey show that 36 percent of employees responded positively when asked if they would recommend I&A as a good place to work, as shown in figure 2.<sup>60</sup>

**Figure 2: Results of Selected Intelligence Community Climate Survey Items for Office of Intelligence and Analysis, Fiscal Year 2012**



Source: 2012 Intelligence Community Climate Survey Results for Office of Intelligence and Analysis. | GAO-14-397

Note: Survey responses are from all Office of Intelligence and Analysis staff and not just limited to intelligence analysts. Results could be different if limited to intelligence analysts.

<sup>59</sup>Homeland Security Institute, *Independent Evaluation of Office of Intelligence and Analysis Programs*.

<sup>60</sup>The climate survey measures employee perceptions about an organization's ability to recruit and retain top talent. It gauges if employees understand how their work relates to their agency's goals and mission priorities and if they get a sense of accomplishment from their work. It also assesses employee satisfaction with coworkers, supervisors, working conditions, involvement in workplace decisions, training and development opportunities, promotions, pay, and rewards.



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Also, in September 2012, we reported that I&A had one of the lowest morale scores within DHS in OPM's Federal Viewpoints Survey—a tool that measures employees' perceptions of whether and to what extent conditions characterizing successful organizations are present in their agencies.<sup>61</sup>

According to I&A officials, attrition among I&A intelligence analysts has led to a loss in valuable technical expertise and organizational knowledge. I&A data show that attrition has been the highest for lower-level analysts, with attrition for GS-9 positions fluctuating from a high of 80 percent in fiscal year 2009 to 21 percent in fiscal year 2013. According to exit interviews, I&A officials attributed the attrition to a number of factors, including low morale and limited promotion opportunities for lower-level analysts. The officials added that exit interviews indicate that analysts leave for positions with other Intelligence Community agencies, which are often perceived as higher-profile agencies.

To help address these challenges, I&A has taken the following steps:

- To help address recruitment and hiring challenges, in November 2012, DHS requested excepted service status on behalf of I&A from ODNI and OPM to align itself with the rest of the Intelligence Community and better compete for top talent. In June 2013, I&A received excepted service status. According to I&A officials, this will allow them to process hiring actions quicker and offer career advantages associated with excepted service positions, which will in turn help them recruit and hire the right applicants. In addition, I&A human capital officials stated that they started working with DHS human capital officials in 2013 to improve intelligence analyst position descriptions by, for example, targeting specific skill requirements, to help ensure that I&A recruits the right people.
- To address low morale and attrition among its intelligence analysts and enhance professional development opportunities, I&A restructured its organizational grade structure to provide more career advancement and promotion opportunities. In 2012, I&A awarded a contract to the MITRE Corporation to review its workforce structure.

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<sup>61</sup>GAO, *Department of Homeland Security: Taking Further Action to Better Determine Causes of Morale Problems Would Assist in Targeting Action Plans*, [GAO-12-940](#) (Washington, D.C.: Sept. 28 2012). Responses to the Office of Personnel Management survey are from all I&A employees and not specific to analysts within I&A's Office of Analysis.

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MITRE concluded that I&A had more staff at the higher grade levels and that this was out of line with the rest of the Intelligence Community. As a result, in November 2012, I&A released a memorandum that noted the grade structure changes. Specifically, I&A increased the number of GS-7 through GS-12 analyst positions and decreased the number of GS-13 through GS-15 positions.<sup>62</sup> According to the directors of the four Office of Analysis analytic divisions, this change is intended to help I&A grow its workforce through junior analysts and increase promotion opportunities that were previously not available.

I&A has also enhanced its professional development by improving its training program, institutionalizing the use of Individual Development Plans, and encouraging rotational details. In fiscal year 2013, I&A's Office of Analysis established minimum training requirements for its analysts, among other training requirements. For example, analysts are required to complete four analytical tradecraft courses a year that are offered by I&A's Office of the Research Director.<sup>63</sup> I&A officials noted that these courses are helping I&A build a better, more knowledgeable Intelligence Community workforce, which translates into better finished intelligence products. This is supported by ODNI's annual assessment of Intelligence Community finished intelligence products, which shows that I&A's tradecraft scores have improved substantially over the past few years and that I&A's scores are now above average within the Intelligence Community. In fiscal year 2014, I&A also issued guidance intended to standardize the use of Individual Development Plans. According to the guidance, the development plans are intended to help I&A staff plan their careers and motivate them to meet the demands placed on them by constant organizational and technological changes. Further, I&A is encouraging its analysts to take rotational assignments to other Intelligence Community elements and DHS operational components, according to officials. As of January 2014, seven I&A intelligence analysts

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<sup>62</sup>To communicate its new workforce composition, I&A released a memorandum in November 2012 stating that I&A will cap hiring at 25 percent for GS-12/13 to ensure it maintains a proper distribution of personnel within the GS 7 through GS-13 range. For fiscal year 2013, the Office of Analysis was capped at five new hires at the GS-12/13 level. The memorandum does not specify whether those five are intelligence analysts or other staff positions.

<sup>63</sup>In fiscal years 2012 and 2013, I&A provided over 20 courses related to analytic tradecraft for its analytic workforce. According to I&A officials, these courses were developed in accordance with ODNI standards.

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were detailed to other Intelligence Community elements or DHS components. According to I&A officials, this program helps I&A analysts better understand the operations and needs of other Intelligence Community elements and DHS components and helps them develop their analytic tradecraft.<sup>64</sup>

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### Assessing Results and Impacts of Recently Completed and Ongoing Initiatives Could Help I&A Strengthen Future Human Capital Efforts

In May 2013, I&A began to strategically assess whether its workforce has the right skills—such as written communications, program knowledge, and decision making—through a competency gap assessment.<sup>65</sup> According to officials, this gap assessment will also to serve as an opportunity for I&A to determine whether its current practice of recruiting and hiring individuals that have strong analytical skills as opposed to subject matter expertise, and then training them to specialize in areas that support DHS’s unique operational missions, is appropriate.<sup>66</sup> According to officials, the gap assessment will include a survey of the knowledge, skills, and capabilities of intelligence analysts across the enterprise. The survey will cover critical skills and competencies that I&A developed in conjunction with other DHS components. According to I&A officials, the results of the assessment are to be released in fiscal year 2014. I&A officials said that they intend to use the results of the assessment to help fill skill gaps within the current workforce through training and analyst performance management activities. I&A officials acknowledged the importance and the need to use the results of the competency gap assessment given the absence of other mechanisms or documents that can help guide its overall workforce planning efforts.

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<sup>64</sup>The current Assistant Deputy Undersecretary for the Office of Analysis is on detail from the Defense Intelligence Agency.

<sup>65</sup>The competency gap assessment is sponsored by OPM and DHS and includes all intelligence analysts within DHS’s enterprise.

<sup>66</sup>According to the directors of the four analytical divisions within I&A’s Office of Analysis—Current Intelligence, Border Security, Homeland Counterterrorism, and Cyber— I&A looks for people that have the ability to analyze and piece together seemingly unrelated information from multiple sources and have strong written and oral communication skills. I&A does recruit for and hire individuals for their specific expertise in certain areas. For example, according to I&A officials, some positions that require technical expertise are difficult to train in-house, a fact that makes it more feasible to directly hire for this expertise.

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While the competency gap assessment is an important step in strategic workforce planning, I&A has not assessed the effects of its recently completed workforce efforts. In the past 3 years, I&A has implemented changes that are intended to strengthen its workforce, however; I&A currently has no established mechanisms in place to monitor and evaluate the effect of these efforts and use the results to make any needed changes. Specifically, we identified three areas where I&A could strengthen the monitoring and evaluation of its human capital efforts. First, I&A officials stated that they use ODNI and DHS-OPM surveys and survey forms from analysts regarding training to review changes in morale; however, I&A does not have a systematic way of monitoring these activities and using the results to make changes. Second, the results I&A receives from the ODNI and DHS-OPM morale surveys reflect all of I&A, which makes it difficult for I&A to determine whether its workforce activities are having any results on the intelligence analysts within the Office of Analysis. Third, I&A does not have any mechanisms in place to monitor and assess the effects of its excepted service status and grade restructuring.

According to I&A officials, these mechanisms are not in place because I&A leadership was focused on other priorities. However, these officials agreed that such mechanisms could help ensure that its efforts are helping to address the challenges of its analytic intelligence workforce. According to DHS workforce planning guidance, workforce planners must monitor and assess the progress of their strategies, evaluate the outcomes, and use the results from the evaluation to revise the strategies, if needed.<sup>67</sup> Consistent with this guidance, establishing mechanisms to monitor and evaluate workforce efforts, such as changes to I&A's hiring authority and grade levels restructuring, could help the Office of Analysis determine if the efforts are achieving their intended results. In addition, using the results from these evaluations to determine any need for changes will help ensure that I&A is making sound workforce decisions.

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## Conclusions

The organizations within the DHS Intelligence Enterprise play critical roles in uncovering and analyzing threats to the United States. DHS has made efforts, such as developing the Framework and POA, to integrate the

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<sup>67</sup>*DHS Workforce Planning Guide.*

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analysis activities of its enterprise in support of common departmental intelligence priorities. These efforts, however, are not functioning as intended and as a result, DHS has not yet reached its goal of having an intelligence enterprise that responds to an integrated set of strategic departmental priorities that in turn drive analytical plans and resource decisions. Because of challenges I&A experienced in recruiting and hiring a skilled workforce, it has also taken actions intended to make it easier to attract, develop, and maintain skilled analysts, and many of these actions have been recently completed. By not monitoring and evaluating the effect of these actions, I&A cannot be confident that it is making progress in improving its ability to build and maintain the workforce it needs to effectively and efficiently analyze possible threats to the homeland. Furthermore, I&A lacks the information essential to know whether additional changes are needed to its workforce improvement activities and the strategies that underlie those activities.

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## Recommendations for Executive Action

To help ensure that the intelligence analysis activities and resources throughout the enterprise align to an integrated set of strategic departmental intelligence priorities, we recommend that the Under Secretary for Intelligence and Analysis, Homeland Security take the following two actions:

- establish strategic departmental intelligence priorities in the Homeland Security Intelligence Priorities Framework that can be used to guide annual enterprise planning efforts, including intelligence analysis and resource management and
- ensure that once strategic departmental intelligence priorities are established, the Framework is used to inform the planned analytic activities of the DHS Intelligence Enterprise, as articulated in the Program of Analysis.

To help ensure that I&A maintains critical skills and competencies, when planning for and implementing current and future workforce actions, we recommend that the Secretary of Homeland Security establish mechanisms to monitor and evaluate workforce initiatives and use results to determine any needed changes.

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## Agency Comments and Our Evaluation

We provided a draft of this report to DHS for review and comment. In its written comments, reprinted in appendix V and summarized below, DHS concurred with the three recommendations and described actions

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underway and planned to address them. In addition, DHS provided technical comments, which we incorporated as appropriate.

With regard to the first recommendation, that I&A establish strategic departmental intelligence priorities in the Framework that can be used to guide annual enterprise planning efforts, DHS concurred and stated that, based in part on GAO's work, I&A has revised its approach to developing strategic departmental intelligence priorities. Further, DHS stated that the 2014 Framework was approved on April 9, 2014, and I&A will coordinate future refinements to the methodology with the Homeland Security Intelligence Enterprise prior to the beginning of the 2015 priorities process. We will determine if I&A's revised approach and the resulting 2014 Framework address the intent of our recommendation as part of our recommendation follow-up process.

With regard to the second recommendation, that I&A ensure that once strategic departmental intelligence priorities are established the Framework is used to inform the planned analytic activities of the DHS Intelligence Enterprise, DHS concurred, and stated that the priorities established in the 2014 Framework will inform the development of the 2015 POA. Additionally, DHS stated in its letter that the 2015 POA will be informed by updated Intelligence Community-wide guidance from the Director of National Intelligence pertaining to both the development of the POA and key intelligence questions, and lessons learned from last year's development process. If fully implemented, these planned actions should address the intent of the recommendation.

With regard to the third recommendation, that I&A establish mechanisms to monitor and evaluate workforce initiatives and use results to determine any needed changes, DHS concurred and stated that I&A is developing specific performance indicators to monitor and evaluate workforce initiatives and plans to develop a complete set of measures by the end of fiscal year 2014. If fully implemented, these planned actions should address the intent of the recommendation.


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We are sending copies of this report to the Secretary of Homeland Security, the Undersecretary for Intelligence and Analysis, and interested congressional committees as appropriate. In addition, the report will be available at no charge on the GAO website at <http://www.gao.gov>.

If you or your staffs have any questions about this report, please contact me at (202) 512-8777 or [larencee@gao.gov](mailto:larencee@gao.gov). Contact points for our

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Offices of Congressional Relations and Public Affairs may be found on the last page of this report. Key contributions to this report are listed in appendix VI.

A handwritten signature in cursive script that reads "Eileen R. Larence".

Eileen R. Larence  
Director  
Homeland Security and Justice

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*List of Requesters*

The Honorable Thomas R. Carper  
Chairman  
Committee on Homeland Security and Governmental Affairs  
United States Senate

The Honorable Tom Coburn, M.D.  
Ranking Member  
Committee on Homeland Security and Governmental Affairs  
United States Senate

The Honorable Michael McCaul  
Chairman  
Committee on Homeland Security  
House of Representatives

The Honorable Jeff Duncan  
Chairman  
Subcommittee on Oversight and Management Efficiency  
Committee on Homeland Security  
House of Representatives



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# Appendix I: Members of the Intelligence Community

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The Intelligence Community consists of 17 U.S. intelligence agencies whose mission is to collect and convey essential information that the President and members of the policymaking, law enforcement, and military communities require to execute their appointed duties. See 50 U.S.C. § 3003(4). The agencies include the following:

Central Intelligence Agency

Department of Energy, Office of Intelligence and Counterintelligence

Department of Homeland Security (DHS), Office of Intelligence and Analysis (I&A)

Department of State, Bureau of Intelligence and Research

Department of the Treasury, Office of Intelligence and Analysis

Defense Intelligence Agency

Drug Enforcement Administration

Federal Bureau of Investigation

National Geospatial Intelligence Agency

National Reconnaissance Office

National Security Agency

Office of the Director of National Intelligence

U.S. Air Force, Intelligence, Surveillance and Reconnaissance

U.S. Army, Army Military Intelligence

U.S. Coast Guard, Coast Guard Intelligence

U.S. Marine Corps, Marine Corps Intelligence Activity

U.S. Navy, Naval Intelligence

# Appendix II: Description of Key Finished Intelligence Products from the Six DHS Intelligence Entities in Our Review

DHS Intelligence Entity	Finished Intelligence Product	Product Description
Department of Homeland Security (DHS) Office of Intelligence and Analysis	<i>Homeland Intelligence Today</i>	DHS's daily product that provides the Secretary, DHS operational component leadership, and other federal partners with timely homeland-relevant analysis and reporting.
	<i>Intelligence Assessment</i>	Provides strategic analysis on a variety of topics that impact homeland security; can range from covering a single issue to an in-depth multi-themed analysis.
	<i>Joint Intelligence Bulletin</i>	Produced jointly with the Federal Bureau of Investigation and focused on emergent or recent terrorism-related threats or events that are pertinent to the Homeland.
	<i>Roll Call Release</i>	Produced for frontline law enforcement officers to highlight emergent terrorist or criminal techniques or tactics they may encounter in the field.
	<i>Fire Line</i>	A sister product to Roll Call Release that is geared toward fire, rescue, and emergency management personnel to aid in planning, response, and mitigation.
	Reference Aid	Provides an informational overview on an issue, development, key figure, or lasting trend.
U.S. Customs and Border Protection (CBP)	<i>CBP Threat Assessment</i>	Provides a comprehensive analysis of threats and hazards that impact CBP operations.
	<i>CBP Intelligence Report</i>	Provides analysis, trends, and patterns that directly relate to CBP efforts.
	<i>Special Research Report</i>	Provides research, primarily associated with travel and imports, to other law enforcement agencies and the Intelligence Community.
	<i>Homeland Security Intelligence Report</i>	Provides DHS and other members of the Intelligence Community with CBP analysis of terrorism and other criminal activities that affect border security.
U.S. Immigration and Customs Enforcement (ICE)	<i>Homeland Security Assessment (HSA)</i>	Provides a comprehensive analysis of a complex intelligence topic or target related to specific events or trends. HSA's typically include a threat analysis; a discussion or potential threat actors and tactics, techniques, and procedures; and an outlook or review of potential mitigation strategies, counter-measures, or vulnerabilities.
	<i>Homeland Security Intelligence Report</i>	Provides in-depth analysis of a single intelligence development, discovery, finding, or issue.
	<i>Intelligence Note</i>	Covers new intelligence and summarize developments on an issue or topic area of interest to ICE customers.
Transportation Security Administration	<i>Transportation Intelligence Note</i>	Provides information and analysis on a single threat or situation involving transportation security.
	<i>Modal Threat Assessment</i>	Provides analyses of threats to transportation's critical modal sectors, such as aviation and mass transit.
	Poster	Posters focus on a single topic of concern, such as concealment techniques.
	<i>Tactics, Techniques, and Procedures Assessment</i>	Analyzes how violent extremists, typically overseas, attack transportation modes in order to discern impacts on the homeland transportation environment.

**Appendix II: Description of Key Finished  
Intelligence Products from the Six DHS  
Intelligence Entities in Our Review**

<b>DHS Intelligence Entity</b>	<b>Finished Intelligence Product</b>	<b>Product Description</b>
United States Citizenship and Immigration Services	<i>Immigration Systems History Report</i>	Provides information on individual subjects such as their immigration history, current immigration status/expiration, previous and pending immigration benefits, and a list of immigration systems checked.
	<i>Special Research Report</i>	Contains the information in an individual's Immigration Systems History, as well as additional information on the evolution of the subject's immigration history.
	<i>Intelligence Assessment</i>	Provides in-depth analysis and judgments of an event or development previously addressed in a previous product.
United States Coast Guard	<i>Intelligence Bulletin</i>	Provides immediate maritime intelligence and law enforcement situational awareness.
	<i>Intelligence Assessment</i>	An Analytic product providing judgments and prognosis regarding a specific intelligence issue.
	<i>Intelligence Estimate</i>	Provides an overview and summary judgments on an intelligence issue based on all-source intelligence information.

Source: GAO analysis of component-provided information. | GAO-14-397

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# Appendix III: Objectives, Scope, and Methodology

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This report addresses the following questions:

- To what extent are the intelligence analysis activities of the enterprise integrated to support departmental strategic intelligence priorities, and to what extent are enterprise analysis activities unnecessarily overlapping or duplicative?
- To what extent do I&A's customers report that they find I&A products and other analytic services to be useful?
- What challenges does I&A face in maintaining a skilled analytic workforce and what steps has it taken to address these challenges?

To address the first objective, we analyzed documents produced by DHS and I&A related to setting intelligence priorities to determine how priorities are established and how the priorities are to be followed by the enterprise. Specifically, we reviewed the *Department of Homeland Security Strategic Plan, Fiscal Years 2012-2016*, the 2006 and 2008 versions of *DHS Intelligence Enterprise Strategic Plan; Office of Intelligence and Analysis Strategic Plan Fiscal Year 2011–Fiscal Year 2018*; Delegation to the Under Secretary for Intelligence and Analysis/Chief Intelligence Officer, August 10, 2012; DHS Management Directive 8110, *Intelligence Integration and Management*, January 30, 2006; Department of Homeland Security Directive 264-01, *Intelligence Integration and Management*, June 12, 2013; DHS Instruction Number: 264-01-001 *DHS Intelligence Enterprise* June 28, 2013; the 2005 and 2009 versions of the Homeland Security Intelligence Council Charter; I&A memos including the fiscal year 2013 and the fiscal year 2014 DHS Enterprise Programmatic Guidance; DHS Intelligence Enterprise Programs of Analysis (POA) for fiscal years 2011 through 2014; and the Homeland Security Intelligence Priorities Framework for fiscal years 2012 and 2013 to determine the roles and responsibilities of DHS in managing its enterprise and the analytic efforts of the enterprise, and how DHS was carrying out these responsibilities.

Additionally, we analyzed documents from DHS components for which intelligence analysis is a core function in supporting their unique missions and operations—the U.S. Coast Guard, Transportation Security Administration (TSA), U.S. Customs and Border Protection (CBP), U.S. Immigration and Customs Enforcement (ICE), and U.S. Citizenship and Immigration Services (USCIS)—to help determine the roles and responsibilities of component agency intelligence programs and how they respond to the coordination and prioritization efforts of I&A. These included *U.S. Department of Homeland Security Annual Performance Report, Fiscal Years 2011–2013*, Appendix A: Measure Descriptions and

Data Collection Methodologies; National Infrastructure Advisory Council, *Intelligence Information Sharing, Final Report and Recommendations*, January 10, 2012; Transportation Security Administration Office of Intelligence and Analysis Mission and Functional Statement; *ICE Strategic Plan, FY 2010-2014*; U.S. Immigration and Customs Enforcement, Homeland Security Investigations, Office of Intelligence, Analysis Division, Fact Sheet; *Secure Borders, Safe Travel, Legal Trade, U.S. Customs and Border Protection, Fiscal Year 2009-2014 Strategic Plan*; United States Citizenship and Immigration Services Intelligence and Information Products Fact Sheet; and U.S. Coast Guard Publication 2-0, *Intelligence*, May 2010; among others.

We compared these efforts against requirements listed in the Homeland Security Act of 2002, as amended, that call on the DHS Chief Intelligence Officer (CINT) to establish the intelligence analysis priorities for the intelligence components of the department, consistent with any directions from the President and, as applicable, the Director of National Intelligence. According to DHS guidance, the appropriate vehicle for establishing enterprise-wide intelligence priorities is the Homeland Security Intelligence Priorities Framework.

We met with the I&A Research Director and members of his staff, and the Director of the Information Sharing and Enterprise Management Division and his staff who are responsible for developing and implementing the management coordination mechanisms for the enterprise. We also met with representatives from the intelligence programs of USCIS, the U.S. Coast Guard, CBP, ICE, and TSA to discuss the coordination mechanisms established by DHS.

Additionally, to address in the first objective whether overlap or duplication exists in the analytic activities of the DHS Intelligence Enterprise, we analyzed all 21 products written by I&A, CBP, and ICE where these three organizations shared responsibility to answer questions in the 2012 POA in support of DHS's border security mission. We selected the 2012 POA because it was the most recent available when we began this analysis. We selected this mission area for our analysis because this departmental mission contained contributions from the largest number of DHS intelligence components, and chose I&A, CBP, and ICE products to review because these three entities had the greatest number of key intelligence questions assigned to them within the border security mission area. By reviewing only one mission area, we cannot determine if there was duplication in other areas, but our findings support statements from intelligence officials in both I&A and the

operational components that the content of their products differs because of their unique missions and primary customer sets and, therefore the products are not duplicative, even when they cover the same broad topical area.

Within the DHS mission area of securing the border, we requested an inventory of finished intelligence products for fiscal year 2012 from I&A, CBP, and ICE—the three entities with the greatest number of key intelligence questions assigned to them in this topic area. Products written in 2012 were chosen because this was the most recent complete available to us at the time of this analysis. According to an analysis of these product inventories, we identified six key intelligence questions in which I&A and either ICE or CBP both generated finished intelligence products. In support of these six key intelligence questions, I&A, ICE, and CBP generated a total of 21 finished intelligence products—15 authored by I&A, 4 by ICE, and 2 by CBP. We analyzed these 21 products to determine the extent to which duplication existed by comparing the topics, sources, and customers of these products.

To address the second objective, we met with I&A staff from the Production Management Division to determine how I&A develops, administers, and analyzes feedback surveys included with all I&A finished intelligence products, as well as to discuss the efforts I&A had in place through February 2014 to improve customer satisfaction. We then analyzed the results of the feedback surveys that were included with all fiscal year 2012 I&A finished analytic products to determine what readers of these products thought about the quality and usefulness of them. We also met with representatives from four of the five I&A customer groups: DHS components; the Intelligence Community; state, local, tribal, and territorial governments; and the private sector. While we did not meet with representatives from DHS leadership, we did meet with representatives of the I&A unit that briefs leadership. Specifically, we met with representatives from the intelligence programs of the DHS components for which intelligence analysis is a core function in supporting their missions and operations—USCIS, the U.S. Coast Guard, CBP, ICE, and TSA—to discuss the extent to which these organizations find I&A analysis relevant and useful. We met with staff from the Office of the Director of National Intelligence—the office that administers the overall efforts of the Intelligence Community—to discuss their review of the quality of I&A analytic products, as well as the usefulness of these products to the Intelligence Community. We met with DHS and state and local government agency staff members working at 7 of 78 state and major urban area fusion centers—centers that serve as primary focal points

within the state and local environments for the receipt, analysis, gathering, and sharing of threat-related information among federal, state, local, tribal, and territorial homeland security partners. The fusion centers we met with were (1) the Arizona Counter Terrorism Information Center, (2) El Paso (Texas) Fusion Center (no DHS staff were located in the El Paso Fusion Center at the time of our discussion), (3) Montana All Threat Intelligence Center, (4) New York State Intelligence Center, (5) San Diego (California) Law Enforcement Coordination Center, (6) Texas Fusion Center in Austin, and (7) the Washington State Fusion Center. These fusion centers comprised 4 of the 6 centers we considered southwest border fusion centers and 3 of the 11 northern border fusion centers. We selected each center to provide access to a range of state-level users of I&A analytic products with an emphasis on border issues because of our examination of potential overlap or duplication related to DHS components' intelligence analysis reporting on border issues. While information we obtained at these locations cannot be generalized across all fusion centers because we selected these locations based on the diversity of participation in the POA and geographic locations along the southwest and northern border, the units we visited provided us with an overview of users' perspectives on the usefulness and relevance of I&A analytic products. We also met with representatives of the Partnership for Critical Infrastructure Security (PCIS), the National Council of Information Sharing and Analysis Centers (ISAC),<sup>1</sup> and individual representatives from the Transportation and Commercial Facilities critical infrastructure sectors to determine how the private sector views the analytic services

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<sup>1</sup>ISACs are entities established by critical infrastructure key resource owners and operators to provide comprehensive sector analysis, which is shared within the sector, with other sectors, and with government.

provided by I&A.<sup>2</sup> We compared I&A's efforts against criteria in the Standards for Internal Control in the Federal Government that note the importance for management to communicate to, and obtain information from, both internal and external stakeholders that may have a significant impact on the organization's ability to achieve its goals and utilize resources effectively and efficiently.<sup>3</sup>

For objective two, we also reviewed the standards by which I&A's products are judged. To do so we reviewed I&A Policy Directive 900.2-*Producing Finished Intelligence* (July 15, 2011), I&A Policy Directive 900.4-*I&A Joint Production with State and Major Urban Area Fusion Centers* (August 31, 2011), I&A Policy Instruction IA-901 *DHS Intelligence and Analysis Review and Clearance of Analytic Products Disseminated Outside the Federal Government*, I&A memos including Fiscal Year 2013 and Fiscal Year 2014 DHS Intelligence Enterprise Programmatic Guidance; and ODNI Intelligence Community Directive 203, *Analytic Standards* (June 21, 2007). To obtain a general view of the quality of these products, we reviewed the 2009, 2010, 2011, and 2012 DHS *Report to Congress on Voluntary Feedback from State, Local, Tribal, and Private Sector Consumers*; I&A's fiscal year 2011 *Customer Feedback Report* and the September 2012 *Production Performance Report* that includes monthly production and feedback information.

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<sup>2</sup>We met with representatives from 5 of the 17 critical infrastructure sector committees of PCIS and 6 of the 16 information sharing and analysis center members of the National Council of ISACs in group meetings. All of the representatives at the PCIS meeting met with us at the conclusion of their meeting. Additionally, of the 9 representatives who attended the National Council of ISACs meeting, 6 individuals volunteered to meet with us at the conclusion of the meeting. The individuals at the PCIS meeting represented the (1) Communications Sector Committee, (2) Defense Industrial Base Sector Committee, (3) Energy Sector Committee, (4) Financial Services Sector Committee, and (5) Transportation Sector Committee. The individuals who spoke with us at the conclusion of the National Council of ISACs meeting represented the (1) Financial Services ISAC, (2) Information Technology ISAC, (3) Highway and Motor Carrier ISAC, (4) Public Health ISAC, (5) Real Estate ISAC, and (6) Water ISAC. In addition, DHS officials from the National Protection and Programs Directorate referred us to two additional private sector officials from the PCIS Commercial Facilities Sector Committee and the Transportation Sector Committee whom we met with in separate meetings. Information we obtained at these meetings cannot be generalized across all private critical infrastructure sectors because we did not meet with associations representing all such sectors. These meetings, however, provided us with an overview of users' perspectives on the usefulness and relevance of I&A analytic products.

<sup>3</sup>GAO, *Standards for Internal Control in the Federal Government*, [GAO/AIMD-00-21.3.1](#) (Washington, D.C.: Nov., 1999).



For the third objective, we reviewed the U.S. Office of Personnel Management Position Classification Standard Flysheet for Intelligence Series GS-0132 June 1960, the classification standard in effect as of December 2013, and the I&A Human Capital Standard Operating Procedures to obtain basic information about personnel standards and operations at I&A. To determine the challenges I&A experienced maintaining a skilled workforce, we reviewed correspondence between I&A and the Office of the Director of National Intelligence related to obtaining excepted service hiring (November 2012-June 2013) and I&A-reported data on personnel attrition. To obtain information on intelligence analyst hiring needs and practices, we reviewed the I&A memo on career ladder decision and hiring standards (November 2012), the *DHS Competency Assessment Pilot* frequently asked questions and presentation, and the I&A Recruitment Strategy (January 2010). To determine I&A training and development practices and needs we reviewed the Fiscal Year 2013 *Intelligence Training Academy Catalog*, *DHS Intelligence Learning Roadmap for Analysts* (September 2012), and the *Analysis 101/BITAC Study Report* comparing two alternative introductory courses for intelligence analysts prepared for I&A by Booz Allen and SAIC (November 2008). We also reviewed the DHS Human Resources, Performance Management Program (December 2008), and I&A performance competencies to determine I&A's performance management practices. We then compared I&A's work force planning activities with those enumerated in DHS's *Workforce Planning Guide* (November 2012), the DHS document that outlines the process for workforce planning at DHS. We also met with representatives from I&A's human capital office, training branch, mission support office, and the acting Chief of Staff to discuss human capital recruitment, hiring, training, and evaluation practices and procedures.

We conducted this performance audit from August 2012 to May 2014 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 the evidence obtained provides a reasonable basis for our findings and conclusions based on our audit objectives.

# Appendix IV: Analysis of Fragmentation, Overlap, and Duplication in DHS Components' Intelligence Analysis

Appendix IV provides additional information about our analysis of fragmentation, overlap, and duplication in DHS components' intelligence analysis activities. The intelligence analysis activities within DHS are inherently fragmented, as multiple DHS components conduct intelligence analysis in support of the same broad intelligence topics. However, on the basis of our case study in the area of border security, we did not find evidence of unnecessary overlap or duplication among the activities. DHS intelligence entities said that implementing the mechanisms to date has helped them to minimize such overlap and duplication.

## Analysis Activities are Inherently Fragmented

The intelligence analysis activities of the enterprise are inherently fragmented, as multiple DHS components conduct intelligence analysis in support of shared departmental goals. As articulated in the fiscal year 2012 DHS Intelligence Enterprise Program of Analysis, three to five DHS intelligence components planned to provide intelligence analysis products in support of each departmental goal in fiscal year 2012. For example, as shown in table 1, five components planned to support the departmental goal of Securing and Managing Our Borders through their fiscal year 2012 intelligence analysis activities.

**Table 1: DHS Intelligence Enterprise Planned Contributions to DHS Mission Goals, as Outlined in the Fiscal Year 2012 DHS Intelligence Enterprise Program of Analysis**

DHS goal <sup>b</sup>	DHS Intelligence Enterprise Analytic Contributions <sup>a</sup>					
	Office of Intelligence and Analysis	U.S. Customs and Border Protection	U.S. Immigration and Customs Enforcement	Transportation Security Administration	U.S. Coast Guard	U.S. Citizenship and Immigration Service
Preventing Terrorism and Enhancing Security	✓		✓	✓	✓	
Securing and Managing Our Borders	✓	✓	✓	✓	✓	
Enforcing and Administering Our Immigration Laws		✓	✓		✓	✓
Safeguarding and Securing Cyberspace	✓			✓	✓	
Ensuring Resilience to Disasters	✓		✓		✓	✓

Source: GAO analysis of fiscal year 2012 DHS Intelligence Enterprise Program of Analysis. | GAO-14-397

<sup>a</sup>DHS components may conduct additional intelligence analysis activities beyond those reflected in the Program of Analysis. Accordingly, the chart may under represent the true intelligence analysis contributions of DHS components to the various DHS mission goals.

**Appendix IV: Analysis of Fragmentation, Overlap, and Duplication in DHS Components' Intelligence Analysis**

<sup>b</sup>DHS goals as outlined in the 2010 Quadrennial Homeland Security Review.

Although this creates fragmentation, each entity is providing distinct perspectives because of its unique missions and primary customer sets. As shown in table 2, I&A focuses on threats to the homeland in general, whereas the operational components—such as CBP, ICE, and TSA—each focus more narrowly on supporting their unique operational missions through intelligence analysis. Further, DHS intelligence officials report that the primary customers of I&A are DHS leadership and state and local partners, whereas the primary customers of the operational components are generally internal component customers.

**Table 2: Missions and Customers of DHS Intelligence Analysis Entities**

DHS intelligence analysis entity	Mission	Primary customers of intelligence analysis	Secondary customers of intelligence analysis
I&A Office of Analysis <sup>a</sup>	Provide timely, accurate, and relevant all-source intelligence analysis of threats to the homeland and homeland security operations.	<ul style="list-style-type: none"> <li>DHS departmental leadership</li> <li>State, local, tribal, and territorial partners</li> </ul>	<ul style="list-style-type: none"> <li>DHS components</li> <li>Intelligence Community</li> <li>Private sector</li> <li>Federal departments and agencies</li> </ul>
CBP Office of Intelligence and Investigative Liaison, Analysis Division	Analyze, produce and disseminate tactical and strategic intelligence products in support of CBP's missions	<ul style="list-style-type: none"> <li>CBP frontline officers</li> <li>CBP national, regional, and local offices.</li> </ul>	<ul style="list-style-type: none"> <li>External law enforcement, including state and local partners</li> <li>Intelligence Community</li> </ul>
ICE Homeland Security Investigations, Office of Intelligence, Analysis Division	Conduct complex strategic-level analysis using all-source information to positively affect ICE's worldwide investigations and operations	<ul style="list-style-type: none"> <li>ICE</li> <li>DHS leadership</li> </ul>	<ul style="list-style-type: none"> <li>Other DHS elements</li> <li>Intelligence Community</li> <li>Domestic and international law enforcement partners</li> </ul>
TSA Office of Intelligence and Analysis <sup>b</sup>	Receive, assess, and distribute actionable intelligence and vetting information related to transportation security to arm security professionals with timely and relevant information needed to prevent/mitigate threats to transportation	<ul style="list-style-type: none"> <li>TSA leadership</li> <li>TSA field personnel</li> <li>Industry stakeholders</li> </ul>	<ul style="list-style-type: none"> <li>DHS leadership</li> <li>DHS components</li> <li>Intelligence Community</li> <li>Federal partners</li> <li>Congress</li> <li>State, local, tribal, and territorial partners</li> </ul>
United States Coast Guard <sup>c</sup>	To provide objective, thorough, accurate, timely, usable, relevant intelligence about the maritime domain; potential threats; and adversaries' capabilities, limitations, and intentions	<ul style="list-style-type: none"> <li>U.S. Coast Guard leadership</li> <li>U.S. Coast Guard field personnel</li> </ul>	<ul style="list-style-type: none"> <li>Intelligence Community</li> <li>Canadian government</li> <li>State and local fusion centers</li> </ul>
USCIS Fraud Detection and National Security Directorate Intelligence Division	Manage the analysis, production, and dissemination of USCIS immigration-related intelligence and information products	<ul style="list-style-type: none"> <li>USCIS Immigration officers</li> <li>USCIS managers and executives</li> </ul>	<ul style="list-style-type: none"> <li>Intelligence Community</li> <li>Other DHS components</li> <li>Law enforcement agencies</li> </ul>

Source: GAO analysis of component-provided information. | GAO-14-397

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<sup>a</sup>Several divisions within I&A's Office of Analysis conduct intelligence analysis activities, including the Border Security Division, the Homeland Counterterrorism Division, and the Cyber Division.

<sup>b</sup>Several divisions within TSA's Office of Intelligence and Analysis conduct intelligence analysis activities, including the Intelligence Analysis Division, the Vetting Operations Division, and the Current Operations Division.

<sup>c</sup>Several entities within the U.S. Coast Guard conduct intelligence analysis activities, including the Intelligence Coordination Center, Maritime Intelligence Fusion Centers, Coast Guard Counterintelligence Service, and Area Intelligence Staff.

Despite distinct missions and primary customer sets, some overlap does exist in the secondary customers that the six DHS intelligence entities serve. For example, as shown in table 2, all six entities reported serving the Intelligence Community, and three entities reported serving state and local partners as part of their secondary customer sets. In some cases, it may be appropriate for multiple entities to be involved in the same programmatic or policy area because of the nature or magnitude of the federal efforts. For example, having multiple DHS entities contributing intelligence analysis to shared departmental goals and serving overlapping customers can be beneficial, as it provides a mechanism to share and validate information and to facilitate complementary analysis. However, fragmentation and overlap may create inefficiencies if customers are burdened with too much information or if entities are inefficiently using resources to develop duplicate products.

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## **Our Analysis Showed No Unnecessary Overlap or Duplication among Select Products, and Customers We Interviewed Agreed**

We did not find evidence to suggest that DHS customers were being burdened with too much information or that DHS resources were being used to develop products that unnecessarily overlapped or were duplicative. Specifically, senior intelligence officials from all seven fusion centers we contacted said that they had not experienced any instances of unnecessary overlap or duplication in the border security–related intelligence products they received from various DHS components. Further, we did not find any duplicative products among those we reviewed in the area of border security that were generated by different components. We did identify one instance of overlap where two DHS components provided similar information to similar customers in different products, but the information was packaged differently such that the products were not duplicative. Specifically, we identified one instance where I&A and ICE each wrote an intelligence product on a similar topic—human smuggling—and for similar customers—DHS leadership and the Intelligence Community. Both products discussed the relationship between permissive visa policies and the potential for exploitation by human-smuggling networks. Further, both products specifically identified one particular country as susceptible to exploitation from human smugglers due at least in part because of its permissive visa policies.

However, we determined that the overlapping information was presented in a different context in each product. Specifically, the I&A product provided a summary graphic depicting the visa permissiveness level of each country within a particular region of the world. This provided its customers with a snapshot of countries with permissive visa policies and a warning that these countries may be more susceptible to exploitation from human smugglers than others. This graphic was presented as part of I&A's Border Security Monitor—a quarterly compilation of relevant border security intelligence analysis from throughout the enterprise. Alternatively, the ICE product was a broader assessment of the factors that make certain locations vulnerable to exploitation from human smuggling networks. Accordingly, the ICE product provided an analysis of the reasons that the specifically identified country may be vulnerable to human smuggling, identifying its visa permissiveness policy as just one contributing factor.

While our results cannot be generalized beyond the border security mission area, our findings support statements from intelligence officials in both I&A and the operational components that the content of their products differs because of their unique missions and primary customer sets and, therefore, are not duplicative, even when the products cover the same broad topical area.

# Appendix V: Comments from the Department of Homeland Security

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



**Homeland  
Security**

May 14, 2014

Eileen R. Larence  
Director, Homeland Security and Justice  
U.S. Government Accountability Office  
441 G Street, NW  
Washington, DC 20548

Re: Draft Report GAO-14-397SU, "DHS INTELLIGENCE ANALYSIS: Additional Actions Needed to Address Analytic Priorities and Workforce Challenges"

Dear Ms. Larence:

Thank you for the opportunity to review and comment on this draft report. The U.S. Department of Homeland Security (DHS) appreciates the U.S. Government Accountability Office's (GAO) work in conducting its review and issuing this report.

The Department is pleased to note that GAO found DHS' coordination mechanisms have avoided unnecessary duplication. Additionally, GAO found that the Office of Intelligence and Analysis (I&A) is taking steps to identify the analytic products and services that best meet its customers needs, and address challenges related to recruiting, hiring, and professional development. I&A will continue to take actions to ensure that intelligence analysis activities throughout the enterprise align to an integrated set of intelligence priorities, along with ensuring that critical skills and competencies are maintained in I&A's workforce.

The draft report contained three recommendations, with which the Department concurs. Specifically, GAO recommended that the Secretary of Homeland Security:

**Recommendation 1:** Establish strategic departmental intelligence priorities in the Homeland Security Intelligence Priorities Framework that can be used to guide annual enterprise planning efforts, including intelligence analysis and resource management.

**Response:** Concur. Based in part on GAO's work, I&A's Office of Plans, Policies and Performance Management in collaboration with I&A's Office of Analysis, Office of Enterprise Management Support, and the State and Local Program Office, and the leadership of the DHS Component Intelligence Organizations has revised its approach to developing strategic departmental intelligence priorities. In January 2014, an Intelligence Enterprise (IE)-wide focus group developed the Homeland Security Intelligence Priorities Framework (HSIPF) for 2014. The HSIPF was approved by the Homeland Security Intelligence Council on April 9, 2014. I&A will coordinate future refinements to the methodology with the IE prior to the beginning of the 2015 priorities process. We believe these actions satisfactorily address the intent of this recommendation; therefore request that

GAO consider this recommendation resolved and closed. Classified supporting documentation has been provided under separate cover for GAO review.

**Recommendation 2:** Ensure that once strategic departmental intelligence priorities are established, the Framework is used to inform the planned analytic activities of the DHS Intelligence Enterprise, as articulated in the Program of Analysis.

**Response:** Concur. The strategic intelligence priorities established in the 2014 HSIPF will inform the development of the Fiscal Year (FY) 2015 Program of Analysis (POA), which will begin later this month. As the draft report indicates, the revised planning process for the FY 2014 POA – which focused on the development of a small, strategic set of intelligence questions of common interest to the DHS Intelligence Enterprise (IE) as a whole – provided improved opportunities to coordinate and reduce redundancy on analytic production across the DHS IE. In addition to the new priorities framework, the 2015 POA will be informed by updated Intelligence Community-wide guidance from the Director of National Intelligence pertaining both to the development of the POA, and Key Intelligence Questions, and lessons learned from last year’s development process. The new HSIPF contains common definitions and prioritization for each of the intelligence topics to be considered in the development of Enterprise-wide Key Intelligence Questions in the FY 2015 POA. Estimated Completion Date (ECD): December 31, 2014.

**Recommendation 3:** Establish mechanisms to monitor and evaluate workforce initiatives and use results to determine any needed changes.

**Response:** Concur. I&A Office of Plans, Policies and Performance is developing specific performance indicators to monitor and evaluate workforce initiatives. As an example, reduced attrition and the rate at which I&A keeps its authorized billets filled are excellent indicators of success. Annualized attrition for I&A has decreased from just over 12% in FY 2013, to 7% for FY 2014; and, for FY 2014 through April, I&A has filled its authorized positions at a rate of over 97%, an increase of 2% over FY 2013. A complete set of measures will be developed by the end of the fiscal year. ECD: September 30, 2014.

Again, thank you for the opportunity to review and comment on this draft report. Technical comments were previously provided under separate cover. Please feel free to contact me if you have any questions. We look forward to working with you in the future.

Sincerely,



Jim H. Crumpacker, CIA, CFE  
Director  
Departmental GAO-OIG Liaison Office

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# Appendix VI: GAO Contact and Staff Acknowledgments

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## GAO Contact

Eileen R. Larence, (202) 512-8777 or [larencee@gao.gov](mailto:larencee@gao.gov).

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## Staff Acknowledgments

In addition to the contact named above, Eric Erdman (Assistant Director), Jonathan Bachman, Katherine Davis, Michele Fejfar, Michael Harmond, Eric Hauswirth, Katherine Lee, Thomas Lombardi, Bintou Njie, and Anthony Pordes made significant contributions to this report.



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