



September 2013

COMBATING TERRORISM

DHS Should Take Action to Better Ensure Resources Abroad Align with Priorities

GAO Highlights

Highlights of [GAO-13-681](#), a report to congressional requesters

Why GAO Did This Study

Combating terrorism is a government-wide effort, to which DHS contributes. In such efforts abroad, DHS partners with the Department of State (State)—the lead agency at U.S. missions. DHS deploys resources abroad to carry out programs and build capacity within its areas of expertise—border, maritime, aviation, and cyber security; immigration; and law enforcement.

GAO was asked to examine DHS's efforts abroad to combat terrorism. This report answers the following questions: (1) What programs, activities, and resources does DHS have abroad to help combat terrorism? (2) How, if at all, has DHS contributed to U.S. missions and what, if any, factors have affected contributions? (3) To what extent has DHS aligned resource use abroad with strategic priorities?

GAO analyzed DHS expenditures for fiscal years 2008-2012, personnel data for May 2013 and documents, such as national strategies and management directives. GAO also interviewed DHS and State officials in headquarters and 10 countries, selected on the basis of factors such as the size of DHS's presence. The results from site visits cannot be generalized but provided insights. GAO also surveyed DHS and State personnel in all 57 U.S. missions where DHS has a presence.

What GAO Recommends

GAO recommends that DHS establish (1) department-wide strategic priorities, (2) an institutionalized mechanism to review resource alignment abroad, and (3) a method to collect reliable and comparable cost data for resources abroad. DHS concurred with these recommendations.

View [GAO-13-681](#). For more information, contact David Maurer at (202) 512-9627 MaurerD@gao.gov or Charles Michael Johnson, Jr. at (202) 512-7331 JohnsonCM@gao.gov.

September 2013

COMBATING TERRORISM

DHS Should Take Action to Better Ensure Resources Abroad Align with Priorities

What GAO Found

The Department of Homeland Security (DHS) carries out a variety of programs and activities abroad within its areas of expertise that could have the effect of thwarting terrorists and their plots while also combating other categories of transnational crime, and DHS expended approximately \$451 million on programs and activities abroad in fiscal year 2012. For example, through the Visa Security Program, DHS has deployed personnel abroad to help prevent the issuance of visas to people who might pose a threat. As of May 2013, DHS has stationed about 1,800 employees in almost 80 countries to conduct these and other activities. In addition, DHS has delivered training and technical assistance in areas such as border and aviation security to officials from about 180 countries to enhance partner nations' security capacities.

GAO identified five types of contributions DHS has made to U.S. missions (e.g., embassies and consulates), 12 factors that support DHS's ability to contribute, and a range of challenges and impacts related to DHS contributions. On the basis of surveys of DHS and State officials abroad, GAO found that DHS has significantly or moderately contributed to combating terrorism goals for each of the types of contributions GAO identified, including building relationships, identifying threats, and sharing information. The factors GAO identified that facilitated DHS's ability to contribute fell into two general categories: (1) facilitating a collaborative climate and (2) leveraging resources and clarifying roles and responsibilities. GAO also identified a variety of challenges, including DHS domestic management effectively coordinating with personnel abroad and partners at U.S. missions understanding of DHS's role. Fewer than half of respondents identified any challenge as moderate or significant. For impacts arising from these challenges, less than one-third of respondents identified them as causing a significant or moderate impact.

DHS has taken actions to increase organizational and programmatic alignment, but has not established mechanisms to ensure that resource use abroad aligns with department-wide and government-wide strategic priorities. DHS has a stated objective to improve alignment across the department, and *Standards for Internal Control in the Federal Government* calls for agencies to implement mechanisms to help ensure achievement of their objectives. Although DHS conducted a one-time review of the department's international footprint and created a department-wide international engagement plan, DHS has not established mechanisms to help ensure that decisions to deploy resources abroad—which are made at the individual component level—align with department-wide and government-wide strategic priorities. Specifically, DHS (1) has not established department-wide strategic priorities for international engagement, such as specific types of activities or target regions to further combating terrorism goals; (2) does not have a mechanism for monitoring alignment between resource deployment abroad and strategic priorities; and (3) does not have reliable, comparable cost data for its programs and activities abroad and has not established a standardized framework to capture these data. Strategic priorities, a mechanism to routinely monitor alignment between strategic priorities and resource deployment abroad, and reliable cost data could provide DHS with critical information to make informed resource deployment decisions and help achieve its objective to improve organizational alignment across components.

Contents

Letter		1
	Background	6
	DHS Conducts Mission Activities and Capacity Building Abroad That Can Help Combat Terrorism	11
	DHS and State Identified Five Key DHS Contributions to U.S. Missions and Multiple Factors and Challenges That Affected Contributions	21
	DHS Has Acted to Enhance Department-wide Alignment, but Could Have Better Assurance That Resources Abroad Support Highest Priorities	32
	Conclusions	38
	Recommendations for Executive Action	39
	Agency Comments and Our Evaluation	39
Appendix I	Objectives, Scope, and Methodology	42
Appendix II	Training or Technical Assistance and Expenditure Data for Figures 1 and 3	50
Appendix III	Elements of Expenditures Included in Data for Expenditures Abroad by Component	61
Appendix IV	Complete Survey Results for Contributions, Challenges, and Impacts	62
Appendix V	Comments from the Department of Homeland Security	69
Appendix VI	GAO Contacts and Staff Acknowledgments	71

Tables

Table 1: Examples of Department of Homeland Security Component Mission Responsibilities Related to Combating Terrorism Abroad	7
Table 2: Department of Homeland Security (DHS) Programs and Activities Abroad That Can Help Combat Terrorism	11
Table 3: Training or Technical Assistance That Can Help Combat Terrorism from Department of Homeland Security (DHS) Components within Our Review	15
Table 4: Full-Time-Equivalent Employees (FTE) Abroad for Department of Homeland Security (DHS) Office of International Affairs and Components within Our Review, by Component, May 2013	20
Table 5: Data for Figure 1, Countries Participating in Department of Homeland Security (DHS) Training or Technical Assistance that Can Help Combat Terrorism in Fiscal Year 2012	50
Table 6: Expenditure Data for Figure 3, Expenditures Abroad in Fiscal Year 2012 and Full-Time-Equivalent Employees (FTE) Abroad in May 2013 for Department of Homeland Security (DHS) Office of International Affairs (OIA) and Components within Our Review	55
Table 7: Full-Time-Equivalent Employee (FTE) Data for Figure 3, Expenditures Abroad in Fiscal Year 2012 and FTEs Abroad in May 2013 for Department of Homeland Security (DHS) Office of International Affairs and Components within Our Review	58

Figures

Figure 1: Countries Participating in Training or Technical Assistance That Can Help Combat Terrorism from Department of Homeland Security (DHS) Components within Our Review, Fiscal Year 2012	14
Figure 2: Expenditures Abroad from Department of Homeland Security (DHS) Office of International Affairs and Components within Our Review, Fiscal Years 2008 through 2012	17
Figure 3: Expenditures Abroad in Fiscal Year 2012 and Full-Time-Equivalent Employees (FTE) Abroad in May 2013 for	

	Department of Homeland Security (DHS) Office of International Affairs and Components within Our Review	19
Figure 4:	Types of Contributions the Department of Homeland Security (DHS) Has Made to U.S. Diplomatic Missions in the Last 24 Months, In Order of Frequency of Deputy Chiefs of Mission Responding That DHS Has Made a Significant or Moderate Contribution	22
Figure 5:	Factors That Can Facilitate the Department of Homeland Security Contributions to U.S. Diplomatic Missions' Combating Terrorism Efforts, in Order of Frequency of Deputy Chiefs of Mission Indicating Them as Very Important	24
Figure 6:	Factors That Can Facilitate the Department of Homeland Security (DHS) Contributions to U.S. Diplomatic Missions' Combating Terrorism Efforts, in Order of Frequency of DHS Attachés Indicating Them as Very Important	25
Figure 7:	Challenges Most Frequently Identified by Deputy Chiefs of Mission as Presenting Some Level of Challenge to the Department of Homeland Security's (DHS) Ability to Contribute Its Knowledge and Skills to Combating Terrorism Goals	29
Figure 8:	Challenges Most Frequently Identified by Department of Homeland Security (DHS) Attachés as Presenting Some Level of Challenge to DHS's Ability to Contribute Its Knowledge and Skills to Combating Terrorism Goals	29
Figure 9:	Impact as a Result of Challenges on Department of Homeland Security's (DHS) Contributions to U.S. Government-wide Combating Terrorism Goals, Ranked by Frequency of Deputy Chiefs of Mission Reporting Some Level of Impact	31
Figure 10:	Impact as a Result of Challenges on Department of Homeland Security's (DHS) Contributions to U.S. Government-wide Combating Terrorism Goals, Ranked by Frequency of DHS Attachés Reporting Some Level of Impact	32
Figure 11:	Types of Contributions the Department of Homeland Security (DHS) as Made to U.S. Diplomatic Missions in the Last 24 Months, In Order of Frequency of Deputy Chiefs of Mission Responding That DHS Has Made a Significant or Moderate Contribution	62
Figure 12:	Types of Contributions the Department of Homeland Security (DHS) Has Made to U.S. Diplomatic Missions in	

	the Last 24 Months, In Order of Frequency of DHS Attachés Responding that DHS Has Made a Significant or Moderate Contribution	63
Figure 13:	Challenges to the Department of Homeland Security’s (DHS) Ability to Contribute Its Knowledge and Skills to Combating Terrorism Goals, Ranked by Frequency of Deputy Chiefs of Mission Reporting Some Level of Challenge	64
Figure 14:	Challenges to the Department of Homeland Security’s (DHS) Ability to Contribute Its Knowledge and Skills to Combating Terrorism Goals, Ranked by Frequency of DHS Attachés Reporting Some Level of Challenge	66
Figure 15:	Impacts as a Result of Challenges on the Department of Homeland Security’s (DHS) Contributions to U.S. Government-wide Combating Terrorism Goals, Ranked by Frequency of Deputy Chiefs of Mission Reporting Some Level of Impact	67
Figure 16:	Impacts as a Result of Challenges on the Department of Homeland Security’s (DHS) Contributions to U.S. Government-wide Combating Terrorism Goals, Ranked by Frequency of DHS Attachés Reporting Some Level of Impact	68

Abbreviations

CBP	U.S. Customs and Border Protection
CSCS	Capital Security Cost-Sharing Program
DCM	deputy chief of mission
DHS	Department of Homeland Security
FTE	Full-Time-Equivalent Employee
ICE	U.S. Immigration and Customs Enforcement
ICS	Integrated Country Strategy
ICASS	International Cooperative Administrative Support Services
MRR	Mission Resource Request
OIA	Office of International Affairs
QHSR	<i>Quadrennial Homeland Security Review</i>
TSA	Transportation Security Administration
USCG	United States Coast Guard
USCIS	U.S. Citizenship and Immigration Services
USSS	United States Secret Service

This is a work of the U.S. government and is not subject to copyright protection in the United States. The published product may be reproduced and distributed in its entirety without further permission from GAO. However, because this work may contain copyrighted images or other material, permission from the copyright holder may be necessary if you wish to reproduce this material separately.



September 25, 2013

The Honorable Michael T. 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

The Honorable Peter T. King
Chairman
Subcommittee on Counterterrorism
and Intelligence
Committee on Homeland Security
House of Representatives

Combating Terrorism

There is no common definition for combating terrorism throughout the homeland security and national security enterprises. For the purpose of this report, the term *combating terrorism* is used to refer to any action that may have the effect of thwarting terrorists and their plots, whether designed specifically for that purpose or not. In the DHS context, this typically involves bringing to bear a range of knowledge, skills, and authorities related to border, maritime, and aviation security; immigration; and law enforcement, among others, to limit the movement of people who present a threat to the homeland and the money, information, and goods used to carry out terrorist and other transnational criminal agendas.

Source: GAO analysis of DHS missions.

The *National Strategy for Counterterrorism* calls for a rapid, coordinated, and effective effort that uses the resources of the entire government to mitigate threats to national and homeland security.¹ The Department of Homeland Security (DHS)—with its specific knowledge and skills in border, maritime, and aviation security; immigration; and law enforcement, among other areas—contributes to the U.S. government’s efforts to combat terrorism. In pursuit of this objective, DHS seeks to identify security vulnerabilities and interdict threats at the earliest possible point with the aim of making the nation’s physical borders the last, not the first, line of defense.

¹The *National Strategy for Counterterrorism* supports the *National Security Strategy*, which lays out an approach for advancing American interests, including the security of the American people. The *National Strategy for Counterterrorism* sets out the approach to one of the President’s top national security priorities—disrupting, dismantling, and eventually defeating al-Qaeda and its affiliates and adherents. It also acknowledges the need to counter other transnational terrorist networks. See White House, *National Strategy for Counterterrorism* (Washington D.C.: June 2011) and White House, *National Security Strategy* (Washington D.C.: May 2010).

The Department of State (State) leads U.S. diplomatic efforts and has established U.S. missions (e.g., embassies and consulates) in foreign nations.² One aim of these U.S. missions is to enhance national security by strengthening the relationship between the United States and other nations. State—through the U.S. missions—coordinates most U.S. international efforts. Therefore, U.S. missions are uniquely positioned to provide leadership, resources, and knowledge to U.S. efforts to combat terrorism, in collaboration with various other U.S. government agencies working abroad, including DHS, as well as with foreign partners.

One current priority of DHS leadership is better aligning its efforts across the department with the aim of strengthening effectiveness, improving decision making to address shared issues— such as managing international affairs and combating terrorism —and prioritizing resource use in an era of fiscal constraint. In this context, you asked us to examine DHS’s efforts to combat terrorism abroad and how DHS’s resource use abroad aligns with other U.S. efforts, including those carried out by U.S. missions. This report answers the following questions:

1. What programs, activities, and resources does DHS have abroad to help combat terrorism?
2. How, if at all, has DHS contributed to U.S. missions’ efforts to combat terrorism, and what factors, if any, have facilitated or hampered those contributions?
3. To what extent has DHS taken action to align its resource use abroad with departmental and government-wide strategic priorities?

To address our questions, we reviewed key government-wide strategies related to combating terrorism, including the May 2010 *National Security Strategy* and the June 2011 *National Strategy for Counterterrorism*. We reviewed documentation such as DHS’s *Quadrennial Homeland Security Review* (QHSR) and DHS component documentation describing goals,

²The State Department operates more than 270 diplomatic offices—embassies, consulates, and other diplomatic posts—worldwide to support the achievement of U.S. foreign policy goals and objectives, advance national interests, and enhance national security by informing and influencing foreign publics and by expanding and strengthening the relationship between the people and government of the United States and citizens of the rest of the world. For the purposes of this report, a U.S. mission refers to the entire diplomatic representation in a given country, including the embassy, as well as all other diplomatic offices, staff, and assets.

objectives, and operations for DHS programs abroad.³ We also interviewed officials with responsibility for programs and activities abroad in DHS and component headquarters offices for the six operational components that have missions related to combating terrorism—U.S. Customs and Border Protection (CBP), U.S. Immigration and Customs Enforcement (ICE), Transportation Security Administration (TSA), U.S. Citizenship and Immigration Services (USCIS), U.S. Coast Guard (USCG), and U.S. Secret Service (USSS). In addition, we interviewed officials in DHS’s Office of International Affairs (OIA) and DHS’s Office of Policy-Counterterrorism division, who have department-level responsibilities for DHS’s deployments abroad and counterterrorism policy, respectively. We reviewed documentation about State programs and activities on which DHS collaborates and interviewed officials in Department of State Bureaus for Counterterrorism, Diplomatic Security, and Consular Affairs, because DHS coordinates and collaborates with them in its activities abroad. We also reviewed our prior work on specific programs related to activities DHS carries out abroad, such as container security, visa security, and foreign airport assessments.⁴ In addition, we reviewed and discussed findings with the DHS Office of Inspector General officials responsible for a 2008 report that made a number of recommendations designed to enhance DHS’s management of international affairs.⁵

To address the first question, we first developed an operational definition of combating terrorism, using information from government-wide strategy documents and from interviews with DHS officials with responsibility for programs abroad that have a nexus with counterterrorism and

³Pursuant to section 707 of the Homeland Security Act of 2002, as amended, the Secretary of Homeland Security is to conduct a review of the homeland security of the nation—referred to as a quadrennial homeland security review—beginning in fiscal year 2009 and every 4 years thereafter. See 6 U.S.C. § 347. In each quadrennial review, the Secretary of Homeland Security shall, among other things, “delineate and update, as appropriate, the national homeland security strategy,” and “outline and prioritize the full range of the critical homeland security mission areas of the [n]ation.”

⁴For example, see GAO, *Aviation Security: Actions Needed to Address Challenges and Potential Vulnerabilities Related to Securing Inbound Air Cargo*, [GAO-12-632](#) (Washington, D.C.: May 10, 2012), and *Border Security: DHS’s Visa Security Program Needs to Improve Performance Evaluation and Better Address Visa Risk Worldwide*, [GAO-11-315](#) (Washington, D.C.: Mar. 31, 2011).

⁵DHS Office of Inspector General, *Management of Department of Homeland Security International Activities and Interests*, OIG-08-71 (Washington, D.C.: June 24, 2008).

Key Mission Management and DHS Positions in U.S. Diplomatic Missions

Chief of mission: Usually called an ambassador, the chief of mission is in charge of all executive branch activities and operations and fully responsible for the direction, coordination, and supervision of all U.S. executive branch employees in the country, except those under command of a U.S. area military commander or on the staff of an international organization.

Deputy chief of mission (DCM): The second in command of a U.S. diplomatic mission is always a career Foreign Service Officer. The DCM supervises department heads within the mission, and deals with many issues pertaining to the day-to-day operation of the mission

Country team: Made up of leading federal personnel at a U.S. diplomatic mission, the country team is headed by the chief of mission. The country team generally includes the heads of all embassy sections and of each U.S. government agency in the U.S. mission, including DHS attachés, among others.

DHS attaché: This official represents DHS to host nation counterparts and foreign diplomats accredited to the host nation, and acts as the departmental interlocutor and in-country DHS representative. In many cases, the attaché's duties are in addition to other DHS component duties at the mission, and the official is informally called a dual-hat attaché.

Source: GAO analysis of Departments of State and Homeland Security documents

antiterrorism efforts. We then identified the programs and activities DHS carries out abroad that met that definition and verified the list of programs and activities with officials in DHS OIA and the six operational components in our review. Because many of DHS's missions involve carrying out the same set of activities with multifaceted purposes—such as facilitating legitimate trade and travel while countering threats to the homeland—we determined it would not be possible to isolate expenditures for combating terrorism-related activities abroad from other DHS activities abroad. Instead, we collected from each component in our review expenditures for all activities conducted abroad for fiscal years 2008 through 2012. We collected data on full-time-equivalent employees (FTE) from DHS's Overseas Personnel and Activities Locator report for May 2013, the most recent month available at the time of our work.⁶ We reviewed the expenditure and FTE data provided for reasonableness and discussed the actions taken to help ensure its reliability with knowledgeable agency officials. We determined that the expenditure and FTE data were sufficiently reliable for the purposes of presenting general information about DHS expenditures abroad and the number of FTEs by country for a specific point in time. We also collected, from each of the six operational components in our review, information on training and technical assistance activities. Because of challenges such as inconsistent data definitions, we determined that there were not sufficiently reliable and comparable data to allow us to report expenditures specific to training and technical assistance abroad, but information could be reported about the foreign nation whose officials have received the training and technical assistance.

To address the second question, we visited U.S. missions in 10 countries where one or more DHS components had FTEs stationed. We selected the locations based on a range of factors, including the nature and scope of DHS presence abroad; indicators of terrorist activities; and logistical concerns, such as security and the opportunity to leverage resources. At these locations we conducted interviews with DHS officials and State officials about the opportunities for and the quality of collaboration between DHS and other federal partners. The results from our visits to these 10 countries cannot be generalized; however, the interviews provided insights into how DHS contributes to U.S. missions' combating

⁶The Overseas Personnel and Activities Locator is maintained by DHS's Office of Operations and Coordination Planning and updated through self-reported data from the components on a monthly basis.

terrorism efforts, what is working well, and any barriers to effective contributions.

We conducted two surveys to collect information about the kinds of contributions DHS has made to U.S. missions, the factors that were important to facilitate DHS's contributions in the U.S. mission environment, challenges DHS and the U.S. missions faced facilitating DHS's contributions, and the impacts of any such challenges. We administered one survey to all DHS attachés and the other to all deputy chiefs of mission (DCM) at all U.S. missions where DHS has permanently stationed FTEs in the embassies—57 U.S. missions in total.⁷ The overall response rate to the surveys was 82 percent for DHS attachés and 72 percent for DCMs.

To address the third question, we analyzed prescriptions in the February 2010 QHSR for maturing the department. These prescriptions include improving organizational alignment—particularly among operational components—and enhancing programmatic alignment to the homeland security missions. *Standards for Internal Control in the Federal Government* calls for control activities—that is, policies, procedures, techniques, and mechanisms—to enforce management's directives.⁸ In this respect, we evaluated the extent to which DHS had control activities to help achieve the goals of organizational and programmatic alignment and efficient, effective management processes around its resource deployment abroad. To do this, we reviewed documentation, such as DHS's Management Directive describing roles and responsibilities for DHS's international affairs. In addition, we interviewed officials in OIA and the six DHS components in our review about the extent to which they undertake efforts to facilitate programmatic and organizational alignment across the set of resources and efforts DHS deploys abroad. We also interviewed officials in the Office of Counterterrorism Policy about how DHS and government-wide counterterrorism goals inform resource use decisions. For more information on our scope and methodology, see appendix I.

⁷This population excluded countries where DHS's only FTE presence was to carry out a specific programmatic activity outside of the embassies and consulates—such as CBP's Container Security Initiative, which operates out of the ports— and did not routinely participate in the country team.

⁸GAO, *Standards for Internal Control in the Federal Government*, [GAO/AIMD-00-21.3.1](#) (Washington, D.C.: November 1999).

We conducted this performance audit from October 2012 to September 2013 in accordance with generally accepted government auditing standards. Those standards require that we plan and perform the audit to obtain sufficient, appropriate evidence to provide a reasonable basis for our findings and conclusions based on our audit objectives. We believe that the evidence obtained provides a reasonable basis for our findings and conclusions based on our audit objectives.

Background

DHS's Strategic Framework and Efforts Abroad to Combat Terrorism

DHS conducts four main types of efforts abroad that can help to combat terrorism by thwarting terrorists and their plots before they reach the homeland:

- deploying programs and activities abroad—especially screening and targeting programs, along with select immigration benefit processing—to help interdict people who present a threat to the homeland and the money, information, and goods used to carry out terrorist and other transnational criminal agendas sooner in the trade, travel, and immigration cycles;
- working with and sharing information with international and federal partners to help counter terrorism and other international crime;
- working alongside foreign officials to support them in assessing their own security vulnerabilities and implementing mitigating actions; and
- helping other nations strengthen their security infrastructure by providing training and consultations, conducting assessments, or providing equipment.⁹

⁹In general, DHS does not have specific statutory authority to provide training and technical assistance abroad directly and does not receive appropriations specific to this purpose. Rather, any assistance DHS provides abroad is typically at the request of and in coordination with other federal partners such as the Department of Defense and the Department of State.

DHS's Roles and Responsibilities for Combating Terrorism and International Affairs

DHS component agencies and offices have primary responsibility for conducting activities that correspond with their particular missions, including those that help to combat terrorism.¹⁰ As shown in table 1, six operational components in our review have mission responsibilities in border, maritime, aviation, and cyber security; immigration; and law enforcement that contribute to DHS's efforts to combat terrorism. DHS components are generally responsible for making operational decisions—such as how to allocate resources, both domestically and abroad—to meet component and DHS mission needs.

Table 1: Examples of Department of Homeland Security Component Mission Responsibilities Related to Combating Terrorism Abroad

Component	Mission responsibilities related to combating terrorism abroad
U.S. Customs and Border Protection (CBP)	As the federal agency with primary responsibility for securing U.S. borders, CBP has mission responsibilities related to preventing terrorists and terrorist weapons from entering the United States.
U.S. Immigration and Customs Enforcement (ICE)	As the federal agency with primary responsibility for investigating a wide range of domestic and international activities arising from the illegal movement of people and goods into, within, and out of the United States, ICE has mission responsibilities related to combating worldwide criminal enterprises that seek to exploit the United State's legitimate trade, travel and financial systems and enforcing U.S. customs and immigration laws, regulations, and policies.
Transportation Security Administration (TSA)	As the federal agency with primary responsibility for securing U.S. transportation systems, TSA has mission responsibilities related to ensuring the security of U.S.-bound flights and trains.
U.S. Coast Guard (USCG)	As the federal agency with primary responsibility for safeguarding U.S. maritime interests and homeland security efforts in the maritime domain, USCG has mission responsibilities related to assessing the security of foreign port facilities and U.S.-bound commercial vessels, coordinating maritime information sharing efforts, and promoting domain awareness in the maritime environment. ^a
U.S. Citizenship and Immigration Services (USCIS)	As the federal agency with primary responsibility for overseeing lawful immigration to the United States, USCIS has mission responsibilities related to strengthening the security and integrity of the immigration system.

¹⁰DHS is made up of eight operational components—CBP, the Federal Emergency Management Agency, the Federal Law Enforcement Training Center, ICE, USSS, TSA, USCG, and USCIS—along with a number of headquarters offices, including, among others, the Office of Policy, which houses OIA and the Office of Counterterrorism Policy. Each of the operational components has at least some FTEs stationed abroad. However, not all carry out missions that fall within the combating terrorism definition for this report. A few of the headquarters offices, such as the National Protection and Programs Directorate, may also assign FTEs to be stationed abroad to carry out specific program objectives.

Component	Mission responsibilities related to combating terrorism abroad
U.S. Secret Service (USSS)	As the federal agency with primary responsibility for safeguarding the U.S. financial infrastructure and payment systems and for protecting U.S. leaders and high-profile events, USSS has mission responsibilities related to combating transnational criminal enterprises seeking to exploit U.S. financial institutions and operations, investigating money laundering activities, cyber-related crimes, counterfeiting of U.S. currency and obligations, as well as conducting security operations around the world.

Source: GAO analysis of agency missions

^aMaritime domain awareness is the understanding by stakeholders involved in maritime security of anything associated with the global maritime environment that could adversely affect the security, safety, economy, or environment of the United States.

DHS's counterterrorism efforts are coordinated by DHS's Counterterrorism Coordinator through its Counterterrorism Advisory Board. The board is co-chaired by the Assistant Secretary for Policy and the Undersecretary for Intelligence and Analysis and also includes component heads. According to Office of Policy officials responsible for working with the board, it meets weekly to discuss and develop plans and strategies related to counterterrorism. The Office of Policy, through the Counterterrorism Policy Office, also coordinates DHS participation in White House and interagency policy planning meetings related to counterterrorism. OIA is also a member of the Counterterrorism Advisory Board.

DHS's OIA has primary responsibility for coordinating all aspects of department international affairs, but does not have operational oversight of component activities. In August 2012, the Secretary of Homeland Security signed the DHS International Affairs Management Directive. Consistent with the Management Directive, the Assistant Secretary for International Affairs, in coordination with the heads of DHS's operational and support components, establishes strategies, plans, and appropriate activities for DHS to develop foreign partner security capabilities and international cooperative programs that align with DHS strategic planning documents.

The Secretary of Homeland Security has testified that to achieve its mission more effectively, it is important that DHS both identify and operate as "One DHS" in pursuit of its overarching homeland security missions. To that end, OIA is responsible for developing, coordinating, and executing departmental international policy, including reviewing departmental positions on international matters, negotiating agreements, developing policy and programs, interacting with foreign officials, and working with DHS personnel abroad. Although operational decision making and resource use are generally the purview of the individual

components and offices, OIA is responsible for reviewing component requests to State for international deployments.

DHS Collaboration with State and Other Federal Partners Abroad

Two White House strategies outline government-wide goals for promoting national security and combating terrorism at the highest level—the May 2010 *National Security Strategy* and the June 2011 *National Strategy for Counterterrorism*. The *National Security Strategy* articulates a strategic approach for advancing U.S. interests, including security, economy, and values. The *National Strategy for Counterterrorism* focuses more specifically on one of the *National Security Strategy*'s priorities—disrupting, dismantling, and defeating terrorist networks.¹¹ Both national strategies call for a whole-of-government approach to help secure the nation and combat terrorism. They each also call for contributions that are in line with DHS activities abroad—carrying out programs to limit the movement of people and goods that pose a threat to the homeland and helping other nations build capacity to detect, deter, and capture such people and goods to limit their global movement.

DHS coordinates its efforts abroad to combat terrorism with State and other federal partners. State is the federal agency responsible for coordinating and supervising efforts led out of U.S. missions—like combating international terrorism—in collaboration with various other U.S. government agencies working abroad, such as the Department of Defense, Department of Justice, and DHS, as well as foreign partners that are facing terrorist threats. When conducting efforts abroad, DHS operates under the authority of the chief of mission (typically an ambassador). Chiefs of mission are the principal officers in charge of U.S. missions and have full responsibility for the direction, coordination, and supervision of all government executive branch employees in that country, with some exceptions, like personnel under the Department of Defense's Combatant Commanders.¹² The staffing levels of a U.S.

¹¹In addition to these broad strategies, the National Counterterrorism Center, which coordinates interagency counterterrorism efforts on behalf of the White House National Security Staff, has developed regional and threat-specific counterterrorism strategies. The mission of the National Counterterrorism Center is to lead the U.S. effort to combat terrorism at home and abroad by analyzing threats, sharing that information with U.S. partners, and integrating all instruments of national power to ensure unity of effort. See 50 U.S.C. § 3056.

¹²See 22 U.S.C. § 3927.

mission are determined by the chief of mission through the National Security Decision Directive-38 process.¹³ This directive, issued by the President, authorizes the chief of mission to determine the size, composition, or mandate of personnel operating at the U.S. mission.

DHS also collaborates with State and other federal partners that provide the funding to support personnel who make the contributions. For example, many of the activities to build capacity and provide training abroad are funded through State programs. In some cases, DHS also collaborates to share information, knowledge, and skills, where appropriate, with other federal personnel operating abroad—for example, contributing border security expertise in Department of Defense capacity-building efforts or sharing information with other law enforcement personnel stationed at the same diplomatic U.S. mission.

At each U.S. mission, State requires mission management to lead, in consultation with relevant stakeholders, two processes to identify strategies, priorities, and programming needs for the efforts that are to be carried out through the mission—including combating terrorism. The first—the Integrated Country Strategy (ICS)—is a multi-year plan that articulates the U.S. priorities in a given country. It is a single overarching strategy, completed every 3 years, that encapsulates government-wide policy priorities, objectives, and the means by which diplomatic engagement, foreign assistance, and other tools will be used to achieve them. The second is the Mission Resource Request (MRR), which is a budget document that explains and justifies the resources required to achieve a given mission’s highest foreign policy and management objectives, as drawn from the ICS. The MRR is submitted annually.

¹³Consistent with National Security Decision Directive-38, dated June 2, 1982, agencies with staff operating under authority of chiefs of mission will ensure that, in coordination with State, the chief of mission approves any proposed changes to the size, composition, or mandate of the agencies’ staffing elements at the post before they are made. See also 22 U.S.C. § 3927a.

DHS Conducts Mission Activities and Capacity Building Abroad That Can Help Combat Terrorism

The DHS components within our review carry out programs and activities abroad within their areas of expertise—border, maritime, aviation, and cyber security; immigration; and law enforcement, among others—that are designed to limit the movement of people and goods that could pose a threat to the homeland before they reach the United States. They also deliver training and technical assistance designed to enhance partner nations’ ability to limit such movement globally. According to our analysis of expenditure data and FTE data provided to us by DHS, DHS OIA and the components within our review spent approximately \$451 million dollars on activities abroad in fiscal year 2012 and had about 1,800 FTEs stationed abroad in almost 80 countries as of May 2013.¹⁴

DHS Carries Out a Variety of Programs and Activities Abroad That Can Help Combat Terrorism

DHS conducts certain programs and mission activities abroad to prevent people and goods that would pose a threat from reaching the homeland. Table 2 details the mission activities falling within the definition of combating terrorism used in this report—that is, they have the potential to thwart terrorists and their plots whether designed specifically for that purpose or not.

Table 2: Department of Homeland Security (DHS) Programs and Activities Abroad That Can Help Combat Terrorism

Program / initiative	Description
U.S. Customs and Border Protection (CBP) Container Security Initiative	The Container Security Initiative is a bilateral government partnership program through which CBP officers stationed at foreign seaports identify U.S.-bound shipments at risk of containing weapons of mass destruction or other terrorist contraband. See 6 U.S.C. § 945.
CBP Pre-inspection and Preclearance Programs	Through its pre-inspection and preclearance programs, CBP makes admissibility decisions abroad at last points of departure for the United States. See 8 U.S.C. § 1103(a)(7), 19 U.S.C. § 1629. See also 8 C.F.R. §§ 235.1, 235.5; 19 C.F.R. §§ 148.22, 162.6, 162.8. Under pre-inspection, CBP officers make passenger admissibility decisions abroad, but the inspection of accompanying goods, baggage, and passenger vehicles takes place upon arrival in the United States. Preclearance is the process by which CBP officers stationed abroad inspect and make admissibility decisions about non-U.S.-citizen travelers and their accompanying goods or baggage heading to the United States before they leave a foreign port. CBP officers retain the authority to inspect these travelers and their accompanying goods or baggage after arriving in the United States should inspection be warranted.

¹⁴All DHS expenditures abroad have been adjusted for inflation and are stated in fiscal year 2012 dollars.

Program / initiative	Description
CBP Immigration Advisory Program	Through its Immigration Advisory Program, CBP partners with foreign governments and air carriers to identify and prevent high-risk, improperly documented travelers from boarding U.S.-bound flights, though Immigration Advisory Program officers themselves may not exercise U.S. immigration and customs authority in the host country. See, e.g., 8 U.S.C. § 1103(a)(7). For example, if a traveler would likely be deemed inadmissible upon arrival in the United States on terrorism-related grounds (8 U.S.C. § 1182(a)(3)(B)), an Immigration Advisory Program officer will make a “no board” recommendation to the air carrier and host government that may result in the air carrier not permitting a traveler to board a flight. Immigration Advisory Program officers have established working relationships with foreign law enforcement and counterterrorism officials and facilitated a direct link and real-time communication among foreign counterparts, the U.S. mission, and CBP’s National Targeting Center.
CBP Secure Freight Initiative	The Secure Freight Initiative is a pilot program intended to test the feasibility of scanning all containers bound for the United States before they are loaded onto vessels at foreign seaports. See 6 U.S.C. §§ 981-82. As required by statute, DHS established pilot projects at a small group of strategic seaports. As of 2013, Secure Freight Initiative protocols are in effect in only one location.
CBP Air Cargo Advance Screening Pilot	Participants in CBP’s Air Cargo Advance Screening pilot submit specified data elements as early as possible before cargo is loaded onto an aircraft (i.e., at a point earlier than current regulations require) to more readily identify high-risk cargo for additional screening prior to departing from foreign airports to the United States. See 19 U.S.C. 2071 note. See also 19 C.F.R. § 122.48a.
U.S. Immigration and Customs Enforcement (ICE) Visa Security Program	ICE deploys personnel to U.S. embassies and consulates to assist in the administration and enforcement of U.S. immigration policy by, among other things, conducting security reviews of visa applications, initiating investigations, and coordinating with other law enforcement entities. See 6 U.S.C. § 236.
ICE Investigations Abroad	ICE’s Homeland Security Investigations directorate investigates a wide range of domestic and international activities arising from the illegal movement of people and goods into, within, and out of the United States. Sometimes these investigations are conducted in partnership with Transnational Criminal Investigative Units, which are composed of vetted foreign prosecutors and law enforcement, customs, immigration, and intelligence officials who help make sure that ICE investigations are in compliance with host country laws, agreements, and treaties. See, e.g., 8 U.S.C. §§ 1182(a)(2)-(3), 1357, 1446; 19 U.S.C. §§ 1589a, 1701.
Transportation Security Administration (TSA) Foreign Airport Assessments	TSA assesses the effectiveness of security measures at foreign airports served by a U.S. air carrier, from which a foreign air carrier serves the United States, that pose a high risk of introducing danger to international air travel, and as considered appropriate by the Secretary of Homeland Security. See 49 U.S.C. § 44907.
TSA Air Carrier Assessments	TSA conducts assessments of U.S. and foreign air carriers that service the United States from foreign airports to ensure that air carriers certified or permitted to operate to, from, or within the United States meet applicable security requirements, including those set forth in an air carrier’s TSA-approved security program. See 49 U.S.C. §§ 44903, 44906; see also, e.g., 49 C.F.R. §§ 1544.3, 1546.3.
U.S. Coast Guard (USCG) International Port Security Program	The International Port Security Program’s primary goal is to reduce the risk of terrorism to the nation and its maritime transportation system. See 46 U.S.C. §§ 70108-09. The International Port Security program assesses the effectiveness of anti-terrorism measures in the overseas ports of U.S. maritime trading partners or countries deemed as possibly posing a security risk to international maritime commerce by visiting these countries, sponsoring foreign port threat assessments, and monitoring other security information about them. In addition, the Coast Guard imposes conditions of entry on vessels arriving to the United States from ports with inadequate antiterrorism measures, requiring those vessels to take additional security precautions while in those foreign ports. See 46 U.S.C. § 70110.

Program / initiative	Description
USCG Port State Control Examinations	USCG officials examine foreign vessels entering U.S. waters that have departed foreign ports to determine if they comply with international safety and security conventions. See, e.g., 33 C.F.R. pt. 104 (establishing security measures for certain vessels calling at U.S. ports). Although these examinations are usually conducted on foreign vessels that have entered, or are about to enter, U.S. ports, USCG units in Europe and Asia also occasionally examine foreign commercial vessels that plan to trade in the United States.
U.S. Citizenship and Immigration Services (USCIS) Immigration Benefits Processing	When processing applications for immigration benefits, USCIS officers conduct fraud reviews and perform national security vetting, including background identity and security checks and watchlist screening. See, e.g., 8 U.S.C. § 1446 (requiring the investigation and examination of applications for naturalization). These reviews and vetting serve to verify information provided in the benefit requests and identify any potential national security concerns. If applicants for immigration benefits are identified by USCIS as known or suspected terrorists, officers put these cases through an additional review process where specially trained officers vet and deconflict information of national security concern with appropriate law enforcement or intelligence officials. In addition to sharing information with U.S. agencies, DHS has bilateral information-sharing agreements with other countries, and is able to mitigate risks by sharing critical information with these partners.
U.S. Secret Service (USSS) Investigations Abroad	USSS pursues criminal investigations targeting transnational criminal enterprises engaged in high-consequence cyber-related crimes, counterfeiting of U.S. obligations, and money-laundering operations. See, e.g., 18 U.S.C. §§ 1030, 3056.

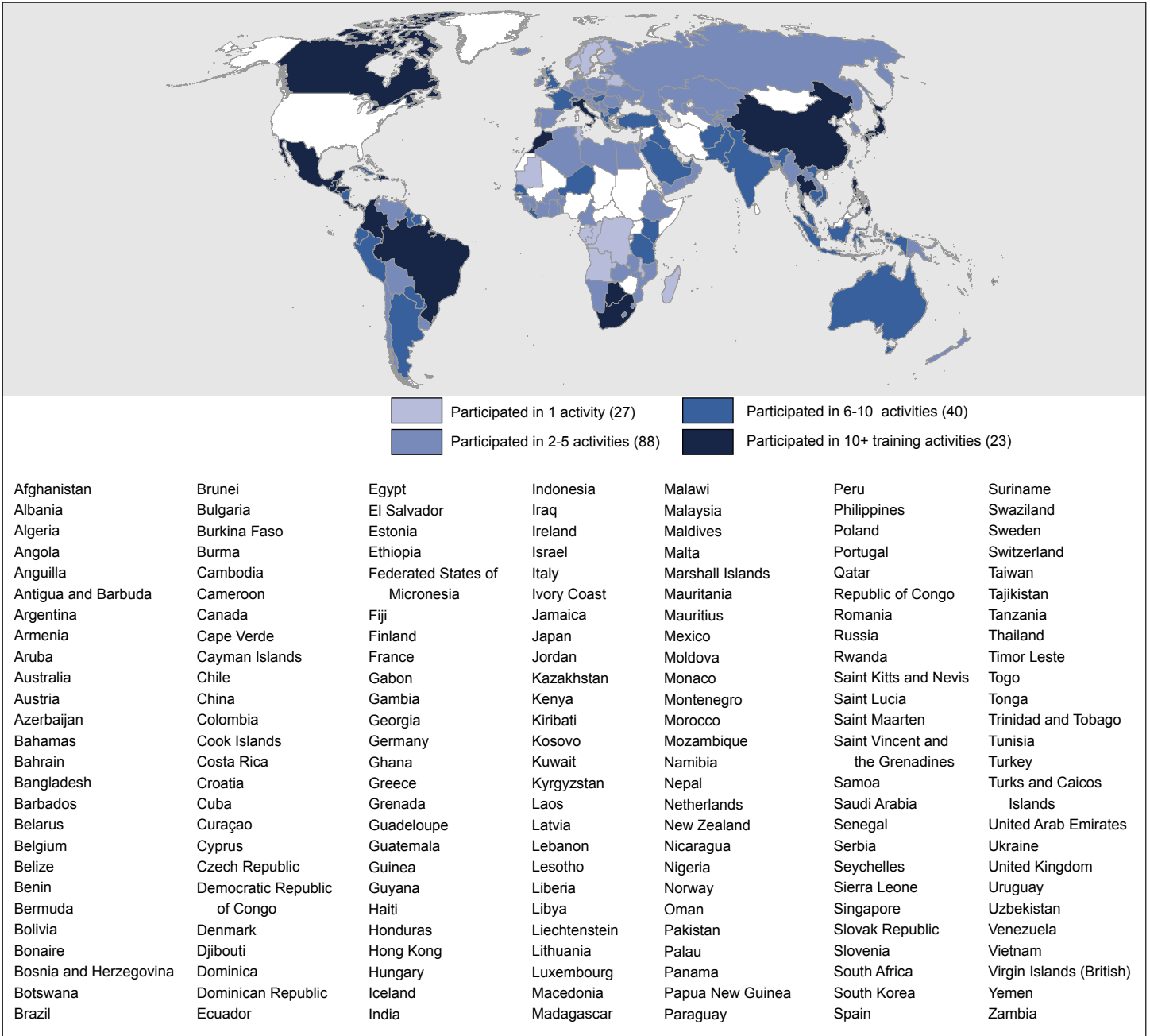
Source: GAO analysis of prior GAO work and program documentation with verification by DHS officials.

Within its areas of expertise, DHS also provides training and technical assistance activities—often at the request of and in coordination with other federal partners such as State or the Department of Defense—which are designed to help other nations build capacity and address vulnerabilities in order to limit the movement of people who present a threat to the homeland and the money, information, and goods used to carry out terrorist and other transnational criminal agendas. Figure 1 shows that in fiscal year 2012, the DHS components in our review conducted training and technical assistance to help combat terrorism with partners from about 180 countries.¹⁵ See appendix II for data associated with figure 1.

¹⁵Although the United States does not have diplomatic relations with Taiwan, we have included it as a separate country because whenever the laws of the United States refer or relate to foreign countries, nations, states, governments, or similar entities, such terms shall include and shall apply to Taiwan. Therefore, for the purposes of this report, Taiwan is included as a country. Hong Kong is a special administrative region of China, but we have included it in this report as a separate country because it is an economic entity separate from the rest of China and is able to enter into international agreements on its own behalf in commercial and economic matters.

Interactive graphic **Figure 1: Countries Participating in Training or Technical Assistance That Can Help Combat Terrorism from Department of Homeland Security (DHS) Components within Our Review, Fiscal Year 2012**

Click on the name of the country for more information. Click on the X to close. For a printer-friendly version, please see appendix II, table 5.



Source: GAO analysis of DHS's component training and technical assistance data for fiscal year 2012; Map Resources (map).

Table 3 provides additional detail about the types of training and technical assistance that each DHS component in our review provided in fiscal year 2012 to help combat terrorism abroad. Combined, TSA's and ICE's efforts to help foreign partners build capacity and address vulnerabilities in transportation security, transnational crime, and immigration and customs enforcement account for more than half of total foreign partner participation in training and technical assistance activities.

Table 3: Training or Technical Assistance That Can Help Combat Terrorism from Department of Homeland Security (DHS) Components within Our Review

Component	Training and technical assistance activities description
U.S. Customs and Border Protection (CBP)	Training and technical assistance aimed to help foreign partners improve border security. Fiscal year 2012 trainings focused on topics such as fraudulent documents; port security; and international air cargo, rail, seaport, border, and X-ray interdiction. Technical assistance included border security consultations and seaport assessments.
U.S. Immigration and Customs Enforcement (ICE)	Training and technical assistance aimed to help foreign partners combat international crime, including terrorism. Fiscal year 2012 trainings focused on topics such as cross-border financial investigations, which included sessions on combating terrorist financing; fraudulent document detection; and analyzing trade data to identify transactions that may warrant investigation for money laundering or other trade-related crimes, which have been used to finance terrorism. Technical assistance included advising foreign governments on cross-border financial investigations and providing biometric collection equipment to foreign governments to identify known or suspected terrorists and other individuals of interest in collaboration with U.S. partners.
Transportation Security Administration	Training and technical assistance aimed to help foreign partners improve aviation security. Fiscal year 2012 trainings focused on topics including cargo security, preventive security measures, airport security management, access controls, checkpoint layout design, screening techniques, and improvised explosive device mitigation. Technical assistance included security assessments of airports that are a last point of departure to the United States and air carriers flying routes to the United States from last point-of-departure airports.
U.S. Coast Guard	Training and technical assistance aimed to help foreign partners improve port security and the enforcement of maritime law. Fiscal year 2012 trainings focused on topics including port security; risk assessment; cruise ship security; and maritime law enforcement, which can include sessions on security and combating terrorism. Technical assistance included security assessments of foreign ports.
U.S. Citizenship and Immigration Services	Training and technical assistance aimed to help foreign partners develop and strengthen their own immigration controls and systems. Fiscal year 2012 trainings focused on topics such as detecting fraudulent documents and impostors, interviewing techniques, and combating immigration fraud and trafficking. Technical assistance included advising foreign partners on how to develop and strengthen their immigration controls.
U.S. Secret Service (USSS)	Training and technical assistance aimed to help foreign partners protect government leaders and financial infrastructure. Fiscal year 2012 trainings focused on topics including investigative techniques for combating counterfeiting of U.S. obligations, transnational organized crime, and conducting cyber investigations. USSS also provided briefings on terrorism trends and tactics to foreign partners through its Critical Protective Analysis Group. The briefings covered how attacks were planned and executed, the perpetrators, and weapons used.

Source: GAO analysis of component training and technical assistance data for fiscal year 2012, program documentation, and interviews with component officials.

DHS OIA and Components in Our Review Spent about \$451 Million in Fiscal Year 2012 and Have about 1,800 Full-Time-Equivalent Employees Abroad

According to our analysis of expenditure data provided to us by DHS OIA and the components within our review, DHS spent approximately \$451 million dollars on activities abroad in fiscal year 2012. Some but not all of these expenditures were dedicated to combating terrorism.¹⁶ The budget for these expenditures comes from various sources, including annual appropriations, user fees collected, and interagency reimbursements. Expenditures increased from about \$391 million to about \$451 million over the 5-year period from fiscal years 2008 through 2012, as shown in figure 2. In pursuit of their different mission goals, each DHS component in our review conducts different activities abroad and tracks related expenditures accordingly. Although each DHS component in our review generally included salary and benefits, International Cooperative Administrative Support Services (ICASS),¹⁷ Capital Security Cost-Sharing Program (CSCS),¹⁸ travel, and operating costs in their data for expenditures abroad,¹⁹ some components included additional expenditures. For example, CBP includes expenditures in direct support of the Immigration Advisory Program and preclearance activities abroad, while other components do not include expenditures in direct support of programs and activities abroad. Appendix III shows the various elements included in each component's expenditure data.

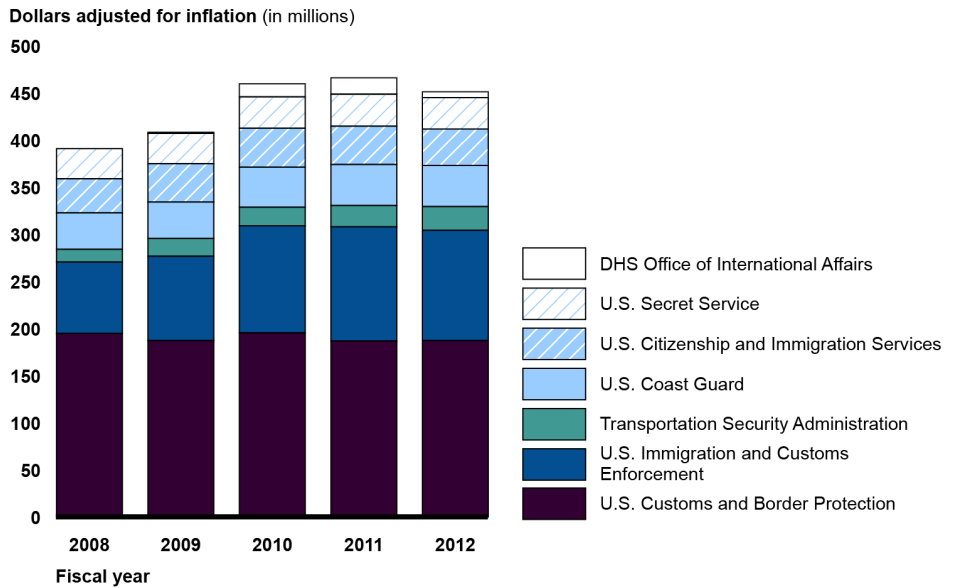
¹⁶Because DHS missions are multifaceted and often serve dual purposes, like limiting threats to the homeland while facilitating legitimate activities, DHS and its components do not track personnel and expenditures for combating terrorism separately from other activities. Therefore, we obtained data from DHS and its components for all expenditures and FTEs abroad.

¹⁷ICASS is an interagency system established by State in 1997 for distributing the cost of administrative services at foreign posts. It seeks to provide quality services at the lowest cost while ensuring that each agency bears the cost of its presence abroad.

¹⁸CSCS is a program established by State to distribute the cost of embassy construction costs amongst agencies with a presence abroad. It seeks to fund construction of new, secure foreign posts and provide an incentive for all departments and agencies to assign only the number of staff needed to accomplish their missions abroad.

¹⁹We define operating costs to include expenditures such as facilities or space, rent or lease, vehicles, supplies, equipment, and utilities.

Figure 2: Expenditures Abroad from Department of Homeland Security (DHS) Office of International Affairs and Components within Our Review, Fiscal Years 2008 through 2012



Source: GAO analysis of DHS component expenditure data for fiscal years 2008 through 2012.

Note: Figure 2 includes DHS OIA, CBP, ICE, and USCG expenditures that are reimbursed by State and the Department of Defense. DHS OIA expenditure data are not available for fiscal year 2008.

From fiscal years 2008 through 2012, CBP consistently accounted for 40 to 50 percent of DHS expenditures abroad, which was generally due to the high number of FTEs dedicated to CBP airport preclearance and port security programs. Preclearance countries—Aruba, the Bahamas, Bermuda, Canada, and Ireland—account for more than 500 of the nearly 700 CBP FTEs abroad. These countries also account for about \$117 million of CBP’s \$187 million fiscal year 2012 expenditures abroad. About \$49 million of these expenditures were funded by user fees.

In some cases, DHS’s expenditures abroad are reimbursed by State and the Department of Defense. For example:

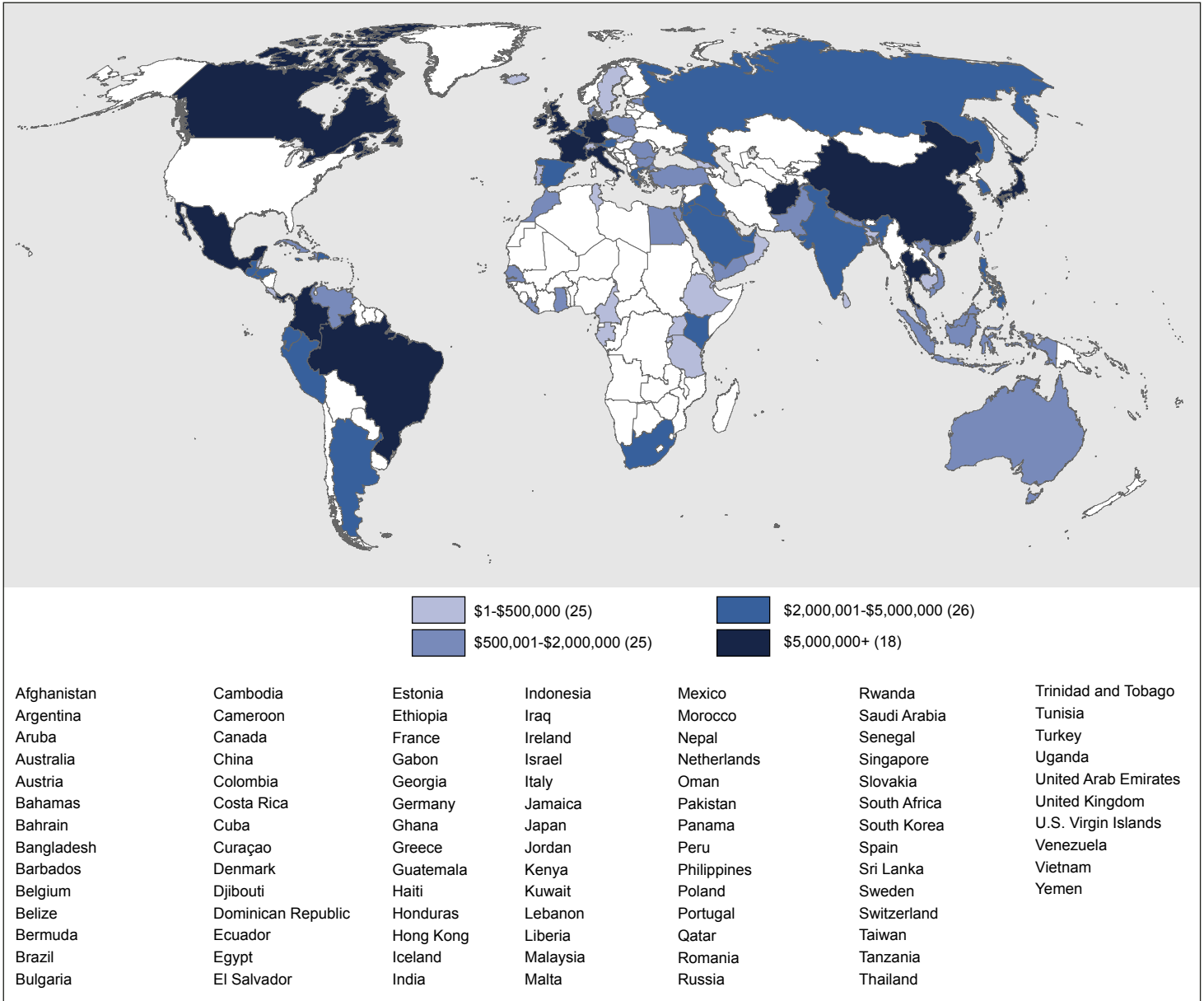
-
- State's Antiterrorism Assistance Program and Regional Strategic Initiative provide funding for DHS training and technical assistance activities abroad that can help combat terrorism.²⁰
 - The Department of Defense and State provide funding for USCG personnel who fill positions in their programs abroad, including those that can help combat terrorism.
 - State provides funding for all DHS personnel and activities in Afghanistan. In fiscal year 2012, State provided about \$13 million that largely supported CBP, ICE, and TSA efforts to share intelligence with other federal partners and target illicit activities such as fraudulent visa applications and human smuggling; transportation of drugs, weapons, and precursor material for improvised explosive devices; and illicit use of nontraditional money transfer networks.

Figure 3 shows expenditures abroad by country and component in fiscal year 2012, as well as the locations of DHS FTEs stationed abroad as of May 2013. In fiscal year 2012, DHS expenditures were highest in the following five countries: Canada, Mexico, Bahrain, Germany, and the Bahamas. These expenditures were generally associated with high numbers of FTEs in each country. In Canada and Mexico, expenditures supported a range of efforts to expedite the legitimate cross-border flow of people, goods, and services and to interdict and prevent the illicit cross-border flows of people, weapons, drugs, and currency. In Bahrain, Germany, and the Bahamas, expenditures were primarily dedicated to force protection of U.S. naval vessels (which is reimbursed by the Department of Defense), aviation security efforts, and preclearance efforts, respectively. See appendix II for data associated with figure 3.

²⁰The Antiterrorism Assistance program serves as the primary provider of U.S. government antiterrorism training and equipment to law enforcement agencies of partner nations. See 22 U.S.C. §§ 2349aa-2349aa-10. This program helps partner nations to deal effectively with security challenges within their borders, to defend against threats to national and regional stability, and to deter terrorist operations across borders and regions. The Regional Strategic Initiative seeks to build regional cooperation to constrain terrorist activities. Under the authority of the chief of mission, it brings embassy officials and military, law enforcement, and intelligence agencies together to collectively assess the threats, pool resources, and devise collaborative strategies and action plans.

Interactive graphic **Figure 3: Expenditures Abroad in Fiscal Year 2012 and Full-Time-Equivalent Employees Abroad in May 2013 for Department of Homeland Security (DHS) Office of International Affairs and Components within Our Review**

Click on the name of the country for more information. Click on the X to close. For a printer-friendly version, please see appendix II, tables 6 and 7.



Source: GAO analysis of DHS component expenditure data for fiscal year 2012, and DHS overseas personnel and activities locator report, July 2013; Map Resources (map).

Note: Figure 3 includes DHS Office of International Affairs, U.S. Customs and Border Protection, U.S. Immigration and Customs Enforcement, and United States Coast Guard expenditures and FTEs that are reimbursed by State and the Department of Defense. DHS OIA expenditure data are not available for fiscal year 2008. Also, in fiscal year 2012, DHS components within our review expended about \$29 million for activities abroad that they do not attribute to an individual country and therefore are not included in figure 3. These expenditures included approximately \$3 million for work with Department of Defense combatant commands, \$26 million for expenses in direct support of programs and activities abroad, \$400,000 for USCG Far East Activities and Marine Inspection Detachment Unit and \$13,000 for CBP multicountry activities. Data on FTEs abroad are self-reported by components, and may capture some personnel on travel duty in addition to permanently deployed FTEs.

According to DHS Office of Operations Coordination and Planning data, as of May 2013, DHS OIA and the six DHS operational components in our review had approximately 1,800 FTEs in almost 80 countries to help combat terrorism and achieve other mission goals.²¹ Employees include DHS and component attachés, program personnel, and locally employed staff.²² Some DHS employees also travel regionally and from the United States on a more temporary basis to conduct capacity-building activities. Table 4 shows the breakdown of FTEs by component for May 2013.

Table 4: Full-Time-Equivalent Employees (FTE) Abroad for Department of Homeland Security (DHS) Office of International Affairs and Components within Our Review, by Component, May 2013

Component	Federal FTEs	Locally employed staff FTEs	Number of countries FTEs stationed
U.S. Customs and Border Protection	613	85	44
U.S. Immigration and Customs Enforcement	218	148	48
Transportation Security Administration	63	26	24
U.S. Coast Guard	391	0	29
U.S. Citizenship and Immigration Services	71	108	24
U.S. Secret Service	62	30	21

²¹The DHS Office of Operations Coordination and Planning maintains the Overseas Personnel and Activities Locator, which tracks all DHS personnel deployed abroad. The locator is updated monthly with self-reported data from the components, which may capture some personnel on travel duty in addition to permanently deployed FTEs.

²²U.S. missions are staffed by both federal and locally employed staff. Locally employed staff are individuals who are hired locally to work at U.S. missions, and whose salaries and benefits are paid for out of a specific post's budget. Costs for locally employed staff, who do not receive the same benefits and allowances as U.S. direct-hire staff, are often significantly less than for direct-hire staff.

Component	Federal FTEs	Locally employed staff FTEs	Number of countries FTEs stationed
DHS Office of International Affairs	4	3	5
Total	1422	400	

Source: DHS Overseas Personnel and Activities Locator report, May 2013.

Note: A country can have more than one FTE. The total number of countries with FTEs stationed is 76.

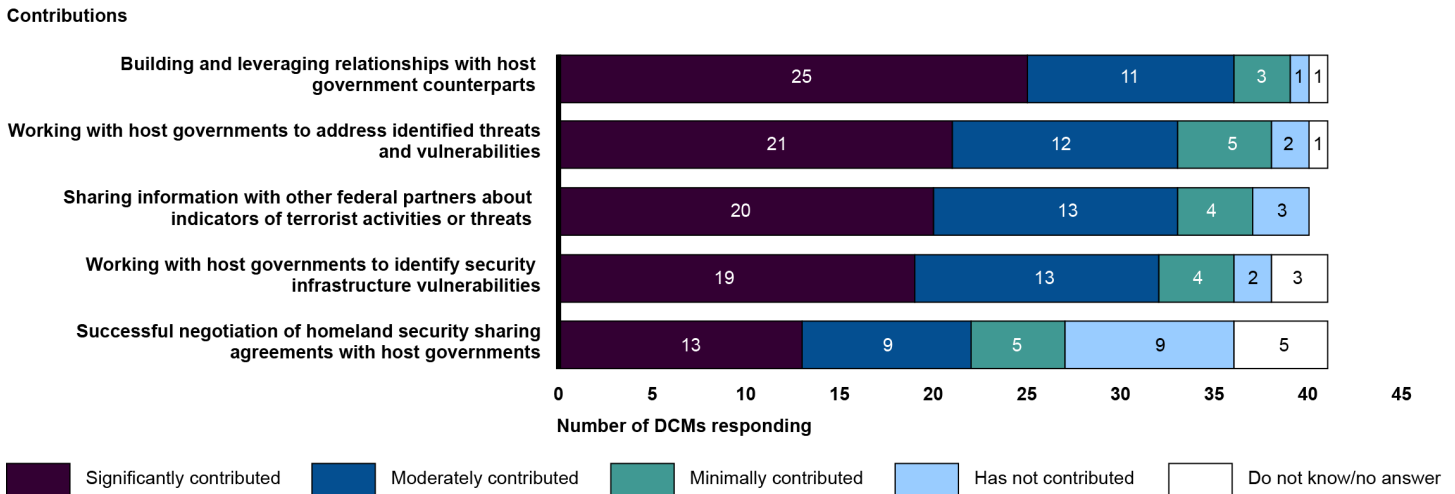
DHS and State Identified Five Key DHS Contributions to U.S. Missions and Multiple Factors and Challenges That Affected Contributions

On the basis of two surveys and interviews conducted with embassy personnel, we found that DHS has made contributions to U.S. missions in five key areas. We also identified 12 factors that facilitated DHS's contributions to U.S. missions' combating terrorism goals. A majority of DCMs and DHS attachés responding to our surveys reported that the factors we identified were significantly or moderately important. They most frequently identified as very important a set of factors that relate to supporting a climate of collaboration at the embassy. We also identified a variety of challenges DHS and other personnel in the U.S. missions have faced. Although many of the DCMs and DHS attachés reported experiencing these challenges to some degree, our survey results indicate that a majority did not experience the challenges or their impacts as significant.

Mission Management Reported That DHS Has Made Valuable Contributions to Combating Terrorism Efforts

Using State's and DHS's goals, along with interviews conducted with DHS and State headquarters offices and interviews with embassy personnel, we identified five specific types of contributions DHS might make to a U.S. mission's combating terrorism goals. As shown in figure 4, according to our survey results, the majority of the 41 DCM respondents indicated that DHS has significantly or moderately contributed to combating terrorism goals for each of the types of contributions we identified.

Figure 4: Types of Contributions the Department of Homeland Security (DHS) Has Made to U.S. Diplomatic Missions in the Last 24 Months, In Order of Frequency of Deputy Chiefs of Mission Responding That DHS Has Made a Significant or Moderate Contribution



Source: GAO analysis of survey data.

Note: The deputy chief of mission (DCM) is the second in command of a U.S. mission and is always a career Foreign Service Officer. The DCM supervises department heads within the mission, and deals with many issues pertaining to the day-to-day operation of the mission.

Forty-one DCMs responded to the survey, but in some cases not all respondents answered every item, so total respondents for a specific item may vary.

It is important to note that in some cases, DHS does not have the opportunity to make certain types of contributions. For example, the opportunity to negotiate bilateral information-sharing agreements may not exist in some locations, while other locations may not engage in any capacity building. Similarly, one DCM survey respondent noted that DHS does not have primary responsibility for combating terrorism-related activities at the embassy but plays an important supporting role and has negotiated memorandums of understanding with host government officials on immigration and customs enforcement. Another respondent said that although DHS has not negotiated formal agreements, it has improved counterterrorism cooperation with the host government through informal understandings and relationships.

As with our survey, DCMs we interviewed during our site visits also noted important contributions DHS has made to their mission's combating terrorism goals in a variety of ways. For example, one DCM pointed to progress a DHS-affiliated law enforcement group had made to foreign partners' ability to combat international crime. Another DCM said that

DHS brought new networks of contacts to the table and leveraged relationships with host country partners, including one recent substantial contribution to a major nonproliferation effort. An ambassador we interviewed stated that CBP has facilitated numerous weapons and other illicit material seizures, including improvised explosive device precursor materials.

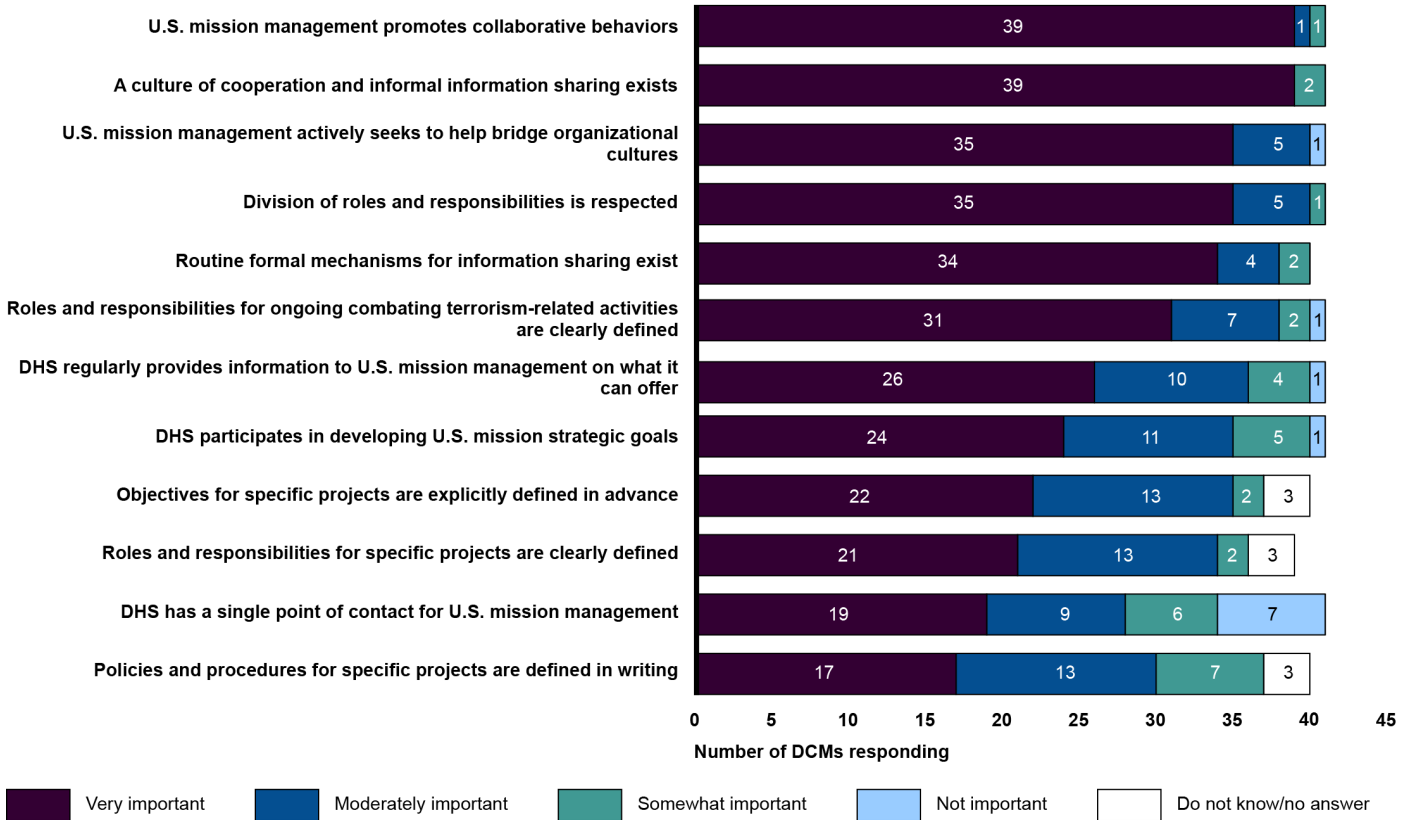
Certain Factors Facilitate Use of DHS Knowledge and Skills

By reviewing our prior work on interagency collaboration, along with information collected in our interviews with agency officials, we identified 12 factors that could facilitate DHS's ability to contribute to U.S. missions' combating terrorism efforts.²³ DCMs and DHS attachés we surveyed provided information about the extent to which they believe the factors we identified are important for DHS to be able to contribute its knowledge and skills. Figures 5 and 6 show the complete list of factors we identified and the extent to which DCMs and DHS attaché respondents to our survey identified them as important. Overall, a majority of respondents to both surveys reported that nearly all of the factors we identified were very or moderately important to facilitating DHS's contributions to U.S. missions' combating terrorism efforts.

²³GAO, *Managing for Results: Key Considerations for Implementing Interagency Collaborative Mechanisms*, [GAO-12-1022](#) (Washington, D.C.: Sept. 27, 2012), and *Results-Oriented Government: Practices That Can Help Enhance and Sustain Collaboration among Federal Agencies*, [GAO-06-15](#) (Washington, D.C.: Oct. 21, 2005). These reports describe specific practices and considerations to help enhance and sustain interagency collaboration. We analyzed the application of these practices and considerations to DHS's ability to contribute to U.S. missions' combating terrorism efforts and included key concepts and principles in the survey language as applicable.

Figure 5: Factors That Can Facilitate the Department of Homeland Security Contributions to U.S. Diplomatic Missions' Combating Terrorism Efforts, in Order of Frequency of Deputy Chiefs of Mission Indicating Them as Very Important

Factors



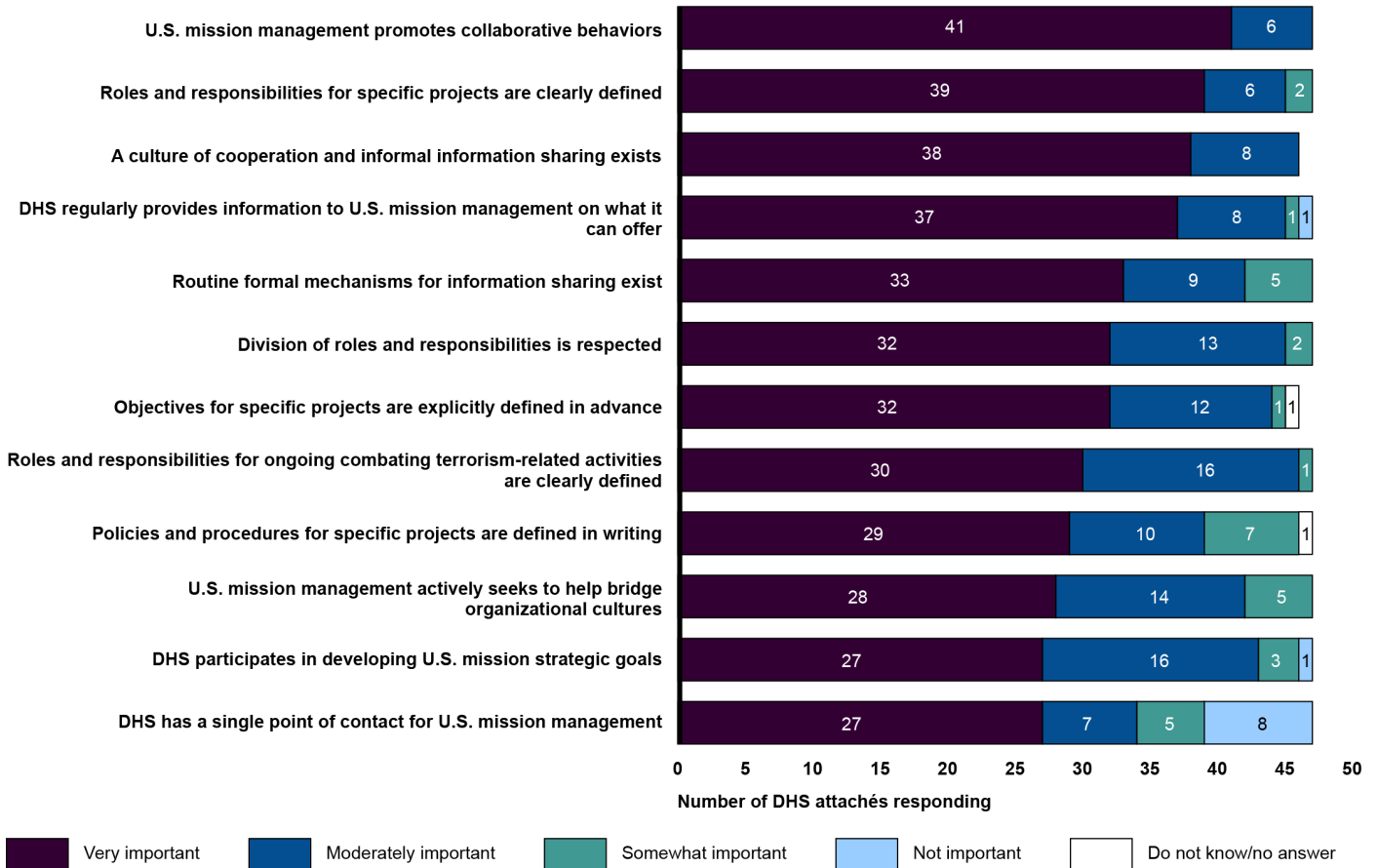
Source: GAO analysis of survey data.

Note: The deputy chief of mission (DCM) is the second in command of a U.S. mission and is always a career Foreign Service Officer. The DCM supervises department heads within the mission, and deals with many issues pertaining to the day-to-day operation of the mission.

Forty-one DCMs responded to the survey, but in some cases not all respondents answered every item, so total respondents for a specific item may vary.

Figure 6: Factors That Can Facilitate the Department of Homeland Security (DHS) Contributions to U.S. Diplomatic Missions' Combating Terrorism Efforts, in Order of Frequency of DHS Attachés Indicating Them as Very Important

Factors



Source: GAO analysis of survey data.

Note: Forty-seven DHS attachés responded to the survey, but in some cases not all respondents answered every item, so total respondents for a specific item may vary.

The 12 factors we identified generally fall into two categories: (1) efforts to foster a collaborative climate, and (2) mechanisms to leverage resources and clarify roles and responsibilities.

Fostering a Collaborative Climate

As we reported in September 2012, one of the key considerations in developing interagency collaborative mechanisms is whether the participating agencies have the means to recognize and reward collaboration. Another of these key features is bridging organizational cultures. We reported that different agencies participating in any

collaborative mechanism bring diverse organizational cultures to it. To address these differences, we have found that it is important to establish ways to operate across agency boundaries, by, for example, developing common terminology and compatible policies and procedures, and fostering open lines of communication.²⁴

Three of the factors we identified—the 3 that were most commonly selected as very important by DCM survey respondents—related to fostering an organizational culture that supports collaborative behaviors—(1) U.S. mission management promotes collaborative behaviors, (2) U.S. mission management actively seeks to help bridge organizational cultures, and (3) a culture of cooperation and informal information sharing exists. U.S. mission management promoting collaborative behaviors was most frequently identified as very important by both DCMs and DHS attachés. All 47 DHS attaché respondents identified it as very or moderately important, as did 40 out of 41 DCMs. A culture of cooperation and informal information was the second most frequently reported as very important for DCMs and third for DHS Attachés.

Echoing our survey results, officials we interviewed at one U.S. mission we visited reported a strong collaborative relationship between DHS and other federal partners, and attributed it, at least in part, to the “tone at the top”—including both rewarding collaborative behaviors and discouraging failure to collaborate. At another U.S. mission we visited, an official noted that the DCM had forbidden the use of acronyms in interagency meetings, which had the effect of helping to ensure that use of specialized vocabulary did not unintentionally exclude participants from collaborative discussions. This official at this embassy noted that the action may seem simple but was nevertheless a critical signal to all the federal personnel at the embassy that the management valued collaborative action.

Another related factor a majority of DHS attaché and DCM respondents—33 of 47 and 34 of 40, respectively—identified as very important is having routine formal mechanisms for information sharing. One such mechanism U.S. missions use to facilitate effective contribution of DHS skills and expertise is law enforcement working groups focused on counterterrorism or security issues. Working groups, which are routine, formal meetings of diverse agency personnel with similar goals or functions, provide an

²⁴[GAO-12-1022](#).

Leveraging Resources and
Clarifying Roles and
Responsibilities

opportunity for parties carrying out ongoing activities to share information and avoid conflicts. At two U.S. missions we visited, officials we interviewed pointed to the working groups as an essential collaboration mechanism.

Our October 2005 work on practices to enhance and sustain interagency collaboration called for agencies to address needs by leveraging resources and agreeing on roles and responsibilities.²⁵ Among the factors we identified that relate to this is DHS's participation in developing U.S. mission strategic goals, and 35 of 41 DCMs and 43 of 47 DHS attachés responded that the factor was very or moderately important in facilitating DHS's contributions. With some exceptions, such as military activities, federal activities abroad are conducted through the embassies under the authority of the chief of mission. DHS receives funding from State for a number of its training and technical assistance programs abroad, through programs like the Regional Strategic Initiative and the Antiterrorism Assistance program. For State, funding decisions are based in part on the product of planning processes undertaken at each individual U.S. mission. Therefore, the ability for DHS and State to share information about both strategic and programming decisions, particularly through U.S. mission planning processes, is an important element in DHS's ability to make the maximum possible contribution to U.S. mission efforts.

During our fieldwork we saw variation in the extent to and manner in which U.S. mission management integrated DHS into planning processes. In addition, open-ended comments on our survey reflected some frustrations with DHS integration—though these concerns did not appear to be pervasive or systemic. We visited two missions where officials expressed positive remarks about DHS's opportunities to collaborate with its federal partners in the respective U.S. mission. In both of these missions, the DCM stressed to us the importance of fully integrating the DHS attaché into U.S. mission strategic planning. At these same two U.S. missions, the DHS attachés said they make a focused effort to ensure that the other federal partners understand the roles and responsibilities of DHS and all of its components—whether or not their personnel are stationed at the embassy.

²⁵[GAO-06-15](#).

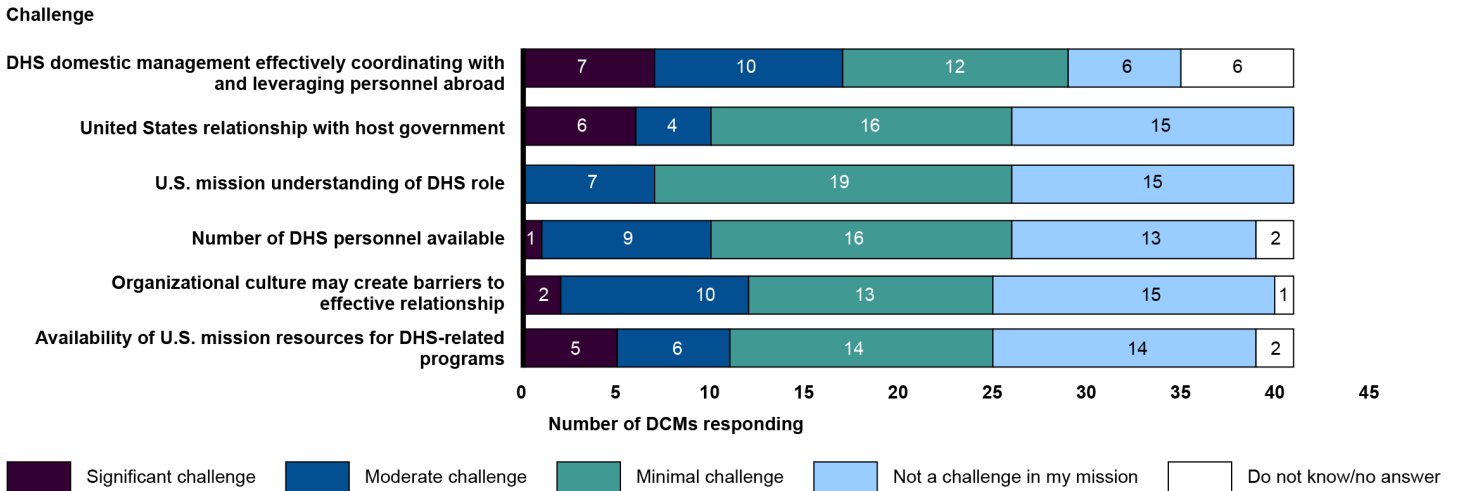
At another U.S. mission we visited, the DCM told us that the DHS attaché had an opportunity to participate in a strategic planning process and was later able to comment on the final product. However, this DHS attaché told us that he did not fully understand the purpose of the planning meeting he attended nor did he believe he had been provided encouragement or channels for further participation beyond the single meeting. At this U.S. mission, DHS personnel reported frustrations about limits on their ability to contribute, while U.S. mission management raised questions about DHS's value to their mission. At another U.S. mission with border security concerns, DHS officials said the embassy's border working group had not been addressing DHS priorities or activities. According to the DHS officials, the embassy was not encouraging a "whole-of-government" approach that recognizes the value of DHS contributions.

Although few DCMs and DHS attachés reported that DHS does not participate in helping to develop U.S. mission strategic goals, some respondents discussed issues in open-ended comments with DHS's integration and clarity of roles within U.S. missions. For example, in open-ended survey responses, one DCM said DHS personnel are individually cooperative, but internal stove-piping limits DHS's ability to contribute. Another DCM commented that DHS is organized and deployed in a manner that limits its ability to bring its knowledge and skills to bear.

Survey Respondents Reported Facing Some Challenges, but Few Indicated Impacts Were Significant

We identified 14 potential challenges that could hinder the contribution of DHS knowledge and skills abroad to combating terrorism efforts. Fewer than half of respondents identified any of the challenges as moderate or significant challenges. In most cases, more than two-thirds said the challenges were minimal or did not apply to them. Figures 7 and 8 show the top 5 (or 6 in case of a tie for fifth place) most frequently identified challenges that DCMs and DHS attachés identified as representing some level of challenge—significant, moderate, or minimal—ranked by frequency. See appendix IV for a list of all 14 challenges and the extent to which DCMs and DHS attachés reported experiencing them.

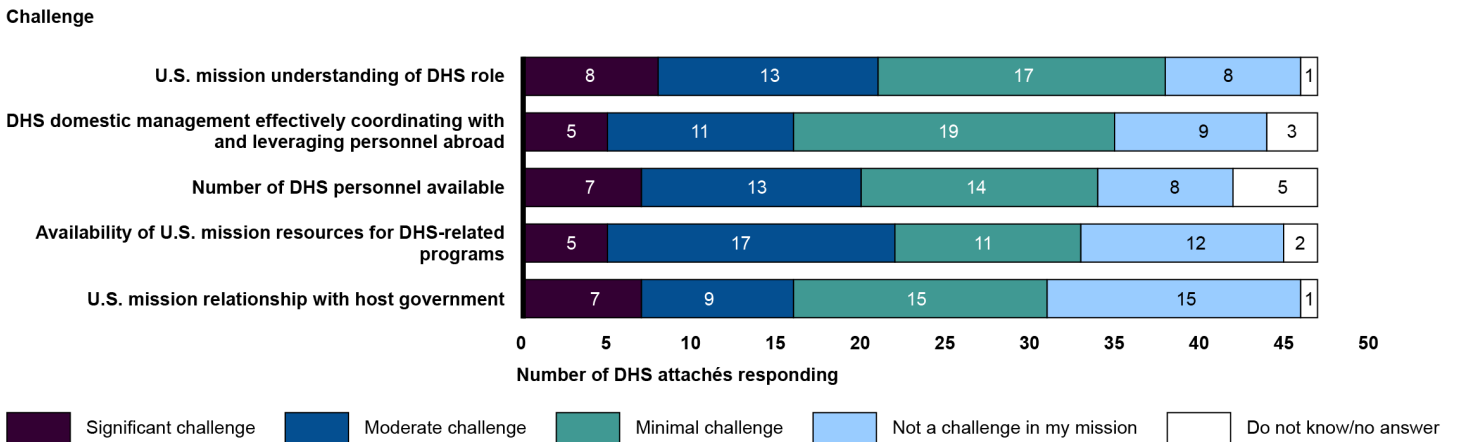
Figure 7: Challenges Most Frequently Identified by Deputy Chiefs of Mission as Presenting Some Level of Challenge to the Department of Homeland Security's (DHS) Ability to Contribute Its Knowledge and Skills to Combating Terrorism Goals



Source: GAO analysis of survey data.

Note: The deputy chief of mission (DCM) is the second in command of a U.S. mission and is always a career Foreign Service Officer. The DCM supervises department heads within the mission, and deals with many issues pertaining to the day-to-day operation of the mission.

Figure 8: Challenges Most Frequently Identified by Department of Homeland Security (DHS) Attachés as Presenting Some Level of Challenge to DHS's Ability to Contribute Its Knowledge and Skills to Combating Terrorism Goals



Source: GAO analysis of survey data.

Some survey respondents elaborated, in written comments, about issues with DHS domestic management effectively coordinating with and leveraging personnel abroad.²⁶ For example, one DHS respondent stated that DHS domestic management, through contact with foreign embassies in the United States, has come into conflict with DHS operations in country. A DCM respondent indicated that when issues arise, they often originate from insufficient coordination with DHS domestic management, with State, and with DHS in the field. Another DCM respondent indicated that DHS domestic management regularly gets involved in international affairs without informing DHS field office or embassy management. In addition, a DCM respondent indicated that challenges come primarily from the U.S. side (rather than DHS personnel at the embassy). In addition, officials we spoke with mentioned that sometimes miscommunication or misalignment between DHS domestic management and embassies causes problems. For example, at one U.S. mission we visited, the DCM and DHS personnel described an instance in which DHS domestic operations took down a communication link used by transnational criminals in the country without consulting anyone at the embassy, including DHS personnel. However, DHS's law enforcement partners were monitoring the link for more strategic purposes and the action negatively affected their operation—an outcome that DHS personnel at the embassy could have alerted them to had they been consulted.

Some respondents elaborated about the extent to which the availability of U.S. mission resources to sponsor programs that would call for contributions of DHS knowledge and skills is a challenge. For example, one DCM respondent indicated that the embassy is an old facility that is not sized adequately to house all the federal agencies and space restrictions affect the U.S. mission's ability to accommodate DHS's presence. In addition, at two sites we visited, officials indicated that space is scarce, especially given rapidly growing needs, so making room for DHS staff, or any other federal stakeholder, is challenging and requires a strong cost-benefit case. In addition, officials we spoke with mentioned constrained or unpredictable budgets hampering planning and the ability to dedicate resources to DHS programs or personnel. One DHS survey respondent commented that with little to no budget, it is difficult to build

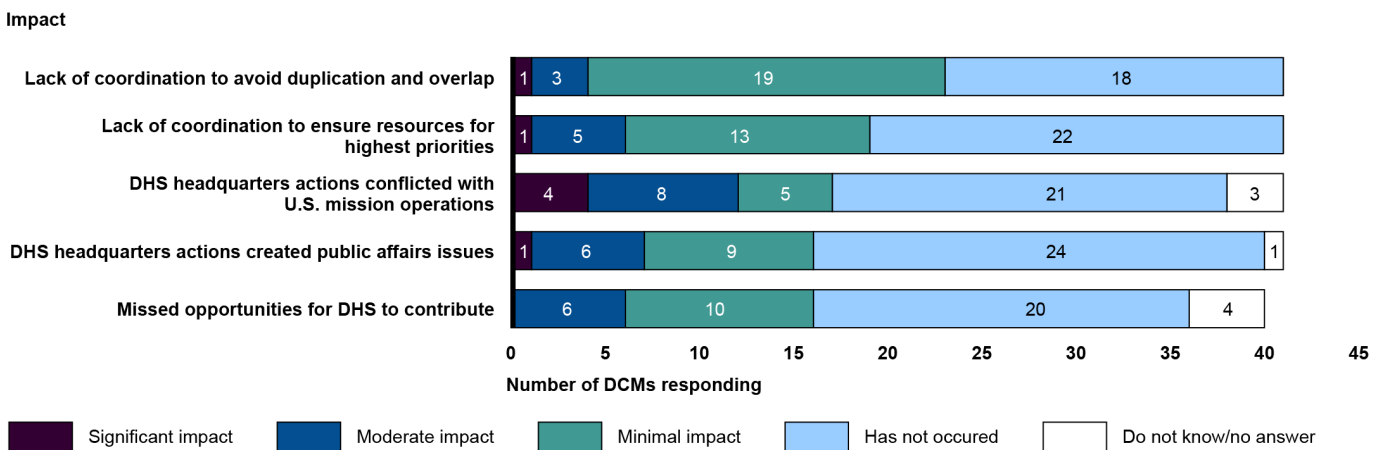
²⁶Throughout this discussion, for the purposes of this report, the term *DHS domestic management* means operational and policy decision makers who are not stationed abroad that may be acting on behalf of DHS or any of its components.

contacts with foreign partners, effectively communicate meeting outcomes, and develop long term strategic plans.

Some respondents elaborated about the extent to which U.S. mission understanding of DHS’s role is a challenge. For example, one DHS respondent commented that in larger embassies the mission of counterterrorism is focused on other agencies, and DHS sometimes does not have the opportunity to discuss what it can offer. Another DHS respondent indicated that other mission personnel do not understand exactly the role of DHS and how it contributes to mission-related objectives.

We also surveyed DCMs and DHS attachés about the extent to which the challenges they have experienced have affected DHS’s ability to contribute—for example, by creating conflicts, missed opportunities, project delays, or unnecessary overlap. As shown in figures 9 and 10, for all impacts that might have arisen from the identified challenges, more than two-thirds of respondents said the impact was minimal or did not affect them.

Figure 9: Impact as a Result of Challenges on Department of Homeland Security’s (DHS) Contributions to U.S. Government-wide Combating Terrorism Goals, Ranked by Frequency of Deputy Chiefs of Mission Reporting Some Level of Impact

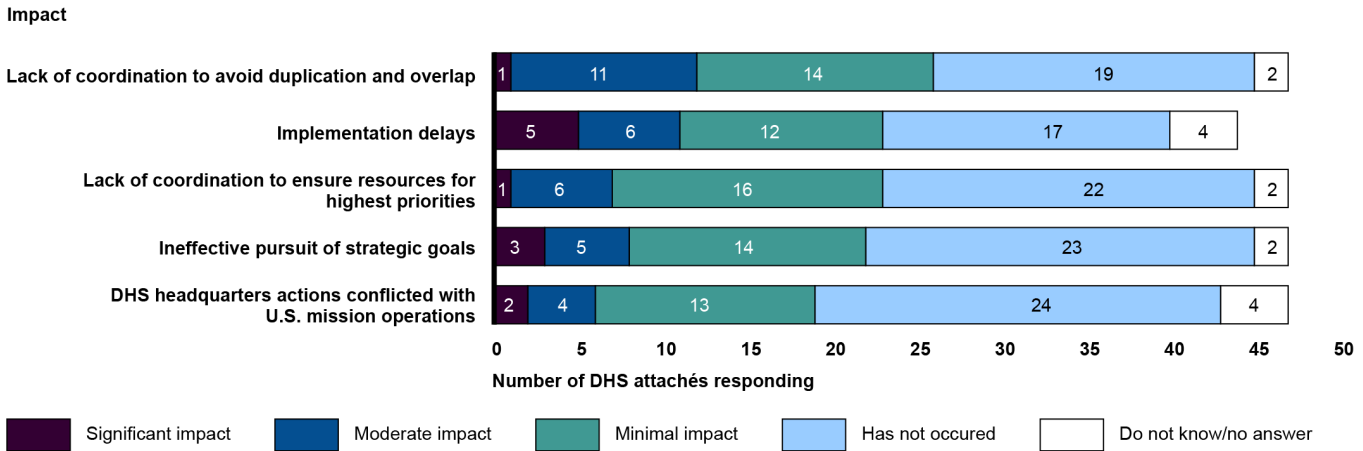


Source: GAO analysis of survey data.

Notes: The deputy chief of mission (DCM) is the second in command of a U.S. mission and is always a career Foreign Service Officer. The DCM supervises department heads within the mission, and deals with many issues pertaining to the day-to-day operation of the mission.

Forty-one DCMs responded to the survey, but in some cases not all respondents answered every item, so total respondents for a specific item may vary.

Figure 10: Impact as a Result of Challenges on Department of Homeland Security’s (DHS) Contributions to U.S. Government-wide Combating Terrorism Goals, Ranked by Frequency of DHS Attachés Reporting Some Level of Impact



Source: GAO analysis of survey data.

Note: Forty-seven DHS attachés responded to the survey, but in some cases not all respondents answered every item, so total respondents for a specific item may vary.

DHS Has Acted to Enhance Department-wide Alignment, but Could Have Better Assurance That Resources Abroad Support Highest Priorities

DHS has taken actions to increase organizational and programmatic alignment for its resource use abroad—including establishing an intradepartmental governance board, reviewing the department’s international footprint, and creating a department-wide international engagement plan. However, DHS has not established mechanisms to help ensure that decisions to deploy resources abroad—which are made at the individual component level—effectively, efficiently, and consistently align with department-wide strategic priorities.

DHS Has Taken Some Actions to Enhance Department-wide Organizational and Programmatic Alignment across Its Resource Deployment Abroad

DHS’s QHSR calls for a specific focus on strengthening the homeland security enterprise, in part by maturing the department. According to the QHSR, critical aspects of maturing the department include (1) improved organizational alignment—particularly among DHS headquarters components—(2) enhanced programmatic alignment to the homeland security missions; and (3) more efficient and effective management processes, including strategic planning, performance management, and accounting structures. To that end, DHS and OIA have taken three actions related to its resource use abroad since 2010.

-
- *Establishment of the DHS International Governance Board in August 2012.* The board is chaired by the Assistant Secretary for International Affairs and composed of heads of international affairs from the DHS components. The board provides a formal organizational mechanism for the component heads and OIA to collaborate and coordinate crosscutting policy issues related to international engagement. According to OIA officials, since its establishment, the board has met monthly to discuss and resolve issues like designating DHS attachés, expanding criminal history information sharing for law enforcement, responding to a new presidential directive that calls for interagency collaboration to enhance security capacity around the globe, and coordinating with State on DHS’s presence abroad. For example, in May 2013 the group considered who should be designated the DHS attaché in a country where two components had recently established offices.
 - *Review of the DHS international footprint.* Over the period spanning 2011 and early 2012, DHS reviewed the department’s international footprint—the complete set of resources and efforts DHS had deployed abroad—with the intention of enhancing organizational and programmatic alignment. This “footprint review” was led by OIA, in coordination with component heads, and it evaluated the placement of resources on the basis of the QHSR’s five strategic missions, cost, and potential for engagement with host nations.²⁷ In at least one case, according to OIA officials, this resulted in components reducing FTEs in one country and increasing them in another—generally in response to the potential to achieve key strategic priorities by strengthening engagement in the country where they increased the resources and to realize cost savings.
 - *Creation of an international engagement plan.* In March 2013, the Secretary of Homeland Security signed DHS’s first International Engagement Plan. To promote common international objectives and priorities across the department, the plan maps key activities abroad to DHS’s five strategic missions. It also includes specific strategies in separate international engagement plans for various regions of the world including Canada; Mexico; Latin America and the Caribbean;

²⁷The QHSR lays out five key missions—(1) Preventing Terrorism and Enhancing Security, (2) Securing Our Borders, (3) Enforcing and Administering Immigration Laws, (4) Safeguarding and Securing Cyberspace, and (5) Ensuring Resilience to Disasters.

Europe; the Middle East, Africa, and South Asia; and Asia Pacific.²⁸ Each regional international engagement plan discusses DHS interests, challenges and opportunities, and strategic objectives, among other things. For example, the plan on Mexico states that the flow of goods and people through the Western Hemisphere and across the United States border, particularly those flows originating in or transiting through Mexico, represent both the most significant challenges and the best opportunities for DHS.

DHS Has Not Established Mechanisms to Help Ensure Department-wide Organizational and Programmatic Alignment in Its Resource Use Abroad

Although a stated goal of DHS's QHSR is to strengthen the homeland security enterprise and mature the department through improved organizational alignment across the components and programmatic alignment to homeland security missions, DHS has not established mechanisms to help provide assurance of alignment of its resource use abroad with department-wide and government-wide strategic priorities. Specifically, it (1) has not established specific department-wide strategic priorities to guide organizational and programmatic alignment; (2) does not have an institutionalized mechanism to ensure ongoing monitoring of alignment between resource use and strategic priorities;²⁹ and (3) does not have the means to produce reliable, comparable cost data to support analysis of organizational and programmatic alignment in its department-wide resource use abroad.

Standards for Internal Control in the Federal Government calls for agencies to implement policies, procedures, techniques, and mechanisms to enforce management's directives—for example, to help achieve the goals of organizational and programmatic alignment and efficient, effective management processes around its resource deployment abroad. In addition, the standards call for agencies to ensure that ongoing monitoring occurs in the course of normal operations, is performed continually, and is ingrained in the agency's operations. Finally, the

²⁸The International Engagement Plan also includes a section on the Visa Waiver Program, which currently allows eligible nationals from 37 countries to travel to the United States visa-free for up to 90 days for business or tourism. See 8 U.S.C. § 1187 (authorizing establishment of a visa waiver program).

²⁹Institutionalization translates an organization's code of conduct, mission, policies, vision, and strategic plans into action guidelines applicable to its daily activities. It aims at integrating fundamental values and objectives into the organization's culture and structure.

DHS Has Not Established
Specific Department-wide
Strategic Priorities

standards say that relevant, reliable, and timely information should be available to help an agency achieve its objectives.³⁰

Although DHS has a broad mission set and decision making about resource use abroad is decentralized, it has not established specific department-wide strategic priorities—such as specific types of activities or target regions to further combating terrorism goals—for resource use abroad to help promote organizational alignment in resource decision making. DHS is tasked with a variety of responsibilities that are not directly aimed at preventing terrorist attacks. In the course of efforts to secure the homeland, some activities focus more broadly on transnational crime such as narcotics and human smuggling, money laundering, and immigration fraud that could be, in some cases, enablers for terrorist networks. In addition, the QHSR notes that DHS’s missions are multifaceted by nature, and efforts to fulfill them also involve promoting legitimate trade, travel, and immigration.

DHS’s *International Engagement Plan* links the five QHSR missions to the kinds of activities that DHS conducts abroad. In this way, it helps ensure programmatic alignment to homeland security missions at a high level. However, it does not establish specific priorities to help guide resource decision making. For example, our analysis of DHS’s *International Engagement Plan* found that although there were goals listed for each region, there was no ordering of priorities by region, by source of terrorism, by function, or by goal (e.g., combating international terrorism). Because the plan covers all mission activities described within the QHSR without clear, specific priorities, it does not convey information about what might be most important when deciding how to deploy scarce resources.

The lack of specific department-wide strategic priorities for resource use abroad also creates limitations in DHS’s ability to help ensure alignment of its priorities and abilities with government-wide efforts. Officials in the Office of Counterterrorism Policy and in OIA stated that DHS’s highest priority for resource use abroad is prevention of attacks on the homeland. Focusing on preventing attacks on the homeland is consistent with the National Security Strategy’s and the National Strategy for Counterterrorism’s calls for the use of homeland security tools to promote

³⁰[GAO/AIMD-00-21.3.1.](#)

national security and counter terrorism. However, DHS's Office of Counterterrorism Policy officials told us that because the regional plans within DHS's *International Engagement Plan* covers all countries with which DHS engages, from Canada to Afghanistan, the plan does not represent a clear priority focus on countries with factors that represent more immediate threats to the homeland. They noted that in their engagement with the White House and other federal partners for government-wide counterterrorism efforts, DHS's *International Engagement Plan*—because it covers all DHS missions, not just counterterrorism—does not help them demonstrate DHS's counterterrorism priorities within its overall international engagement.

According to OIA officials, the *International Engagement Plan* lays out in one place for the first time all of DHS's international activities in an effort to improve organizational and programmatic resource alignment. However, they acknowledged that it does not necessarily serve to identify a clear set of priorities and principles that would help to guide future resource decisions. Instead, it represents more of a compendium of the many activities and priorities each of the contributing components and offices within DHS already had planned or under way. They noted that having a crosscutting view of all the activities and goals across the international footprint is a significant step forward for the department. They also said that more clarity on strategic priorities in future iterations would help ensure better organizational and programmatic alignment, but current priorities are largely determined independently by each component, and the department has not established a routine and crosscutting process for clarifying department-wide priorities. Specific strategic priorities would provide DHS critical information to guide resource trade-off decisions and ensure that resources are directed to the highest homeland security priorities across the department and government-wide.

DHS Does Not Have an Institutionalized Mechanism to Monitor Organizational and Programmatic Alignment

Although OIA conducted a one-time exercise to evaluate the department's international footprint to try to bring it into better organizational and programmatic alignment, DHS has not established a routine or ingrained process that would continually assess the alignment between strategic goals and resource decisions. Each of the operational components we interviewed described different rationales and methods for deciding where and how many resources to deploy around the world.

OIA officials acknowledged the need for mechanisms—such as the footprint review—to be conducted routinely in order to meet the goal of facilitating enhanced organizational and programmatic alignment. They

DHS Does Not Have
Comparable Cost Data to Help
Inform Resource Trade-off
Decisions

also said the development of an institutionalized mechanism that includes department-wide methods and metrics that were meaningful to all of the components would help provide coherent strategic overlay to give the department better assurance of alignment between resource use and strategic priorities. These OIA officials added that they would like to enhance the rigor of the footprint review process and implement it on a routine basis, but have not done so because of resource limitations and competing priorities. Officials noted that ensuring a coherent department-wide approach to resource use abroad is an important goal. However, they said the first review was a major undertaking. They stated they have not devised an approach for implementing a routine, ingrained process with department-wide methods and metrics.

Given that DHS's components make individual decisions about resource deployment abroad, an institutionalized mechanism—whether it is enhancement and institutionalization of the footprint review or another control activity—to help routinely monitor and adjust organizational and programmatic alignment across the department would provide DHS better assurance that its strategic priorities translate to resource use decisions on an ongoing basis to support the QHSR's goals.

DHS does not have comparable cost data for its programs and activities abroad and has not established a standardized framework to capture these data to help inform resource decision making and to achieve management efficiencies when addressing issues that are common across the department. To achieve the organizational and programmatic alignment called for by the QHSR, it is important for decision makers at the component level to have information that helps promote such alignment on an ongoing basis and during routine monitoring activities.³¹

However, each of the components tracks its international expenditures differently, and according to OIA officials, the effort to collect comparable information that reliably informs management decision making has been

³¹[GAO/AIMD-00-21.3.1.](#)

challenging.³² According to OIA officials, a standardized reporting framework for the costs of conducting activities abroad—for example, salaries, housing, and fees paid to embassies to cover certain administrative and security costs—across the department could enable OIA to identify best practices that could lead to cost savings in international deployments and enhance the ability to assess the outcomes and cost-effectiveness of programs and activities carried out abroad. A framework to help capture comparable cost data department-wide could provide with DHS critical information to make informed resource trade-off decisions and increase cost efficiency.

Conclusions

Combating terrorism is a government-wide responsibility, which requires contributions from departments and agencies across the U.S. government. DHS and its components have made meaningful contributions by carrying out key homeland security activities abroad and through international engagement that helps other nations strengthen their security functions, making it harder for terrorists to operate globally.

Although the operational decisions to deploy resources abroad are generally made by individual DHS components, DHS's QHSR calls for efforts to mature the department through improved organizational and programmatic alignment around specific mission objectives like international engagement and combating terrorism. DHS has made some progress toward such alignment across its international footprint with recent actions it has taken—like completing an international footprint review that provided the department with an opportunity to help ensure that resources deployed abroad are devoted to the highest department- and government-wide priorities. However, the one-time review has not been established as an institutional process to help ensure alignment between priorities and resource decisions on an ongoing basis. Therefore, DHS does not have full assurance that department-wide priorities translate to resource-tradeoff decisions at the component level. Moreover, there are limitations that hamper DHS's ability to consider two

³²We and the component budget offices encountered similar challenges producing cost data for this report. Although we determined that the data were sufficiently reliable to report a general estimate of expenditures for programs and activities abroad, in many cases it took months to produce the expenditure data and some components reported to us that meeting the request was difficult. After attempting to collect separate expenditure data for training and technical assistance expenditures, we ultimately determined that sufficiently reliable data were not available.

key factors for resource trade-off decisions—strategic priorities and cost. Although DHS’s *International Engagement Plan* describes how programmatic activities abroad align with the five missions outlined in the QHSR, these documents do not establish clear and specific strategic priorities for resource deployment abroad.

In addition, without a common framework for tracking international expenditures across the department, DHS is limited in its ability to make informed resource trade-off decisions. An institutionalized process for a routine strategic review of DHS’s international footprint, supported by clear and specific priorities to inform trade-offs and a framework to capture comparable and reliable cost data across the department could help provide better assurance of organizational and programmatic alignment.

Recommendations for Executive Action

In order to help ensure that DHS’s resource use abroad aligns with the highest department-wide and U.S. government-wide priorities, we recommend that the Secretary of Homeland Security take the following three actions:

- establish specific department-wide priorities for resource use abroad;
- establish a routine, institutionalized mechanism to ensure alignment of the department’s resource use abroad with the highest department-wide and government-wide strategic priorities; and
- establish a common reporting framework to allow for the collection of reliable, comparable department-wide cost data for resource use abroad.

Agency Comments and Our Evaluation

We provided a draft of this report to DHS and received written comments, which are reproduced in full in appendix V. We also provided a draft of this report to State and the Departments of Defense and Justice, which did not provide written comments. DHS and State provided technical comments, which we incorporated as appropriate.

DHS concurred with all three recommendations, noting that it will take steps to implement them. With respect to the first recommendation, DHS stated that it will shape its *International Engagement Plan* into a more specific, comprehensive, and strategic plan for resource allocation abroad

across the Department's international organizations, with an estimated completion date of March 31, 2014.

Regarding the second recommendation, DHS stated that it will develop a methodology and system for tracking newly identified strategic priorities and objectives that meet DHS and U.S. Government-wide priorities related to counterterrorism, with an estimated completion date of September 30, 2014.

Finally, for the third recommendation, DHS stated that it will establish a working group to focus on a Department-wide system to capture individual component expenditure data and represent the information in a cohesive, comparable manner, with an estimated completion date of September 30, 2014.

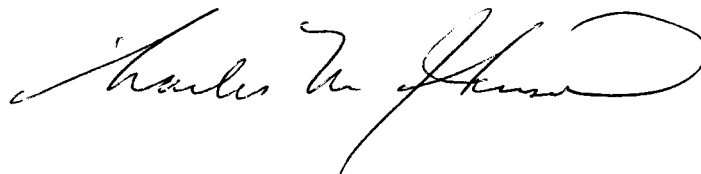
We believe these actions, if fully implemented, will address the intent of our recommendations.

As agreed with your offices, unless you publicly announce the contents of this report earlier, we plan no further distribution until 30 days from the report date. At that time, we will send copies to Secretaries of Defense, Homeland Security, and State; the Attorney General; selected congressional committees; and other interested parties. In addition, the report will be available at no charge on the GAO website at <http://www.gao.gov>.

If you or your staff have any further questions about this report, please contact Dave Maurer at (202) 512-9627 or MaurerD@gao.gov, or Charles Michael Johnson, Jr., at (202) 512-7331 or JohnsonCM@gao.gov. Contact points for our Offices of Congressional Relations and Public Affairs may be found on the last page of this report. Key contributors to this report are listed in appendix VI.



David C. Maurer
Director, Homeland Security and Justice Team



Charles Michael Johnson, Jr.
Director, International Affairs and Trade Team

Appendix I: Objectives, Scope, and Methodology

Our objectives were to answer the following questions: (1) What programs, activities, and resources does the Department of Homeland Security (DHS) have abroad to help combat terrorism? (2) How, if at all, has DHS contributed to U.S. missions' efforts to combat terrorism and what factors, if any, have facilitated or hampered those contributions? (3) To what extent has DHS taken action to align its resource use abroad with departmental and government-wide strategic priorities?

To define the scope of activities and resources to be included in this performance audit, we reviewed and analyzed key government-wide strategies related to combating terrorism—the May 2010 *National Security Strategy* and the July 2011 *National Strategy for Combating Terrorism*. We also reviewed DHS documents designed to establish its mission and goals such as the 2010 *Quadrennial Homeland Security Review* (QHRSR), *DHS's Strategic Plan FY2012-2016*, and *DHS's Performance and Accountability Report 2011-2013*. Additionally, we reviewed DHS program documentation related to activities established in those documents. We also reviewed and discussed findings with the DHS Office of Inspector General officials responsible for a 2008 report that made a number of recommendations designed to enhance DHS's management of international affairs.¹

We also interviewed officials in DHS Office of International Affairs (OIA) and the Office of Counterterrorism Policy within DHS's Office of Policy about the nature and scope of DHS activities abroad and DHS counterterrorism activities. In addition, we interviewed officials from the Department of State's (State) Bureaus for Counterterrorism, Diplomatic Security, and Consular Affairs about the nature and scope of their coordination between their efforts and DHS efforts abroad, because these bureaus have efforts that involved collaboration with DHS abroad. On the basis of those document reviews and interviews, we determined that the DHS operational components with mission activities most relevant for a review of DHS efforts abroad to combat terrorism included U.S. Customs and Border Protection (CBP), U.S. Immigration and Customs Enforcement (ICE), Transportation Security Administration (TSA), U.S. Coast Guard (USCG), U.S. Citizenship and Immigration Services (USCIS), and U.S. Secret Service (USSS).

¹DHS Office of Inspector General, *Management of Department of Homeland Security International Activities and Interests*, OIG-08-71 (Washington, D.C.: June 24, 2008).

To identify the programs and activities that DHS has to help combat terrorism abroad, on the basis of our interviews with the DHS components and offices and the State bureau officials, we established a definition of combating terrorism for the purposes of identifying and collecting data on programs and activities: Any DHS program or activity that in the course of its normal operation may have the effect of thwarting terrorists or their plots whether designed solely and specifically for that purpose or not. Using that definition and through reviews of our prior work and DHS program documentation, we independently identified the list of programs and activities that constitute DHS's efforts to combat terrorism abroad. We then verified the list with DHS officials responsible for various programs, refining it, as appropriate.

To identify resources used abroad in support of these programs and activities, we asked DHS to provide expenditure and related data. On the basis of our interviews with OIA and budget officials from the six DHS operational components in our review, we determined that because DHS's missions involve carrying out activities for multifaceted purposes, it would not be possible to isolate expenditures abroad for combating terrorism from expenditures abroad to carry out other mission activities. Therefore, we asked OIA and the six operational components in our review to provide data separately on all expenditures abroad, as well as data specific to training and technical assistance activities that met our definition for combating terrorism, for fiscal years 2008 through 2012.

For the 5 years of expenditure data, we checked for consistency and reasonableness and discussed data reliability controls with OIA and each component office that provided it to determine how the data were collected and what controls were in place to help ensure its accuracy, among other things. We found that because of the differences in missions and methods for tracking expenditure data, the data sets provided by the components had some variations in the elements included in the data sets and limitations in the ability to isolate expenditures by country. In these cases, we attempted to harmonize the data definitions across the component data sets and worked with DHS component officials to agree on methods for estimating expenditures by country. For example, the individual country break-down of travel costs in USCIS's Refugee Affairs Division was not consistently tracked separately by country, because the program's activities commonly involved multicountry trips. To obtain travel costs for this program, USCIS joined three different sets of data: obligations, itineraries, and the central bill account for travel reimbursements. In fiscal year 2012, there were approximately 500 international travel authorizations. Of these, about 400 were for a single

country. For the remaining multicountry itineraries, USCIS calculated expenditures by country by using the number of days spent in each country to calculate a percentage and divide the total itinerary cost. For example, on a \$10,000 trip visiting country A for 4 days and country B for 6 days, expenditures would be calculated as \$4,000 in country A and \$6,000 in country B.

We noted any remaining differences among component expenditure data sets, as necessary (see also app. III). On the basis of our discussions with knowledgeable DHS officials and the actions we took, we found that the data were sufficiently reliable for the purposes of providing a general estimate of expenditures abroad for fiscal years 2008 through 2012, with the additional information provided. The full-time-equivalent employees (FTE) stationed abroad are monitored at DHS through its Overseas Personnel and Activities Locator, which is maintained by DHS Office of Operations Coordination and Planning. The locator is updated monthly with self-reported data from the components, which may capture some personnel on travel duty in addition to permanently deployed FTEs. We collected these data for May 2013, the most recent month for which DHS was able to provide the data during the period of our study. On the basis of discussions about the system and relevant control activities with the responsible officials, we determined that these data were sufficiently reliable for the purposes of reporting FTEs abroad during the specified month in which they were collected.

For the data we gathered on training and technical assistance activities for fiscal years 2008 through 2012, we attempted to obtain the number of personnel and expenditures dedicated to staff who conducted training and technical assistance on a temporary basis, but some components were unable to provide data for multiple fiscal years, and we encountered numerous challenges, such as inconsistent data definitions and lack of confidence by DHS officials in the accuracy or completeness of the data. As a result, we did not include this information in our report. However, we determined that information the six DHS operational components in our review were able to provide was sufficiently reliable for the purpose of reporting the foreign nation whose officials received DHS-delivered training and technical assistance. We made this determination on the basis of checks for reasonableness and discussions with responsible DHS officials about the steps taken to help ensure accuracy of the data.

To examine how DHS has contributed to U.S. missions' efforts to combat terrorism and the factors that have facilitated or hampered those contributions, we reviewed documentation about DHS's component

activities abroad and State programs and activities on which DHS collaborates. We also relied on our interviews with agency officials and web-based surveys of deputy chiefs of mission (DCM) and DHS attachés in U.S. missions where DHS components were stationed in the embassy. We interviewed officials from DHS OIA and the Office of Counterterrorism Policy with DHS's Office of Policy; the six operational DHS operational components; and the State Bureaus for Counterterrorism, Diplomatic Security, and Consular Affairs about the nature and scope of DHS activities abroad and coordination with State.

We visited 10 U.S. missions where FTEs from one or more DHS components were stationed. During these visits, we interviewed officials from DHS, generally including the DHS attaché and other senior DHS officials at the U.S. mission. We also interviewed State officials, including the DCM at each mission and other senior officials with responsibility for programs abroad that involve coordination or collaboration with DHS. On the basis of advice from State and DHS personnel at each U.S. mission, as well as availability and relevance, we also interviewed some officials from the Departments of Defense and Justice that may collaborate with DHS abroad. We conducted a total of 70 interviews. During these interviews, we asked questions and gathered specific examples of how DHS works abroad with federal partners under the authority of the chief of mission to help support government-wide efforts to combat terrorism.

To provide balance and diversity, we selected the 10 U.S. mission sites based on a range of factors, including

- the nature and scope of DHS's presence abroad—for example, the number of components represented and the size of the overall DHS deployment;
- indicators of terrorism risk—specifically we considered (1) inclusion in CBP's Aliens from Special Interest Countries,² (2) State's country reports on terrorism, (3) designation as a terrorist safe haven, and (4) advice from DHS and State subject matter experts;

²CBP has identified 35 countries and two territories as special interest countries. For any person taken into custody at the border from one of the countries or territories, agents are required to undertake specific measures.

- safety, security, and related logistical concerns—based on State advice; and
- the opportunity to leverage resources.³

We visited Mexico City, Mexico; Panama City, Panama; Buenos Aires, Argentina; Manila, the Philippines; Tokyo, Japan; Jakarta, Indonesia; Singapore; Amman, Jordan; Kabul, Afghanistan; and Abu Dhabi and Dubai, United Arab Emirates. The results from our visits to these 10 countries cannot be generalized; however, the visits provided insights on how DHS contributes to U.S. mission combating terrorism efforts, what is working well, and any barriers to effective contribution.

We analyzed the responses to our interviews about the nature and scope of DHS activities abroad and DHS counterterrorism activities with State and DHS officials at headquarters and with federal officials in the first 3 of the 10 site visits, to identify types of knowledge and skill contributions DHS has made to U.S. missions and any challenges and impacts DHS and its federal partners have encountered. We also relied on this set of interviews to identify factors that helped to facilitate DHS contributions in the U.S. mission environment. Because a U.S. mission is an inherently interagency environment, in addition to the interview responses, we considered the practices and considerations for promoting effective interagency collaboration outlined in two prior GAO reports when identifying factors that facilitate DHS's ability to contribute its knowledge and skills.⁴

We used this analysis to develop two web-based surveys to be administered to all DCMs and DHS attachés in U.S. missions where one or more DHS components had FTEs stationed in the embassy. We

³We coordinated with two other GAO engagement teams who were also conducting international travel to arrange for them to conduct interviews with DCMs and key DHS officials in five of the countries we visited.

⁴GAO, *Managing for Results: Key Considerations for Implementing Interagency Collaborative Mechanisms*, [GAO-12-1022](#) (Washington, D.C.: Sept. 27, 2012), and *Results-Oriented Government: Practices That Can Help Enhance and Sustain Collaboration among Federal Agencies*, [GAO-06-15](#) (Washington, D.C.: Oct. 21, 2005). These reports describe specific practices and considerations to help enhance and sustain interagency collaboration. We analyzed the application of these practices and considerations to DHS's ability to contribute to U.S. missions' combating terrorism efforts and included key concepts and principles in the survey language as applicable.

identified all DCMs and DHS attachés meeting this definition from lists provided to us by State for DCMs and DHS OIA for DHS attachés. Our final survey populations included DCMs and DHS attachés in 57 U.S. missions. We selected DCMs to provide a perspective from State because the DCM supervises department heads within the U.S. mission and handles many issues pertaining to the day-to-day operation of the mission. We selected DHS attachés to provide a perspective from DHS because these officials act as the in-country representatives for DHS.

We conducted survey pretests with five DHS attachés and three DCMs, a mix of officials with whom we had already met and with whom we had never discussed the purpose of our evaluation. During the pretests, we worked with the respondents to ensure the clarity and appropriateness of the language and questions in the survey. We also discussed with respondents the comprehensiveness of the lists we had developed—DHS contributions, facilitation factors, challenges, and impacts. On the basis of pretest feedback, we further refined our analysis of these items. In addition, to provide further assurance that our analysis was comprehensive in identifying DHS contributions, facilitation factors, challenges, and impacts, we included in our survey questionnaires open-ended questions that allowed respondents to provide additional information about these items.

We administered the surveys between April 16, and July 19, 2013, to DCMs and DHS attachés in the 57 U.S. missions. We sent follow-up e-mail messages on April 24, 2013, May 1, 2013, and May 13, 2013, to those who had not yet completed the survey. Overall, we received responses from 41 DCMs and 47 DHS attachés, yielding a response rate of 72 percent and 82 percent, respectively. We ran comparative tests on the responses for factors, challenges, and impacts on the responses provided by DCMs and DHS attachés, and found no significant differences between the two groups. Additionally, in the survey we asked both groups to identify which facilitation factors were important, and in separate questions asked them to identify which were in place and operating effectively. We checked the responses for the factors most frequently identified as important against the factors in place and operating effectively and found no meaningful systematic trends indicating that any single factor was not in place across the embassies we surveyed.

Because this was not a sample survey, it has no sampling errors. However, the practical difficulties of conducting any survey may introduce errors, commonly referred to as nonsampling errors. For example,

difficulties in interpreting a particular question, sources of information available to respondents, or entering data into a database or analyzing them can introduce unwanted variability into the survey results. We took steps in developing the questionnaire, collecting the data, and analyzing them to minimize such nonsampling errors. In addition to pretesting our survey questionnaires as already mentioned, we worked with our social science survey specialists to design the questionnaire, and the questionnaires went through internal reviews with independent survey experts. When we analyzed the data, an independent analyst checked all computer programs. Since this was a web-based questionnaire, respondents entered their answers directly into the electronic questionnaire, eliminating the need to key data into a database, minimizing error. See appendix IV for survey results for contributions, challenges, and impacts.

To evaluate the extent to which DHS has taken action to align its resource use abroad with departmental and government-wide strategic priorities, we analyzed DHS's QHSR, in particular its prescriptions for maturing the department. These prescriptions include improving organizational alignment—particularly among operational components—enhanced programmatic alignment to the homeland security missions, and more efficient and effective management processes, including strategic planning, performance management, and accounting structure.

Standards for Internal Control in the Federal Government calls for control activities—that is policies, procedures, techniques, and mechanisms—to enforce management's directives.⁵ In this respect, we evaluated the extent to which DHS had control activities in place to help achieve the goals of organizational and programmatic alignment and efficient, effective management processes around its resource deployment abroad. To evaluate the extent to which DHS had mechanisms in place designed to provide reasonable assurance of achieving its stated goal of department-wide organizational and programmatic alignment in the allocation and deployment of resources abroad, we reviewed documentation such as DHS's Management Directive that describes roles and responsibility for managing international affairs. We also interviewed officials in OIA, the six DHS components in our review, and DHS's Office of Policy about how decisions to deploy resources abroad are made and

⁵[GAO/AIMD-00-21.3.1](#).

the extent to which they undertake efforts to facilitate programmatic and organizational alignment across the complete set of resources and efforts DHS deploys abroad. We also interviewed officials in the Office of Counterterrorism Policy within DHS's Office of Policy about how DHS and government-wide counterterrorism goals inform resource use decisions.

We conducted this performance audit from October 2012 to September 2013 in accordance with generally accepted government auditing standards. Those standards require that we plan and perform the audit to obtain sufficient, appropriate evidence to provide a reasonable basis for our findings and conclusions based on our audit objectives. We believe that the evidence obtained provides a reasonable basis for our findings and conclusions based on our audit objectives.

Appendix II: Training or Technical Assistance and Expenditure Data for Figures 1 and 3

Table 5 shows the number of training or technical assistance activities provided by components, by country in fiscal year 2012.

Table 5: Data for Figure 1, Countries Participating in Department of Homeland Security (DHS) Training or Technical Assistance that Can Help Combat Terrorism in Fiscal Year 2012

Country	CBP	ICE	TSA	USCG	USCIS	USSS	DHS Total
Afghanistan	3	5				1	9
Albania	2	1	1			1	5
Algeria	2	3					5
Angola			1				1
Anguilla			1				1
Antigua and Barbuda		2	2	1			5
Argentina	1	6	1	1			9
Armenia		2					2
Aruba			5				5
Australia		1	5			4	10
Austria		1	1			1	3
Azerbaijan		2					2
Bahamas		2	15	2			19
Bahrain			2	1			3
Bangladesh		2					2
Barbados	3	2	4	3			12
Belarus		1					1
Belgium			1			1	2
Belize	5	1	6	2			14
Benin				2			2
Bermuda			2				2
Bolivia		1	2				3
Bonaire			1				1
Bosnia and Herzegovina		2					2
Botswana	5	1	1				7
Brazil		3	10	3		2	18
Brunei		2					2
Bulgaria			1			3	4
Burkina Faso			1				1
Burma				2			2

**Appendix II: Training or Technical Assistance
and Expenditure Data for Figures 1 and 3**

Country	CBP	ICE	TSA	USCG	USCIS	USSS	DHS Total
Cambodia		1		3			4
Cameroon				2			2
Canada			25			1	26
Cape Verde			2	2			4
Cayman Islands			1				1
Chile		1	2				3
China	2	2	3		1		8
Colombia	2	11	6	1		2	22
Cook Islands			2				2
Costa Rica	10	3	3			1	17
Croatia						1	1
Cuba		1	7				8
Curaçao			1	1			2
Cyprus		1	1				2
Czech Republic	1	1				2	4
Democratic Republic of Congo				1			1
Denmark		1	1	1			3
Djibouti		2		2			4
Dominica		2	2				4
Dominican Republic	1	5	7	5			18
Ecuador		4	4	1		1	10
Egypt		1	2				3
El Salvador	5	3	3				11
Estonia						3	3
Ethiopia		2	1				3
Federated States of Micronesia			7				7
Fiji			3	3			6
Finland						1	1
France			4			3	7
Gabon				1			1
Gambia		2	1	1			4
Georgia		2				1	3
Germany			3			2	5
Ghana		2	2				4
Greece		2	2			2	6
Grenada		1	3				4

**Appendix II: Training or Technical Assistance
and Expenditure Data for Figures 1 and 3**

Country	CBP	ICE	TSA	USCG	USCIS	USSS	DHS Total
Guadeloupe			1				1
Guatemala	5	4	2	2			13
Guinea			1				1
Guyana		1	4	4			9
Haiti		1	10	1			12
Honduras	3	1	4	2			10
Hong Kong ^a		1	1			1	3
Hungary	8					1	9
Iceland			1			1	2
India	3	1	2	1			7
Indonesia		2		2			4
Iraq	3	2	2	1			8
Ireland		1	3			1	5
Israel			1			1	2
Italy	2		7			2	11
Ivory Coast		1		1			2
Jamaica		2	5	5			12
Japan			15				15
Jordan		3	1	1			5
Kazakhstan	1					1	2
Kenya	1	2	1	1			5
Kiribati			3				3
Kosovo		1	1				2
Kuwait			5	1			6
Kyrgyzstan	2						2
Laos		1					1
Latvia			1			1	2
Lebanon	3			1			4
Lesotho		2					2
Liberia		1	4	1			6
Libya	2						2
Liechtenstein		1					1
Lithuania						1	1
Luxembourg			1				1
Macedonia		2					2
Madagascar				1			1
Malaysia		3		2		1	6

**Appendix II: Training or Technical Assistance
and Expenditure Data for Figures 1 and 3**

Country	CBP	ICE	TSA	USCG	USCIS	USSS	DHS Total
Maldives				2			2
Malta	1		2			1	4
Marshall Islands			2	1			3
Mauritania				1			1
Mauritius		1					1
Mexico	12	8	53	3	2		78
Moldova		2				2	4
Monaco				1			1
Montenegro		2		1			3
Morocco	1	11	1				13
Mozambique				4			4
Namibia		1	1	1			3
Nepal		1					1
Netherlands						1	1
New Zealand			1	1			2
Nicaragua	2	1	2	1			6
Nigeria		4	2	1			7
Norway			1				1
Oman	5						5
Pakistan		6	2				8
Palau			2				2
Panama	14	7	4	2			27
Papua New Guinea				2			2
Paraguay		8	1				9
Peru		1	2	1	5	1	10
Philippines	2	4	3	2	1	1	13
Poland			3			1	4
Portugal			2			1	3
Qatar	1		1				2
Republic of Congo				1			1
Romania		1				3	4
Russia			3	1		1	5
Saint Kitts and Nevis		1	4	1			6
Saint Lucia		2	5				7
Saint Maarten			2				2
Saint Vincent and the Grenadines			2				2

**Appendix II: Training or Technical Assistance
and Expenditure Data for Figures 1 and 3**

Country	CBP	ICE	TSA	USCG	USCIS	USSS	DHS Total
Samoa			2	1			3
Saudi Arabia	1	1	4				6
Senegal		3	1	2			6
Serbia		2	1				3
Sierra Leone		1		1			2
Singapore			1				1
Slovak Republic		2				2	4
Slovenia						1	1
South Africa	2	1	4	2		1	10
South Korea	1		1	1		1	4
Spain			3			1	4
Suriname		1	5	1			7
Swaziland		1					1
Sweden			1				1
Switzerland			5			2	7
Taiwan ^b	2	1	1	1			5
Tajikistan	3						3
Tanzania		2		6			8
Thailand	1	1	3	6	4	2	17
Timor Leste		1					1
Togo				1			1
Tonga				1			1
Trinidad and Tobago		2	4	1			7
Tunisia				1			1
Turkey	2	1	3	1		1	8
Turks and Caicos Islands			1				1
United Arab Emirates	3	3	3	1			10
Ukraine		2		2			4
United Kingdom			6			1	7
Uruguay		3	1				4
Uzbekistan	2	1					3
Venezuela		2					2
Vietnam	1		1	2			4
Virgin Islands (British)			1				1
Yemen		2					2

**Appendix II: Training or Technical Assistance
and Expenditure Data for Figures 1 and 3**

Country	CBP	ICE	TSA	USCG	USCIS	USSS	DHS Total
Zambia		1					1
Total Foreign Participation	131	218	390	125	13	68	945

Legend: CBP = U.S. Customs and Border Protection, ICE = U.S. Immigration and Customs Enforcement, TSA = Transportation Security Administration, USCG = U.S. Coast Guard, USCIS = U.S. Citizenship and Immigration Service, USSS = U.S. Secret Service

Source: GAO analysis of component training and technical assistance data for fiscal year 2012.

^aHong Kong is a special administrative region of China, but we have included it in this report as a separate country because it is an economic entity separate from the rest of China and is able to enter into international agreements on its own behalf in commercial and economic matters.

^bAlthough the United States does not have diplomatic relations with Taiwan, we have included it as a separate country because whenever the laws of the United States refer or relate to foreign countries, nations, states, governments, or similar entities, such terms shall include and shall apply to Taiwan. Therefore, for the purposes of this report, Taiwan is included as a country.

Table 6: Expenditure Data for Figure 3, Expenditures Abroad in Fiscal Year 2012 and Full-Time-Equivalent Employees (FTE) Abroad in May 2013 for Department of Homeland Security (DHS) Office of International Affairs (OIA) and Components within Our Review

Dollars in thousands

Country	CBP	ICE	TSA	USCG	USCIS	USSS	OIA	DHS Total
Afghanistan	\$2,267	\$6,453					\$4,128	\$12,848
Argentina	\$578	\$2,107	\$593					\$3,278
Aruba	\$3,764							\$3,764
Australia			\$596			\$833		\$1,428
Austria		\$2,151			\$791			\$2,942
Bahamas	\$13,391	\$329	\$640	\$1,790				\$16,150
Bahrain				\$22,444	\$17			\$22,461
Bangladesh					\$1			\$1
Barbados	\$616			\$251				\$867
Belgium	\$2,013	\$1,821	\$806				\$304	\$4,945
Belize	\$4				\$1			\$5
Bermuda	\$4,476							\$4,476
Brazil	\$1,391	\$1,909	\$227			\$1,622		\$5,148
Bulgaria						\$1,298		\$1,298
Cambodia		\$162						\$162
Cameroon					\$11			\$11
Canada	\$85,628	\$5,193	\$830	\$641	\$80	\$2,507	\$277	\$95,156
China	\$1,824	\$3,595	\$836	\$91	\$2,608	\$1,547		\$10,500
Colombia	\$425	\$5,150		\$576	\$1	\$1,317		\$7,470
Costa Rica				\$225	\$9			\$235

**Appendix II: Training or Technical Assistance
and Expenditure Data for Figures 1 and 3**

Dollars in thousands								
Country	CBP	ICE	TSA	USCG	USCIS	USSS	OIA	DHS Total
Cuba				\$640	\$1,304			\$1,943
Curaçao				\$191				\$191
Denmark		\$974		\$10				\$984
Djibouti					\$114			\$114
Dominican Republic	\$981	\$1,770		\$307	\$612			\$3,670
Ecuador	\$148	\$3,156		\$154	\$63			\$3,521
Egypt	\$418	\$1,142			\$150			\$1,709
El Salvador		\$1,703			\$667			\$2,370
Estonia						\$927		\$927
Ethiopia					\$353			\$353
France	\$1,392	\$2,467	\$631		\$23	\$3,895		\$8,408
Gabon					\$21			\$21
Georgia	\$122			\$154				\$275
Germany	\$2,320	\$3,529	\$7,832	\$1,993	\$1,508	\$2,283		\$19,465
Ghana					\$688			\$688
Greece		\$970			\$1,349			\$2,319
Guatemala		\$1,561			\$1,209			\$2,770
Haiti				\$374	\$1,068			\$1,443
Honduras	\$170	\$1,541			\$461			\$2,173
Hong Kong ^a	\$2,001	\$2,935						\$4,936
Iceland				\$103				\$103
India	\$533	\$1,135			\$1,754			\$3,422
Indonesia		\$839						\$839
Iraq	\$2,510				\$484			\$2,995
Ireland	\$9,233							\$9,233
Israel	\$29	\$2,041						\$2,070
Italy	\$2,268	\$2,599	\$636	\$306	\$3,227	\$3,317		\$12,352
Jamaica	\$668	\$1,884		\$250	\$503			\$3,305
Japan	\$3,570	\$1,805	\$636	\$2,278				\$8,290
Jordan		\$1,086	\$484		\$943	\$295		\$2,807
Kenya	\$508	\$48	\$613		\$1,001			\$2,170
Kuwait	\$495				\$48			\$543
Lebanon					\$353			\$353
Liberia				\$510				\$510
Malaysia	\$668	\$401			\$869			\$1,938
Malta				\$154				\$154

**Appendix II: Training or Technical Assistance
and Expenditure Data for Figures 1 and 3**

Dollars in thousands								
Country	CBP	ICE	TSA	USCG	USCIS	USSS	OIA	DHS Total
Mexico	\$3,468	\$15,592	\$367	\$530	\$4,462	\$1,073	\$174	\$25,667
Morocco		\$870						\$870
Nepal					\$552			\$552
Netherlands	\$1,646	\$1,205	\$743	\$5,803		\$364		\$9,761
Oman	\$289							\$289
Pakistan	\$144	\$1,660						\$1,803
Panama	\$1,454	\$3,257		\$262	\$456			\$5,428
Peru	\$164				\$631	\$1,652		\$2,447
Philippines		\$3,053	\$541		\$969			\$4,563
Poland	\$2		\$902					\$904
Portugal	\$254							\$254
Qatar	\$274							\$274
Romania					\$5	\$1,357		\$1,362
Russia		\$1,207			\$2,374	\$485		\$4,067
Rwanda					\$67			\$67
Saudi Arabia		\$3,057		\$631				\$3,688
Senegal		\$981	\$257					\$1,239
Singapore	\$1,541	\$2,331	\$4,289	\$1,708				\$9,868
Slovakia					\$8			\$8
South Africa	\$667	\$2,088	\$508		\$366	\$1,247		\$4,875
South Korea	\$1,128	\$2,020		\$204	\$790			\$4,141
Spain	\$1,621	\$1,804	\$426			\$513		\$4,364
Sri Lanka	\$460							\$460
Sweden	\$195			\$154				\$348
Switzerland		\$57			\$36			\$93
Taiwan ^b	\$1,437							\$1,437
Tanzania					\$35			\$35
Thailand	\$697	\$2,491	\$471		\$3,054	\$1,185		\$7,897
Trinidad and Tobago	\$368			\$154				\$521
Tunisia					\$310			\$310
Turkey	\$103	\$34			\$657			\$794
U.S. Virgin Islands	\$1							\$1
Uganda					\$257			\$257
United Arab Emirates	\$534	\$2,992	\$746		\$8			\$4,280
United Kingdom	\$4,324	\$4,355	\$614	\$132	\$705	\$2,651	\$594	\$13,376
Venezuela		\$1,180		\$132				\$1,312

**Appendix II: Training or Technical Assistance
and Expenditure Data for Figures 1 and 3**

Dollars in thousands								
Country	CBP	ICE	TSA	USCG	USCIS	USSS	OIA	DHS Total
Vietnam		\$823						\$823
Yemen		\$859						\$859
Total DHS Expenditures^c	\$187,040	\$114,373	\$25,225	\$43,579	\$38,728	\$33,395	\$5,477	\$421,802

Legend: CBP = U.S. Customs and Border Protection, ICE = U.S. Immigration and Customs Enforcement, TSA = Transportation Security Administration, USCG = U.S. Coast Guard, USCIS = U.S. Citizenship and Immigration Service, USSS = U.S. Secret Service

Source: GAO analysis of component overseas expenditure data for fiscal year 2012.

^aHong Kong is a special administrative region of China, but we have included it in this report as a separate country because it is an economic entity separate from the rest of China and is able to enter into international agreements on its own behalf in commercial and economic matters.

^bAlthough the United States does not have diplomatic relations with Taiwan, we have included it as a separate country because whenever the laws of the United States refer or relate to foreign countries, nations, states, governments, or similar entities, such terms shall include and shall apply to Taiwan. Therefore, for the purposes of this report, Taiwan is included as a country.

^cExpenditures by country do not sum precisely with Total DHS expenditures because of rounding.

Table 7: Full-Time-Equivalent Employee (FTE) Data for Figure 3, Expenditures Abroad in Fiscal Year 2012 and FTEs Abroad in May 2013 for Department of Homeland Security (DHS) Office of International Affairs and Components within Our Review

Country	Total DHS FTEs
Afghanistan	25
Argentina	13
Aruba	18
Australia	3
Austria	9
Bahamas	62
Bahrain	270
Barbados	1
Belgium	10
Bermuda	16
Brazil	15
Bulgaria	4
Cambodia	2
Canada	430
China	33
Colombia	26
Costa Rica	1
Cuba	11

**Appendix II: Training or Technical Assistance
and Expenditure Data for Figures 1 and 3**

Country	Total DHS FTEs
Denmark	2
Dominican Republic	16
Ecuador	11
Egypt	9
El Salvador	11
Estonia	4
France	19
Georgia	1
Germany	79
Ghana	4
Greece	11
Guatemala	14
Haiti	8
Honduras	12
Hong Kong ^a	19
India	19
Indonesia	5
Ireland	36
Israel	8
Italy	47
Jamaica	14
Japan	35
Jordan	9
Kenya	11
Kuwait	3
Liberia	1
Malaysia	4
Malta	1
Mexico	104
Morocco	1
Netherlands	44
Netherlands Antilles	1
Oman	2
Pakistan	16
Panama	15
Peru	8
Philippines	24

**Appendix II: Training or Technical Assistance
and Expenditure Data for Figures 1 and 3**

Country	Total DHS FTEs
Poland	3
Portugal	1
Romania	6
Russia	13
Saudi Arabia	9
Senegal	2
Singapore	35
South Africa	18
South Korea	22
Spain	16
Sri Lanka	3
Sweden	2
Taiwan ^b	9
Thailand	44
Trinidad and Tobago	2
Turkey	1
United Arab Emirates	14
United Kingdom	33
Venezuela	3
Vietnam	5
Yemen	2
Total DHS	1,820

Source: GAO analysis of DHS FTE data, as of May 2013.

^aHong Kong is a special administrative region of China, but we have included it in this report as a separate country because it is an economic entity separate from the rest of China and is able to enter into international agreements on its own behalf in commercial and economic matters.

^bAlthough the United States does not have diplomatic relations with Taiwan, we have included it as a separate country because whenever the laws of the United States refer or relate to foreign countries, nations, states, governments, or similar entities, such terms shall include and shall apply to Taiwan. Therefore, for the purposes of this report, Taiwan is included as a country.

Appendix III: Elements of Expenditures Included in Data for Expenditures Abroad by Component

Component/office	Elements of expenditures included
U.S. Customs and Border Protection (CBP)	<p>CBP Office of International Affairs expenditure elements include salary and benefits, operating costs, International Cooperative Administrative Support Services (ICASS), Capital Security Cost-Sharing Program (CSCS), guard services, medical, and Diplomatic Telecommunications Service Program Office (DTSPO) expenditures by foreign post. In Kuwait, Office of International Affairs includes charges for personal service contractor moves. In Iraq, operating costs include travel, supplies, equipment, and training.</p> <p>CBP Office of Border Patrol expenditure elements include personnel costs and travel expenditures by foreign country. In Mexico and Canada, Office of Border Patrol also includes program costs such as various program and operating costs.</p> <p>CBP Office of Field Operations expenditure elements include salary and benefits, operating costs, ICASS, CSCS, guard services, medical, DTSPPO, and training by foreign post. For the Immigration Advisory Program and Preclearance programs, Office of Field Operations also includes headquarters costs. For the Container Security Initiative/ICE agent support, they also include charges for relocations, central circuits, travel, Container Security Initiative/ICE agent support, and other central expenses (information technology services and ICASS overhead) in support of foreign posts, but do not break these costs down by foreign post.</p>
U.S. Immigration and Customs Enforcement (ICE)	<p>ICE's overseas expenditure elements by foreign post include salary and benefits, operating costs, dependent's educational allowances, operational travel, permanent change of station moves (PCS), Department of State's ICASS and CSCS charges for fiscal years 2009-2012, and purchase cards. ICE's overseas expenditure elements also include Department of State's ICASS and CSCS charges for fiscal year 2008, which cannot be broken down by foreign post.</p>
Transportation Security Administration (TSA)	<p>TSA expenditure elements include payroll, travel, ICASS charges, embassy expenses, and CSCS by foreign post.</p>
U.S. Coast Guard (USCG)	<p>USCG expenditure elements include personnel costs, operating expenses, CSCS charges, and ICASS by foreign post.</p>
U.S. Citizenship and Immigration Services (USCIS)	<p>USCIS expenditure elements include payroll, general expenses, CSCS, ICASS, and travel by foreign post. USCIS also includes expenditures for total ICASS overhead costs in support of foreign posts.</p>
U.S. Secret Service (USSS)	<p>USSS expenditure elements include salaries, benefits, travel, communications and rents, guard services, medical, permanent change of station moves, supplies, equipment, building and maintenance, contractual services, Department of State support services, physical examinations, ICASS, and training expenses by foreign post. USSS's overseas expenditure elements also include other central expenses (such as information technology services, CSCS, and ICASS overhead) in support of foreign posts), which cannot be broken down by foreign post.</p>
Office of International Affairs (OIA)	<p>DHS OIA overseas expenditure elements include salaries, benefits, ICASS, operating costs, guard services, medical, and DTSPPO by individual country for fiscal year 2009 through fiscal year 2012. Fiscal year 2008 data are unavailable. DHS OIA overseas expenditure elements also include CSCS, but those expenditures are not broken down by individual country.</p>

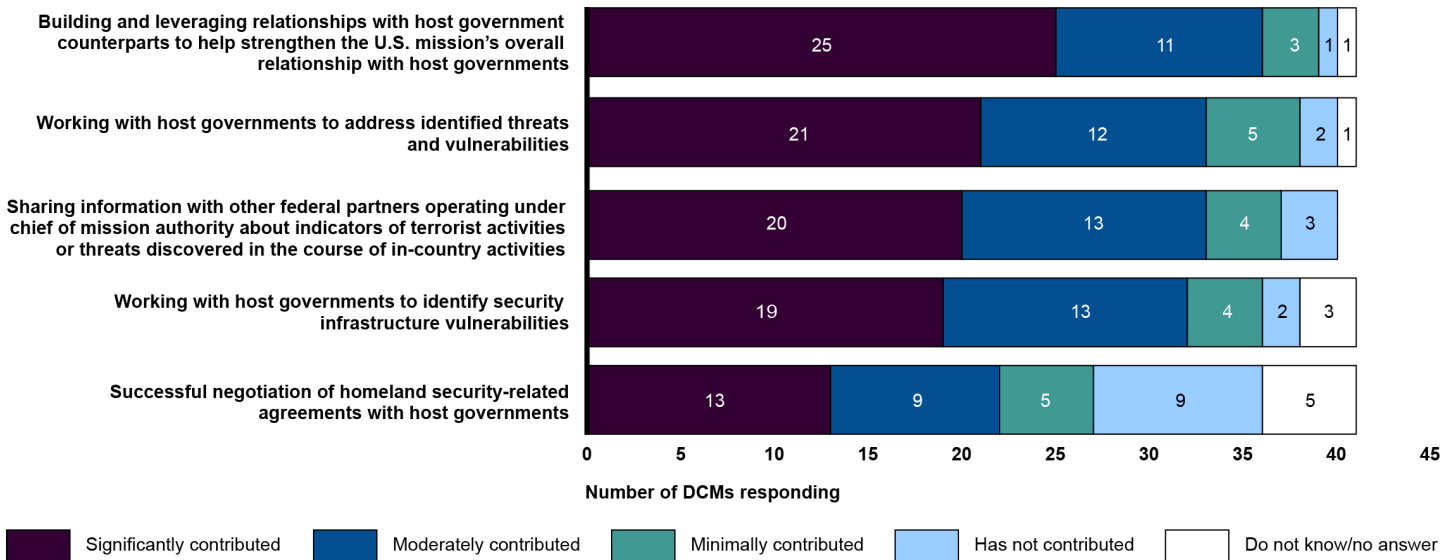
Source: GAO analysis of component data on expenditures abroad.

Appendix IV: Complete Survey Results for Contributions, Challenges, and Impacts

Figure 11 shows the results of the survey question: In the last 24 months, how much, if at all, has DHS contributed to your mission’s combating terrorism goals?

Figure 11: Types of Contributions the Department of Homeland Security (DHS) as Made to U.S. Diplomatic Missions in the Last 24 Months, In Order of Frequency of Deputy Chiefs of Mission Responding That DHS Has Made a Significant or Moderate Contribution

Contributions



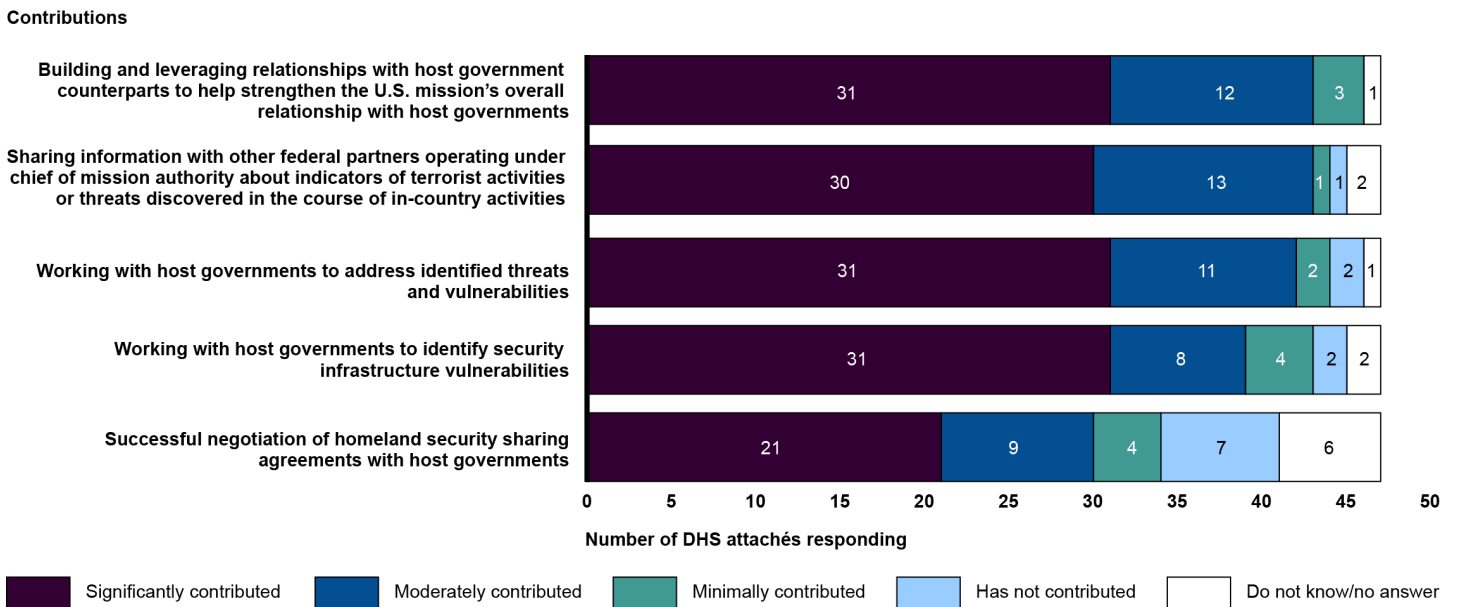
Source: GAO analysis of survey data.

Note: The deputy chief of mission (DCM) is the second in command of a U.S. mission and is always a career Foreign Service Officer. The DCM supervises department heads within the mission, and deals with many issues pertaining to the day-to-day operation of the mission.

Forty-one DCMs responded to the survey, but in some cases not all respondents answered every item, so total respondents for a specific item may vary.

Figure 12 shows the results of the survey question: In the last 24 months, how much, if at all, has DHS contributed in the following ways to U.S. government-wide combating terrorism goals in the mission for which you serve as DHS attaché?

Figure 12: Types of Contributions the Department of Homeland Security (DHS) Has Made to U.S. Diplomatic Missions in the Last 24 Months, In Order of Frequency of DHS Attachés Responding that DHS Has Made a Significant or Moderate Contribution

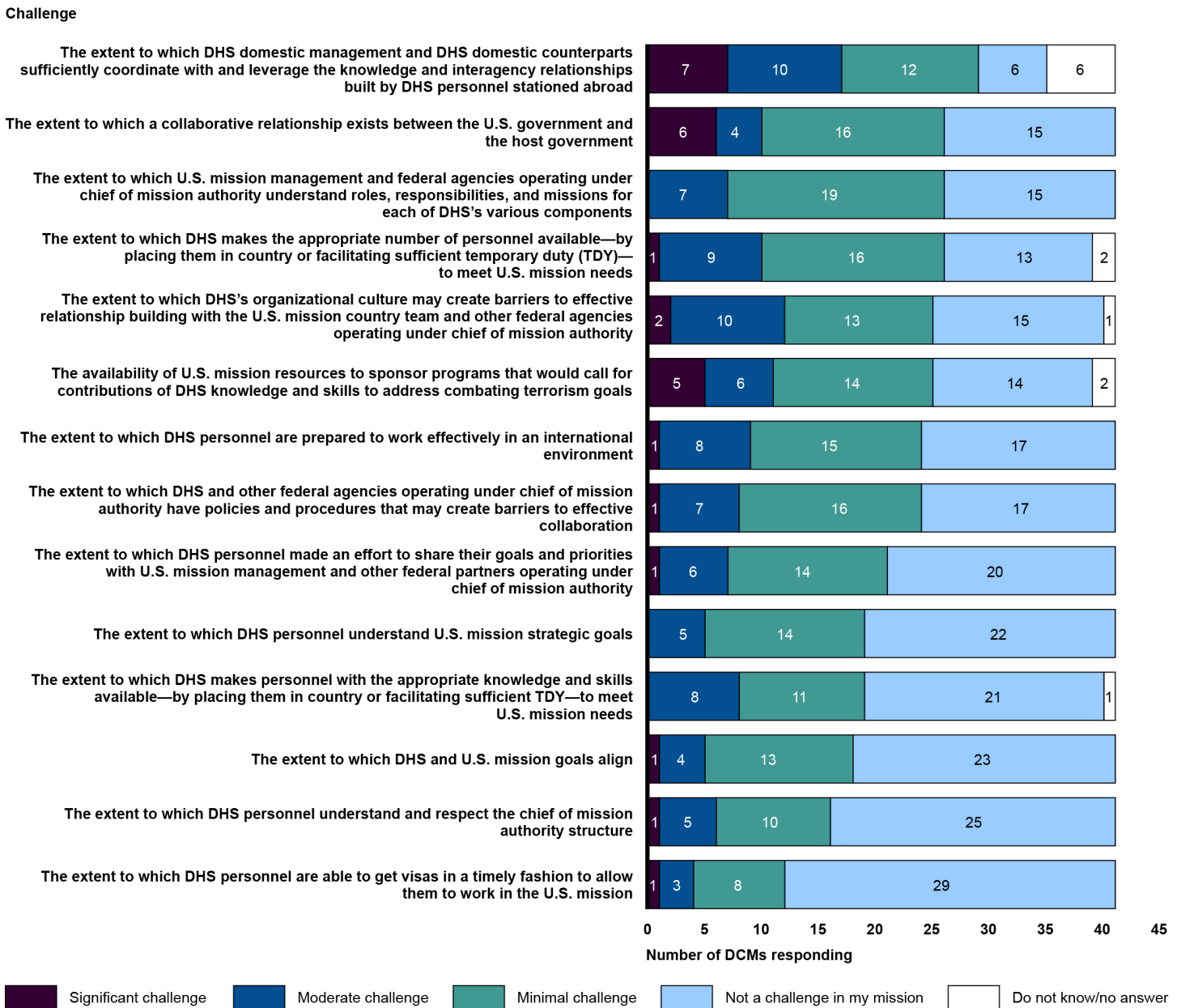


Source: GAO analysis of survey data.

Figure 13 shows the results of the survey question: In last 24 months, what degree of challenge, if any, have the following been to DHS's ability to contribute its knowledge and skills to your mission's combating terrorism goals?

Appendix IV: Complete Survey Results for Contributions, Challenges, and Impacts

Figure 13: Challenges to the Department of Homeland Security’s (DHS) Ability to Contribute Its Knowledge and Skills to Combating Terrorism Goals, Ranked by Frequency of Deputy Chiefs of Mission Reporting Some Level of Challenge



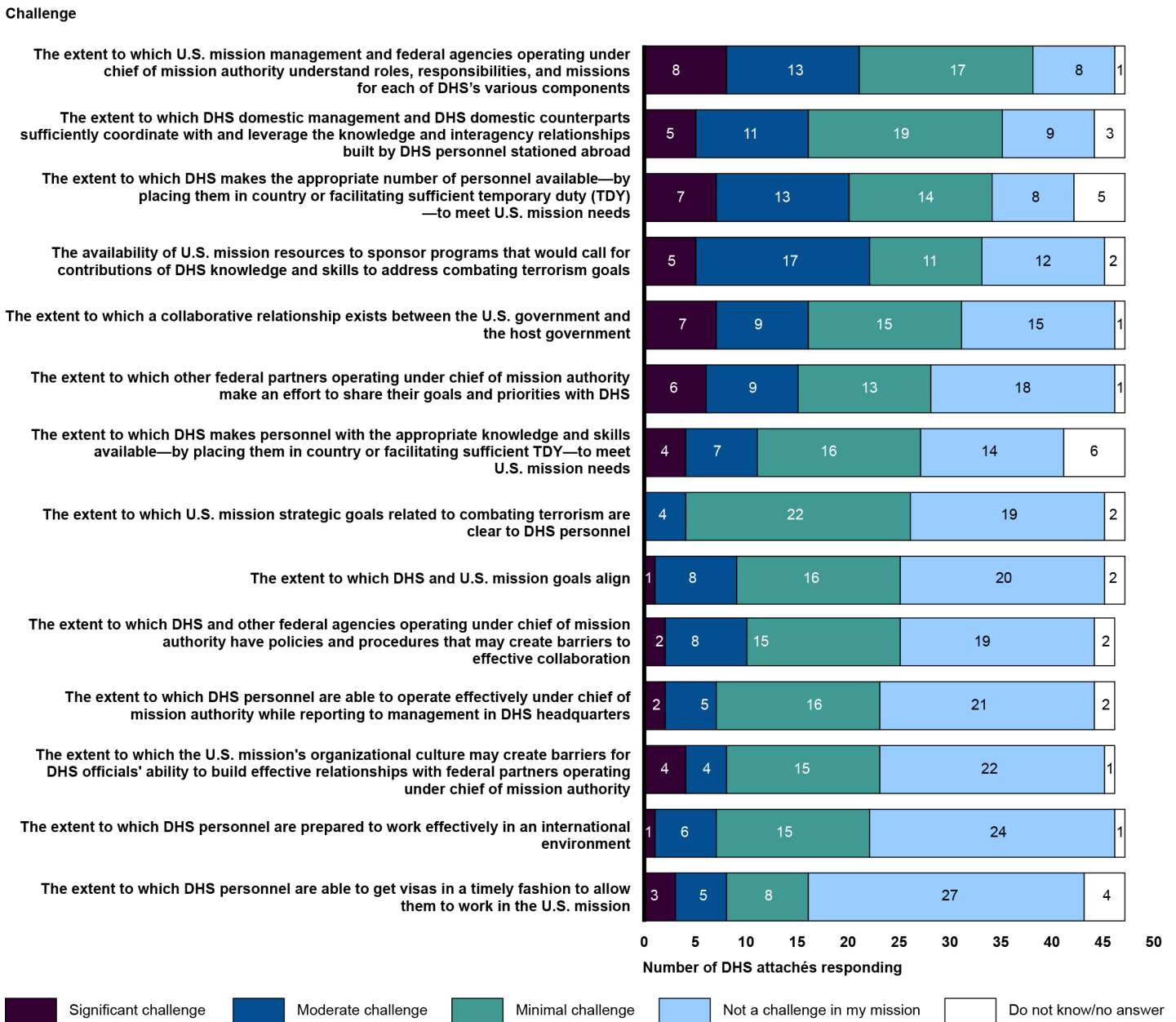
Source: GAO analysis of survey data.

Note: The deputy chief of mission (DCM) is the second in command of a U.S. mission and is always a career Foreign Service Officer. The DCM supervises department heads within the mission, and deals with many issues pertaining to the day-to-day operation of the mission.

Figure 14 shows the results of the survey question: In last 24 months, what degree of challenge, if any, have the following been to DHS's ability to contribute its knowledge and skills to U.S. government-wide combating terrorism goals in the mission for which you serve as DHS attaché?

Appendix IV: Complete Survey Results for Contributions, Challenges, and Impacts

Figure 14: Challenges to the Department of Homeland Security’s (DHS) Ability to Contribute Its Knowledge and Skills to Combating Terrorism Goals, Ranked by Frequency of DHS Attachés Reporting Some Level of Challenge

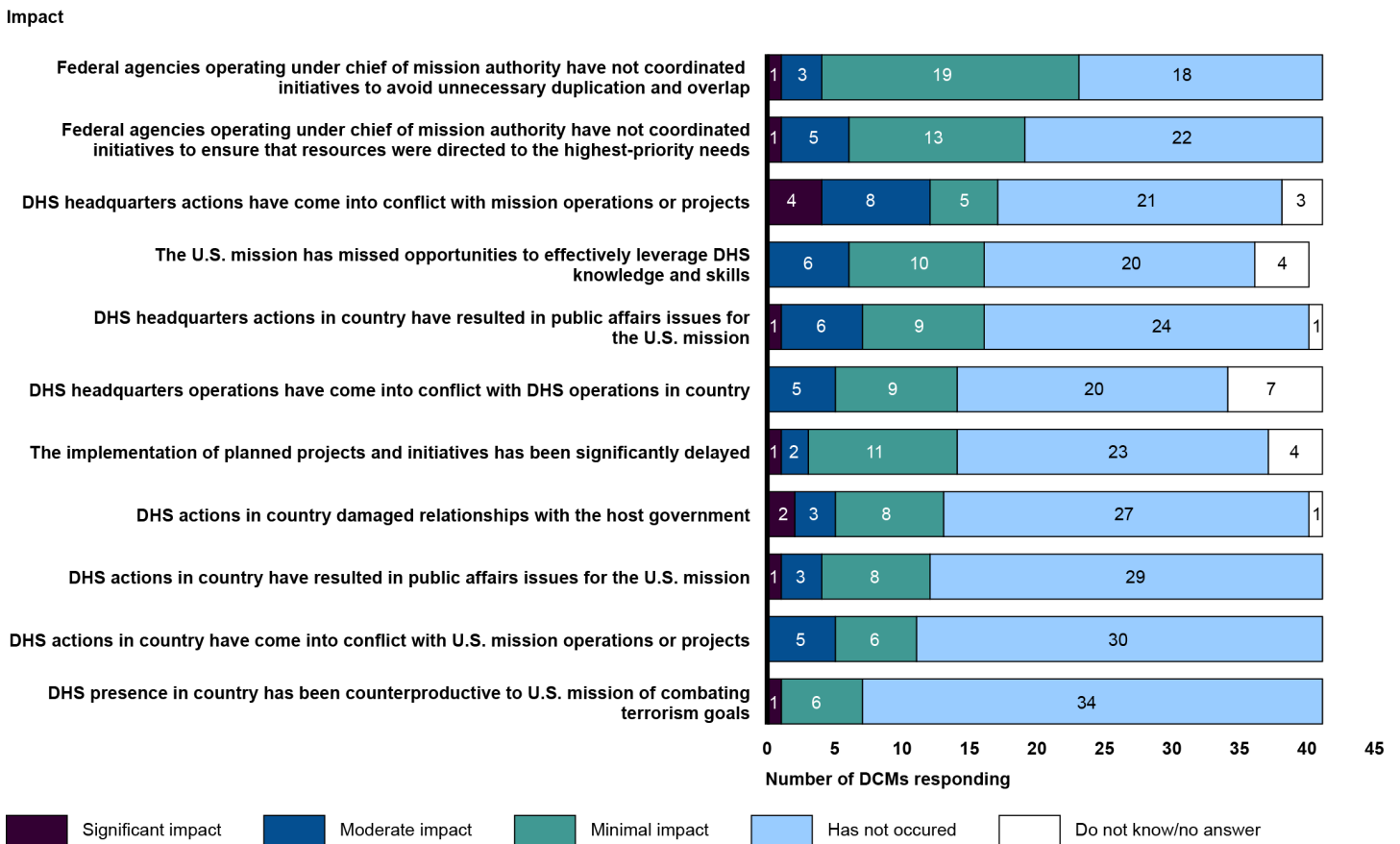


Source: GAO analysis of survey data.

Note: Forty-seven DHS attachés responded to the survey, but in some cases not all respondents answered every item, so total respondents for a specific item may vary.

Figure 15 shows the results of the survey question: In the last 24 months, if any of the following have occurred as a result of challenges described in question 6, how much of an impact has it had on DHS's contributions to U.S. government-wide combating terrorism goals?

Figure 15: Impacts as a Result of Challenges on the Department of Homeland Security's (DHS) Contributions to U.S. Government-wide Combating Terrorism Goals, Ranked by Frequency of Deputy Chiefs of Mission Reporting Some Level of Impact



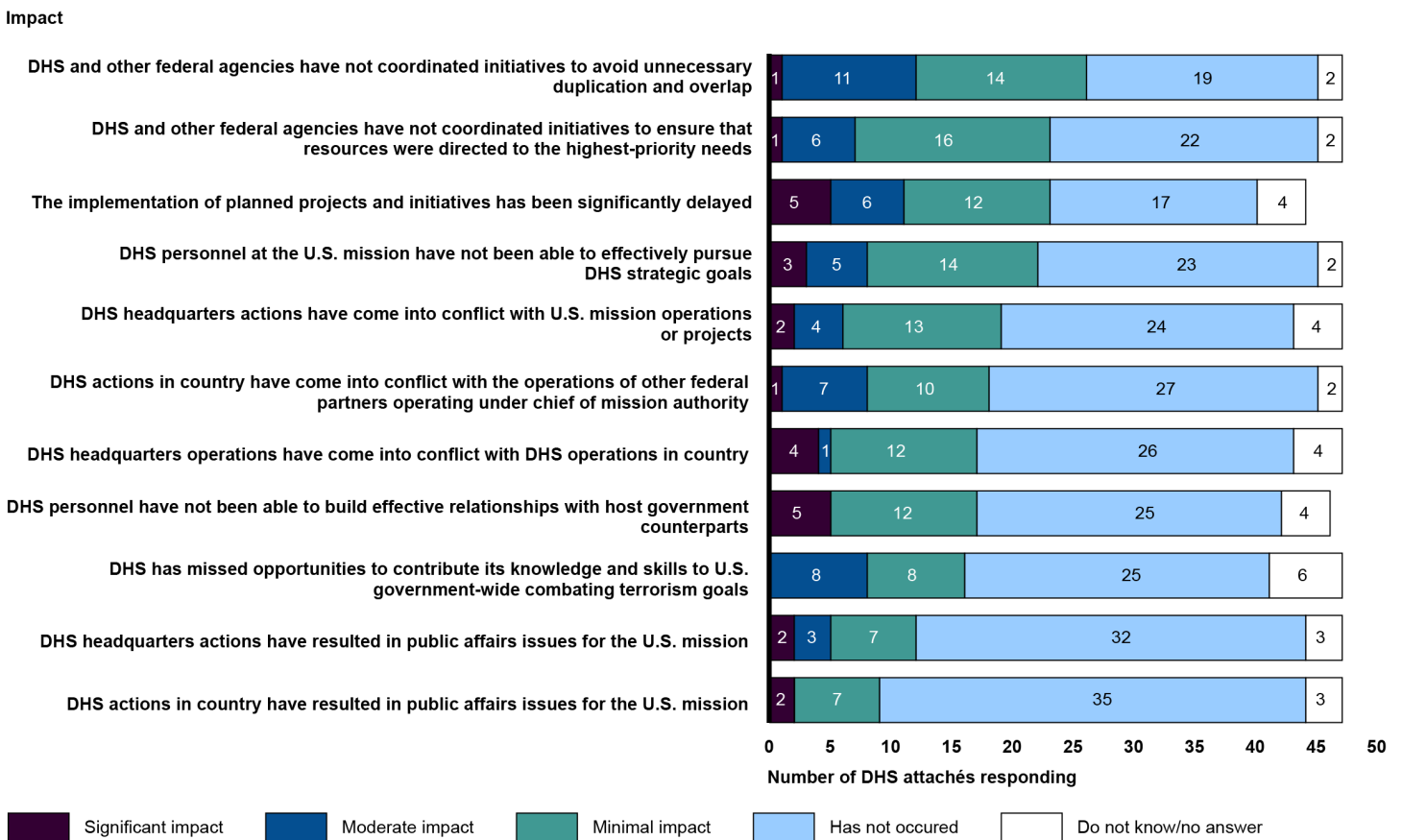
Source: GAO analysis of survey data.

Notes: The deputy chief of mission (DCM) is the second in command of a U.S. mission and is always a career Foreign Service Officer. The DCM supervises department heads within the mission, and deals with many issues pertaining to the day-to-day operation of the mission.

Forty-one DCMs responded to the survey, but in some cases not all respondents answered every item, so total respondents for a specific item may vary.

Figure 16 shows the results of the survey question: In the last 24 months, if any of the following have occurred as a result of challenges described in question 6, how much of an impact has it had on DHS's contributions to U.S. government-wide combating terrorism goals?

Figure 16: Impacts as a Result of Challenges on the Department of Homeland Security's (DHS) Contributions to U.S. Government-wide Combating Terrorism Goals, Ranked by Frequency of DHS Attachés Reporting Some Level of Impact



Source: GAO analysis of survey data.

Note: Forty-seven DHS attachés responded to the survey, but in some cases not all respondents answered every item, so total respondents for a specific item may vary.

Appendix V: Comments from the Department of Homeland Security

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



**Homeland
Security**

September 17, 2013

David C. Maurer
Director, Homeland Security and Justice Team
U.S. Government Accountability Office
441 G Street, NW
Washington, DC 20548

Charles Michael Johnson, Jr.
Director, International Affairs and Trade Team
U.S. Government Accountability Office
441 G Street, NW
Washington, DC 20548

Re: Draft Report GAO-13-681, "COMBATING TERRORISM: DHS Should Take Action to Better Ensure Resources Abroad Align with Priorities"

Dear Messrs. Maurer and Johnson:

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's) work in planning and conducting its review and issuing this report.

DHS is pleased to note GAO's positive recognition of Department and Component efforts abroad to help other nations strengthen their security functions and make it harder for terrorists to operate globally. DHS has made a significant investment in international engagement through the presence in over 75 countries of DHS personnel and the cultivation of relationships with international organizations such as the World Customs Organization, International Criminal Police Organization (Interpol), and the International Maritime Organization. Effective global engagement is vital to achieving homeland security. DHS is committed to continuing to strengthen its international set of activities and partnerships, ranging from information sharing to capacity building, through the work the Department and its many partners do every day.

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

Recommendation 1: Establish specific department-wide priorities for resource use abroad.

Response: Concur. The DHS Office of Policy's Office of International Affairs (OIA) has taken significant steps toward meeting this objective by drafting and publishing in 2013 the first International Engagement Plan (IEP). OIA is in the process of taking the next step in shaping this document to be a more specific, comprehensive, and strategic plan for resource allocation abroad across the Department's international organizations. OIA will begin the review of the

current IEP this fall and will transform the document into more of a strategic tool to help determine Department-wide resource priorities. Estimated Completion Date (ECD): March 31, 2014.

Recommendation 2: Establish a routine, institutionalized mechanism to ensure alignment of the department's resource use abroad with the highest department-wide and government-wide strategic priorities.

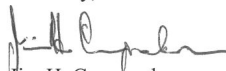
Response: Concur. The current IEP aligns with the five DHS missions outlined in the Quadrennial Homeland Security Review (QHSR) document. The QHSR is presently under review by the Department, with an estimated completion date of early Fiscal Year 2014. Concurrent with the revision of the IEP, OIA will develop a methodology and system for tracking the newly identified strategic priorities and objectives that meet DHS and U.S. Government-wide priorities related to counterterrorism. The priorities will align with the 2013 QHSR review. ECD: September 30, 2014.

Recommendation 3: Establish a common reporting framework to allow for the collection of reliable, comparable department-wide cost data for resources use abroad.

Response: Concur. Through the International Governance Board, OIA will immediately establish a working group to focus on a Department-wide system to capture individual Component expenditure data and represent the information in a cohesive, comparable manner. OIA will work with all DHS Components, including with the DHS Office of the Chief Financial Officer, to ensure data are consistent and reliable. 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

Director

Departmental GAO-OIG Liaison Office

Appendix VI: GAO Contacts and Staff Acknowledgments

GAO Contacts

David C. Maurer, (202) 512-9627 or maurerd@gao.gov
Charles Michael Johnson, Jr., (202) 512-7331 or johnsoncm@gao.gov

Staff Acknowledgments

In addition to the contacts named above, Adam Hoffman and Jason Bair, Assistant Directors; Chloe Brown; Marc Castellano; and Kathryn Godfrey made key contributions to this report. Also contributing to this report were Josh Diosomito; Lorraine Ettaro; Eric Hauswirth; Paul Hobart; Brandon Hunt; Thomas Lombardi; Alicia Loucks; Erin O'Brien; Anthony Pordes; and Christine San.

GAO's Mission

The Government Accountability Office, the audit, evaluation, and investigative arm of Congress, exists to support Congress in meeting its constitutional responsibilities and to help improve the performance and accountability of the federal government for the American people. GAO examines the use of public funds; evaluates federal programs and policies; and provides analyses, recommendations, and other assistance to help Congress make informed oversight, policy, and funding decisions. GAO's commitment to good government is reflected in its core values of accountability, integrity, and reliability.

Obtaining Copies of GAO Reports and Testimony

The fastest and easiest way to obtain copies of GAO documents at no cost is through GAO's website (<http://www.gao.gov>). Each weekday afternoon, GAO posts on its website newly released reports, testimony, and correspondence. To have GAO e-mail you a list of newly posted products, go to <http://www.gao.gov> and select "E-mail Updates."

Order by Phone

The price of each GAO publication reflects GAO's actual cost of production and distribution and depends on the number of pages in the publication and whether the publication is printed in color or black and white. Pricing and ordering information is posted on GAO's website, <http://www.gao.gov/ordering.htm>.

Place orders by calling (202) 512-6000, toll free (866) 801-7077, or TDD (202) 512-2537.

Orders may be paid for using American Express, Discover Card, MasterCard, Visa, check, or money order. Call for additional information.

Connect with GAO

Connect with GAO on [Facebook](#), [Flickr](#), [Twitter](#), and [YouTube](#). Subscribe to our [RSS Feeds](#) or [E-mail Updates](#). Listen to our [Podcasts](#). Visit GAO on the web at www.gao.gov.

To Report Fraud, Waste, and Abuse in Federal Programs

Contact:

Website: <http://www.gao.gov/fraudnet/fraudnet.htm>

E-mail: fraudnet@gao.gov

Automated answering system: (800) 424-5454 or (202) 512-7470

Congressional Relations

Katherine Siggerud, Managing Director, siggerudk@gao.gov, (202) 512-4400, U.S. Government Accountability Office, 441 G Street NW, Room 7125, Washington, DC 20548

Public Affairs

Chuck Young, Managing Director, youngc1@gao.gov, (202) 512-4800 U.S. Government Accountability Office, 441 G Street NW, Room 7149 Washington, DC 20548

