April 5, 2007

The Honorable Robert C. Byrd
Chairman
The Honorable Thad Cochran
Ranking Member
Subcommittee on Homeland Security
Committee on Appropriations
United States Senate

The Honorable David E. Price
Chairman
The Honorable Harold Rogers
Ranking Member
Subcommittee on Homeland Security
Committee on Appropriations
House of Representatives

Subject: DHS Multi-Agency Operation Centers Would Benefit from Taking Further Steps to Enhance Collaboration and Coordination

This letter addresses the conference report to H.R. 5441 and Senate Report 109-273, which directs GAO to (1) analyze the role of the Department of Homeland Security (DHS) National Operations Center and DHS component operations centers and (2) make recommendations regarding the operation and coordination of these centers. On March 1 and 13, 2007, we met with House and Senate Committee staff, respectively, to brief them on completed and ongoing GAO work that addresses these issues (see encl.). Both House and Senate staff agreed that this information addresses the appropriations mandates and their related concerns regarding DHS’s operations centers.

We primarily relied on a prior GAO report on DHS multi-agency operations centers to satisfy these mandates. In our completed review, we specifically examined (1) the missions, products, functions, and customers of the multi-agency DHS operations centers that operate 24 hours a day, 7 days a week, and 365 days a year (24/7/365), and (2) DHS’s implementation of key practices for enhancing and sustaining collaboration at these multi-agency centers. We also have work underway that includes an assessment

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of DHS’s plans for consolidating its real property holdings in the National Capital Region, including the National Operations Center and component operations centers. This letter and the accompanying enclosure transmit the information provided during those briefings to House and Senate staff.

To answer our first objective, we analyzed information obtained from the responsible component agencies and DHS’s Operations Directorate on the mission and functions of all of the 24/7/365 activities in DHS. Our work identified a total of 20 national and 5 regional DHS centers that conduct 24/7/365 activities. Of these, 21 centers employ staff from only one DHS agency on a regular full-time basis and perform agency-specific functions; therefore, we did not perform a detailed analysis of the collaboration and coordination practices at these centers and did not direct our recommendations to them. The four multi-agency operations centers in DHS that met the 24/7/365 criteria used in our study are the U.S. Customs and Border Protection’s Air and Marine Operations Center and National Targeting Center, the Transportation Security Administration’s Transportation Security Operations Center, and the National Operations Center-Interagency Watch (previously the Homeland Security Operations Center). We visited all four multi-agency centers, as well as centers operated by other component agencies, to observe their operations, interview officials responsible for managing the centers, and identify centers that employed staff from multiple DHS agencies. From the four multi-agency centers, we obtained additional information on both the products the centers regularly developed and their primary customers. We also interviewed several staff assigned to centers from participating DHS component agencies—referred to as watchstanders—to discuss their roles and responsibilities at the centers and the overall mission of the centers to which they had been assigned.

To answer our second objective, we reviewed transition, management integration, and planning and policy documents, as well as strategic plans, annual performance reports, and planning documents from DHS and its component agencies. We met with the acting director and other responsible officials from the Operations Directorate to discuss its role and responsibilities. We also reviewed and analyzed the results of studies undertaken by DHS to assess and improve coordination and collaboration at the multi-agency centers. We examined reports from GAO, the Congressional Research Service, the DHS Office of Inspector General, and others that addressed the integration, coordination, and collaboration of departmentwide program functions. We then assessed DHS’s efforts related to integration, coordination, and collaboration at the multi-agency centers to determine the extent to which they reflect DHS’s application of the key practices we have found to help enhance and sustain collaboration among federal agencies and be at the center of successful mergers and transformations.

We conducted our work from October 2005 through September 2006 in accordance with generally accepted government auditing standards.

Summary

The four multi-agency operations centers each have their own mission and generate different products while performing some similar functions and sharing a number of customers.

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3 DHS established the Operations Directorate in November 2005 to improve operational efficiency and coordination.

4 These other components include the Federal Emergency Management Agency, the U.S. Coast Guard, and the U.S. Secret Service.

The missions of the Air and Marine Operations Center, National Targeting Center, and Transportation Security Operations Center are distinctive and tactical, including such activities as monitoring the nation’s airspace, including such activities as monitoring the nation’s airspace, the movement of potential terrorists, and the passengers on commercial flights. The National Operations Center-Interagency Watch’s mission is more strategic in that it collects information gathered by the other multi-agency operations centers and provides a national perspective on situational awareness for potential terrorist activity.

The products of the four multi-agency operations centers reflect their different missions and range from reports on suspicious private air and marine craft from the Air and Marine Operations Center, individuals entering the country at land, sea, and airports from the National Targeting Center, and individuals traveling on commercial flights from the Transportation Security Operations Center, to an overview of the national threat environment from the National Operations Center-Interagency Watch.

The multi-agency operations centers all share common functions such as maintaining situational awareness, sharing information, and communications; coordinating internal operations, and coordinating among federal, state, local, tribal, and private-sector entities; and managing incidents and making decisions. In addition, the Air and Marine Operations Center and National Operations Center-Interagency Watch conduct operational command and control and, along with the National Targeting Center, coordinate with foreign governments.

The four multi-agency operations centers’ primary customers include other federal agencies, and state and local governments; private-sector entities; and some foreign governments.

DHS has leveraged its resources—one key collaborative practice—by having staff from multiple agencies work together at the four operations centers. However, DHS could further implement this and other relevant practices previous GAO work has identified as important to enhancing and sustaining collaboration among federal agencies and improving agency performance. Without implementing these practices, DHS’s operations centers may not be collaborating as effectively as they could. Given that the collaboration in multi-agency operations centers focuses on gathering and disseminating information on real-time situational awareness related to disasters and possible terrorist activity, it is important that the staff at the centers achieve the most effective collaboration possible.

The following information outlines in more detail the extent to which multi-agency centers have implemented the collaboration and coordination practices we identified to enhance their effectiveness. Specifically, not all of the components responsible for managing the operation centers have

- established goals to define and articulate a common outcome and mutually reinforcing or joint strategies for collaboration (related to two of our key practices);
- assessed staffing needs to leverage resources;
- defined roles and responsibilities of watchstanders from agencies other than the managing one;
- applied standards, policies, and procedures for DHS’s information-sharing network to provide a means to operate across agency boundaries;
- prepared mechanisms to monitor, evaluate, and report on results of the operations centers to reinforce collaborative efforts; and
- reinforced agency accountability for collaboration efforts through agency plans and reports.
For example, some DHS components have established a variety of internal and external working agreements, memorandums, and in the case of the Joint Field Offices, standard operating procedures. However, DHS’s Operations Directorate, which is responsible for coordinating operations, had not provided guidance on how and when such agreements should be used to improve collaboration among the sponsoring and participating components at the operations centers we reviewed. Nor had any of these centers documented goals or joint strategies using these or other types of agreements. Without having a documented joint strategy for collaboration, there is a risk that center staff monitoring potential terrorist activities may not operate in the most collaborative manner.

DHS had also not assessed staffing needs to leverage resources and help ensure that there are enough watchstanders, who occupy the primary positions at the multi-agency operations centers, to conduct surveillance activities. While three of the four multi-agency operations centers had developed descriptions for the watchstander position staffed by their own agency, only one center—the Air and Marine Operations Center—had also developed a position description for staff assigned to the center from another DHS agency. The other centers relied on the components providing staff to define their watchstanders’ roles and responsibilities. Lack of a consistent definition for the watchstander position may lead to people at the same center in the same role performing the same responsibilities differently or not at all. Because of the potentially critical, time-sensitive need for decisive action at 24/7/365 operations centers, it is important that the roles and responsibilities of watchstanders are described and understood by both the staff and the officials responsible for managing the operations centers.

In another example, DHS had not provided the standards, policies, and procedures for the use of its Homeland Security Information Network, its primary information-sharing tool. Without the application of the standards, policies, and procedures, users were unsure of how to use the network and, therefore, did not maximize the operation centers’ capacity for sharing security-related information.

In terms of monitoring, evaluating, and reporting the results of joint efforts at the multi-agency operations centers, in January 2004, the Air and Marine Operations Center began collecting data to measure productivity, but had not yet evaluated efforts, and the rest of the multi-agency centers have not developed any methods for evaluating and reporting results.

Finally, neither DHS nor the multi-agency operations centers have reinforced accountability for collaborative efforts through joint agency planning and reporting. Such public accounting through published strategic and annual performance plans and reports makes agencies answerable for collaboration results.

The Operations Directorate, established in November 2005 to improve operational efficiency and coordination, provides DHS with an opportunity to more fully implement the key practices that are important to enhancing and sustaining collaboration at its multi-agency operations centers. Although the Operations Directorate does not possess administrative, budgetary, or operational control over the other component’s operations centers, guidance from the Operations Directorate could help the other components responsible for the 24/7/365 multi-agency operations centers make key advances in each collaborative practice.

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6 The JFO is a temporary federal multi-agency coordination center established locally to facilitate field-level domestic incident management activities related to prevention, preparedness, response and recovery.
To enhance collaboration at 24/7/365 operations centers staffed by multiple components, we recommended that the Director of the Operations Directorate should develop and provide guidance as well as help to ensure the component agencies take the following six actions:

- define common goals and joint strategies;
- conduct staffing needs assessments;
- clarify the roles and responsibilities of staff known as watchstanders;
- implement standards, policies, and procedures for using DHS’s information network to provide a means of operating across agency boundaries;
- implement mechanisms to monitor, evaluate, and report on the results of collaborative efforts; and
- address collaborative efforts at the four multi-agency operations centers in plans and reports.

In reviewing a draft of the report in 2006, DHS agreed with the recommended actions to enhance collaboration at the DHS multi-agency operations centers. Among other things, DHS noted plans to conduct an independent study in September 2006, to leverage technical and analytical expertise to support expanding the capabilities of the Operations Directorate. In addition, DHS said it planned to move elements of the National Operations Center to the Transportation Security Operations Center (TSOC) in 2007 and, ultimately to collocate the DHS headquarters, and all the DHS component headquarters along with their respective staffs and operations centers, at one location. Since our report was issued, DHS has taken additional steps toward these objectives. We agreed that these leadership efforts provided by the Operations Directorate could further enhance collaboration among DHS’s component agencies, along with the key practices suggested by our review of collaboration practices among agencies across the federal government.

If your office or staff has any questions concerning this report, please contact me at (202) 512-6510 or by e-mail at Larencee@gao.gov.

Eileen Larence
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Enclosure
Department of Homeland Security: Coordination of Operations Centers

Briefing for House and Senate Appropriations Committees
Contents

• Mandates

• Completed and Ongoing GAO Reviews

• DHS Plans for Consolidating Facilities

• National Operations Center’s Role and Mission

• Component Operations Centers’ Roles and Missions
Mandates
Congressional Report Language


1. analyze the role of the National Operations Center (previously the Homeland Security Operations Center) and the numerous DHS component operations centers and

2. make recommendations regarding the operation and coordination of these centers.
In November 2006, House and Senate appropriations staff identified additional areas of interest:

- the number of current “Headquarters Centers” (as opposed to the local or regional component centers);
- the roles of the centers, and any overlap/duplication of responsibilities and functions; and
- the “St. Elizabeth’s plan” by which DHS hopes to consolidate centers into the National Operations Center (NOC).
Completed and Ongoing GAO Reviews

- Work GAO performed for the Senate Homeland Security and Governmental Affairs Committee addresses some of the issues cited in mandate language and areas of interest cited in discussions with appropriations staff.


    - *addresses* mandate questions regarding the role of the national and component operations centers and staff interest in the number of centers, and

    - *partially addresses* mandate request for recommendations regarding the operation and coordination of these centers and staff interest in overlap of responsibilities and functions (report focuses on 4 of the 21 operations centers).
Completed and Ongoing GAO Reviews
(cont.)

- Work currently underway for the Senate Homeland Security and Governmental Affairs Committee addresses some of the issues cited in mandate language and areas of interest cited in subsequent discussions with appropriations staff.

  - GAO Review of DHS Real Property Management and Security, code 543163 (planned issuance date May 2007)
    - *addresses* staff interest in the “St. Elizabeth’s plan” by which DHS hopes to consolidate centers into the National Operations Center and
    - *partially addresses* mandate request for recommendations regarding the coordination of these centers.
Completed and Ongoing GAO Reviews
Completed Review: GAO-07-89
Objectives and Scope

- **Homeland Security: Opportunities Exist to Enhance Collaboration at 24/7 Operations Centers Staffed by Multiple DHS Agencies**
- **Objectives:**
  - What are the missions, products, and functions of the multi-agency 24/7/365 DHS operations centers and who are their customers?
  - To what extent has DHS implemented key practices for enhancing and sustaining collaboration at these multi-agency centers?
- **Scope**
  - Used 24/7/365 operations to define universe
  - Identified a total of 20 national and 5 regional DHS centers that conduct 24/7/365 activities. Of these, 21 centers employ staff from only one DHS agency on a regular full-time basis and perform agency-specific functions.
  - Focused our analysis on the 4 centers staffed by more than 1 DHS component.
Ongoing and Completed GAO Reviews
Completed Review: GAO-07-89
Methodology

• Methodology
  • Interviewed officials from DHS’s Operations Directorate and other 4 multi-agency centers
  • Reviewed
    • transition, management integration, and planning and policy documents;
    • information on missions, products, functions, and customers;
    • strategic plans and annual performance reports and planning documents from DHS and its component agencies; and
    • studies that addressed the integration, coordination, and collaboration of department wide program functions.
Findings

The four multi-agency operations centers each have their own mission and generate different products while performing some similar functions and sharing a number of customers.

- **Missions:**
  - The missions of CBP’s Air and Marine Operations Center (AMOC) and National Targeting Center (NTC), and TSA’s Transportation Security Operations Center (TSOC) are tactical, including such activities as monitoring the nation’s airspace, the movement of potential terrorists, and the passengers on commercial flights, respectively.
  - The National Operations Center (NOC-Watch) mission is more strategic in that it collects information gathered by the other multi-agency operations centers and provides a national perspective on situational awareness for potential terrorist activity.

- **Products:** The products of the four multi-agency operations centers reflect their different missions and range from reports on suspicious private air and marine craft from the AMOC, individuals entering the country at land, sea and airports from the NTC, and individuals traveling on commercial flights from the TSOC, to an overview of the national threat environment from the NOC-Watch.
Ongoing and Completed GAO Reviews
Completed Review: GAO-07-89
Findings (cont.)

Findings

• **Functions**: The multi-agency operations centers all share common functions such as maintaining situational awareness, information sharing and communications; coordinating internal operations, and coordinating among federal, state, local, tribal, and private-sector entities; and managing incidents and making decisions. In addition, the AMOC and NOC-Watch exercise operational command and control and, along with the NTC, coordinate with foreign governments.

• **Customers**: The four multi-agency operations centers’ primary customers include federal, state, and local governments; private-sector entities; and some foreign governments.
Recommendations

To enhance collaboration at 24/7 operations centers staffed by multiple components, the Director of the Operations Directorate should develop and provide guidance and help to ensure the component agencies take the following six actions:

1. Define common goals and joint strategies;
2. Clarify the roles and responsibilities of staff known as watchstanders;
3. Implement compatible standards, policies, and procedures for using DHS's information network to provide a means of operating across agency boundaries;
4. Conduct staffing needs assessments;
5. Implement mechanisms to monitor, evaluate, and report on the results of collaborative efforts; and
6. Address collaborative efforts at the four multi-agency operations centers in plans and reports on the level of each operation center's managing agency.
Ongoing and Completed GAO Reviews
Ongoing Review of DHS Real Property Management
Objectives

• GAO Review: DHS Real Property Management and Security
  
  • Objectives
    
    (1) What is the profile of DHS real property portfolio, including the total number of properties and the number of owned versus leased properties?
    
    (2) What actions has DHS taken to strategically manage its real property assets and ensure that they are aligned to its mission?
    
    (3) What plans, if any, does DHS have to consolidate its headquarters in Washington, D.C.?
    
    (4) What actions has DHS taken to ensure the physical security of its facilities?
Ongoing and Completed GAO Reviews
Ongoing Review of DHS Real Property Management
Scope and Methodology

- **GAO Review: DHS Real Property Management and Security**

- **Scope and Methodology**
  
  (1) To profile DHS’s real property portfolio, we will rely on data in DHS’s real property portfolio database, data in the General Service Administration’s (GSA) Federal Real Property Profile, and interviews with DHS and GSA real property data officials.

  (2) To evaluate DHS’s real property management efforts, we will assess actions taken with regard to the President’s real property initiative and consider related asset management principles.

  (3) To determine DHS’s headquarters consolidation challenges, we will interview DHS and GSA real property officials and stakeholders such as the National Capital Planning Commission and DC Office of Planning. We will also review DHS’s DC area strategic housing plan and GSA’s draft Master Plan alternatives.

  (4) To describe DHS’s facility protection efforts, we will interview DHS and GSA security officials and review related documentation.
DHS Plans for Consolidating Facilities
Housing Master Plan Excerpts


  - “The Department proposes to secure and strengthen DHS operations by unifying our core headquarters facilities with those of our operating components. This consolidated facility would be located at the St. Elizabeth’s West Campus.”

  - “To support the incident management and command-and-control requirements of our mission, the Department clearly needs to consolidate executive leadership and operational management in a secure setting.”
Housing Master Plan Excerpts (cont.)

• “...organizational benefits that can only be achieved by collectively realigning all of our real property holdings... [include] an urgent need to expand the Department’s National Operations Center and certain intelligence analytic capabilities, and then to collocate them as close as possible with various operations centers and intelligence analytic capabilities currently maintained by DHS’s seven operating components at diverse locations.... Integration will bring significant operational discipline and improved capability.”
DHS Plans for Consolidating Facilities
2008 Congressional Justification Excerpts

- “...in order to truly consolidate the Department’s headquarters functions in addition to the front offices of its component agencies to realize a “One-DHS,” DHS seeks to re-locate most of its headquarters operations to the St. Elizabeth’s West Campus.”

- “Base level funding for the DHS Consolidated Campus initiative at St. Elizabeth’s is $120 million... DHS did not receive any funding for this project in the DHS FY 2007 Appropriations bill....”

- “Without the additional funds to construct a consolidated secure DHS Campus, the Department will continue to sub-optimize performance because of ineffective and inefficient facilities that adversely impact coordination, communication and cooperation among all DHS components.”
National Operations Center’s Role and Mission

- The National Operations Center incorporates the 24/7/365 National Operations Center-Interagency Watch (NOC-Watch), the Office of Intelligence and Analysis, the Federal Emergency Management Agency’s National Response Coordination Center, and an office called the Planning Element. The National Operations Center also shares responsibility for the National Infrastructure Coordination Center which is co-located and integrated as a watch function at the Transportation Security Operations Center.

- Prior to May 25, 2006, the NOC-Watch was analogous to the Homeland Security Operations Center. The Interagency Watch also incorporates staff from DHS’s Offices of Information & Analysis, Infrastructure Protection, and Incident Management Division, as well as a variety of other DHS and non-DHS organizations.

- The NOC-Watch is to act as the primary national-level hub for domestic situational awareness, common operating picture, combining and sharing of information, communications, and operations coordination pertaining to the prevention of terrorist attacks and domestic incident management by facilitating information sharing with other federal, state, local, tribal, and nongovernmental emergency operations centers; and by fusing law enforcement, national intelligence, emergency response, and private-sector reporting.
To enhance coordination among the components, a February 1, 2007, DHS Policy for Internal Information Exchange and Sharing requires that all homeland security information be coordinated through the National Operations Center’s Office of Intelligence and Analysis, specifically:

- “that each component conduct an immediate review of its existing information-handling procedures and ensure that appropriate mechanisms are in place to provide the Office of Intelligence and Analysis (I&A) with access to all potential terrorism, homeland security, law enforcement, and related information....”
Component Operations Centers’ Roles and Missions
Other DHS HQ Operations Centers

• The United States Computer Emergency Readiness Team (US-CERT) coordinates defense against and responses to cyber attacks across the nation. Specifically, US-CERT is responsible for
  • analyzing and reducing cyber threats and vulnerabilities;
  • disseminating cyber threat warning information; and
  • coordinating incident response activities by working with federal agencies, industry, the research community, state and local governments, and others to disseminate cyber security information to the public.
Component Operations Centers’ Roles and Missions
Other DHS HQ Operations Centers
(cont.)

- **National Coordinating Center for Telecommunications** assists in the initiation, coordination, restoration, and reconstitution of national security and emergency preparedness telecommunications services or facilities. During emergencies, staff
  - assess anticipated/actual damage,
  - identify national security and/or emergency preparedness service requirements,
  - prioritize requirements,
  - monitor the developing situation/response, and
  - coordinate service provisioning and restoration as required.
Component Operations Centers’ Roles and Missions

TSA

• Transportation Security Administration (TSA)
  
  • **TSA Office of Intelligence** provides warning and intelligence analysis to inform field operators, industry, and TSA leadership and serves as a liaison between the intelligence community and the air carriers who use the terrorist watch list information in their prescreening of passengers. Specifically, the Office of Intelligence
    • receives watch list data from the Terrorist Screening Center,
    • prepares it for distribution to the air carriers, and
    • sends it to the Transportation Security Operations Center.

  • **Federal Air Marshal Service, Mission Operations Control Center** provides support for scheduling, law enforcement situations, crisis management, and safety and security-related matters. Specifically, the center
    • controls daily operations,
    • tracks federal air marshal teams worldwide,
    • provides guidance to federal air marshal to help resolve incidents, and
    • monitors ongoing missions.
Component Operations Centers’ Roles and Missions

CBP

**Customs and Border Protection (CBP)**

- **Situation Room** provides information on significant incidents from field and sector offices, providing situational awareness to the Commissioner and senior CBP management. Specifically, staff
  - collect and verify information,
  - provide a central contact point for field personnel, and
  - ensure accurate information gets to CBP leadership.

- **National Law Enforcement Communications Center** monitors radio communications among CBP personnel for officer safety purposes, and to coordinate tactical communications and analytical investigative support to various DHS and other law enforcement agencies to support homeland security. Center staff also
  - design, install, and maintain networks for tactical communications and all classified messages and
  - oversee all CBP communications security.
Component Operations Centers’ Roles and Missions

ICE

- **Immigration and Customs Enforcement (ICE)**

  - **ICE Operations Center** provides senior management with daily reports and coordination on all significant incidents, events, and matters that have an impact on the mission of ICE and DHS.

  - **ICE Intelligence Watch** provides timely, effective classified intelligence support to ICE headquarters and field personnel by serving as a clearinghouse for the screening, evaluation, processing, exploitation, dissemination, and coordination of intelligence information.

  - **Law Enforcement Support Center** provides timely immigration status and identification information to federal, state, and local law enforcement agencies on aliens suspected, arrested, or convicted of criminal activity.
Component Operations Centers’ Roles and Missions
FEMA and Secret Service

- **Federal Emergency Management Agency (FEMA)**
  - **National Response Coordination Center** maintains national situational awareness and monitors emerging incidents or potential incidents with possible operational consequences (Incorporated into the NOC)
  - **FEMA Operations Center** facilitates, in coordination with the NOC, the distribution of warnings, alerts, and bulletins to the entire emergency management community using a variety of communications systems.

- **United States Secret Service (USSS)**
  - **Joint Operations Center** provides command, control, communication, and monitoring for ensuring the security of the White House complex and surrounding grounds.
  - **Intelligence Division Duty Desk** coordinates communications for the receipt, coordination, and dissemination of protective intelligence information and activities that require immediate action in support of protection assignments.
Component Operations Centers’ Roles and Missions
Coast Guard

- United States Coast Guard (USCG)

  - **U.S. Coast Guard Command Center** gathers, coordinates, and disseminates information as the primary communications link of priority operational and administrative matters between USCG field units, District and Area Commanders, senior Coast Guard officials, DHS officials, the White House, other federal agencies, state and local officials, and foreign governments.

  - **Intelligence Coordination Center** (collocated at Command Center) national-level coordination for collection, analysis, production, and dissemination of Coast Guard intelligence.

  - **National Response Center** serves as the single federal point of contact for all pollution incident reporting and a communications center in receiving, evaluating, and relaying information to predesignated federal responders, and advises FEMA of potential major disaster situations.