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NOMINATIONS OF L. REGINALD BROTHERS, JR., AND HON. FRANCIS X. TAYLOR

HEARING

BEFORE THE

COMMITTEE ON HOMELAND SECURITY AND GOVERNMENTAL AFFAIRS UNITED STATES SENATE

ONE HUNDRED THIRTEENTH CONGRESS

SECOND SESSION

NOMINATIONS OF L. REGINALD BROTHERS, JR., NOMINEE FOR UNDER SECRETARY FOR SCIENCE AND TECHNOLOGY, U.S. DEPARTMENT OF HOMELAND SECURITY, AND HON. FRANCIS X. TAYLOR, NOMINEE FOR UNDER SECRETARY FOR INTELLIGENCE AND ANALYSIS, U.S. DEPARTMENT OF HOMELAND SECURITY

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NOMINATIONS OF L. REGINALD BROTHERS, JR., AND HON. FRANCIS X. TAYLOR

WEDNESDAY, MARCH 5, 2014

U.S. SENATE,
COMMITTEE ON HOMELAND SECURITY
AND GOVERNMENTAL AFFAIRS,
Washington, DC.

The Committee met, pursuant to notice, at 9:30 a.m., in room 342, Dirksen Senate Office Building, Hon. Thomas R. Carper, Chairman of the Committee, presiding.

Present: Senators Carper and Coburn.

OPENING STATEMENT OF CHAIRMAN CARPER

Chairman CARPER. Good morning. Our hearing will come to order.

Dr. Coburn will join us momentarily, but today we meet to consider the two nominations for important positions at the Department of Homeland Security (DHS)—Dr. Reggie Brothers to serve as Under Secretary for the Science and Technology Directorate (S&T) and retired Brigadier General Frank Taylor to serve as Under Secretary of Intelligence and Analysis (I&A).

I am pleased to see that President Obama continues to put forth well-qualified nominees to fill the leadership vacancies in critical components such as each of these.

The work done by the men and women at the Science and Technology Directorate cuts across all of the components and missions of this Department. They are responsible for harnessing cutting-edge technology, and research and development (R&D) projects that help Department personnel and their partners be more effective in carrying out their missions and responsibilities.

Dr. Brothers comes to us from the Department of Defense (DOD), where he serves as Deputy Assistant Secretary of Defense for Research. In that position, he is responsible for policy and oversight of the Department of Defense science and technology programs, ranging from basic research through the development of advanced technologies. He is also responsible for long-term strategy for the Department's science and technology programs.

In addition to his work at the Department of Defense, Dr. Brothers also has significant experience in the private sector working in laboratories. He clearly has a breadth of hands-on technical expertise that he will bring to the Department of Homeland Security.

In this budget environment, we need to make important decisions on how to spend limited funds and are forced to do more with less. However, we still have to stay ahead of the evolving threats

from both man-made and natural sources. I look forward to hearing from Dr. Brothers today as he seeks to do that. His background in managing science and technology projects at DOD make him a great fit for this important role. And I hope that we can move your nomination quickly.

General Taylor's nomination has been referred to the Senate Select Committee on Intelligence. However, this Committee is afforded the option of holding hearings on that nomination, and we are doing that today.

The Department of Homeland Security's Office of Intelligence and Analysis, serves as the hub for homeland security intelligence. I&A was born out of a clear information-sharing need exposed after September 11, 2001. The office connects the U.S. Intelligence Community with the private sector, with our State and local partners, and DHS's various components.

Over the years, I&A has endured its fair share of criticism for its analytical output, for its mission within the U.S. Intelligence Community (IC) and for its role in helping our Nation's fusion centers do a better job sharing information.

Compounding matters, the office has been without a Senate-confirmed leader for the past 15 months. That is simply too long for such a critical position.

Make no mistake, however, the interim leader of late, Principal Deputy Under Secretary John Cohen, has done an exemplary job addressing the challenges that I&A faces, and we thank him for his stewardship.

However, in order to take the next step in its maturation, I&A needs the leadership that only a Senate-confirmed Under Secretary can provide. The Senate can do something about that right now, and that is by quickly confirming General Taylor.

Like Dr. Brothers, General Taylor comes well equipped to handle the task before him. His 35-year career in the Federal Government includes key positions in counterintelligence, law enforcement and counterterrorism. Moreover, for the past 9 years, General Taylor has worked to enhance the security of one of the largest, and I think best, companies in the world; that is General Electric (GE).

I am confident that General Taylor is the right person for the job, and I will push for a speedy confirmation. General Taylor, should you be confirmed, we look forward to working with you to improve this office and the vital information sharing over the coming months and years.

And, with that having been said, again, we welcome you, and I am going to turn it over to Dr. Coburn, who I believe has already been part of a hearing with you, General Taylor, in his role on the Intelligence Committee. Dr. Coburn.

OPENING STATEMENT OF SENATOR COBURN

Senator COBURN. Well, thank you, Mr. Chairman, for having this hearing.

I want to thank both of our nominees for their willingness to serve. They both come as very qualified individuals.

I have a prepared statement for the record that I would like to be placed.[1]

Chairman CARPER. Without objection.

Senator COBURN. And I would note that both areas these gentlemen are going to fulfill leadership roles in fit very well with what Secretary Jeh Johnson has planned for getting the Department of Homeland Security to where it needs to be.

And, again, I would thank you for your willingness to serve.

We have lots of problems, both in S&T and I&A, both of them. The difficulty in S&T is you are given the responsibility but no authority to control the budgets over the areas which you are going to have which means leadership skills are going to be tremendously important and how you coordinate that and nurse that to a position where we are coordinated.

Senator Levin and I put out a 2-year study on fusion centers showing that even though we spent $1.4 billion there is not one piece of actionable intelligence that has ever come up that could be used nationwide out of that investment. And we have had discussions about how to utilize that and what the goals for that are, and it is not eliminating fusion centers, but it is redirecting what they can best do in terms of all hazards.

So I do not have any questions specifically. I will have a few in writing for our nominees. I have had great visits with both of them a couple of times.

And I am thankful to our President for these nominations, and I am thankful for the leadership of Jeh Johnson in wanting these to happen. And it is my hope we can get them moved, as well as Suzanne Spaulding, as well as the IG, as well as the rest of the ones that have passed our Committee.

Chairman CARPER. Dr. Coburn, thanks and thanks very much for all that you are doing to try to get these folks confirmed and before the Senate and up and down for a vote.

Let me make a couple of brief introductions. This could be a fairly short hearing. You never know. That would be a good thing for your nominations, actually.

Dr. Brothers has filed responses to his biographical and financial questionnaires. He has answered prehearing questions submitted by the Committee and had his financial statements reviewed by the Office of Government Ethics. Without objection, this information will be made part of the hearing record, with the exception of financial data which are on file and available for public inspection in the Committee offices.

General Taylor's nomination has been referred to the Select Committee on Intelligence, as we have said. However, this Committee is afforded the option of holding hearings on the nomination, and we are here seeking to do that today.

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[1] The prepared statement of Senator Coburn appears in the Appendix on page 21.

General Taylor has provided biographical information and the answers to prehearing questions to the Senate Select Committee on Intelligence, and the Intelligence Committee has shared that information with us in preparation for this hearing today.

Our Committee rules require that all witnesses at nomination hearings give their testimony under oath.

And, with that, I am going to ask Dr. Brothers and General Taylor, would you both please stand and raise your right hand?

Do you swear that the testimony you will give before this Committee will be the truth, the whole truth and nothing but the truth; so help you, God?

Mr. BROTHERS. I do.

General TAYLOR. I do.

Chairman CARPER. You may be seated.

Let me just briefly introduce our nominees before asking them to proceed with their statements.

Our first nominee, Dr. Reggie Brothers, the President has nominated to be Department of Homeland Security's Under Secretary of Science and Technology. Dr. Brothers currently serves as Deputy Assistant Secretary of Defense for Research at the Department of Defense. He has extensive background in the private sector at BAE Systems, the Defense Advanced Research Projects Agency (DARPA), the Charles Draper Laboratory and the Massachusetts Institute of Technology (MIT) Lincoln Laboratory.

Welcome. Pleased to have met with you and pleased to have you be with us today.

Our second nominee is retired General Frank Taylor, the President's nominee for the Department of Homeland Security's Under Secretary for Intelligence and Analysis. As a career Air Force officer, General Taylor served his country for 31 years as a counterintelligence and law enforcement officer.

In 2001, he went to work for Secretary of State Colin Powell as the State Department's counterterrorism coordinator, a position with the rank of Ambassador. After a year and a half, he was appointed to lead the State Department's Bureau of Diplomatic Security as Assistant Secretary of State for Diplomatic Security.

In 2004, General Taylor left the public sector to become the Vice President and Chief Security Officer for General Electric, where he handled top security issues like espionage and insider threats.

Again, we thank both of you for your willingness to serve in these important positions.

Dr. Brothers, if you will, please proceed with your statement. Feel free to introduce any members of your family who are with you today.

I heard that you might be bringing Jasmine's classmates from—what is she? Seven years old?

Mr. BROTHERS. Seven years old.

Chairman CARPER. Yes, I heard she might be bringing some of her classmates here today. So feel free to introduce as many of them as you want.

TESTIMONY OF L. REGINALD BROTHERS, JR.,[1] NOMINEE FOR UNDER SECRETARY FOR SCIENCE AND TECHNOLOGY, U.S. DEPARTMENT OF HOMELAND SECURITY

Mr. BROTHERS. Thank you so much, Mr. Chairman, Dr. Coburn and distinguished Members of the Committee. It is a great honor for me to appear before you today as President Obama's nominee for the position of Under Secretary for the Science and Technology Directorate of the Department of Homeland Security.

I am also honored to appear before this Committee, which for the past 12 years has provided sound and distinguished leadership for the Department that is the foundation of our domestic security. If confirmed, I look forward to making my contribution to the security of our Nation in these times of accelerating technological advancements and diverse threats.

Senators, I would like to introduce my family now—first, my wife Cynthia, who is the kindest and most compassionate of all people I have known. Her love is my security. My daughter, Jasmine, who is only 7 years old, continues to teach me profound lessons and greater love every day. I marvel as I watch her grow in intelligence, confidence, kindness, and inner and outer strength. As I think you know, she wants to be a scientist and a doctor. My dad, Lou Brothers, is not just my father but my best friend. At 96 years of age, he continues to provide a powerful example of the type of man, I strive to be. His life has been based on service to his family, his community and his country. He has taught me the values of integrity and perseverance from his daily example. My mother, who is here with us in spirit today, passed away 4 years ago. She is my example of love of family and friends that I continuously strive to emulate. I also thank my cousin, Debbie, who flew here from Chicago this morning, for her love and never ending support. I would also like to acknowledge my extended family, my friends who you see behind me, because I believe that friendship is essential to the soul.

I was asked recently why I am interested in taking on this challenge. My desire comes from my personal understanding of the impact of terrorist attacks. I am from Boston and have many friends who live and work in New York City. On September 11, 2001, one of these friends was seriously injured as she ran headlong into a cement street pole as she fled the area called Ground Zero.

In 1996, I ran the Boston Marathon. In 2013, I watched scenes of devastation in familiar areas around the Boston Public Library. What if someone I loved had been injured or killed that day? These sorts of tragedies have ignited my passion to serve the mission and the vision of the Department of Homeland Security, to ensure a safer and a more secure America.

While my technical expertise and training is in the areas of sensor systems, communications and cybersecurity, a different type of attribute I can bring to the position of Under Secretary is the perspective I have garnered from a diverse career spent working across the science and technology enterprise, and you mentioned academia, industry, public service.

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[1] The prepared statement of Mr. Brothers appears in the Appendix on page 24.

In my current role as Deputy Assistant Secretary of Defense for Research at the Department of Defense, I have purview over a broad portfolio, approximately $12 billion in investment.

And, Dr. Coburn, you mentioned leadership. I think when being considered for such an important role it is important to discuss not just technical competence but leadership style as well. From a leadership perspective, I believe it is essential to focus on fostering relationships among all stakeholders, asking the right questions and truly listening.

If confirmed, I will emphasize collaboration, open communication, horizontally and vertically across the Directorate. I believe it is essential that everyone feels heard, valued, and empowered.

Now I would like to pivot from leadership to another priority for the Homeland Security enterprise, and that is technology transition to operational components. The process of developing critical technical end-user capabilities involves a wide variety of professionals, including academics, scientists, technologists, tactical operators, senior leaders in acquisition, and legal professionals.

I am fortunate to have worked closely with professionals from all of these communities, and I have learned and appreciate each of their nuanced languages. I believe this multilingual capability is essential for a most efficient and effective technology transition.

Going forward, I would like to continue the good work and leadership of my predecessors: Dr. Charles McQueary, Rear Admiral Jay Cohen, and Dr. Tara O'Toole. I will continue to foster a culture in which decisions are informed by rigorous analysis, focused on adding value to the operational components, and managing investments in the most efficient and effective manner.

I am deeply humbled, and I am honored to appear before you today in consideration of serving as the Under Secretary for the Science and Technology Directorate. I look forward to working with the leadership and Members of this Committee to serve the interests of the United States and its people.

Thank you.

Chairman CARPER. Dr. Brothers, thanks very much for your testimony.

And I just want to say to your wife, to your daughter, to your dad and all those folks that are gathered behind you in your family and your extended family, just a warm welcome and particularly—here they come.

Jasmine, this looks like your classmates from your class. Is that right?

Mr. BROTHERS. This is the second grade class from Pinnacle Academy. It is a science and mathematics school in Oakton, Virginia.

Chairman CARPER. That is great.

Well, Jasmine, just to make sure, we do not tolerate disruptions. [Laughter.]

But we are happy that you are here, and we are happy that your classmates and teachers are here as well.

Welcome one and all, especially to your dad. It is just a great honor to have you in our presence. Welcome.

Mr. BROTHERS. Thank you.

Chairman CARPER. General Taylor, I do not know how you are going to top that. [Laughter.]

TESTIMONY OF THE HONORABLE FRANCIS X. TAYLOR,[1] NOMINEE FOR UNDER SECRETARY FOR INTELLIGENCE AND ANALYSIS, U.S. DEPARTMENT OF HOMELAND SECURITY

General TAYLOR. I am not going to try, Senator.

Chairman Carper, Dr. Coburn, Members of the Committee, I am honored and extraordinarily humbled to appear before you today as the President's nominee for the Under Secretary for Intelligence and Analysis at the Department of Homeland Security.

Before I begin, I would first like to recognize my family. Without their support and encourage, I would not be here before you today. And, while they are not able to join me here for today's hearing, I am sure that they are watching. I am grateful for the core values they have instilled in me and for the life lessons they have taught me. For me, there is no stronger symbol for the importance of accepting challenges like this and the importance of making sure that we are getting it right.

During my last period of government service, I was privileged to work with Governor Tom Ridge and his team as they endeavored to establish the Department of Homeland Security in 2003. DHS has come a long way, and its mission and responsibilities have continued to evolve from those early days. This position and the team I would be privileged to lead, if confirmed, constitute crucial links between both the Federal Government and the Intelligence Community, and our State, local, tribal, territorial, and private sector partners, who are on the front lines every day, protecting our country and the citizens from an ever-evolving threat. As we learned in the aftermath of 9/11, securing our Nation requires an effective and intentional collaboration at every level. As envisioned by Congress, I&A's role is to enable effective information sharing among the Federal Government, its State and local, tribal, and private sector partners, ensuring all involved have a clearer understanding of the nature of the threats that we face collectively.

I remain haunted by the fact that at least one of the 9/11 hijackers was engaged by local law enforcement before the attack and the fact that there was certainly a potential for action against that individual before the attack. This is the type of coordination that must take place if we are to be successful, and if confirmed, I will work to strengthen and improve the processes and partnerships necessary to identify and mitigate potential threats to our country and our citizens.

If confirmed, I intend to bring my 43 years of law enforcement, security, intelligence, and crisis management experience to bear in further refining and advancing the efforts of my talented and dedicated predecessors. I have had the distinct honor to serve our country as a U.S. Ambassador, leading and directing diplomatic counterterrorism and diplomatic security operations. I have also had the privilege to work as the Chief Security Officer for the General Electric Company, a Fortune 10 global U.S. conglomerate. In each of these challenging but distinctly different roles, I have as-

[1] The prepared statement of General Taylor appears in the Appendix on page 83.

sumed responsibility for mission execution and success, and I believe my record indicates consistently successful results. I have also had the experience of working both line and staff roles, developing and implementing policy, creating and managing budgets at every level, and leading operational activity to mitigate risk to our country as well as to an American economic giant, and I understand the interdependency of the two.

While the I&A mission is different from any organization I have led before, I will have to endeavor to learn the organization, its unique customer requirements, and its strengths and shortcomings. Following a week of intensive briefings and meetings, I am pleased to share that my initial assessment is very positive. I believe the organization is grounded upon a solid foundation, and I hope to continue to build on that foundation, particularly regarding the further strengthening of DHS's bond to the National Network of Fusion Centers, enhancing I&A's analytical contribution to the Intelligence Community, of information derived from the Department, State and local sources, as well as working to eliminate duplicative efforts among I&A, other DHS components, and our IC partners.

What makes I&A unique in the Intelligence Community is its mission to link the U.S. Intelligence Community with first responders across our country. The network of State and local fusion centers provides I&A with a critical beachhead from which it delivers information and analytical resources to our Nation's 1,800 police entities. Caryn Wagner, as well as the current I&A leadership team, began that process with aggressive deployment of I&A personnel to fusion centers in the development of a program of analysis that will guide the future production of our analytical products. If confirmed, I will work relentlessly to execute these plans, ensuring all stakeholders understand that the critical importance of supporting our State, local, tribal and public sector partners.

No organization can live on its reputation or hide behind its mission statement. Organizations must evolve to improve to meet the changing environments in which they operate. Mission assessment, the development of clear objectives and the implementation of rigorous metrics will help I&A stay focused on both the present and the future. While my initial briefings on I&A were impressive, they now constitute the baseline from which I will use, if confirmed, to set future expectations and measure effectiveness and accomplishment.

To better serve the Department and the Intelligence Community, the Under Secretary for Intelligence and Analysis must also embrace the role of Chief Intelligence Officer and work with DHS components to synergize intelligence activities across the Department. I am impressed with the potential of what DHS calls the Homeland Security Intelligence Enterprise, and I believe it is the right approach to implement intelligence integration across the Department. If confirmed, I intend to work aggressively with the DHS intelligence components to further develop that model, and I look forward to working with Congress to identify other ways to further build the DHS intelligence enterprise.

Mr. Chairman, with your permission, I would like to enter the rest of the statement into the record.[1]

Chairman CARPER. Without objection.

All right, gentlemen, thank you for statements.

We need to start off our questioning today with me asking three questions. These are questions we ask of all nominees. And you may remain seated when I ask these questions and as you answer them, if you will just please answer after each question.

No. 1, is there anything you are aware of in your background that may present a conflict of interest with the duties of the office to which you have nominated?

Dr. Brothers.

Mr. BROTHERS. No.

General Taylor.

General TAYLOR. No, sir.

Chairman CARPER. All right. Do you know of anything personal or otherwise that would, in any way, prevent you from fully and honorably discharging the responsibilities of the offices to which you have been nominated?

Dr. Brothers.

Mr. BROTHERS. No, sir.

Chairman CARPER. General Taylor.

General TAYLOR. No, sir.

Chairman CARPER. All right. And, finally, do you agree, without reservation, to respond to any reasonable summons to appear and testify before any duly constituted committee of Congress if you are confirmed?

Mr. BROTHERS. Yes, sir.

General TAYLOR. Yes, sir.

Chairman CARPER. All right. Thanks very much.

I would like to start with you, a question for you, General Taylor. We talked a little bit about this when you visited with my staff and me last month in my office.

Dr. Coburn, as he said, has spent about 2 years drilling down on the fusion centers—a concept which, on paper, makes a whole lot of sense but, in its actual execution and implementation, has been less than satisfying.

And there is, I think, still considerable potential to be realized, but it has not been realized. His work and that of his staff and Senator Levin made that, I think, fairly clear.

I do not know if you have had a chance to read the work that they have created and the study that they have done, their findings and recommendations. But, whether you have or not, I would like for you to just talk about the concept of fusion centers, where they make sense, where they do not, what has gone wrong in terms of our fully recognizing or realizing their potential in this country.

General TAYLOR. Thank you, Mr. Chairman.

And, Dr. Coburn, and I have had several discussions about that very issue.

First, let me say that I think fusion centers are critical in terms of bringing the 18,000 police agencies around this country into the

[1] The prepared statement of General Taylor appears in the Appendix on page 83.

counterterrorism fight, and it is through the fusion centers that we can do that.

I think the challenge is, what are the metrics of success in the fusion center, both in translating IC information to the fusion centers and bringing information from the fusion centers back to the Intelligence Community?

And so I have read the report from Dr. Coburn and Senator Levin. I understand what the concerns are.

If confirmed, my intention is to look very carefully and closely at what the fusion centers are expected to do, to set expectations for how that mission should be performed, and then measure as best I can the execution of that mission to ensure that they are meeting their potential.

Chairman CARPER. You worked for two of the people, two of the leaders, that I most admire in this country—Colin Powell and Jeff Immelt, one a military leader, the leader of our State Department and just a great American, and the other a remarkably successful and effective leader on a highly respected, multinational company, GE.

What were the qualities that they saw in you that led them to hire you for these positions of extraordinary responsibility, and how does your execution of those duties suggest that you are well qualified for this position?

General TAYLOR. Sir, it is my belief in both cases I was hired based upon my demonstrated track record of forming, in the counterintelligence world and the Air Force, those skills that could be translated to the State Department and the counterterrorism role in the State Department and, ultimately, as the security leader for the State Department.

And, the same with GE, GE was looking for a leader that had both international and U.S. experience in leading complex security operations. GE did not have a chief security officer at the time I was hired. I was hired to build a capability.

And my track record in terms of building capability and mission execution, I believe, was a very important ingredient in why both Mr. Immelt and General Powell hired me.

Chairman CARPER. Dr. Brothers, a question for you if I could.

Again, Dr. Coburn has focused on the issue of duplication. There is a fair amount of it in government. If you do not believe it, just ask him. And he has spent a huge amount of time with his staff in finding it and pointing it out.

I want us to ponder for a moment, R&D duplication. I think in a 2012 report the Government Accountability Office (GAO) released a report that took a fairly broad look at research and development across at DHS. And, while the report did not find instances of duplication, it cited the potential for duplication and waste due to coordination challenges within the Department.

How would you view the role of the Directorate in coordinating research and development investments across DHS? That is the first part of my question.

And the second part would be, how would you ensure that the highest priorities are funded, with desired results, delivered to prevent potential duplication?

Mr. BROTHERS. Thank you.

Sir, I think the role of the Department is to have very strong communication links horizontally and vertically across the Homeland Security enterprise.

So I think it is important that we understand what the needs of the operational components are as opposed to necessarily what some of the wants might be. It is really what the needs are, and that requires a great deal of communication.

It is also important that we understand the art of the possible with respect to technology and science, that we do a good job of the technology foraging so that we can have the most efficient and effective use of our investment dollars, and we also look toward the future to see where some of the science and technology can lead us to.

I am sorry. What was the second part of your question, sir?

Chairman CARPER. The second part of my question is, how would you ensure that the highest priorities are funded, with desired results delivered, to prevent potential duplication?

Mr. BROTHERS. One of the things I would look for is developing what some people call frameworks.

Chairman CARPER. Developing what?

Mr. BROTHERS. What some people call a framework, right?

So a framework could be where you start thinking about what the threats are in terms of probability or time horizon and then look at what the impacts might be.

Then by looking at that type of framework, you can start to think about, how would you invest and what kind of timeframes would you invest in? So that is one way of thinking about investments.

In terms of making sure there is elimination of potential duplication, that is where this communication becomes important.

Sir, right now, in the Department of Defense, we have something called the S&T Executive Committee. And in this committee we meet with the leaders of the services and the components, and we talk about our investment portfolios, and we try to ensure that we do not have those kinds of duplications.

Those are the kinds of things I have seen to be effective.

Chairman CARPER. All right. Before I yield to Dr. Coburn, let me just ask the students that just walked in the hearing room that are Jasmine's classmates, would you all like to stand up? Why don't you just stand up?

Just stand up and remain standing, if you would, and let me just say welcome to all of you.

I am sitting here with Senator Tom Coburn, who is my colleague and a Republican from Oklahoma. And my name is Tom Carper. I am a Senator, a Democrat, from the State of Delaware. The two of us together lead one of the Senate committees. It is called the Senate Committee on Homeland Security and Governmental Affairs.

Our job as United States Senators is to work with 98 other Senators and 435 Representatives in the House of Representatives, along with the President and the Vice President, to make the rules for our country. That is what we do.

We make the rules for our country. They are called laws.

And our job is to help people.

And a big part of our job in this Committee is to make sure that we help protect the people of this country from harm from others in our country and outside of our country, who would wish us ill.

And what we are working on today is trying to figure out if these two men nominated by the President might be a big help in leading our country to a safer place.

So that is what we are doing, and we are just glad you could be a part of it.

Please have a seat. Thank you. Dr. Coburn.

Senator COBURN. Well, I said I was not going to ask questions, but I cannot help myself.

This Committee is known as T.C.-squared—Tom Carper and Tom Coburn.

General Taylor, the testimony that we had on the Boston bombings from the police chief of Boston, he was asked specifically, did the fusion center, the Commonwealth fusion center, provide information or actionable intelligence to anyone after the bombing that was not provided through other channels, and if so, what was it?

His answer was they did not.

And you specifically talked about counterterrorism, but as you know, fusion centers are an all-hazard event.

So my question for you is, rather than spending precious dollars in fusion centers on information going down, wouldn't it be better to better utilize the Joint Terrorism Task Force (JTTF) for counterterrorism with a nod to the fusion center on the information and use the fusion centers to try to build information to JTTF and the other significant parts of the IC community?

General TAYLOR. Sir, thank you for that question.

I think fusion centers sit at an apex that can serve both the IC with information going back up but also can serve to send information back out to the police agencies around the country.

I do not think it competes with the JTTF. I think it complements the JTTF. The issue is, how do we get the information into the fusion center that will complement the JTTF?

And I intend, if confirmed, to work on that nexus with the Federal Bureau of Investigation (FBI) to make sure that we are not duplicating efforts but complementing the work of the JTTF and its law enforcement/investigative role from the intelligence collection and analysis role that we perform for I&A.

Senator COBURN. I think that is important.

The fact is the history has never shown one piece of actionable intelligence yet, in this country, from a fusion center, and we have pretty well shown that.

That is not that we do not want it.

General TAYLOR. Yes, sir.

Senator COBURN. It is the fact that we have not been effective in developing that.

And I am glad you are going to be in your position.

Dr. Brothers, you are going to be responsible for this research except in two areas in Homeland Security that you do not have control over. So how are you going to handle that?

Mr. BROTHERS. Let me make sure I understand your question. You said two areas of Homeland Security that I do not have control over?

Senator COBURN. Well, for example, the nuclear portion.

Mr. BROTHERS. Ah.

Senator COBURN. And I cannot recall the second one, but there are two areas where you do not have line authority.

So your talents of persuasion and ordering of priority are going to have to be highly effective if we are going to actually coordinate all the R&D and science and technology within Homeland Security. How do you do that?

Mr. BROTHERS. I absolutely agree with you. I think it really does have to do with influence and persuasion and relationships.

Senator COBURN. Should we reorganize and put it all into one?

Mr. BROTHERS. I think, philosophically, I can understand why there is a lot of thought of consolidation and putting it all into one.

I think in a lot of examples that works; in some examples, the actual implementation of that kind of consolidation can become difficult. So it is something that I think is very important to think about.

I spoke to the Secretary about this, and I think he is very interested in thinking about how the implementation details.

Senator COBURN. All right. Thank you.

The rest of my questions I will submit for the record.

Chairman CARPER. Last evening I met with a friend of yours, the Director of the Central Intelligence Agency (CIA), Director John Brennan, and we talked about a lot of issues I know that he briefs the Intelligence Committee on fairly regularly.

Near the end of our discussion, we touched on the issue of cybersecurity, and we talked about our efforts to try to enhance the skills of the folks that are at DHS, to better enable them and our country to deal with cyber attacks that are occurring 24–7, around the clock.

This would be a question for Dr. Brothers. With an eye toward trying to protect us from these ongoing cyber attacks, how would you prioritize research and development in cybersecurity, and the work of the Science and Technology Directorate, in order to better protect us and our critical infrastructure and other parts of our Nation against the threats that we face today and maybe down the road?

Mr. BROTHERS. Sure, I can answer that from my perspective of where I sit right now, at the Department of Defense, and how we are working through that. And I think, if confirmed, these are the kinds of things I would like to think about.

What we are thinking about is looking at the key stakeholders—for example, in cyber, Department of Justice, Department of Defense, Department of Homeland Security, and how those three organizations overlap in terms of mission sets.

When we start thinking about given those mission sets, how do we think to gaps in terms of our capabilities?

And then we try to have S&T that is focused at those particular gaps.

This gets back to Dr. Coburn's comment about persuasion, influence and all that—it requires a tremendous amount of communication across the borders and boundaries of these organizations in order to effectively do this.

Chairman CARPER. All right. Have you had a chance to get to know Dr. Tara O'Toole at all?

Mr. BROTHERS. Yes, I have met with her.

Chairman CARPER. And your understanding from talking to others about her work and the team that she led there—and let me just say I was very impressed with her and thought she did a good job.

But, when you think about her legacy and what was accomplished during the time that she provided leadership, where do you think they did a really good job, and what are some of the areas that need maybe some of your earliest attention?

Mr. BROTHERS. Sure. I think what was a very good job was focusing on transition. I think a key point of science and technology, particularly in the Department of Homeland Security, is return on investment. Right?

It is getting value. It is really exploiting the fact that science and technology is a force multiplier to our operators. And I think Dr. O'Toole did a good job with that.

I think I would consider looking at other phases of the research continuum.

So we may consider not just on what can be very quickly transitioned, but how do we think about things that may take a little bit longer, understanding this higher risk? Right?

Understanding this higher risk and evaluating how much we want to put in a risky investment versus less risky investments.

Chairman CARPER. All right. Let me turn back to you, General Taylor, if I could.

We mentioned your work on behalf of General Electric. For how many years? Was it 8 years?

General TAYLOR. Eight and a half.

Chairman CARPER. Eight and a half years.

But I think you were the head of security for what is one of the most successful companies in the world, and you obviously have some valuable insights in the security needs of the private sector.

I&A serves many customers, as you know, including the private sector.

And let me just ask two questions, if I may.

What Department of Homeland Security information would have been most valuable to you as head of security for General Electric? That is question No. 1.

And, given your interactions with I&A while at General Electric, how can I&A improve its service to the private sector?

General TAYLOR. Thank you, Senator.

First, in my view, the most valuable information out of Homeland Security for the General Electric Company was on cybersecurity, and a lot of the other security information we were able to glean from local police departments and those sorts of things in the communities where our factories are, especially in the United States.

But the cybersecurity information, I think, was most valuable and certainly an area where I&A, in working with National Protection and Programs Directorate (NPPD), needs to continue to ramp up our capability to get that kind of information out. I think it is

the biggest gap in the private sector, and that is understanding the nature of the threat.

A company the size of GE has resources and can reach in lots of places, but 85 percent of the companies in this country are not that size and do not have those kinds of resources. So I think that is an area where we can assist in informing the business community of the threats and risks in cyber space.

DHS and the Federal Bureau of Investigations have worked, I think, quite hard to try to put together what they call the Domestic Security Advisory Council (DSAC). It is not as mature as I think it needs to be. I think the Overseas Security Advisory Council at the State Department is the gold standard. So my intent would be to work with my colleagues at the FBI to improve the efficiency and effectiveness of DSAC in responding to the information needs from the government and private sector security entities.

Chairman CARPER. OK. I think once a year, maybe once every other year, there is a non-profit entity which studies morale of Federal employees across many of our agencies, and they issue a report, and they literally rank and rate morale across agencies.

And I think look at as many as 300 agencies, all total. Some of them are fairly small. Others are, obviously, much larger.

But the Department of Homeland Security, no secret, has struggled with morale problems for a variety of reasons. One is they are spread out all over the place and there is not a real sense of team unity. All these different agencies were kind of jammed together in what we hoped was a logical way, but they have no real campus and no headquarters, and they are, in many ways, far-flung and not a tight unit or team.

There are some exceptions, though, within the Department of Homeland Security, and some of the components in the Department of Homeland Security actually rank very high in terms of employee morale. We have taken a look at that in trying to figure out why that is.

Talk to us about the morale in I&A. We are told it is not very good.

I spent a few years of my life in the Navy, and we thought a lot about morale and tried to enhance it.

We should do the same thing here. Our Committee, if anybody, has jurisdiction over Federal employees at large, and that includes morale. So we are concerned about it.

You have, obviously, worked a lot on morale, enhancing it for years, in uniform and out of uniform. Talk to us about how you might bring those skills to enhance the job satisfaction of the folks that you will be leading.

General TAYLOR. Sir, I appreciate the question.

I have read the reports of morale across the departments, specifically morale within I&A. I think I&A has been buffeted by many expectations about what is mission accomplishment and how are they performing. They are hearing from many different voices—good, bad and ugly—about the organization and what it is accomplishing.

I think morale stems from people really understanding what their mission is, leaders that really focus on objectives and metrics to drive a mission accomplishment, and people who really under-

stand that leaders care for them, care about what they do, care about how they do it and get them the resources that they need to get their job done.

So my focus on morale is making sure everyone in I&A understands what the mission is, not what they think the mission is, but what the mission is, what we expect each of them to do to contribute to that mission and then what the results are going to be going forward.

And I would expect every leader in I&A to be focused in the same way that I would be focused, in confirmed, to drive that message to our employees—that they are important, that they are getting things done and that we appreciate the work that they are doing.

Chairman CARPER. Before I turn to Dr. Coburn, Dr. Brothers just a real quick word from you on morale. My sense is the morale over at the R&D unit you will lead is a little better, but just talk to us about your focus on morale. How do you plan to keep it up and make it better?

Mr. BROTHERS. I think morale is extraordinarily important. I think that in order to get the most effective use of the team, morale has to be high.

I have looked at some of the data coming out of some of those surveys you were talking about, and while it shows challenges, what I would look to do, if confirmed, is understand really the root causes—the whys. Perform a real root cause analysis to understand why this is.

When I have an understanding what the why is, then the next step is do something about it. And I think that really has to do with the communication piece I mentioned earlier, making sure, as General Taylor did, that folks understand what the vision is, the strategy is, but not only that, making sure that everyone is involved in the process. So it is not just a top-down kind of development, but there is also input from every level of the organization.

Chairman CARPER. Dr. Coburn.

Dr. COBURN. My experience in both the business and the medical communities is creating proper expectations and the pats on the back when people accomplish that, and that is what has been lacking at Homeland Security across a broad swath of it.

We have valuable employees there, but their accomplishments have not always been recognized. The expectations have not been created. People want to perform, but they also want to be recognized when they have performed.

And so having the clear objectives of what the mission is, is a key component in all areas of Homeland Security, not just these two, and that is what has been lacking.

So leadership, which both of you represent, and very quality experience in those areas are exactly what Jeh Johnson—why he wants you there because he is that kind of leader.

And so my hope is that you can instill that leadership that is necessary to make people proud of what they have done and give them a clear pat on the back when they have accomplished what was expected of them and creating goals that are achievable but still hard, causing people to grow. People want to grow.

So I think you both get it. I am pleased that you are here, pleased that you are going to be confirmed. Our job is to make it happen quickly.

Chairman CARPER. I will say, in wrapping up, the elements that I find most important in my life with respect to enhancing people's satisfaction with their work is the feeling that what they are doing is important and to believe that they are making progress.

One of the keys to making progress is having strong leadership.

Show me an organization. I do not care what organization it is. It could be a school. It could be a church. It could be a business. It could be an athletic team. It could be a governmental unit. Show me one of those elements or one of those entities that has strong leadership, and I will show you a successful organization or one that is on its way to being successful.

As Dr. Coburn has suggested, critical to the morale of the employees of these agencies that we hope you will be leading is strong leadership—Senate-confirmed leadership. It is the job of the President and his folks to recognize, identify, vet, and send to us names of well-qualified people.

As Dr. Coburn suggests, it is our job to drill down on your qualifications and who you are and what you bring to the table, and if we deem you well-qualified, to expeditiously hold this hearing and, hopefully, report our your nominations to the full Senate. Things tend to slow down there.

Dr. Coburn has been a great partner with me, in working with Democratic and Republican leadership in the Senate, to try to move through nominations that the Secretary and the President have asked for.

We have too many senior positions in this Department that do not have Senate-confirmed leadership, and that is not to take anything away from the people who have served in Acting capacities, but it is just much harder to serve and to lead in that capacity.

So I want to, again, on behalf of all of us, those that are here, those that are not here today at our hearing—it is actually a pretty good sign when there are not many Senators at a confirmation hearing. It is not bad news.

But we are pleased that you are here and that you have prepared for, really, your whole lives, for these responsibilities and that you are willing to take them on.

I just want to say to your families that are here and those family members that are not, to your dad, to your wife, to your daughter, to all those kids from her class, to the friends and family that General Taylor has brought with them; thanks for your willingness to share with us two very good men.

That having been said, the hearing record will remain open until just noon tomorrow. So for Members who have some questions they want to ask, they have until noon tomorrow to do that.

Dr. Coburn, I know, has some additional questions. I am sure others on our Committee do, too.

As soon as you have an opportunity to give us your thoughtful responses the sooner that will enable us to try to move your nominations out of committee and onto the floor.

Dr. Coburn, anything else?

Dr. COBURN. No, thank you.

Chairman CARPER. Again, our thanks to you.
And, with that, this hearing is adjourned.
Thanks so much.
[Whereupon, at 10:21 a.m., the Committee was adjourned.]

APPENDIX

Opening Statement of Thomas R. Carper
Nominations of L. Reginald Brothers, Jr. and Hon. Francis X. Taylor
March 5, 2014

As prepared for delivery:

Today we meet to consider two nominations for important positions at the Department of Homeland Security. Dr. Reggie Brothers, to serve as Under Secretary for the Science and Technology Directorate, and Brigadier General Frank Taylor to serve as Under Secretary of Intelligence and Analysis.

I am pleased to see that President Obama continues to put forth qualified nominees to fill the leadership vacancies in critical components such as these.

The work done by the men and women at the Science and Technology Directorate cuts across all of the components and missions of the Department. They are responsible for harnessing cutting-edge technology and research and development projects that help department personnel and their partners be more effective in carrying out their missions and responsibilities.

Dr. Brothers comes to us from the Department of Defense where he serves as Deputy Assistant Secretary of Defense for Research. In that position he is responsible for policy and oversight of the DoD Science and Technology Programs ranging from basic research through the development of advanced technologies. He is also responsible for the long-term strategy for the department's science and technology programs.

In addition to his work at DoD, Dr. Brothers also has significant experience in the private sector and working at laboratories. He clearly has a breadth of hands-on technical experience that he will bring to DHS.

In this budget environment we need to make important decisions on how to spend limited funds and are forced to do more with less. However, we still have to stay ahead of the evolving threats from both man-made and natural sources. I look forward to hearing from Dr. Brothers in how he seeks to do that. His background in managing Science and Technology projects at DoD makes him a great fit for this important role. I hope we can move to get him confirmed quickly.

General Taylor's nomination has been referred to the Senate Select Committee on Intelligence. However, this committee is afforded the option of holding hearings on the nomination and we are doing that today.

The DHS Office of Intelligence and Analysis or, "I&A", serves as the hub for homeland security intelligence. I&A was born out of a clear information-sharing need exposed after 9/11. The office connects the US Intelligence Community with the private sector, our state and local partners and DHS's various components.

Over the years, I&A has endured its fair share of criticism for its analytical output, for its mission within the U.S. intelligence community, and for its role in helping our nation's fusion centers do a better job sharing information.

Compounding matters, the office has been without a Senate-confirmed leader for the past 15 months. This is simply too long for such a critical position.

Make no mistake, the interim leader, Principal Deputy Under Secretary John Cohen, has done an exemplary job addressing the challenges that I&A faces.

However, in order to take the next step in its maturation, I&A needs the leadership that only a Senate-confirmed Under Secretary can provide. The Senate can do something about this right now by quickly confirming General Taylor.

General Taylor comes well equipped to handle the task before him. His 35 year career in the federal government includes key positions in counterintelligence, law enforcement and counterterrorism. Moreover, for the past nine years, General Taylor has worked to enhance the security of one of the largest companies in the world.

I am confident that General Taylor is the right man for this job and I will push for a speedy confirmation. General Taylor, should you be confirmed, I look forward to working with you to improve this office and the vital information sharing over the coming months and years.

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Hearing: "Nominations of L. Reginald Brothers, Jr., to be Under Secretary of Science and Technology, U.S. Department of Homeland Security, and Hon. Francis X. Taylor to be Under Secretary of Intelligence and Analysis, U.S. Department of Homeland Security"

Opening Statement of Dr. Tom A. Coburn, Ranking Member

It has been nearly four months since our Committee held our nomination hearing for Jeh Johnson — the Department of Homeland Security's new Secretary. I strongly support Secretary Johnson and have confidence that he is the leader that the Department of Homeland Security needs.

One of Secretary Johnson's priorities was to assemble a strong team to lead the Department. With the nomination of these two highly qualified men, I am pleased that we appear to be making progress on filling the raft of vacancies at the senior levels of DHS.

I welcome Gen. Taylor and Dr. Brothers here today, and I thank them for their willingness to step forward to serve. Both of them have impressive qualifications and experience and appear well-qualified to serve in these leadership roles at the Department. I am particularly impressed that both of them have experience in the public as well as the private sector and can offer a fresh perspective to the divisions they would lead.

I hope they will work with the Committee in the coming months to reform the Department to improve its performance, cut wasteful spending, and focus on the priority missions.

After 12 years, the Department's purpose has become diluted by the sort of mission creep inevitable in new federal agencies. Even as it faces the key challenges of securing the border, making air travel safe, processing immigrants and sharing intelligence, the Department grasps for newer missions, confusing its purpose in the eyes of many lawmakers and Americans.

DHS's success in its current and proposed missions is undermined by the fact that some offices and components still struggle to demonstrate core competency and efficiency at their tasks. One of the biggest problems that DHS faces is a failure of leadership, management, and coordination.

Despite the talking point of a "One-DHS" and a unified Department, DHS continues to operate as a disorganized confederation of components, directorates, and offices. Many of which don't work well together. This is a significant operational challenge facing both the Office of Intelligence and Analysis (I&A) and the Science and Technology Directorate (S&T).

My concerns about the DHS Office of Intelligence and Analysis, and DHS's entire Intelligence Enterprise, are well-known, especially with regard to fusion centers. In 2012, Senator Levin and I released the findings of our two-year investigation of DHS' support for the state and local fusion center program.

Despite spending as much as $1.4 billion since 2004 on the fusion centers, DHS could not point to a single example where intelligence from fusion centers helped prevent a terrorist attack. And the intelligence the fusion centers was providing yielded little value.

More recently, GAO reported that the fusion centers are duplicative of other field based intelligence programs like the FBI's Joint-Terrorism-Task-Forces (JTTFs). This is an issue that needs to be further explored.

The Senate Select Committee on Intelligence determined that, last year, I&A had more analysts than finished intelligence products. So I&A produced less than one product per analyst. And I am told that many of these products are of questionable intelligence value.

DHS has also struggled to create a competent system for sharing intelligence within the Department and with its state, local, and private sector partners. The Department invested an estimated $231 million in the Homeland Security Information Network (HSIN) over the past 9 years. This network was supposed to be a unified system for DHS to share its "Sensitive But Unclassified" information within the Department and with its partners (in the states and the private sector). But the DHS Inspector General has found that the Homeland Security Information Network was not being used by all offices and components within DHS.

A key challenge — and opportunity — for Gen. Taylor will be to review DHS's intelligence mission and determine where it can provide the most value. I encourage Gen. Taylor, once he is confirmed, to conduct a top to bottom review of all of the programs within I&A and the DHS Intelligence Enterprise to determine what is working and what is not.

I would encourage Gen. Taylor to ask DHS's potential customers to be frank with him about whether they find DHS's Intelligence products to be useful. And like a business, determine who I&A's customers are and what it can do to better serve them. There are deep concerns about the division's ability to perform useful analysis of intelligence.

For example, we have heard from the private sector and from state and local partners that they value information that I&A shares with them. But often the information sharing doesn't happen, it happens too late to be useful, it contains no insightful analysis, or it reiterates information they have already read in the newspaper weeks earlier. DHS has an opportunity to better serve them.

Similarly, there may be an opportunity for DHS to provide more value to the Intelligence Community (I.C.) by elevating the reporting from your components (like CBP, TSA, and the Coast Guard) and making it more accessible to the I.C.

Dr. Brothers will also face challenges leading the S&T Directorate. He is fortunate to be following Dr. O'Toole, who was an intelligent and effective leader. Dr. Brothers's qualifications, including leading a Research and Development (R&D) directorate at the Department of Defense and working in the private sector, makes him well qualified to continue Dr. O'Toole's work.

But many challenges remain at S&T, including the need to improve research and development coordination across the Department. In 2012, the Government Accountability Office (GAO) reported that R&D was not well-coordinated across the Department, and that there was a potential that DHS components were duplicating each other's R&D as a result. Yet GAO's 2012 recommendation that the Department adopt a unified definition of research and development to better coordinate R&D department-wide remains open.

If Dr. Brothers is confirmed, one of his responsibilities as Under Secretary of S&T will be to coordinate R&D across the Department. But without control over the other components and their budgets, that will be difficult. As Dr. Brothers stated in his written testimony, one of the keys to his success as Under Secretary will be fostering relationships with the other components' leaders to make sure that they work with S&T on their R&D projects and major acquisitions.

I believe another important way to improve coordination of R&D across the Department is to consolidate chemical, biological, radiological, and nuclear research and development within S&T, as many (including Dr. O'Toole) have proposed. Dr. Brothers will also need to seek buy-in from the components on S&T's R&D projects, especially if he increases the amount of mid-term and long-term research.

One of Dr. O'Toole's lasting legacies at S&T is the increased engagement between S&T and the Department's operational components on S&T's research and development projects, and a strong focus on near term R&D. Engagement and buy-in from the operational components is absolutely essential for S&T's success. Without it, S&T cannot possibly understand the needs of operators along our borders and coastal waters, nor develop the technologies that will enable them to succeed.

As Under Secretary, Dr. Brothers will have a great deal of flexibility in choosing the projects that the Directorate focuses its resources on. One of the areas Dr. Brothers has shown an interest in is expanding mid-term and long term R&D at the Directorate. Should he expand S&T's work into mid-term and long-term R&D projects, Dr. Brothers will need to carefully oversee those projects and hold them to well-designed performance metrics to keep them on track.

I am thankful to Gen. Taylor and Dr. Brothers for volunteering to serve in important and challenging positions within the Department. They are well-qualified and prepared for these big jobs. I thank both of them for stepping forward to serve, and look forward to their testimony and working with them both once they have been confirmed, as I believe they both will be.

Statement of Dr. L. Reginald Brothers

Nominee for Under Secretary for Science and Technology,
Department of Homeland Security

Before the

U. S. Senate Homeland Security and Governmental Affairs Committee

March 5, 2014

* * *

Mr. Chairman, Senator Coburn, and distinguished Members of the Committee, it is a great honor for me to appear before you today as President Obama's nominee for the position of Under Secretary for the Science and Technology (USST) Directorate at the Department of Homeland Security. I am also honored to appear before this Committee, which for the past 12 years has delivered sound and distinguished leadership for a Department that provides the foundation of our domestic security. This is a truly humbling opportunity and, if confirmed, I will build on their vision and continue the trajectory of increasing S&T's relevance and value to the Homeland Security Enterprise. I look forward to making my contribution to the security of our nation in these times of accelerating technological advancements and diverse threats.

I would like to take this time to introduce the people who provide me with a sense of security, support, guidance and comfort: my family. First, I'd like to introduce my wife Cynthia, who is the kindest and most compassionate person I know. Her love is my security. My daughter Jasmine, who while only seven years old, teaches me profound lessons and greater love every day. I marvel as I watch her grow in intelligence, confidence, kindness and inner and outer strength. She claims she wants to be a scientist and a doctor and she is swiftly becoming an accomplished martial artist. I have a new nickname, 'JD', for 'Jasmine's Dad'. My Dad, Lou Brothers, is not just my father, but my best friend. At 96 years of age, he continues to provide a powerful example of the type of man I strive to be. He was a member of the first African American Parachute Battalion in the Second World War, the "Triple Nickle" and his life has been based on service to his family, community and his country. He has taught me the values of integrity and perseverance from his daily example. My mother who is here with us in spirit

today, passed away four years ago. She is my example of love for family and friends that I continuously strive to emulate. I thank my cousin Debbie, who frequently baby sat me as a child and never lets me forget it. I thank her for her love and never ending support. I also would like to acknowledge my extended family; my friends. I whole-heartedly believe in the motto: "Friendship is Essential to the Soul". And the friends that you see here today are truly essential for my soul.

I was asked recently, why I am interested in taking on this challenge of leading the Science and Technology Directorate of the Department of Homeland Security. My desire comes from my personal understanding of the impact of terrorist attacks. On the morning of September 11, 2001 while watching the terrible events on television from my home in Boston I understood terror for the first time. I heard from a friend who was seriously injured when, in sheer panic, while fleeing the site, she ran headlong into a cement street pole. Last year, I was on the phone with another friend while police helicopters hovered above his home searching for the suspected bomber of the Boston Marathon. I soberly remembered when, seventeen years earlier, I crossed that same finish line, in front of the Boston Public Library, as I completed the Centennial Marathon of 1996. As I watched the video of the scene from my current home in Virginia, I recognized every street and every store, and it hit home for me. What if someone I loved had been injured or killed that day? These sorts of tragedies have ignited my passion to serve the mission and vision of the Department of Homeland Security, to ensure a safer, more secure America. This is my country and this is my family. I want to do everything I can to protect them. If confirmed, I would be tremendously honored to lead the Directorate. Science and technological innovation are force multipliers for our country and are essential for the successful execution of the mission sets of the Department of Homeland Security. To be clear, in this context, the phrase science and technology applies not only to materiel systems and components, but technical analyses, system engineering, acquisition program support and other knowledge products.

One of the attributes I can bring to the position of Under Secretary for Science and Technology is the perspective I have garnered from a diverse career spent working across the science and technology enterprise: academia, industry, laboratories and public service. I bring a variety of perspectives from my experience to view problem sets. In the private sector I have worked in

both large industry as well as a small start-up company. I have worked in academic environments including non-profit and federally funded research and development centers. At DARPA, I was at the frontlines of high-impact, truly innovative research and development. As the Deputy Assistant Secretary of Defense for Research in the Department of Defense (DoD), I have purview over a broad portfolio - influencing approximately $12 billion of DoD investment. I have a strategic platform to think about how I can best harness the creativity and potential of science and technology to contribute both needed evolutionary advances as well as the game-changing revolutionary technologies.

My technical expertise and training is in the areas of sensor systems, communications, data networking and cyber security. I was a BAE Systems Technical Fellow in Sensor Systems and Communication Systems. In my current role in the Department of Defense, I am the lead for overseeing the Departments Cyber S&T portfolio. I am also the Chair of the DoD S&T Executive Council, which has oversight of the DoD S&T portfolio and is composed of senior members of the Services and Components. If confirmed, the experience I have gained in each of these positions will help me as I learn the role of under secretary and the homeland security mission space.

I think, when being considered for such an important role, it is important to discuss not just technical competence, but leadership style as well. From a leadership perspective, it is essential to focus on fostering relationships among the right stakeholders, asking the right questions and truly listening. I try to use a persuasive and supportive management style which involves firm, yet thoughtful control over the decision making process and subsequent task execution. I dedicate the time required to working with my subordinates, peers and supervisors (and any other relevant stakeholders) to completely understand a problem or issue. Only then do I lead the development of options to achieve our vision followed by selection of the best approach to reach our mutually agreed upon goals. I spend time with my employees to get to know them, their capabilities and strive to align tasks with their strengths. If confirmed, I will emphasize collaboration and open communication horizontally and vertically across the Directorate. I believe this is essential to encourage efficient and effective innovation.

Now I would like to pivot from leadership to another priority for the Homeland Security Enterprise and that is technology transition to operational components. The process of developing critical technical end user capabilities involves a wide variety of professionals including: academics, scientists and technologists, tactical operators, senior leaders and acquisition and legal professionals. I am fortunate to have worked closely with professionals from all of these communities and I learned and appreciate each of their nuanced languages. I believe this multi-lingual capability is essential for most efficient and effective technology transition and I hope to employ this skill set at the Department of Homeland Security.

From a global perspective, we know that the pace of technological advancement is accelerating. We also know that the pace of the adoption of technology is increasing. Knowledge is becoming increasingly globalized due to the hyper-connectivity of the internet. As we advance through the age of the 'internet-of-things' and autonomous cyber-physical systems, the nation may become more vulnerable to adversaries. It is in this context that I am prepared to use my diverse technical and managerial background and core values of service, open communication, analysis based decision making and integrity to help ensure our nation's security through the thoughtful and efficient use of science and technology.

Going forward I would like to continue the good work and leadership of my predecessors: Dr. Charles McQueary, Rear Admiral Jay Cohen and Dr. Tara O'Toole. I would continue to foster a culture in which decisions are informed by rigorous analyses and frameworks. One example framework is a hazard rate formulations which can provide threat time horizons, probability and potential impact. This type of framework can be used to provide efficient and effective management of the Directorates complex science and technology portfolio and knowledge products. With respect to balance in the science and technology portfolio, I believe the S&T Directorate should dedicate a significant portion of its portfolio to meeting the short-term needs of its customers as there is no homeland-security-equivalent of the DoD laboratories to perform this function. However, S&T should balance its near-term investments with mid and longer-term, higher payoff investments that provide new capabilities and new opportunities for our customers.

There is significant research in the business literature regarding innovation models. One of the models of which I am particularly fond is 'user-producer' innovation. User-producer innovation engages the end-user throughout all phases of the technology development process. From a first responder perspective, this would enable operators to work with technologists to co-develop systems as well as concepts of operations. I have taken part in experiments designed around this model with US Special Forces and have personally experienced the rapid transition potential.

Once again, I am deeply humbled and honored to appear before you today in consideration of serving as Under Secretary for the Science and Technology Directorate at the Department of Homeland Security. If confirmed, I look forward to working with the leadership and members of this Committee to serve the interests of the United States and its people.

REDACTED

HSGAC BIOGRAPHICAL QUESTIONS FOR EXECUTIVE NOMINEES

1. Basic Biographical Information

Please provide the following information.

Position to Which You Have Been Nominated	
Name of Position	Date of Nomination
Undersecretary for Science and Technology for Department of Homeland Security	1/30/2014

Current Legal Name			
First Name	Middle Name	Last Name	Suffix
Louis	Reginald	Brothers	Jr

Addresses					
Residential Address (do not include street address)			Office Address (include street address)		
[redacted]			Street: Department of Defense, Pentagon		
City: Vienna	State: VA	Zip: 22180	City: Washington	State: DC	Zip: 20301

Other Names Used						
First Name	Middle Name	Last Name	Suffix	Check if Maiden Name	Name Used From (Month/Year) (Check box if estimate)	Name Used To (Month/Year) (Check box if estimate)
					Est ☐	Est ☐
					Est ☐	Est ☐

Birth Year and Place	
Year of Birth (Do not include month and day.)	**Place of Birth**
1959	Boston, MA

Marital Status					
Check All That Describe Your Current Situation:					
Never Married	**Married**	**Separated**	**Annulled**	**Divorced**	**Widowed**
☐	X	☐	☐	☐	☐

Spouse's Name (current spouse only)			
Spouse's First Name	Spouse's Middle Name	Spouse's Last Name	Spouse's Suffix
Cynthia	Delores	Tinajero	

Spouse's Other Names Used (current spouse only)						
First Name	Middle Name	Last Name	Suffix	Check if Maiden Name	Name Used From (Month/Year) (Check box if estimate)	Name Used To (Month/Year) (Check box if estimate)
					Est ☐	Est ☐
					Est ☐	Est ☐

Children's Names (if over 18)			
First Name	Middle Name	Last Name	Suffix

2. Education

List all post-secondary schools attended.

Name of School	Type of School (vocational/technical/trade school, college/university/military college, correspondence/distance/extension/on line school)	Date Began School (month/year) (check box if estimate)	Date Ended School (month/year) (check box if estimate) (check "present" box if still in school)	Degree	Date Awarded
Massachusetts Institute of Technology	University	9/1991 Est ☐	5/1997 Est ☐ Present ☐	PhD Electrical Engineering	1997
Southern Methodist University	University	9/1982 Est X	6/1984 Est X Present ☐	MS Electrical Engineering	1984
Tufts University	University	9/1977 Est ☐	6/1981 Est ☐ Present ☐	BS Electrical Engineering	1981

3. Employment

(A) List all of your employment activities, including unemployment and self-employment. If the employment activity was military duty, list separate employment activity periods to show each change of military duty station. Do not list employment before your 18th birthday unless to provide a minimum of two years of employment history.

Type of Employment (Active Military Duty Station, National Guard/Reserve, USPHS Commissioned Corps, Other Federal employment, State Government (Non-Federal Employment), Self-employment, Unemployment, Federal Contractor, Non-Government Employment (excluding self-employment)	Name of Your Employer/ Assigned Duty Station	Most Recent Position Title/Rank	Location (City and State only)	Date Employment Began (month/year) (check box if estimate)	Date Employment Ended (month/year) (check box if estimate) (check "present" box if still employed)

Other					
Government Employment	Department of Defense	Deputy Assistant Secretary of Defense for Research	Washington, DC	12/2011 Est	Present Est
Federal Contractor	BAE Systems	Director Mission Applications and Technical Fellow	Arlington, VA	8/2009 Est X	12/2011 Est
Federal Contractor	BAE Systems	Director Advanced Programs and Technology	Arlington, VA	9/2007 Est	8/2011 Est X
Federal Contractor	Charles Stark Draper Laboratory	Program Manager	Arlington, VA	8/2007 Est	9/2007 Est X
Government Employee	Defense Advanced Research Projects Agency	Program Manager	Arlington, VA	9/2003 Est	8/2007 Est
Federal Contractor	Draper Laboratory	Group Leader	Cambridge, MA	12/2001 Est	9/2003 Est
Non-Government Employment	Envoy Networks	Chief Architect	Billerica, MA	12/1999 Est X	12/2001 Est X
Federal Contractor	MIT Lincoln Laboratory	Assistant Group Leader	Lexington, MA	1/1988 Est X	12/1999 Est
Federal Contractor	Texas Instruments	Design Engineer	Dallas, TX	9/1981 Est	1/1988 Est X
Non-Government Employment	Polaroid	Technician	Cambridge, MA	6/1980 Est X	9/1980 Est X
Unemployment (student)			Cambridge, MA	8/1979 Est X	6/1980 Est X
Non-Government Employment	Polaroid	Technician	Cambridge, MA	6/1979 Est X	8/1979 Est X
Unemployment (student)			Cambridge, MA	8/1978 Est X	6/1979 Est X
Non-Government Employment	Blue Cross Blue Shield	Clerk	Boston, MA	6/1978 Est X	8/1978 Est X

(B) List any advisory, consultative, honorary or other part-time service or positions with federal, state, or local governments, not listed elsewhere.

Name of Government Entity	Name of Position	Date Service Began (month/year) (check box if estimate)	Date Service Ended (month/year) (check box if estimate) (check "present" box if still serving)
		Est ☐	Est ☐ Present ☐
		Est ☐	Est ☐ Present ☐

4. Potential Conflict of Interest

(A) Describe any business relationship, dealing or financial transaction which you have had during the last 10 years, whether for yourself, on behalf of a client, or acting as an agent, that could in any way constitute or result in a possible conflict of interest in the position to which you have been nominated.

None

(B) Describe any activity during the past 10 years in which you have engaged for the purpose of directly or indirectly influencing the passage, defeat or modification of any legislation or affecting the administration or execution of law or public policy, other than while in a federal government capacity.

None

5. Honors and Awards

List all scholarships, fellowships, honorary degrees, civilian service citations, military medals, academic or professional honors, honorary society memberships and any other special recognition for outstanding service or achievement.

Awards:

- Chairman's Bronze award, BAE Systems, 2010
- Chairman's Bronze award, BAE Systems, 2009
- Technical Fellow, BAE Systems, 2009
- "Special Recognition" Award, Black Engineer of the Year, 2009
- Chairman's Gold award, BAE Systems, 2008
- Office of the Secretary of Defense Medal for Exceptional Public Service for leadership of engineering R&D at the Defense Advanced Research Projects Agency, 2007
- "Heroes Among Us Award" – Community leadership award, Boston Globe, Fox Sports News Network, Boston Celtics, 1999
- MIT Lincoln Laboratory Staff Fellowship Award 1991-1997

- Microwave Design Award, Texas Instruments, 1985

Patents:

- L. R. Brothers, Jr., et al, "Method and apparatus for received uplinked-signal based adaptive downlink diversity within a communication system", Patent Number: 7,095,987, Aug 22, 2006
- L. R. Brothers, Jr., et al, "Method and apparatus for high resolution tracking via mono-pulse beam-forming in a communication system" Patent Number 6,930,637, Aug 16, 2005
- L. R. Brothers, Jr., Patent #4945542, "Laser Diode Modulator", July 31, 1990

6. Memberships

List all memberships that you have held in professional, social, business, fraternal, scholarly, civic, or charitable organizations in the last 10 years.

Unless relevant to your nomination, you do NOT need to include memberships in charitable organizations available to the public as a result of a tax deductible donation of $1,000 or less, Parent-Teacher Associations or other organizations connected to schools attended by your children, athletic clubs or teams, automobile support organizations (such as AAA), discounts clubs (such as Groupon or Sam's Club), or affinity memberships/consumer clubs (such as frequent flyer memberships).

Name of Organization	Dates of Your Membership (You may approximate.)	Position(s) Held
GEOINS, Inc	8/2013 - present	Board Member
Omega Psi Phi Fraternity	1979-Present	Secretary, Treasurer and President of local chapters (Boston)
National Academies Board, Army Science and Technology	2007-2011 (approximate)	
National Academies Air Force Science Board on Intelligence, Surveillance and Reconnaissance	2007-2011 (approximate)	
National Academies Ad Hoc Study on Making the Soldier a Decisive Weapon	2007-2011 (approximate)	

National Academies Panel on Digitization and Communication Science	2007-2011 (approximate)	

7. Political Activity

(A) Have you ever been a candidate for or been elected or appointed to a political office?
No

Name of Office	Elected/Appointed/ Candidate Only	Year(s) Election Held or Appointment Made	Term of Service (if applicable)

(B) List any offices held in or services rendered to a political party or election committee during the last ten years that you have not listed elsewhere.

Name of Party/Election Committee	Office/Services Rendered	Responsibilities	Dates of Service

(C) Itemize all individual political contributions of $200 or more that you have made in the past five years to any individual, campaign organization, political party, political action committee, or similar entity. Please list each individual contribution and not the total amount contributed to the person or entity during the year.

Name of Recipient	Amount	Year of Contribution
Obama for America	$500	2008

8. Publications and Speeches

(A) List the titles, publishers and dates of books, articles, reports or other published materials that you have written, including articles published on the Internet. Please provide the Committee with copies of all listed publications. In lieu of hard copies, electronic copies can be provided via e-mail or other digital format.

Title	Publisher	Date(s) of Publication
Real-Time Implementation of a Multiuser Detection Enabled Ad-Hoc Network	Military Communications Conference (MILCOM)	2008
SATCOM-CX	MILCOM	2007
MUD Enabled Media Access Control for High Capacity, Low-Latency Spread Spectrum Communications	MILCOM	2007
Multi-Mission Software Defined Systems	MILCOM	2006
Network Coding for Wireless Communications Networks	SPIE Conference (Unmanned/Unattended Sensors and Sensor Networks)	September 2005
Agile Radio Resource Management for Proactive Wireless Networking	SPIE Conference (Defense Transformation and Network-Centric Systems)	March 2005
Dispersion Compensation for Terahertz Optical Frequency Comb Generation	Vol. 22 Issue 13	July 1997
Optical Frequency Comb Generation for Terahertz Difference Frequency Measurements	Proc. SPIE, vol. 2378, p. 222-229	1995
Terahertz Optical Frequency Comb Generation and Phase Locking of an Optical Parametric Oscillator at 665 GHz	Optics Lett. Vol. 19, no. 4	1994

Optical Frequency Measurement and Synthesis Using Nonlinear Optical Techniques	CLEO '94, vol. 8	1994
CW Phase-Locked Optical Parametric Oscillator as a Tunable Source for Terahertz Radiation	Proc. SPIE, vol. 2145, p. 190-199	1994
A High Speed Phase Shifter Based on Optical Injection	IEEE MTT Symposium	1987

(B) List any formal speeches you have delivered during the last five years and provide the Committee with copies of those speeches relevant to the position for which you have been nominated. Include any testimony to Congress or any other legislative or administrative body. These items can be provided electronically via e-mail or other digital format.

As a matter of practice, I do not use written notes for formal speeches. Attached are my Power Point presentations used as templates for briefings.

Title/Topic	Place/Audience	Date(s) of Speech
Keynote Speaker Topic: Importance of Human Systems Design Considerations	National Defense Industrial Association, Humans Systems Conference	February 4, 2014
Keynote Speaker Topic: Importance of Education	Thurgood Marshall Academy Public Charter High School	January 31, 2014
Panel Member Topic: Innovation Models	14th Annual Innovation & Equity Symposium	January 15, 2014
Military Mobile Power Conference Topic: Operational Energy Research in DoD	OE Summit at the Army	January 14, 2014
Keynote Speaker Topic: Data Analytics Research in DoD	Joint TechAmerica Big Data and Defense Committee December Meeting	December 11, 2013
Keynote Speaker Topic: Cyber Research in DoD	Security Innovation Network (SINET) Showcase	December 4, 2013

Keynote Speaker Topic: Data Analytics Research in DoD	Defense Strategies Institute: Big Data for Intelligence Symposium	November 19, 2013
Panel Member Topic: Convergence of Cyber and Electronic Warfare	AOC Conference	October 28, 2013
Keynote Speaker STEM Education	Aerospace Industries Association's (AIA) Workforce Policy Council	October 25, 2013
Panel member Topic: STEM Education	US News STEM Advisory Council	June 18, 2013
Keynote Speaker Topic: STEM Education	Business-Higher Education Forum Summit	June 10, 2013
Panel Member Topic: Cyber Research in DoD	Intelligence and National Security Alliance Forum (Innovator's Showcase)	May 16, 2013
Keynote Speaker Topic: DoD Research Priorities	Innovation, Identification and Investment (I3) Forum	May 14, 2013
Keynote Speaker Topic: DoD Research and Challenges in Assured Communications	Armed Forces Communications and Electronics Association (AFCEA) NOVA	May 10, 2013
Keynote Speaker Topic: STEM Education	STEMconnector Council	April 23, 2013
Panel member: Topic: DoD Research Priorities	National Defense Industrial Association (NDIA) IR&D Update by OASD (R&E)	March 21, 2013
Panel Moderator Topic: STEM Education	3rd Annual Science, Technology, Engineering, and Math (STEM) Forum	March 12, 2013

Speaker	DTAR Conference	March 5, 2013
KEYNOTE SPEAKER Topic: DoD Research Priorities	Association of the U.S. Army Winter Symposium and Exposition	February 20, 2013
Keynote speaker Topic: STEM Education	STEMconnector's Innovation Task Force	February 19, 2013
Keynote Speaker Topic: Data Analytics Research in DoD	Big Data for Defense and Homeland Security Symposium	January 29, 2013
Keynote Speaker Topic: DoD Research Priorities	Armed Forces Communications and Electronics Association (AFCEA)	January 17, 2013
Keynote address Topic: Dod Research Priorities and Challenges in Assured Communications	Motorola Solutions CTO conference	2012
Panelist Topic: Innovation Models	Wharton Business School Innovation Conference	2012
Emerging Technologies	Armed Forces Communications and Electronics Association (AFCEA)	2012
Moving Technology from Innovators to Operators	The Security Summit - East	2012
Government Demand for STEM	US News and World Report STEM Leadership Summit	2012
Cognitive Jamming and Anti-Jamming Radio	Military Communications Conference (MILCOM)	2011
Using Commercial-Off-The-Shelf Personal Electronic Devices in Tactical Environments	MILCOM	2010
Applications and Operational Concepts	MILCOM	2009

(C) List all speeches and testimony you have delivered in the past ten years, except for those the text of which you are providing to the Committee.

Title	Place/Audience	Date(s) of Speech
Advanced Communications Systems	MILCOM	2008
Optical Communications: Systems and Network Technologies, Algorithms and Protocols	MILCOM	2008
The Business case for Distributed Sensor Networks	Institute of Electrical and Electronics Engineers , WCNC, New Orleans, LA	March 2003
Wireless in the Military	MIT, Massachusetts	March 2003

9. Criminal History

Since (and including) your 18th birthday, has any of the following happened?
No

- Have you been issued a summons, citation, or ticket to appear in court in a criminal proceeding against you? (Exclude citations involving traffic infractions where the fine was less than $300 and did not include alcohol or drugs.)
  - o No
- Have you been arrested by any police officer, sheriff, marshal or any other type of law enforcement official?
  - o No
- Have you been charged, convicted, or sentenced of a crime in any court?
  - o No
- Have you been or are you currently on probation or parole?
  - o No
- Are you currently on trial or awaiting a trial on criminal charges?
  - o No
- To your knowledge, have you ever been the subject or target of a federal, state or local criminal investigation?
  - o No

If the answer to any of the questions above is yes, please answer the questions below for each criminal event (citation, arrest, investigation, etc.). If the event was an investigation, where the question below asks for information about the offense, please offer information about the offense under investigation (if known).

A) Date of offense:

a. Is this an estimate (Yes/No):

B) Description of the specific nature of the offense:

C) Did the offense involve any of the following?
1) Domestic violence or a crime of violence (such as battery or assault) against your child, dependent, cohabitant, spouse, former spouse, or someone with whom you share a child in common: **Yes / No**
2) Firearms or explosives: **Yes / No**
3) Alcohol or drugs: **Yes / No**

D) Location where the offense occurred (city, county, state, zip code, country):

E) Were you arrested, summoned, cited or did you receive a ticket to appear as a result of this offense by any police officer, sheriff, marshal or any other type of law enforcement official: **Yes / No**

1) Name of the law enforcement agency that arrested/cited/summoned you:

2) Location of the law enforcement agency (city, county, state, zip code, country):

F) As a result of this offense were you charged, convicted, currently awaiting trial, and/or ordered to appear in court in a criminal proceeding against you: **Yes / No**

1) If yes, provide the name of the court and the location of the court (city, county, state, zip code, country):

2) If yes, provide all the charges brought against you for this offense, and the outcome of each charged offense (such as found guilty, found not-guilty, charge dropped or "nolle pros," etc). If you were found guilty of or pleaded guilty to a lesser offense, list separately both the original charge and the lesser offense:

3) If no, provide explanation:

G) Were you sentenced as a result of this offense: **Yes / No**

H) Provide a description of the sentence:

I) Were you sentenced to imprisonment for a term exceeding one year: **Yes / No**

J) Were you incarcerated as a result of that sentence for not less than one year: **Yes / No**

K) If the conviction resulted in imprisonment, provide the dates that you actually were incarcerated:

L) If conviction resulted in probation or parole, provide the dates of probation or parole:

M) Are you currently on trial, awaiting a trial, or awaiting sentencing on criminal charges for this offense: **Yes / No**

N) Provide explanation:

10. Civil Litigation and Administrative or Legislative Proceedings

(A) Since (and including) your 18th birthday, have you been a party to any public record civil court action or administrative or legislative proceeding of any kind that resulted in (1) a finding of wrongdoing against you, or (2) a settlement agreement for you, or some other person or entity, to make a payment to settle allegations against you, or for you to take, or refrain from taking, some action. Do NOT include small claims proceedings.

No

Date Claim/Suit Was Filed or Legislative Proceedings Began	Court Name	Name(s) of Principal Parties Involved in Action/Proceeding	Nature of Action/Proceeding	Results of Action/Proceeding

(B) In addition to those listed above, have you or any business of which you were an officer, director or owner ever been involved as a party of interest in any administrative agency proceeding or civil litigation? Please identify and provide details for any proceedings or civil litigation that involve actions taken or omitted by you, or alleged to have been taken or omitted by you, while serving in your official capacity.

No

Date Claim/Suit Was Filed	Court Name	Name(s) of Principal Parties Involved in Action/Proceeding	Nature of Action/Proceeding	Results of Action/Proceeding

(C) For responses to the previous question, please identify and provide details for any proceedings or civil litigation that involve actions taken or omitted by you, or alleged to have been taken or omitted by you, while serving in your official capacity.

11. Breach of Professional Ethics

(A) Have you ever been disciplined or cited for a breach of ethics or unprofessional conduct by, or been the subject of a complaint to, any court, administrative agency, professional association, disciplinary committee, or other professional group? Exclude cases and proceedings already listed.
No

Name of Agency/Association/ Committee/Group	Date Citation/Disciplinary Action/Complaint Issued/Initiated	Describe Citation/Disciplinary Action/Complaint	Results of Disciplinary Action/Complaint

(B) Have you ever been fired from a job, quit a job after being told you would be fired, left a job by mutual agreement following charges or allegations of misconduct, left a job by mutual agreement following notice of unsatisfactory performance, or received a written

warning, been officially reprimanded, suspended, or disciplined for misconduct in the workplace, such as violation of a security policy?
No

12. Tax Compliance

(This information will not be published in the record of the hearing on your nomination, but it will be retained in the Committee's files and will be available for public inspection.)

REDACTED

REDACTED

13. Lobbying

In the past ten years, have you registered as a lobbyist? If so, please indicate the state, federal, or local bodies with which you have registered (e.g., House, Senate, California

Secretary of State).
No

14. Outside Positions

X See OGE Form 278. (If, for your nomination, you have completed an OGE Form 278 Executive Branch Personnel Public Financial Disclosure Report, you may check the box here to complete this section and then proceed to the next section.)

For the preceding ten calendar years and the current calendar year, report any positions held, whether compensated or not. Positions include but are not limited to those of an officer, director, trustee, general partner, proprietor, representative, employee, or consultant of any corporation, firm, partnership, or other business enterprise or any non-profit organization or educational institution. Exclude positions with religious, social, fraternal, or political entities and those solely of an honorary nature.

Name of Organization	Address of Organization	Type of Organization (corporation, firm, partnership, other business enterprise, other non-profit organization, educational institution)	Position Held	Position Held From (month/year)	Position Held To (month/year)

15. Agreements or Arrangements

X See OGE Form 278. (If, for your nomination, you have completed an OGE Form 278 Executive Branch Personnel Public Financial Disclosure Report, you may check the box here to complete this section and then proceed to the next section.)

As of the date of filing your OGE Form 278, report your agreements or arrangements for: (1) continuing participation in an employee benefit plan (e.g. pension, 401k, deferred compensation); (2) continuation of payment by a former employer (including severance payments); (3) leaves of absence; and (4) future employment.

Provide information regarding any agreements or arrangements you have concerning (1) future employment; (2) a leave of absence during your period of Government service; (3) continuation of payments by a former employer other than the United States Government; and (4) continuing participation in an employee welfare or benefit plan maintained by a former employer other than United States Government retirement benefits.

Status and Terms of Any Agreement or Arrangement	Parties	Date (month/year)

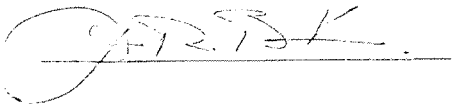
16. Additional Financial Data

All information requested under this heading must be provided for yourself, your spouse, and your dependents. (This information will not be published in the record of the hearing on your nomination, but it will be retained in the Committee's files and will be available for public inspection.)

REDACTED

SIGNATURE AND DATE

I hereby state that I have read the foregoing Statement of Biographical and Financial Information and that the information provided therein is, to the best of my knowledge, current, accurate, and complete.



This 7 day of March, 2019

REDACTED

United States
Office of Government Ethics
1201 New York Avenue, NW, Suite 500
Washington, DC 20005-3917

FEB 14 2014

The Honorable Thomas R. Carper
Chairman
Committee on Homeland Security
and Governmental Affairs
United States Senate
Washington, DC 20510

Dear Mr. Chairman:

In accordance with the Ethics in Government Act of 1978, I enclose a copy of the financial disclosure report filed by Louis R. Brothers, who has been nominated by President Obama for the position of Under Secretary for Science and Technology, Department of Homeland Security.

We have reviewed the report and have obtained advice from the agency concerning any possible conflict in light of its functions and the nominee's proposed duties. Also enclosed is an ethics agreement outlining the actions that the nominee will undertake to avoid conflicts of interest. Unless a date for compliance is indicated in the ethics agreement, the nominee must fully comply within three months of confirmation with any action specified in the ethics agreement.

Based thereon, we believe that this nominee is in compliance with applicable laws and regulations governing conflicts of interest.

Sincerely,

David J. Apol
General Counsel

Enclosures REDACTED

January 31, 2014

Joseph Maher
Designated Agency Ethics Official
Department of Homeland Security
Washington, D.C. 20528-0485

Dear Mr. Maher,

The purpose of this letter is to describe the steps that I will take to avoid any actual or apparent conflict of interest in the event that I am confirmed for the position of Undersecretary for Science and Technology, Department of Homeland Security.

As required by 18 U.S.C. § 208(a), I will not participate personally and substantially in any particular matter that has a direct and predictable effect on my financial interests or those of any person whose interests are imputed to me, unless I first obtain a written waiver, pursuant to 18 U.S.C. § 208(b) (1), or qualify for a regulatory exemption, pursuant to 18 U.S.C. § 208(b) (2). I understand that the interests of the following persons are imputed to me: any spouse or minor child of mine; any general partner of a partnership in which I am a limited or general partner; any organization in which I serve as officer, director, trustee, general partner or employee; and any person or organization with which I am negotiating or have an arrangement concerning prospective employment.

Upon confirmation, I will resign my position as a member of the Board of Directors of GEOINS. For a period of one year after my date of resignation, I will not participate personally and substantially in any particular matter involving specific parties in which the GEOINS is a party or represents a party, unless I am first authorized to participate pursuant to 5 C.F.R. § 2635.502(d).

I have been advised that this ethics agreement will be posted publicly, consistent with 5 U.S.C. §552, on the website of the U.S. Office of Government Ethics with other ethics agreements of Presidential nominees who file public financial disclosure reports.

I understand that as an appointee I must continue to abide by the Ethics Pledge (Exec. Order No. 13490) that I previously signed and that I will be bound by the requirements and restrictions therein in addition to the commitments I have made in this and any other ethics agreement.

Sincerely,

Louis R. Brothers

U.S. Senate Committee on Homeland Security and Governmental Affairs
Pre-hearing Questionnaire
For the Nomination of Reginald Brothers to be
Under Secretary at the Department of Homeland Security

I. Nomination Process and Conflicts of Interest

1. Were any conditions, express or implied, attached to your nomination? If so please explain.

No

2. Why do you believe the President nominated you to serve as Under Secretary for the Science and Technology Directorate ("S&T Directorate" or "the Directorate")?

I am deeply honored and humbled that President Obama has nominated me to serve this great country in such an important capacity. I believe that I have a strong academic, industrial and governmental record for individual technical innovation and the management of technical innovation. I have been successful on the performer and program management side of advanced technology program development and execution from a successful start-up company to the Defense Advanced Research Projects Agency. My current position as Deputy Assistant Secretary of Defense has provided me a broad and deep background in related capability areas (e.g. Cyber, Communications and Sensor systems) and the oversight of large investment portfolios (approximately $12B for Basic through Advanced Technology Development). In a time of tight fiscal constraints it is essential that the S&T Directorate leverage technical capabilities available across government to the full extent possible. My experience and knowledge of the Department of Defense, Academia and the commercial sectors gives me a solid base of knowledge to most efficiently and effectively meet the needs of the DHS operational components.

3. Were any conditions, express or implied, attached to your nomination? If so please explain.

No

4. The S&T Directorate is the main research and development (R&D) component of the Department of Homeland Security. The Directorate utilizes technology to help other Department components in carrying out their missions effectively and efficiently. Why do you believe you are qualified to carry out the responsibilities of this Directorate?

I believe I have the necessary attributes to effectively carry out the responsibilities of the S&T Directorate. My work across a variety of technical disciplines has prepared me well for this role and with the skills to understand technology and the art of the possible.

I also believe that I possess the ability to speak to the full range of stakeholders: technologists, operators, acquisition professionals, and industry leaders. I believe my experience in the academic, business, laboratory and government domains has given me this multi-lingual capability. The Under Secretary role also requires an ability to articulate a value proposition for the Directorate as well as an appreciation of the value proposition of the operational components

in order to achieve effective buy-in. I believe my background and experiences have prepared me with these required attributes.

In order to work effectively and efficiently across the Department, I am a strong believer that adopting the right technology solutions is critical. My experience will enable me to work with others to deploy innovative practices in hardware, software, algorithms, services, education, and technical expertise to advance the Department's mission. Equally as important is the eventual development of a pervasive culture where technology is routinely used to solve the most demanding problems and where project teams collaborate with each other across the Department.

5. Have you made any commitments with respect to the policies and principles you will attempt to implement as Under Secretary for the S&T Directorate? If so, what are they, and to whom were the commitments made?

No

6. If confirmed, are there any issues from which you may have to recuse or disqualify yourself because of a conflict of interest or the appearance of a conflict of interest? If so, please explain what procedures and/or criteria you will use to carry out such a recusal or disqualification.

None that I am aware.

7. Have you ever been asked by an employer to leave a job or otherwise left a job on a non-voluntary basis? If so, please explain.

No

II. Background of the Nominee

8. Please describe your role as Deputy Assistant Secretary for Research in the Office of the Assistant Secretary of Defense for Research and Engineering at the Department of Defense (DoD).

I am responsible for policy and oversight of Department of Defense (DoD) Science and Technology (S&T) programs from Basic Research through Advanced Technology Development ensuring the long-term strategic direction of the Department's S&T programs, and for developing those technologies needed for continued technological superiority of U.S. forces. One component of my Directorate is composed of the Technology Offices: Electronic Warfare, Space and Sensor Systems, Human Systems, Information Systems and Cyber Security and Weapon Systems. These offices provide analysis of critical technologies for major acquisition programs and oversight of DoD S&T investments. My responsibilities include oversight of 62 DoD laboratories through the DoD Laboratory Office. This oversight includes developing metrics and assessments. I also have responsibility for the DoD STEM Education portfolio. The STEM Development Office has the mission to provide Departmental Leadership in STEM education through policy development and oversight leveraging intradepartmental collaboration and interagency cooperation. My Directorate also manages the Office of Basic Science which has oversight over the basic research investments of the DoD components. My Directorate manages a budget of approximately $250M and with oversight over the Department of Defense Basic through Advanced Technology Development investments of approximately $12B.

9. Please describe your role as a Program Manager at the Defense Advanced Research Projects Agency (DARPA), including the specific projects you worked on at DARPA.

As a DARPA Program Manager, my job was to conceive, develop and manage advanced technology programs with the potential for high impact on future military capabilities. I worked in the areas of Bi-Static Airborne Synthetic Aperture RADAR and 3D LADAR; Wideband networked wireless communications; Sensors and control laws for rotary wing landing in Degraded Visual Environments; imaging sensor contrast enhancements to enable "see-through" obscurant capability; satellite Communications; precision navigation and targeting; bio-inspired sensing and underwater propulsion; mission aware video compression and wireless communications cyber defense.

10. You have spent much of your professional career between positions at the Department of Defense and the private sector. Please briefly describe your former positions both at DoD and in the private sector, including any key transitions in responsibilities.

I have been fortunate in that my career has spanned the S&T enterprise: academia, industry, laboratories, small and large business and senior executive service in government. I successfully transitioned technology to commercial users and operational military. I hope to bring this experience base and my passion to make a difference to end users to DHS.

My career started as a microwave component designer, and I pursued a Masters Degree in Electromagnetic Field Theory and Communications at Southern Methodist University in the evenings. For my work on components for missile systems, Texas Instruments awarded me their Microwave Design Prize. I grew frustrated by the specifications that were being given to me by the Systems Engineers who did not have a detailed understanding of the limits of component design. I therefore sought to broaden my knowledge and impact by moving into systems engineering

At MIT Lincoln Laboratory (MIT/LL), I worked as a RADAR systems engineer and taught a course in RADAR system design. I was awarded a MIT Fellowship to pursue a PhD. My doctorate work was in the field of Optical Spectroscopy and Communications, which led me to work in Laser communications after returning to MIT/LL. While a graduate student I also taught a course in Remote Sensing.

In order to expand my technical and business experience base, I left MIT/LL to lead the design effort at a start-up company in the area of mobile wireless communications. After the company was acquired, I was offered the opportunity to start a new group at Draper Laboratory in advanced communications and networking. This offer came from the Draper CEO who was a former MIT/LL Director.

After successfully developing and acquiring funding and staffing for the communications group, I left Draper Laboratory for the Defense Advanced Research Projects Agency (DARPA). At DARPA, along with mobile wireless, I worked in airborne synthetic aperture RADAR, 3D imaging LADAR, satellite communications, precision navigation for dismounts, and navigation and sensing for rotorcraft. For my work with Special Forces, I was awarded the Office of the Secretary of Defense Medal for Exceptional Public Service for leadership of engineering R&D. When my term at DARPA ended, I joined BAE Systems.

As Director of Advanced Programs and Technology, I was tasked to develop cross business initiatives that leveraged individual business area competences to provide total system solutions. I led efforts to partner BAE with small businesses in order to match best of breed technologies with internal corporate capabilities. I was also awarded the honor of being selected as a Technical Fellow. In this capacity I consulted with business units across the corporation in the areas of communication and sensing systems.

In recognition of the need to more efficiently use internal research funds, the corporation conceived of a team that would assess military user needs and develop innovative product concepts and business models. I was chosen to lead the first team for the Communications and Networking Systems business area.

I left BAE Systems to serve in my current role as the Deputy Assistant Secretary of Defense for Research.

11. Aside from obvious differences in the Departments' missions and R&D budgets, what do you think are the key similarities and differences between your current work at DoD and the work you will be doing at the S&T Directorate, if confirmed?

Some of the key similarities are with respect to S&T portfolio management and technical recommendations on major acquisition programs. In my current role as Deputy Assistant Secretary of Defense for Research (DASD-R), I do not control the budgets of the services or components and do not have complete visibility, yet I am responsible for helping to craft a balanced portfolio. My challenge is therefore to be able to lead through influence. I believe the challenge will be similar at DHS. Other similarities are with respect to oversight of a laboratory enterprise including FFRDCs. I also see similarities with respect to participation in a variety of cross component boards and advisory groups.

Other similarities include the leadership responsibility for scientists and engineers who are the best in the world in their technical domain.

The Army, Navy, Air Force, DARPA, DTRA, and other defense agencies Science and Technology programs are mission specific to their Service, but have cross-cutting requirements that are coordinated and aligned with the overall DoD mission. A similar organization structure exists within the DHS.

Key differences include additional responsibilities of the Undersecretary for Science and Technology (USST) with respect to my current role. According to The Homeland Security Act of 2002, the USST is responsible for "coordinating and integrating all research, development, demonstration, testing, and evaluation activities of the Department". As DASD-R, I am responsible for coordinating the research and development activities of DoD. Prototyping, testing and evaluation activities are coordinated in two separate directorates. Another essential difference is that, if confirmed, I will transition to a Department that places much stronger emphasis on near term technology transition based on the needs of the operational components. The USST role also requires collaboration across agencies to a much greater degree than my current position. For example, as stated in the Homeland Security Act of 2002, "The Secretary, acting through the Under Secretary for Science and Technology, shall have the responsibility

for... collaborating with the Secretary of Agriculture and the Attorney General ...collaborating with the Secretary of Health and Human Services ..."

12. Over the course of your professional career, have you had any significant interaction with any employees of or the work of the Science and Technology Directorate at the Department of Homeland Security or any other DHS components? If so, please describe those interactions.

I do not recall interacting with any employees on a personal level. However, members of my Cybersecurity team collaborated closely with their counterparts in the S&T Directorate. Going forward, I would encourage greater interaction at multiple levels between employees of DHS and DoD in order to enhance our joint awareness of DHS and DoD investments such that DoD and DHS are able to leverage each other's investments when appropriate.

13. Describe your experience in leading and/or overseeing major procurement projects.

The Research Directorate (RD), that I lead, participates in the technical review of documents developed to support Major Defense Acquisition Programs (MDAPs) and Major Automated Information Systems (MAIS) programs' milestone decision reviews. The scope of RDs involvement in the acquisition process is primarily this technical review and assessment of systems' "critical" technologies (i.e., those that may pose major technological risk during development, particularly during the Engineering and Manufacturing Development (EMD) phase of acquisition) and their eventual integration into weapons systems and/or information systems. Although technology readiness levels (TRLs) serve as a helpful knowledge-based standard and shorthand for evaluating technology maturity, they must be supplemented with expert professional judgment, and this is the role of the RD SME.

At any given time, there may be over 100 MDAPs and MAIS programs to support. The RD MDAP Team maintains 100% awareness of all MDAP and MAIS activities (documents and meetings) by actively monitoring the USD(AT&L) portal, the Defense Acquisition Board (DAB) Calendar, other official event lists, and by receiving "push" invites for document coordination and meeting attendance from the AT&L staff. The RD MDAP TEAM sends out weekly announcements to the SMEs of upcoming MDAP events.

The RD subject matter experts (SMEs) provide input for programs that are in their technical areas, and all MDAPs have at least one RD SME assigned to it. The SMEs review the programs documentation and attend the OSD-level oversight meetings in an effort to maintain awareness, understand the MDAPs progress, and provide informed and timely responses when necessary.

14. What is the largest research and development project that you have overseen?

The largest single project was a DARPA project of $93M. This project was eventually transitioned to the Air Force. While managing the project I discovered discrepancies in the performers reporting. As such, I initiated a stop-work order. This order resulted in replacement of the Project Manager and rework of the schedule and budget resulting in approximately $5 million in savings.

15. Please describe the positions you held for which you had the most significant management responsibilities. How many people did you manage in each of those positions?

The position with the most significant management responsibility is my current position as Deputy Assistant Secretary of Defense for Research. The Research Directorate has a staff of approximately 300 with a budget of approximately $250M. We have oversight over the DoD Basic to Applied Research budgets (approximately $12B) and the DoD laboratories. My Directorate consists of five technology offices, STEM Development Office, Basic Science Office, Defense Laboratory Enterprise Office, Defense Microelectronics Activity, Technical Security Office and Business Support Office. The technology offices are as follows: Information Systems and Cyber Security, Electronic Warfare, Human Performance Training and Biosystems, Space and Sensor Systems, and Weapon Systems. My senior leadership team consists of the eleven office directors who each have oversight over the DoD's S&T investments in their specific domains of expertise.

16. What is the largest organization that you have managed in terms of total budget and number of FTEs? What experience, if any, do you have in either directly managing or overseeing the core management functions of an organization (human capital, acquisitions, information technology, and financial management)?

The Research Directorate that I currently lead has approximately $250M investments in R&D programs and approximately 300 staff members. My responsibilities include providing technical assessment of technology maturity for major defense acquisition programs and major automated information systems, financial management and human capital. Information technology is handled through an enterprise-wide-department that is external to my Directorate. I chair the S&T Executive Committee, which is comprised of the senior acquisition officials for each of the Department's Services and Defense Agencies and is tasked with the coordination of S&T portfolio's across the Defense Department (approximately $12B). My Directorate is responsible for the annual S&T Strategic Overview Meeting, where the Army, Navy, Air Force, and the Joint Staff S&T portfolios and requirements are coordinated and aligned. My Directorate also oversees the 17 Communities of Interest (COI's), six of which are the highest priority topics for the Department. Each COI is led by a Defense Laboratory department head or equivalent and focuses on a specific technology or set of technologies or mission areas. Examples include: Communications and Networking, Cyber, Electronic Warfare and Operational Energy. These COIs are responsible for developing technology roadmaps and coordinating efforts across the Department. I also chair the STEM Executive Committee which coordinates investments in STEM education (approximately $150M) and has produced a Department-wide STEM Strategy and a STEM Strategy Implementation plan. My Directorate has oversight over the Defense Laboratory Enterprise which includes FFRDC's and UARCs. The Office of Basic Sciences provides oversight of the DoDs Basic Research investments (approximately $2B).

17. What experience do you have working with the Department of Energy's national laboratories?

I funded a Synthetic Aperture RADAR project with Sandia National Laboratories while a Program Manager at DARPA. I recently co-chaired the meeting of the Mission Executive

Council (MEC), which is an executive level forum comprised of representatives from DoD, DHS, DOE, and ODNI. The purpose is to coordinate the utilization of the DOE National Laboratory capabilities.

18. What experience do you have overseeing the work of university-based research programs for the federal government?

As a program manager at DARPA I oversaw a variety of university-based research programs in the areas of wireless communications, information theory, and cyber security. One effort of which I am particularly pleased is that of Network Coding. When I first helped fund the research, the area was highly mathematical and had not bridged to gap from academia to operational implementation. Network Coding is now being considered as a routing technology for to create more reliable and effective tactical radio networks.

19. What experience do you have overseeing the work of federally funded research and development centers (FFRDCs) for the federal government?

In my current role, I oversee the Carnegie Mellon Software Engineering Institute which is the DoD's only FFRDC focused on software. This oversight involves both funding and strategic direction. I also fund technical support at MITRE and IDA, which are other DoD FFRDCs.

III. Roles and Responsibilities of the Under Secretary for Science and Technology

20. In 2012, the Government Accountability Office released a report that took a broad look at research and development across the department. While the report did not find instances of duplication, it cited the potential for duplication and waste due to challenges with coordination within DHS.

    a. How do you view the role of the Directorate in coordinating R&D investments across DHS, ensuring the highest priorities are funded, that desired results are delivered, and in preventing duplication?

S&T is a DHS headquarters office and is active across the mission spaces of the components of the Department. As such, S&T has a unique vantage point for coordination. While I do not have any experience with DHS's portfolio review process, I have been briefed by DHS S&T and if confirmed, I intend to thoroughly evaluate the process to ensure correct prioritization and efficiency.

    b. What legislative or policy changes do you think may be necessary to affect that role?

If confirmed, I will work with DHS leadership and the committee to determine if legislative or policy changes are necessary to ensure that S&T investments are appropriately prioritized and funded.

21. If confirmed as Under Secretary of the S&T Directorate, you will be responsible for managing a multi-faceted portfolio of R&D investments and be required to make complex decisions about proposed investments in competing or parallel lines of R&D. Please describe the values and analytical process you would use to ensure that the full range of homeland security missions and threats are adequately addressed.

Technology based organizations must convert S&T efforts into cost effective products that users want and for which sponsors will pay. While industry always considers return on investment (ROI) of research expense versus gain, I will assess program effectiveness by product impact to the mission of DHS and utility to our society (i.e., will our national security benefit from the product?) This approach will take us beyond the normal S&T metrics of scientific publications as a measure of productivity.

I recognize there are multiple stakeholders including Congress, DHS and its employees, inter-agency partners, and suppliers. In addition, our partners, industry and academia, have different stakeholders, whose interests must be balanced and addressed as we build and execute S&T programs. Sometimes these different interests are not aligned. Customers are those who pay for a product - the American taxpayer; stakeholders are those who will use the products of the DHS R&D programs such as the Coast Guard or TSA.

Assessing and prioritization must consider many critical factors such as time of delivery, urgency of a technology, effectiveness and cost. The time required for technology developments for DHS is getting shorter because of ever increasing threats. Therefore it is necessary to invest faster, take more prudent risks and have a deep understanding of how a technology product will be used. Metrics I will include in my assessments are impact to mission, affordability to deploy and robustness of the technology, that is, how long will the product be useful before another threat will render it obsolete? Because of the rapidly changing nature of threats to our homeland, I will remain flexible in assessing program effectiveness and adapt as needed to maintain a productive program. This will require staying abreast of industry best practices to measure R&D program impact.

S&T programs can be long-term endeavor investments and assessments must consider the time required to deliver new products. However, we cannot simply say, "Trust me." Threats continue to evolve and we must have an understanding of what is required in both the near and far terms and balance our portfolio accordingly. While measuring success in the near term is comparatively easy, assessing progress toward long term goals is more challenging. I will develop roadmaps with clearly defined progress markers and require alternative approaches if a milestone is not met as an approach to managing risk. I understand creative science requires a hands-off approach to achieve the most innovative results, but I will maintain a high level of awareness of program progress and intervene if programs stall.

Great science does not always result in successful products. However, I believe great science is required to achieve the most innovative and useful results. I will continue to strengthen the already outstanding DHS program by actively managing the projects and balance the portfolio between products with near term application and long term concepts with potential "game changing" impacts. Impact to mission will be my primary way of measuring program success.

22. The S&T Directorate has historically made larger investments in near-term development than in basic research. In recent years due to funding constraints the S&T Directorate has been required to focus even more on projects that fit a definite requirement. Please detail your views on basic research versus development, and how you might seek to balance the S&T Directorate funding between these two activities. What areas, if any, require greater investments in basic research versus advanced development?

I believe S&T should dedicate a significant portion of its portfolio to meeting the short-term needs of its customers as there is no equivalent of the DoD laboratories to perform this function. However, S&T should balance its near-term investments with mid and longer-term, higher payoff investments that provide new capabilities and new opportunities for our customers – recognizing that these longer-term efforts will often not be in response to stated customer needs and requirements. Even with its near-term projects, S&T needs to ensure that it adds value to what is available in the commercial marketplace.

23. What is your style of leadership and organizational management?

I use a persuasive and supportive management style which involves firm, yet thoughtful control over the decision making process and subsequent task execution. I dedicate the time required to working with my subordinates, peers and supervisors (and any other relevant stakeholders) to completely understand a problem or issue. Only then do I lead the development of options to achieve our vision followed by selection of the best approach to reach our mutually agreed upon goals. I spend time with my employees to get to know them, their capabilities and strive to align tasks with their strengths. My people know that I value their opinions and work and will keep them involved in each step of a decision and then follow their progress in task execution. I interact with my people often and engage when needed to remove obstacles. I rarely find it necessary to micromanage any task as I have been fortunate throughout my career to be associated with high performing professionals who take pride in their work. Acknowledgement of my employees' efforts and accomplishments is one of my highest priorities and I communicate their successes often to my peers and supervisors.

24. The S&T Directorate has recently adopted portfolio reviews to ensure that funding is prioritized for projects that promise the greatest threat reduction, have the highest return on investment, and those projects that best address specific mission needs of the operational agencies.

    a. Discuss your experience with prioritization of projects and funding.

I have experience with the prioritization of internal research projects in private industry, government laboratories and across the DoD. At BAE Systems and Draper Laboratory I was a member of the senior team evaluating internal research projects. In my current role, I am Chair of the S&T Executive Committee that is responsible for overseeing the DoD S&T portfolio. For all of these instances, it is essential to understand the context of the proposed research, whether it is expansion into adjacent markets, defining capability gaps in

warfighter effects-chains or challenges for first responders. It is equally essential to consider time-to-market requirements and develop a prioritized list with associated metrics that enables a well-reasoned cutoff line with respect to funding. I also understand that S&T for DHS is very different from that of DoD. DHS and DoD have different missions and appropriation levels. DHS has a heterogeneous culture where DoD is solely military.

b. If confirmed, would you consider other methods for prioritizing and funding R&D projects than portfolio reviews? What specific alternatives would you consider?

Yes, I would consider other methods, although I am not familiar with any that do not perform a complete portfolio review at some point in order to ensure proper balance.

c. What do you believe are the greatest threats the S&T Directorate should help the Department and nation to confront over the next five years?

I believe the greatest threats will come from Cyberspace, natural disasters and terrorism.

25. What do you think the role of failure and failure rates is in R&D projects and in an organization like the S&T Directorate?

a. What do you think is an acceptable failure rate for the S&T Directorate's R&D projects?

With respect to a risk/reward trade, R&D projects range from low risk/evolutionary payoff to high-risk/revolutionary payoff. Typical failure rates of which I am familiar are in the 70-90% range for high risk- revolutionary payoff projects. While I don't have data to confirm, I estimate that typical failure rates for low risk efforts are around 5-10%. As the nominee, I am not in a position to know if either of these rates is appropriate for the S&T Directorate. I do believe in a 'fast fail' project management approach. With this approach, projects are given metrics for success that must be passed at various milestone events. Some of these milestones occur early in the development cycle. If a project does not pass, then it is quickly terminated. This approach filters out low probability of success efforts early and allows the funding to be used more efficiently and effectively.

b. Is there a place within the S&T Directorate for high risk, high potential rewards projects or projects with a long time to transition — similar to those pursued by DARPA? If so, what is the appropriate role of such projects in the S&T Directorate?

While I believe S&T should balance its near-term investments with mid and longer-term, higher payoff investments, DARPA style high risk, high reward projects may be a mismatch for DHS. This is due to the much smaller budget that is available to S&T than DARPA and the overall goals/needs. If confirmed, I would consider this question along with how best to leverage DARPA investments.

26. Each of the past Under Secretaries for Science & Technology have taken different approaches to allocating resources across the spectrum of basic research to late stage development. How do you think the S&T Directorate's resources are best allocated across the spectrum of basic research to late stage development?

From the briefings that I received, I realize that due to fiscal realities, S&T is currently focused on near term projects. As the nominee and without portfolio performance data, I believe that the S&T portfolio should reflect investments with three distinct time-to-value horizons: near-term (0-18 months), mid-term (18-36 months) and long-term (up to five years). While typical S&T efforts in DoD may take 10-15 years to actually provide operational capabilities, DHS has a much shorter time horizon due to the broad and dynamic mission sets of the operational components. If confirmed, I would work with the headquarters and operational components to determine most appropriate time-to-value horizons.

27. If confirmed, what are your goals for your first thirty days as Under Secretary for Science and Technology?

- Establish relationships and strong communications channels with staff, components (headquarters and operational) and Congress
- Understand existing Department and S&T strategies in context of financial and cultural realities
- Understand S&T portfolio with respect to strengths and weaknesses from technical and operational perspectives
- Develop priorities for first 90 days.

IV. Policy Questions

S&T Directorate Coordination with Other DHS components

28. The S&T Directorate has the responsibility of developing technologies and processes that improve the efficiency and effectiveness of operational components, your customers. Please describe your strategy in coordinating with these components to make sure that they get the results they need.

My experience has proven to me that communication between technologists and operational personnel is the key to coordination. Often translation is necessary as operators and technologist typically speak different languages and have different timelines. As such, it is essential to staff that communication function with people who have the necessary translation skills. The operators need awareness of the art of the possible. Technologists require awareness of the operational mission sets. I have been part of experiments where operators and technologists perform missions together and in near real time develop enabling technical capabilities. I am a proponent of user-producer innovation, where the innovation is a joint effort

between the user and the producer of the given capability. It is also important for the success of technology transition for the operational personnel to be involved at the beginning of the technology development process. Too often, operators are asked to transition a technology too late in the process when concepts and operations and human factors may limit applicability.

29. DHS has begun to institute a more rigorous and mature investment oversight process to improve both the procurement process and the oversight of a program life cycle. The S&T Under Secretary is a member of the executive governance boards charged with procurement and investment oversight.

    a. Please describe your planned role in the governance of investment oversight at the Department.

At the Department of Defense, the Chief Technology Officer of the department (Assistant Secretary of Defense for Research and Engineering) has oversight over the DoD S&T investments. Defense has a program in place to manage the portfolio that is a collaborative effort between the Services and Components. My Directorate coordinates an annual review of investments which includes a review of requirements as articulated by the Joint Staff. My Directorate also coordinates annual briefings of individual technical Communities of Interest which have the responsibility of developing cross-Component S&T roadmaps.

I have been briefed on the DHS investment management process called the Science and Technology Resource Allocation Strategy (STRAS) "which provides a coordinated framework that ensures S&T efforts are aligned with operational requirements. It captures ongoing work within DHS components and the first responder community, identifies where capability gaps exist, and plots a course to fill these shortfalls… With the identification of broad capability gaps and requirements, integrated product teams develop R&D strategies that include S&T technology roadmaps consisting of individual projects and projected outcomes. The integrated product teams are joint—that is, consisting of S&T and customer personnel—and work collaboratively throughout the life cycle of the R&D effort. S&T utilizes this annual portfolio review process to ensure our R&D portfolio reflects the highest-priority needs of the HSE and aligns with S&T's strategic priorities."[Science and Technology Directorate Review 2014]. If confirmed, I commit to reviewing this process and making necessary adjustments

    b. Please describe your experience in the review of major acquisitions and how you will apply this experience, if confirmed.

The Research Directorate (RD) participates in the technical review of documents developed to support Major Defense Acquisition Programs (MDAPs) and Major Automated Information Systems (MAIS) programs' milestone decision reviews. The scope of RDs involvement in the acquisition process is primarily this technical review and assessment of systems' "critical" technologies (i.e., those that may pose major technological risk during development, particularly during the Engineering and Manufacturing Development (EMD) phase of acquisition) and their eventual integration into weapons systems and/or information systems. Although technology readiness levels (TRLs) serve as a helpful knowledge-based standard and shorthand for

evaluating technology maturity, they must be supplemented with expert professional judgment, and this is the role of the RD SME.

At any given time, there may be over 100 MDAPs and MAIS programs to support. The RD MDAP Team maintains 100% awareness of all MDAP and MAIS activities (documents and meetings) by actively monitoring the USD(AT&L) portal, the Defense Acquisition Board (DAB) Calendar, other official event lists, and by receiving "push" invites for document coordination and meeting attendance from the AT&L staff. The RD MDAP TEAM sends out weekly announcements to the Subject Matter Experts (SMEs) of upcoming MDAP events.

The RD SMEs provide input for programs that are in their technical areas. All MDAPs have at least one RD SME assigned to it. The SMEs review the programs documentation and attend the OSD-level oversight meetings in an effort to maintain awareness, understand the MDAPs progress, and provide informed and timely responses when necessary.

We are in the process of re-evaluating our technical review process to determine whether we are appropriately evaluating risk and whether our reviews occur early enough in the acquisition process. If confirmed, I would use this experience and work with DHS leadership to determine if any modifications need to be incorporated in the existing process.

c. Is there a role for the S&T Directorate in conducting an independent analysis of major acquisitions known as Independent Verification and Validation? What is the best practice for the Department?

As the nominee, it is difficult for me to define a best practice for DHS. My experience with the model used by DOD has proven benefits. I do however appreciate that DOD and DHS S&T are very different entities with different needs and capabilities. If confirmed, I will assess the role of independent analysis for the S&T Directorate.

30. One of the S&T Under Secretary's primary functions is to determine the optimal balance for the Directorate's R&D investments, selecting from projects proposed by the divisions of the Homeland Security Advanced Research Projects Agency (HSARPA) which include: the Chemical and Biological Defense Division, the Explosives Division, the Cyber Security Division, the Borders and Maritime Security Division, and the Resilient Systems Division. If confirmed, on what basis would you determine this balance and how do you anticipate the balance changing over the next five years?.

As the nominee, I can only speak in general terms. As such, in order to develop a balanced portfolio, an overarching, across-component, system of systems operational architecture must be developed (if it does not already exist) that can provide a risk assessment in some set of agreed upon metrics. This risk assessment should show how threats are related with respect to potential impact and time horizon. The architecture can be used to determine synergies and capability gaps across the HSARPA portfolios. This type of analysis can be used to determine appropriate balance of investments. I am currently involved in a similar portfolio analysis effort in DoD.

31. The S&T Directorate manages R&D investments focused on Weapons of Mass Destruction (WMD) threats. What is your initial assessment of near-term steps that DHS should take to improve the Department's capacity to ensure that WMD technology efforts are integrated Department-wide with other security systems and detection technologies?

I received a briefing that showed that DHS CBRN responsibilities are primarily divided between the Domestic Nuclear Detection Office (DNDO), the Office of Health Affairs (OHA), and the Science & Technology Directorate (S&T). I also understand that there is congressional language directing DHS to conduct an "in-depth review of its organization, operations, and communications in carrying out its [CBRN] programs." According to the information I received, the Department completed its review, and the interim leadership believed that this question was best answered by incoming leadership, and deferred making a final decision. If confirmed I will work with DHS leadership to determine the best path forward.

32. In 2007, the S&T Directorate initiated a validation study of TSA's Screening of Passengers by Observation Techniques (SPOT) program. In April 2011, it issued a report which found that the SPOT program identified more "high risk" passengers – including passengers using fraudulent documents – using these behavior detection techniques, compared to passengers who had been randomly selected. The validation study noted there were some limitations in the design and collection of data, which the S&T Directorate believed were minimal, reasonable and reliable. However, GAO recently reviewed the S&T Directorate's study and the SPOT program and found that the S&T Directorate's study had been based on potentially unreliable data and TSA had not adequately validated the scientific principles underlying the SPOT Program, recommending that TSA limit future funding to the program. TSA disagreed with fundamental aspects of GAO's findings and its recommendation to limit funding.

    a. How do you believe the S&T Directorate can assist other Departmental components, if at all, if they are struggling to implement major new systems and technologies effectively, as with the SPOT program?

I believe S&T should be the "go-to" place for the solution of hard technical problems. As the technical core of the Department, it is S&T's role to provide assistance on major new systems and technologies. That assistance can take many forms: from systems analysis/engineering to an evaluation of the current technologies/best practices, to developing new technologies to address major challenges.

    b. If you are confirmed and you learned of possible discrepancies between analyses performed by the S&T Directorate and GAO with respect to a particular DHS system or program, what would you do?

I have been briefed on the dedicated team that S&T created to best facilitate communications with the GAO. If confirmed and discrepancies are identified, I and my staff would work closely with the GAO to better understand the GAO's perspective. If it is found that S&T was in error, I would work to develop a path to mitigate the problem.

Cyber Security

33. The threat to our nation's critical infrastructure from cyber attacks continues to grow. We saw clear public examples of this in the denial-of-service attacks on our financial institutions last year and the broad intrusion campaigns into our oil and natural gas companies as reported by the Industrial Control Systems Cyber Emergency Response Team.

    a. How do you assess the current and likely future threat of cyber-attacks to the federal government and our nation's critical infrastructure?

Secretary Johnson stated it well when he said that "the cyber threat we face is growing and poses a greater concern to a critical infrastructure that is becoming increasingly interdependent." I am, if confirmed, prepared to work with partners across Federal, State, and local governments, as well as industry, to address the serious challenge of enhancing the cybersecurity of our Federal systems and of our nation's critical infrastructure. As the threat becomes more complex, so must we be focused and nimble in the research and development of cybersecurity technology.

    b. What do you see as the role of the Under Secretary of the S&T Directorate in this area?

I see three primary responsibilities. First the Undersecretary must set the priorities for how the Department invests its S&T resources. This includes having a deep understanding of the operational needs of the DHS components responsible for infrastructure protection and cyber security. As part of this, if confirmed, I would like to work closely with my counterparts across the Department to codify a robust requirements process that identifies the high priority operational needs. Also, in this time of economic austerity, it's imperative that the Department leverage, to the fullest extent possible, external research and development efforts and factor these in when making research plans and investment decisions. This entails working closely with my counterparts at DoD, DoJ, DoE, and other federal agencies, as well as industry, international partners, and academia, to fully leverage research and development efforts from both inside and outside the government.

Second, the Undersecretary for S&T must ensure that the research program delivers leap-ahead capabilities that will secure the Nation's critical infrastructures. This includes developing advanced tools for DHS's operational components, as well as developing new capabilities for infrastructure sector owners and operators. In particular, science and technology based capabilities must enable and empower owners and operators to make their infrastructures secure and resilient, to collaborate and defend themselves effectively, and to withstand and rapidly recover from cyber attacks.

Finally, the Undersecretary for S&T must ensure that capabilities produced by DHS, or other organizations, are transitioned to practice. Capabilities produced by S&T are successful only to the degree that they impact the operational components and critical infrastructure owners and operators.

c. What do you see as the biggest challenges facing the S&T Directorate relating to current and potential future R&D projects in cyber security?

I see a number of key cybersecurity challenges that need to be addressed.

First, we face a particular challenge in hardening and increasing the resiliency of cyber-physical systems. These are systems in which computational elements control machines that operate in the physical world, such as turbines or vehicles. Cyber-physical systems present some unique challenges to cybersecurity; they underlie our Nation's critical infrastructure and have increasingly become targets of malicious cyber actors. We need to develop technical solutions that address the unique challenges presented by these systems. This includes preventing adversaries from gaining control of physical systems via a cyber entry point and, similarly, preventing access to cyber assets from a physical entry point, such as those used routinely to connect cyber physical systems to diagnostic laptops.

Second, we must develop technologies to address challenges arising prior to, during, and after a cyber incident affecting the information technology systems that connect to cyber-physical systems and underlie our critical infrastructure. This includes technologies to harden our systems and networks to keep adversaries out, resiliency capabilities that allow our systems and networks to operate even when adversaries are present, and techniques to rapidly recover and reconstitute. We need to develop science and technology not only to detect malicious activity, but also to hunt and discover a malicious presence before it creates damaging effects, with forensics and attribution tools to understand its source, identity, techniques, and playbook. A key area for emphasis is to counter supply chain threats, both to keep malicious actions from introducing threats and to suppress damaging effects from those that do get into our systems.

Third, we need to develop science and technology that enables us to manage the complex interdependencies that exist within and across critical infrastructure sectors. These interdependencies could allow an adversary to enter at a weak point far away from their intended target, move laterally across the network, and gain access to the remote target system. The complex interdependencies also create the potential for attackers to target a system in one sector and induce a cascade of effects that ripple across sector boundaries to cause catastrophic failures in other sectors. We need to develop analysis tools and techniques that reveal cyber vulnerabilities and identify key points for monitoring in these highly interconnected infrastructure systems so that we can predict and prevent cascading effects induced by a cyber-incident.

The fourth key challenge we face is how to rapidly share and analyze threat and adversary information in the complex multi-organization environment of the critical infrastructure. We need advanced tools, protocols, and standards to enable infrastructure owners and operators, federal, state, local, tribal, and territorial governments to share information. This includes building on the Department's current approaches to automate the sharing of threat information among providers, suppliers, and vendors in order to enable net-speed responses to fast moving cyber threats. Another important research goal in this area will be to develop advanced security and privacy techniques that can protect both proprietary information and civil liberties, thereby increasing trust and promoting sharing. Of course, while doing all this, we need to identify and mitigate vulnerabilities in the sharing mechanisms themselves and develop approaches that ensure the integrity of the information being propagated.

Fifth, we have a key challenge in addressing situational awareness across the Nation's critical infrastructure. We need science and technology to provide situational awareness of its activities across sectors that is accurate, available in near real-time, and sufficiently detailed. This is made difficult by the fact that critical infrastructure resources are maintained by a complex and diverse collection of organizations in the government and the private sector.

Finally, we have a challenge in transitioning new capabilities to industry sectors that must operate in highly competitive environments. In many instances, the decision to introduce a new cybersecurity capability will be primarily determined by its impact on the bottom line. Industry will be reluctant to embrace innovative solutions that are costly to implement and maintain and, thereby, result in lost market share. Open source software and open standards architectures provide an approach in which industry and government can work together to speed transition to practice in a manner that enhances product value, without adding overly burdensome costs. The newly developed NIST cybersecurity framework for mitigating risk for critical infrastructure is a great step forward toward this approach.

34. Given the different roles and responsibilities within the area of cyber security, how should the S&T Directorate best engage with industry, government, and academia to ensure that it helps develop the tools necessary to protect the national information infrastructure?

If confirmed, I will look to pursue a variety of methods of engaging with the S&T enterprise. Specific nontraditional methods that have shown promise within the DoD are Prize Challenges (e.g. DARPA Grand Challenge) and joint experiments with technologists and operators (e.g. Trident Spectre).

Cargo Security

35. Several pieces of key screening equipment used by DHS, such as Radiation Portal Monitors and Vehicle and Cargo Inspection Systems used at checkpoints, airports, and in other transportation modes for security screening, are close to being obsolete and show degrading performance. They are operating well beyond their equipment lifecycle, and at an increased operations and maintenance cost. In your opinion, what role should the S&T Directorate play in helping the Department manage these technologies to increase efficiency and effectiveness in the cargo security mission?

S&T can play a role at multiple levels. It can assist in developing methods to extend the life of current systems. By working closely with the Components, S&T can develop long term strategies to ensure that new, more efficient and effective technologies are ready in time for lifecycle replacement.

36. As threats against the nation continue to change and evolve with new kinds of explosives and IEDs we need to continue to improve how we protect ourselves from such threats. If confirmed, what is your approach to maximizing existing and emerging defense technology to employ it in the screening of passengers and cargo within the domain of homeland security?

If confirmed, there are several avenues I would use to maximize the leverage of existing and emerging defense technologies. The first is the DOD-DHS Capability Development Working Group (CDWG). CDWG was chartered in 2009 by the Deputy Secretaries of Defense and Homeland Security. The group is chaired by the Under Secretary of Defense for Acquisition, Technology & Logistics (ATL) and the Under Secretaries of Homeland Security for Science & Technology and Management. To date, CDWG has coordinated on more than a dozen technology areas ranging from biometric database sharing, air domain awareness, countering weapons of mass destruction, tunnel detection, use of canines, and modeling and simulation capabilities for complex catastrophes. I would also pursue new and existing relationships with Office of Secretary of Defense (specifically, the Rapid Fielding Office) DARPA, JIEDDO and other DoD components as appropriate.

Border Security R&D

37. One of the key missions for the Department is securing our borders from terrorists, weapons of mass destruction, and other illegal activities. Customs and Border Protection (CBP) deploys a wide range of advanced technologies to serve as force multipliers, helping their frontline personnel work more effectively, and efficiently, as they attempt to identify potential threats. The S&T Directorate can serve a key role in helping CBP to identify and test emerging technologies. In the past, however, there have been issues with coordination—and in some cases duplication of effort—between the S&T Directorate and CBP.

    a. Please describe what role you think the S&T Directorate should play when it comes to securing our nation's borders.

I believe S&T should and does play an important role in securing the borders. I understand that S&T works closely with CBP and has developed an R&D strategy outlining the key investments needed to cover their full area of responsibility. Several examples from briefings I received follow. S&T has testbeds on the Southern and Northern border that are key laboratories for evaluating technologies and procedures in operational environments. A tunnel detection modeling effort is currently in use by CBP. Some of these technologies were leveraged from investments the DoD made for tunnel detection in Afghanistan. S&T's Center of Excellence developed a randomization algorithm that has been deployed by the USCG in the Northeast that makes a more efficient use of resources and has resulted in more secure ports.

    b. If confirmed, what specific steps will you take to ensure that the S&T Directorate and CBP are coordinating their efforts effectively?

If confirmed, I will work to ensure that frequent and rich exchanges at all levels of the organization occur and that a strategic and logical process (based on analysis) is used for soliciting requirements and coordinating joint efforts.

Biosecurity

38. The threat to citizens from a biological or chemical weapon remains a concern. The Chemical and Biological Defense division carries out research and development for the homeland security enterprise in several areas. These include Foreign Animal Disease Vaccines and Diagnostics through the Plum Island Animal Disease Center (PIADC), and soon to be constructed National Bio- and Agro- Defense Facility (NBAF); and bioforensics and threat characterization at the National Biodefense Analysis and Countermeasures Center (NBACC) as two examples.

    a. Do you believe the S&T Directorate has an appropriate role at the Department in regards to biological and chemical defense?

I have received briefings on both NBAF and PIADC and have been briefed on the role that S&T plays in biological and chemical defense. If confirmed, I commit to addressing DHS's role in this important homeland security issue.

    b. In recent years the Department has been very involved with trying to improve biosurveillance and biodetection. There have been numerous suggestions to improve this. Rapid diagnostics, electronic health records and environmental sensors are just a few that have been given. What do you think that the S&T Directorate should currently be doing to improve our capabilities in this area?

As a nominee I do not yet have sufficient information about the Department's engagement in this area to provide an informed response on what S&T should do in the future. If confirmed, you have my commitment to fully review S&T capabilities in this area and explore improvements.

39. The construction and certification of NBAF, as well as the of operations to the facility from PIADC and the deconstruction and decontamination of PIADC will be one of the S&T Directorate's largest expenses over the coming years. If confirmed, you will be the Under Secretary overseeing the project in its earliest stages. How will you help ensure that the project stays on time, on budget, and meets the necessary specifications?

If confirmed, I will apply strong program management principles with respect to planning, monitoring and accountability and work through the S&T Office of National Labs (ONL), which according to the briefing I received, oversaw the on-time and on-budget construction of the NBACC. I will stay in close coordination with all stakeholders including the state of Kansas and Congress.

Interoperable Communications

40. The development and fielding of interoperable communications technologies has been a national priority since the tragedy of 9/11. To date, a great deal of work has been done to develop new technologies, develop national standards, and provide funding and technical assistance to state and local officials to enhance interoperability. To that end, the S&T Directorate's Office for Interoperability and Compatibility (OIC) is tasked with developing standards and technologies to enhance interoperable wireless communications. Given the current efforts to develop a nationwide public safety broadband network, how best can the

S&T Directorate work with the Office of Emergency Communications, FEMA, and other federal partners to develop a unified approach to interoperable communications challenges?

As a nominee, I can respond to this question from a general perspective having worked on the problem of interoperability for DoD tactical communication systems. A significant difficulty with solving the interoperability problem is the existence of large numbers of legacy systems from many different vendors each having its own advocates within the operational community. Due to tight fiscal constraints, it is typically not possible to simply replace these systems (and their associated logistic tails) with new, interoperable systems. Fundamental to the problem is that of deriving a common (and minimal) set of requirements that meet the primary needs of all potential users, but still provides the basis for an achievable and affordable communication system. Joint experiments, where technology and operational concepts can be co-developed are one means for developing relationships across organizations and trust building. It is this trust building through long term consultation and collaboration that reveals the actual needs of the operators. Once the fundamental needs are defined, the technical communities are able to develop systems that provide various degrees of the complete solution parameterized with respect to total system cost. The key to developing a unified approach to interoperability is trust and communication between stakeholders so that cross cutting needs can be accurately identified. If confirmed, I will work with the S&T Directorate and FEMA to assess the best approach to interoperable communications.

First Responders

41. The S&T Directorate's First Responders Group is responsible for identifying solutions to the challenges first responders face and helping them better protect the homeland.

    a. What do you believe should be the S&T Directorate's priorities for the First Responders Group?

Without having researched this area in collaboration with the first responders, I can only give my personal perspective from my experience with military tactical radio operators. Based on that experience and news reports, interoperability is a priority. I also suspect that providing first responders common operational views with real time situational awareness in affordable radios of the appropriate form factor and battery life are important near term capabilities. Data (particularly video) and chat are in demand in military tactical radios. Another major issue is the need for easy-to-use network management tools.

    b. Does the S&T Directorate need to improve its coordination with first responders? If so, what steps can it take to do so?

I believe that communication and coordination with first responders is critically important. As the nominee, I do not have enough information to know whether S&T's coordination efforts need to be improved.

Acquisitions Support & Operations Analysis

42. What role can S&T's Acquisitions Support and Operations Analysis (ASOA) division play in ensuring that the Department's future acquisitions meet the Department's needs and come in on-time and on-budget?

I understand, from briefings I received, that ASOA applies concepts from systems engineering to improve the efficiency of DHS components' research and development (R&D) and acquisition programs. To accomplish this, ASOA analyzes a program's operational system in four critical areas: standards development; systems analysis; R&D testing and assessment; and operational testing and evaluation (T&E). Specifically, "ASOA assists components in the development of testable requirements that lead to enhanced operational capabilities across the Homeland Security Enterprise. In addition, ASOA develops, promotes, and facilitates a rigorous system engineering process to institutionalize a "systems thinking" approach to programs and increase efficiency in transforming customer needs and requirements into operational capabilities." [Science and Technology Directorate Review 2014]

43. What legislative or policy changes would better equip ASOA to apply its expertise across the Department to improve the Department's oversight of major acquisitions?

While I have been briefed on the work of the ASOA, as a nominee, I am not aware of any policy changes that would better equip ASOA to apply its expertise across the Department to improve the Department's oversight of major acquisitions.

44. In addition to the Department's work with the Department of Energy national labs, DHS also works with three federally funded research and development centers (FFRDCs) of its own: the Homeland Security Studies and Analysis Institute (HSSAI), the Homeland Security Systems Engineering and Development Institute (HS SEDI), and NBACC.

    a. Please describe some of the recent accomplishments of DHS's FFRDCs and their importance to achieving the Department's mission.

While I have been briefed on the DHS FFRDCs in general, and appreciate the need for such resources, I have no specific information on their recent accomplishments.

    b. Are there any changes you would pursue with regard to the S&T Directorate's oversight of its FFRDCs?

While I have been briefed about the importance and impact of the two FFRDC's to the DHS mission, as a nominee, I am not aware of any changes that should be pursued with respect to S&T oversight of its FFRDCs.

National Labs and University Programs

45. The S&T Directorate, as well as other entities at DHS, utilizes the Department of Energy national laboratories for research on a wide range of issues that can inform policy and

improve operations. Please describe how you think the S&T Directorate can coordinate this research to minimize the risk of unnecessary duplication in R&D within the Department and government-wide.

One vehicle for such coordination of which I am familiar is the Mission Executive Council (MEC) which is a forum for coordination of DHS, DoD, DoE and ODNI (Office of Director of National Intelligence) research. I co-chaired a recent meeting of the MEC. I believe this can be an effective forum for minimizing overlap between the research investments of member organizations. Internal to DHS, it will be important to have efficient communication between S&T and the components with respect to DoE research projects and themes.

46. The S&T Directorate sponsors about a dozen university-based Centers of Excellence (CoE).

    a. How will you ensure that these Centers are well aligned with the Department's research needs?

I have met with numerous faculty members in my current position at DoD and while at DARPA. In almost all discussions the factor limiting the alignment of the university research with the sponsoring institution is context. Typically, professors do not have sufficient information to understand either the strategic or tactical mission sets of the operational communities. While I believe that basic research (as opposed to applied research) should not be directed by singular mission sets, it is important for researchers to understand the motivations and sensitivities of their sponsors in order to be most relevant. If confirmed, I will ensure that the academic leadership within the Centers is well acquainted with the Directorates strategic and tactical needs through strong communication channels.

    b. What unique benefits to the Department's R&D work do the CoEs provide, that the S&T Directorate cannot economically achieve in-house, through an FFRDC, or one of the national laboratories?

I believe university research is an engine of innovation for our country. Harnessing the expertise and creativity of academia on behalf of the DHS mission is both smart and prudent. Having received a briefing on the current Centers of Excellence, I have been impressed by their ability to deliver high-impact work with direct, practical application. In my experience this is not typical. If confirmed, I look forward to working with both academia and Department stakeholders to forge an even stronger, more robust linkage between the COEs and the operational needs of DHS.

47. GAO recommended that the Office of Science and Technology Policy (OSTP) should direct the National Science and Technology Council (NSTC) to work with agencies to better align their activities with a Government-wide strategy, develop a plan for sustained monitoring of coordination, identity programs for consolidation, and assist agencies in determining how to better evaluate their Science, Technology, Engineering and Mathematics (STEM) education programs. DHS is featured prominently in the NSTC's report on the Federal STEM Education 5-Year Strategic Plan. If confirmed, you will be in a leadership position on implementing the STEM plan at DHS and on the interagency councils on STEM.

a. How does the STEM program benefit DHS research and development partnerships, if at all?

I am the DoD representative to the committee that developed the 5-Year Strategic Plan referenced and the Chair of the DoD STEM Executive Council. As a strong proponent for STEM education, I believe that it is a national security imperative to increase participation by our youth in STEM careers and particularly those that solve problems of importance to the national security enterprise. This enterprise includes DoD as well as DHS. Both departments are facing challenges due to the rapid acceleration of technology and technology adoption and the globalization of technical knowledge.

b. How does DHS evaluate the performance of the STEM programs?

As the nominee, I have not been briefed on how DHS evaluates its STEM programs.

SAFETY Act

48. Under the "Support Anti-Terrorism by Fostering Effective Technologies Act," or SAFETY Act (P.L. 107-296, Subtitle G), the Secretary may designate "qualified antiterrorism technologies" to qualify for legal liability protections. The Act is administered by the S&T Directorate.

a. How effective do you think the SAFETY Act has been as an incentive to the private sector to develop and bring to market antiterrorism technologies?

Based on what I have learned so far, the SAFETY Act appears to have proven to be a powerful tool to incentivize the private sector to invest in developing anti-terrorism technologies. According to a brief I received, there have been more than 650 approvals to date and in FY 2012, 73 technologies were approved.

b. Are there any changes to the SAFETY Act statute, regulations, or policies that you would recommend?

If confirmed, I look forward to working DHS leadership to explore the merits of the The Safety Act and any potential changes that may be beneficial.

V. Relations with Congress

49. Do you agree, without reservation, to respond to any reasonable summons to appear and testify before any duly constituted committee of the Congress if you are confirmed?

Yes

50. Do you agree, without reservation, to reply to any reasonable request for information from any duly constituted committee of the Congress if you are confirmed?

Yes

VI. Assistance

51. Are these answers your own? Have you consulted with DHS or any interested parties? If so, please indicate which entities.

These are my own answers. I received briefings from the S&T Directorate coordinated by the DHS Office of Legislative Affairs.

I, L. REGINALD BROTHERS, hereby state that I have read the foregoing Pre-Hearing Questionnaire and that the information provided therein is, to the best of my knowledge, current, accurate, and complete.

(Signature)

This 25th day of FEBRUARY, 2014.

Post-Hearing Questions for the Record
Submitted to Dr. L. Reginald Brothers, Jr.
From Senator Tom Coburn

"Nominations to be DHS; Under Secretary for Science and Technology"
March 5, 2014

1. With your impressive experience overseeing research at all stages at DoD, work as a project manager at DARPA, and work in the private sector, how would you apply your background and experience to your work at DHS, if confirmed?

Through my experiences in DoD and the private sector, I have learned techniques for prioritizing and evaluating science and technology portfolios. I have also learned how to work with stakeholders across organizational boundaries including operational personnel to develop new capabilities. If confirmed, I will apply these skillsets to DHS.

2. What do you see as the key differences between your work at DoD, including at DARPA, and the work done at DHS's S&T Directorate?

DHS and DoD differ fundamentally in mission. While DoD focuses on defense, force projection and the warfighter, DHS has the focus of law enforcement, border protection and domestic counter terrorism. Issues such as privacy become even more sensitive in the homeland security body of work. As such, work in DHS S&T has a different scope and constraints than that at DoD.

3. One of the Under Secretary for S&T's core responsibilities in the Homeland Security Act of 2002 is coordination of R&D across the Department. That can be challenging because the Under Secretary of S&T has limited oversight and no direct control over other components' budgets. Some components even have their own R&D shops, like the Coast Guard and the Domestic Nuclear Detection Office (DNDO). What do you see as the key to successful Department-wide coordination of R&D and what steps would you take to make sure that happens?

The coordination challenges the DHS S&T faces are similar to those I currently tackle at DoD. As the Deputy Assistant Secretary of Defense for Research I have oversight over the DoD's S&T investments, however I do not have direct control over the budgets of the Services or components. The DoD has developed a variety of structures, including an S&T Executive Council and Communities of Interests, to provide S&T leadership across the DoD with visibility into the entire portfolio. Further, these fora are avenues to increase potential collaboration and decrease potential areas of duplication. If confirmed, I will seek to use communication and influence in similar ways across the S&T communities of DHS.

4. Under the previous Under Secretary, the S&T Directorate heavily weighted projects that received joint funding from operational components, increasing the percentage of projects that received joint funding from 12% in FY 2010 to 55% in FY 2013. How important are jointly funded projects to integrating S&T Directorate's R&D work with that of the operational components? To what extent will your strategy for selecting R&D investments follow a similar path and depend on financial contributions from other components in the form of joint project funding?

The advantage of encouraging joint funding is that it proves the interest and commitment of the operational component to the project. It also fosters increased engagement throughout the development process. These advantages significantly increase the probability of successful transition. However, projects that are of potential disruptive benefit, less mature and/or entail greater risk may not be appropriate for such joint funding. As such, if confirmed, I am in favor of continuing to encourage joint funding when appropriate.

5. In 2012, the GAO reported that one of the challenges to centrally coordinating R&D across the Department is the lack of reporting of R&D and lack of a standard definition of what R&D is across the Department. As a result, GAO found there was a potential for duplication and at least seven DHS components were conducting R&D beyond those with statutory authority to do so. I raised that issue at the S&T hearing last year as well, but the Department has yet to approve a single definition of R&D. I understand S&T has proposed a definition but it has yet to be approved. How important is having a uniform definition of R&D across DHS? If confirmed, will you commit to shepherding S&T's proposal through the Department's approval process? How does the DHS-specific definition of R&D compare with DoD's? How would you work with other components to keep abreast of their R&D activities?

I have been briefed that a definition of R&D has been written and based, in part, on the DoD definition. This definition is currently undergoing Departmental review. If confirmed, I would work with the components in ways similar to what I am currently doing in DoD to keep abreast of their R&D activities. I would consider structures such as an S&T Executive Council and include representatives from all members of the Homeland Security R&D/S&T community.

6. As you know, one proposal to improve Department-wide coordination of R&D is to consolidate all DHS R&D and R&D-related activities within the S&T Directorate. A number of experts have supported the idea, though it is not without drawbacks. How would consolidating existing R&D activities into the S&T Directorate affect both the operational components and S&T? If the Department continues making R&D investments in both the S&T Directorate and other operational components, how will you coordinate these activities?

As the nominee and without inside knowledge of how the S&T enterprise within DHS actually works, I can only discuss my thoughts in general. Consolidation of the R&D accounts within the S&T Directorate may potentially lead to greater coordination, given appropriate resources. However, it may also lead to a decrease in efficiency in some short term efforts that benefit from intimate affiliation with operational components. If the Department continues to make investments both in the

S&T Directorate and operational components, I would look to a structure similar to the S&T Executive Council of DoD to enable to coordination of these activities.

7. In the FY 2013 appropriations report, Congress required that DHS consider the possibility of consolidating all WMD responsibilities into a single directorate. What is your opinion about centralizing DHS activities against WMD threats into a single office, or WMD Directorate?

I spoke with the Secretary about this issue. I believe that he is considering the advantages and implementation complexities of the concept. If confirmed, I will work with DHS leadership to determine the best path forward.

8. The DHS Inspector General recently released a report which identified problems at DHS's cyber security center, including challenges with information sharing, training, and problems that occurred during a "cyber emergency" simulation. Similarly, the Inspector General's most recent audit of DHS's compliance with FISMA found that many of the Departments components and headquarters offices weren't complying with DHS's own guidelines. Based on the problems that the DHS IG identified in DHS's cyber programs, is DHS ready to monitor and manage all other agencies' cyber security under FISMA?

As the nominee for the USST position, I do not have the necessary and sufficient information. I will need to study this issue to provide a response to this important question.

9. An alternative proposal is to fund R&D through the operational components and have S&T provide R&D services to those components on a reimbursable basis. What do you see as the potential effects of that approach to managing the Department's R&D portfolio?

This funding concept has the potential to decrease the possibility of leveraging cross-cutting technologies across the Department. Moreover, potentially necessary investments in disruptive or game-changing technologies may be less likely under this arrangement which could negatively impact long-term mission success and efficacy. I believe effective coordination of the portfolio would be significantly more difficult in this scenario.

10. In 2013, the Administration proposed a government-wide reorganization of science, technology, engineering, and mathematics (STEM) education programs. As part of that reorganization, the scholarships and fellowships program in the S&T Directorate was terminated, while the other STEM programs in the Directorate and DHS generally were retained. What role do you think DHS should play in educating the next generation of scientists and engineers and how does that compare with the role of other federal departments? What changes would you propose to the Directorate's STEM programs, if confirmed?

I am strong proponent of STEM education; it is my understanding that the DHS STEM programs were consolidated under NSF in the 2013 reorganization. Based on the briefings I received, the DHS

S&T programs focused on homeland security graduate level education and over 70% of the students ultimately found work in the homeland security enterprise. STEM expertise is essential to the long-term success of DHS and I hope that the Department becomes an employer-of-choice for our nation's talented STEM graduates. If confirmed, I will consider any changes that may be appropriate for the Department's remaining STEM programs.

11. Although the primary mission of S&T set out in the Homeland Security Act of 2002 is R&D, Dr. O'Toole placed growing emphasis also on creating knowledge products and supporting acquisition and operations in other DHS components. To what extent do you support continuing the trend of S&T providing more scientific and technical advice for departmental acquisition and operations? Given the Directorate's limited resources, how would you prioritize these support functions with the Directorate's other activities? Do you think these services could be provided as reimbursable services, rather than being funded from S&T's appropriations?

My goal, if confirmed, is to continue to develop the S&T Directorate into a high value asset for the Homeland Security Enterprise. Knowledge products and technical acquisition support are key elements of this goal. If confirmed, I would evaluate S&T's level of emphasis on these products based on demand signals from the stakeholders. As the nominee, I do not have enough information to determine explicitly whether these services should be reimbursable or funded from S&T appropriations.

12. One long-standing debate at the Department is the appropriate R&D investment, if any, in mid-term and longer term activities, including the high risk/high reward activities like those undertaken by DARPA. Given your experience at DARPA, which aspects of the DARPA approach do you think are applicable within S&T? Which would not be as appropriate or effective in the DHS context? If you were to implement mid-term or longer-term R&D investments at S&T, what would the necessary level of investment be? How would you balance the potential for an increased rate of failure against that of an important S&T breakthrough?

Essential to the DARPA approach is the ability to 'fail-fast'; that is, programs can be quickly terminated if they do not meet pre-determined milestones. I believe this is one aspect of the DARPA approach that is applicable to the DHS context. An aspect of the DARPA approach that may not be applicable is having a separate office that primarily funds primarily basic research. This may not be translatable, simply because the funding levels of DARPA and DHS S&T are so dramatically different. If confirmed, I am interested in considering mid and longer-term R&D investments. The specific investment levels will have to be determined through careful evaluation of risk versus potential capability. That evaluation must also assume high potential failure rates for high risk projects balanced against the need to fund near term capability development.

13. One of the largest projects the next Under Secretary will oversee is construction of the National Bio and Agro Defense Facility (NBAF). As a doctor, I recognize the significance of the bio threat our nation faces, but at $1.2 billion, the cost of NBAF dwarfs the entire annual budget of the rest of the Directorate. In this era of increasing budget constraints and limited resources, can

you speak to NBAF's importance relative to S&T's other responsibilities? How will you balance the resource needs of the in-house laboratories against opportunities to take advantage of R&D capabilities in industry, academia, and the Department of Energy laboratories?

A significant challenge we face with respect to Bio and Agro defense is the lack of a domestic large animal Bio-Security Level 4 facility that has the capacity to work with statistically-relevant animal sample sizes or handle a new zoonotic disease that requires maximum biosecurity. Many studies, including ones by the National Academies of Science and a Blue Ribbon Panel of the Office of Science and Technology, assert the need for such a facility. The NBAF is designed to fill this critical gap. The location was chosen through a fair and open competition and the State of Kansas is contributing approximately $300M to the project. Estimates to recapitalize the Plum Island facility are greater than $800M for only a BSL-3 capability. As the nominee, I am not aware of another option to achieve the desired capability. If confirmed, I am committed to ensuring that S&T leverages the R&D capabilities and harvests best-in-class innovation from any and all avenues including the DOE national labs, large- and small-businesses, academia, and our international partners.

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340 Dirksen Senate Office Building
Washington, DC, 20510

Dear Senators Carper and Coburn:

I am writing to express my strong support for Dr. Reggie Brothers to become the next Under Secretary for Science and Technology at the Department of Homeland Security. I've been fortunate to work with Dr. Brothers in a number of capacities over the past several years, and I believe his wealth of knowledge and experience will be invaluable in carrying out the duties of Under Secretary for Science and Technology.

It has been my experience that Government leaders who possess a background in both the public and private sectors bring a unique perspective. Dr. Brothers' work in both Federal and commercial research and development will be a key factor in developing and strengthening partnerships across the many areas in which S&T operates. These partnerships will ultimately provide the most economical and effective means to address our Nation's many security challenges.

I have every confidence that Dr. Brothers will provide excellent stewardship to the Department of Homeland Security Science and Technology Directorate. His inclusive leadership style, coupled with his long range technology vision, will encourage both innovative thinking and defined execution at the Department of Homeland Security. I strongly encourage his confirmation.

Sincerely,

Chris Darby



February 13, 2014

The Honorable Thomas Carper, Chairman
The Honorable Thomas Coburn, Ranking Member
Committee on Homeland Security and Governmental Affairs
340 Dirksen Senate Office Building
Washington, DC, 20510

Dear Chairman Carper and Dr. Coburn:

I write to provide my strong endorsement for the nomination of Dr. Reginald Brothers to serve as the Under Secretary for Science and Technology at the Department of Homeland Security. I have had the privilege of knowing Reggie and following his work since he started at Draper Laboratory in 2001.

After a period of technical success at the Laboratory, Draper sent Dr. Brothers to DARPA under the Interagency Personnel Act as a Program Manager in the Strategic Technology Office. Reggie distinguished himself by conceiving, selling and then managing innovative programs that developed and applied technology in such areas as wireless communications, radar, precision navigation and targeting. He demonstrated a keen understanding of the needs of the warfighter, particularly the demands of the special operations forces.

After DARPA, Dr. Brothers moved to BAE Systems as a Technical Fellow and Director, where he continued his focus on identifying, and then applying, advanced and emerging technologies to create new capability for the warfighter. During this period, he was a frequent participant in government advisory boards, studies and review panels.

In December 2011, Dr. Brothers went back into government as a Deputy Assistant Secretary and Director for Research in the Office of the Assistant Secretary of Defense for Research and Engineering. In this role, Reggie demonstrated his technical breadth and management capability by providing extremely effective oversight of the DoD laboratories and by leading the development of the long-term strategic direction for DoD's science and technology program.

Reggie's deep technical skills plus his demonstrated breadth of technology management, combined with his experience in government, industry and not-for-profit laboratories, provide an outstanding background that is well suited to the position of Under Secretary for Science and Technology. I am pleased to have the opportunity to provide a very strong and enthusiastic endorsement for Dr. Brother's nomination. I am confident that Reggie, if confirmed, will continue to serve the nation in an exemplary manner.

Sincerely,

The Charles Stark Draper Laboratory, Inc.
555 Technology Square, Cambridge, Massachusetts 02139-3563
Telephone: 617-258-1574 jshields@draper.com

DEPARTMENT OF THE AIR FORCE
AIR FORCE RESEARCH LABORATORY (AFMC)

03 March 2014

The Honorable Tom Carper, Chairman
The Honorable Tom Coburn, Ranking Member
U.S. Senate Committee on Homeland Security and Governmental Affairs
United States Senate
340 Dirksen Senate Office Building
Washington, DC 20510

Dear Senators Carper and Coburn,

Please accept this letter with the strongest of support for Dr. Louis R. (Reggie) Brothers as you consider his nomination before the Senate to become the Under Secretary for Science and Technology at the Department of Homeland Security.

I have known and worked with Dr. Brothers since approximately 1998. We collaborated on several communications and networking projects when leading the Communications Groups at MIT Lincoln Laboratory and Draper Laboratory. We also worked together at the Defense Advanced Research Projects Agency (DARPA) where we were both Program Managers there inventing future communications, networking, cyber, and sensing technologies. Our collaboration was principally in the areas of high-speed networking, wireless networking, and computer network defense. Today, in my current position as the Director of the Information Directorate of the Air Force Research Laboratory, I routinely seek his counsel and guidance regarding investment and development strategies related to Cyber, Communications and Networking.

Dr. Brothers is a national asset as an expert in the domains of communications and cyber technology. He is clearly a thought leader who has a unique ability to envision the future. More importantly, his in depth technical acumen and understanding of the policy process allow him to craft a realistic and realizable path to that future.

Dr. Brothers has an impeccable pedigree and an abundance of accomplishments in academia, the private sector, and the public sector. This first-hand knowledge of the strengths and capabilities of these sectors provides the insights needed to form effective partnerships to develop the needed technologies for the security of the homeland. He is unquestionably one of only a few individuals I know who possess a deep understanding of the extremely complex relationships among technology, policy, and business.

I strongly urge your support of Dr. Reggie Brothers for this important position. This nation will be well served by his leadership, vision, and commitment.

If I may provide any additional insights on this superbly qualified candidate, please do not hesitate to contact me at any time.

Sincerely,

GEORGE D DUCHAK, SES
Director, Information Directorate
Air Force Research Laboratory

Statement of Francis X. Taylor

Nominee for Under Secretary for Intelligence and Analysis,
Department of Homeland Security

Before the

U. S. Senate Homeland Security and Governmental Affairs Committee

March 5, 2014

* * *

Thank you Chairman Carper, Ranking Member Coburn, and Members of the Committee. I am honored and extraordinarily humbled to appear before you today as the President's nominee for Under Secretary for Intelligence and Analysis (I&A) at the Department of Homeland Security.

Before we begin, I would first like to recognize my family. Without their support and encouragement, I would not be here before you today. While they were not able to be here for today's hearing, I am sure they are watching. I am grateful for the core values they have instilled in me, and the life lessons they have taught me. For me, there is no stronger symbol for the importance of accepting challenges like this, and the importance of making sure we are getting it right.

During my last period of government service, I was privileged to work with Governor Ridge and his team as they endeavored to establish the Department of Homeland Security in 2003. DHS has come a long way, and its mission and responsibilities have evolved from those early days. This position and the team I would be privileged to hold and to lead, if confirmed, constitute crucial links between both the Federal Government and the Intelligence Community, and our State, Local, Tribal, Territorial (SLTT) and private sector partners who are on the front lines every day protecting our country and our citizens from an ever-evolving threat. As we learned in the aftermath of 9/11, securing our nation requires effective and intentional collaboration at every level. As envisioned by the Congress, I&A's role is to enable effective information sharing among the Federal Government and its State, local, tribal, and private sector partners,

ensuring all involved have a clearer understanding of the nature of the threats that we face collectively. I remain haunted by the fact that at least one of the 9/11 hijackers was engaged by local law enforcement before the attack, and the fact that there was certainly potential for action against that individual before the attack. This is the type of coordination that must take place if we are to be successful, and if confirmed, I will work to strengthen and improve the processes and partnerships necessary to identify and mitigate potential threats to our country and our citizens.

If confirmed, I intend to bring my 43 years of law enforcement, security, intelligence, and crisis management experience to bear in further refining and advancing the efforts of my talented and dedicated predecessors. I have had the distinct honor to serve our country as a U.S. Ambassador, leading and directing diplomatic counterterrorism (CT) and diplomatic security operations. I also had the privilege to work as the Chief Security Officer for the General Electric Company, a Fortune 10 global U.S. conglomerate. In each of these challenging but distinctly different roles, I assumed responsibility for mission execution and success, and I believe my record indicates consistently successful results. I have also had experience working both line and staff roles, developing and implementing policy, creating and managing budgets at every level, and leading operational activity to mitigate risks to our country, as well as to an American economic giant, and I understand the interdependency of the two.

While the I&A mission is different from any organization I have led before, I will have to endeavor to learn the organization, its unique customer requirements, and its strengths and shortcomings. Following a week of intense briefings and meetings, I am pleased to share that my initial assessment is very positive. I believe the organization is grounded upon a solid foundation, and I hope to continue to build on that foundation, particularly regarding the further strengthening of DHS' bond with the National Network of Fusion Centers, enhancing I&A's analytic contribution to the Intelligence Community of information derived from departmental, State and local sources, as well as working to eliminate duplicative efforts among I&A, other DHS components, and our IC partners.

What makes I&A unique in the Intelligence Community is its mission to link the US intelligence community with first responders across our country. The Network of State and local Fusion Centers provide I&A with a critical beachhead from which it delivers information and analytic resources to our nation's 18,000 police entities. Caryn Wagner, as well as the current I&A Leadership Team, began that process with aggressive deployment of I&A personnel to the fusion centers and the development of a program of analysis that will guide the future production of analytical products. If confirmed, I will work relentlessly to execute these plans, ensuring all stakeholders understand that the critical importance of supporting our State, Local, Tribal and public sector partners.

No organization can live on its reputation or hide behind its mission statement. Organizations must evolve and improve to meet the changing environments in which they operate. Mission assessment, the development of clear objectives, and the implementation of rigorous metrics will help I&A stay focused on both the present and the future. While my initial briefings on I&A were impressive, they now constitute the baseline from which I will use, if confirmed, to set future expectations and measure effectiveness and accomplishment.

To better serve the Department and the Intelligence Community, the Under Secretary for Intelligence and Analysis must also embrace the role of Chief Intelligence Officer and work with the DHS components to synergize intelligence activities across the Department. I am impressed with the potential of what DHS calls the Homeland Security Intelligence Enterprise, and believe it is the right approach to implement intelligence integration across the Department. If confirmed, I intend to work aggressively with the DHS intelligence components to further develop that model, and I look forward to working with Congress to identifying other ways to further build the DHS Intelligence Enterprise.

I also would like to share my thoughts on an equally important topic: supporting and leading the dedicated public servants working every day to help I&A achieve its mission objectives. Over the course of my 43 years of service, I have developed a fairly consistent management philosophy. I believe in setting clear objectives to satisfy mission priorities, implementing measurable and repeatable processes to implement those objectives, and applying concrete

metrics that measure progress and allow for appropriate adjustment. If confirmed, I intend to bring this same philosophy to I&A. A key part of this is an unrelenting focus on the customer and other stakeholders. I&A has many customers and stakeholders, to include the Congress, and I intend to listen intently to all. I am impressed with where I&A is on its journey, but I intend to press further, so that in the future, I will be able to report to you and to the American people on the efficiency with which I&A is expending their tax dollars and the results that we've been able to achieve.

As I mentioned, this overall effort is a team sport. If I am confirmed, I intend to ensure that our relationships within the Intelligence Community, with the FBI, and with our state and local partners are transparent, collaborative, and complementary. I have no organizational objective other than to make I&A a consistent and effective partner at all levels. Where duplication and overlap exist, I pledge to work proactively with our partners to identify and eliminate it.

Finally, this Committee and your colleagues have been big champions for I&A, and if confirmed, I pledge to continue to work with you in shaping the direction of this important organization. I believe in full transparency and an open and candid dialogue on issues that we all care about so deeply.

Thank you once again for the opportunity to appear before you today. I am happy to answer any questions you might have.

REDACTED

SELECT COMMITTEE ON INTELLIGENCE

UNITED STATES SENATE

QUESTIONNAIRE FOR COMPLETION BY PRESIDENTIAL NOMINEES

SELECT COMMITTEE ON INTELLIGENCE
UNITED STATES SENATE

QUESTIONNAIRE FOR COMPLETION BY PRESIDENTIAL NOMINEES

PART A - BIOGRAPHICAL INFORMATION

1. NAME: Francis Xavier Taylor

2. DATE AND PLACE OF BIRTH: October 22, 1948, Washington, DC

3. MARITAL STATUS: Married

4. SPOUSE'S NAME: Constance Oates Taylor

5. SPOUSE'S MAIDEN NAME IF APPLICABLE: Constance Oates

6. NAMES AND AGES OF CHILDREN:

NAME	AGE
Jacquis Brian Taylor	37
Justin Xavier Taylor	30
Shari Amanda Taylor	29

7. EDUCATION SINCE HIGH SCHOOL:

INSTITUTION	DATES ATTENDED	DEGREE RECEIVED	DATE OF DEGREE
University of Notre Dame	Sep 1966 – June 1970	BA	June, 1970
University of Notre Dame	Sep 1972 – Aug 1974	MA	Aug 1974
Armed Forces Staff College	Aug 1983 – Jan 1984	N/A	Jan 1984
Air War College	Aug 1987 - Jun 1988	N/A	Jun 1988

8. EMPLOYMENT RECORD (LIST ALL POSITIONS HELD SINCE COLLEGE, INCLUDING MILITARY SERVICE. INDICATE NAME OF EMPLOYER, POSITION, TITLE OR DESCRIPTION, LOCATION, AND DATES OF EMPLOYMENT.)

EMPLOYER	POSITION/TITLE	LOCATION	DATES
AF Office of Special Investigations	Special Agent	Tinker AFB, OK	06/70 – 11/70
AF Office of Special Investigations	Counterintelligence Analyst	Washington, DC	11/70 – 08/72
AF Office of Special Investigations	Counterintelligence Analyst	Washington, DC	09/74– 07/76
AF OSI District 69	Chief, Acquisitions & Analysis	Ankara, Turkey	07/76 – 11- 77

AF OSI District 4	Commander, AFOSI Det 411	Bolling AFB, DC	11/77 – 07/79
HQ AFOSI Director of Personnel	Chief, Assignments	Bolling, AFB, DC	07/79 – 09/80
HQ AFOSI Command Section	Asst Executive Officer	Bolling AFB, DC	09/80 – 07/83
OSD DUSD (Policy)	Dep Dir, Operations, Dir of CI	Pentagon, VA	01/84 – 07/87
USAF 487 Combat Support Gp	Deputy Commander	Comiso AS, IT	07/88 – 07/90
AFOSI District 45	Commander	Osan AB, RK	07/90 – 07/92
AFOSI Region 2	Commander	Langley, AFB, VA	07/92 – 07/94
HQ AFOSI Dir of Mission Guidance	Director	Bolling AFB, DC	07/95 – 05/95
SECAF Office of the IG	Director, Special Investigations	Pentagon, VA	08/95 – 07/96
HQ AFOSI	Commander, AFOSI	Bolling AFB, DC	06/1996 – 07/2001
US Dept of State	Counterterrorism Coordinator	Washington, DC	07/2001 – 11/2002
State Dept Bur of Dip Security	Assistant Secretary	Washington, DC	11/2002 – 03/2005
General Electric Company	VP & Chief Security Officer	Fairfield, CT	03/2005 – 11/2013
FXTaylor Associates LLC	President and CEO	Ft. Washington, MD	11/2013 - Present

9. GOVERNMENT EXPERIENCE (INDICATE EXPERIENCE IN OR ASSOCIATION WITH FEDERAL, STATE, OR LOCAL GOVERNMENTS, INCLUDING ADVISORY, CONSULTATIVE, HONORARY, OR OTHER PART-TIME SERVICE OR POSITION. DO NOT REPEAT INFORMATION ALREADY PROVIDED IN QUESTION 8):
   - Member, Privacy and Civil Liberties Oversight Board- 2006-2007
   - Senior Advisor, SECDEF Independent Review Group, Washington Navy Yard Shooting, 2013

10. INDICATE ANY SPECIALIZED INTELLIGENCE OR NATIONAL SECURITY EXPERTISE YOU HAVE ACQUIRED HAVING SERVED IN THE POSITIONS DESCRIBED IN QUESTIONS 8 AND/OR 9.

    I have served most of my military career in counterintelligence roles at every level from the field to OSD. I have directed information collection operations, managed sources of information and directed offensive counterintelligence operations. I was tasked to establish the first DOD Computer Forensics capability. I have used intelligence to conduct antiterrorism and counterterrorism activities for the USAF and the State Department. I have been involved in the development and implementation of intelligence policy for the USAF, DOD and the US Government.

11. HONORS AND AWARDS (PROVIDE INFORMATION ON SCHOLARSHIPS, FELLOWSHIPS, HONORARY DEGREES, MILITARY DECORATIONS, CIVILIAN SERVICE CITATIONS, OR ANY OTHER SPECIAL RECOGNITION FOR OUTSTANDING PERFORMANCE OR ACHIEVEMENT):
    - US Department of State Distinguished Honor Award
    - US Distinguished Service Medal
    - US National Intelligence Distinguished Service Medal
    - The Legion of Merit Medal
    - Department of Defense Superior Service Medal
    - Air Force Meritorious Service Medal
    - Air Force Commendation Medal
    - Air Force Achievement Medal
    - National Defense Service Medal
    - Women in Federal Law Enforcement Leadership Award
    - University of Notre Dame Alumni Association Father Corby Award for Outstanding Military Service
    - Black Alumni of Notre Dame 50 Black Exemplars
    - University of Notre Dame Air Force ROTC Distinguished Graduate

12. ORGANIZATIONAL AFFILIATIONS (LIST MEMBERSHIPS IN AND OFFICES HELD WITHIN THE LAST TEN YEARS IN ANY PROFESSIONAL, CIVIC, FRATERNAL, BUSINESS, SCHOLARLY, CULTURAL, CHARITABLE, OR OTHER SIMILAR ORGANIZATIONS):

ORGANIZATION	OFFICE HELD	DATES
• American Corporate Partners	Director	01/2008 to Present
• Center for Strategic and International Studies		
○ Advisory Board and Senior Advisor		11/ 2013 to Present
• National Organization of Black Law Enforcement Executives		
○ Board of Directors		07/2008 to 07/2009
○ Member		07/1992 to Present
• International Security Managers Association		
○ Member and Director		05/2005 to Present

13. PUBLISHED WRITINGS AND SPEECHES (LIST THE TITLES, PUBLISHERS, AND PUBLICATION DATES OF ANY BOOKS, ARTICLES, REPORTS, OR OTHER PUBLISHED MATERIALS YOU HAVE AUTHORED. ALSO LIST ANY PUBLIC SPEECHES YOU HAVE MADE WITHIN THE LAST TEN YEARS FOR WHICH THERE IS A TEXT OR TRANSCRIPT. TO THE EXTENT POSSIBLE, PLEASE PROVIDE A COPY OF EACH SUCH PUBLICATION, TEXT, OR TRANSCRIPT):

Remarks to the Pacific Council of International Policy's Annual Conference, 11/13/04
Text available at: Nexis

No knowledge of any other speeches or writings.

PART B - QUALIFICATIONS

14. QUALIFICATIONS (DESCRIBE WHY YOU BELIEVE YOU ARE QUALIFIED TO SERVE IN THE POSITION FOR WHICH YOU HAVE BEEN NOMINATED):

I believe that I am qualified to serve in the position for which I have been nominated because I have more than 43 years experience working in or with the US Intelligence Community. I have served as a counterintelligence analyst and operator for the Air Force in the CONUS and Overseas. I have been a consumer of intelligence at the Department of State and at the General Electric Company. I have served at the Executive Level of several intelligence community organizations and believe that I bring a unique perspective as both an operator and a consumer of intelligence, both in and out of government.

PART C - POLITICAL AND FOREIGN AFFILIATIONS

15. POLITICAL ACTIVITIES (LIST ANY MEMBERSHIPS OR OFFICES HELD IN OR FINANCIAL CONTRIBUTIONS OR SERVICES RENDERED TO, ANY POLITICAL PARTY, ELECTION COMMITTEE, POLITICAL ACTION COMMITTEE, OR INDIVIDUAL CANDIDATE DURING THE LAST TEN YEARS):

I have never participated in any political activities. I am an Independent and have not registered for any political party. As a GE Executive, I voluntarily contributed to the GE Political Action Committee (GEPAC); however, I had no role in how those contributions were used by the company to contribute to political activities. I also contributed to the following political campaigns:

- Obama for President, 3/3/2012, $500
- Friends of Jim Clyburn, 10/21/2009, $2000
- Marcia Fudge for Congress, 11/23/2010, $1000
- Jim Himes for Congress, 6/25/2010, $500
- GE PAC 10/2009 to 10/2013, $12,955

16. CANDIDACY FOR PUBLIC OFFICE (FURNISH DETAILS OF ANY CANDIDACY FOR ELECTIVE PUBLIC OFFICE):

None

17. FOREIGN AFFILIATIONS

(NOTE: QUESTIONS 17A AND B ARE NOT LIMITED TO RELATIONSHIPS REQUIRING REGISTRATION UNDER THE FOREIGN AGENTS REGISTRATION ACT. QUESTIONS 17A, B, AND C DO NOT CALL FOR A POSITIVE RESPONSE IF THE REPRESENTATION OR TRANSACTION WAS AUTHORIZED BY THE

UNITED STATES GOVERNMENT IN CONNECTION WITH YOUR OR YOUR SPOUSE'S EMPLOYMENT IN GOVERNMENT SERVICE.)

A. HAVE YOU OR YOUR SPOUSE EVER REPRESENTED IN ANY CAPACITY (E.G. EMPLOYEE, ATTORNEY, OR POLITICAL/BUSINESS CONSULTANT), WITH OR WITHOUT COMPENSATION, A FOREIGN GOVERNMENT OR AN ENTITY CONTROLLED BY A FOREIGN GOVERNMENT? IF SO, PLEASE FULLY DESCRIBE SUCH RELATIONSHIP. **NO**

B. HAVE ANY OF YOUR OR YOUR SPOUSE'S ASSOCIATES REPRESENTED, IN ANY CAPACITY, WITH OR WITHOUT COMPENSATION, A FOREIGN GOVERNMENT OR AN ENTITY CONTROLLED BY A FOREIGN GOVERNMENT? IF SO, PLEASE FULLY DESCRIBE SUCH RELATIONSHIP. **NO**

C. DURING THE PAST TEN YEARS, HAVE YOU OR YOUR SPOUSE RECEIVED ANY COMPENSATION FROM, OR BEEN INVOLVED IN ANY FINANCIAL OR BUSINESS TRANSACTIONS WITH, A FOREIGN GOVERNMENT OR ANY ENTITY CONTROLLED BY A FOREIGN GOVERNMENT? IF SO, PLEASE PROVIDE DETAILS. **NO**

D. HAVE YOU OR YOUR SPOUSE EVER REGISTERED UNDER THE FOREIGN AGENTS REGISTRATION ACT? IF SO, PLEASE PROVIDE DETAILS. **NO**

18. DESCRIBE ANY LOBBYING ACTIVITY DURING THE PAST TEN YEARS, OTHER THAN IN AN OFFICIAL U.S. GOVERNMENT CAPACITY, IN WHICH YOU OR YOUR SPOUSE HAVE ENGAGED FOR THE PURPOSE OF DIRECTLY OR INDIRECTLY INFLUENCING THE PASSAGE, DEFEAT, OR MODIFICATION OF FEDERAL LEGISLATION, OR FOR THE PURPOSE OF AFFECTING THE ADMINISTRATION AND EXECUTION OF FEDERAL LAW OR PUBLIC POLICY. **NONE**

PART D - FINANCIAL DISCLOSURE AND CONFLICT OF INTEREST

19. DESCRIBE ANY EMPLOYMENT, BUSINESS RELATIONSHIP, FINANCIAL TRANSACTION, INVESTMENT, ASSOCIATION, OR ACTIVITY (INCLUDING, BUT NOT LIMITED TO, DEALINGS WITH THE FEDERAL GOVERNMENT ON YOUR OWN BEHALF OR ON BEHALF OF A CLIENT), WHICH COULD CREATE, OR APPEAR TO CREATE, A CONFLICT OF INTEREST IN THE POSITION TO WHICH YOU HAVE BEEN NOMINATED. **NONE**

20. DO YOU INTEND TO SEVER ALL BUSINESS CONNECTIONS WITH YOUR PRESENT EMPLOYERS, FIRMS, BUSINESS ASSOCIATES AND/OR PARTNERSHIPS, OR OTHER ORGANIZATIONS IN THE EVENT THAT YOU ARE CONFIRMED BY THE SENATE? IF NOT, PLEASE EXPLAIN.

YES. AS INDICATED IN MY SF278, I CONTINUE TO HAVE DEFERRED COMPENSATION AND VESTED STOCK OPTIONS WITH THE GENERAL ELECTRIC COMPANY THAT WILL BE PAID DURING MY GOVERNMENT SERVICE. I HAVE SIGNED AN ETHICS AGREEMENT THAT HAS OUTLINED WHAT I MUST DO TO AVOID ANY CONFLICT OF INTEREST FROM THESE OBLIGATIONS.

21. DESCRIBE THE FINANCIAL ARRANGEMENTS YOU HAVE MADE OR PLAN TO MAKE, IF YOU ARE CONFIRMED, IN CONNECTION WITH SEVERANCE FROM YOUR CURRENT POSITION. PLEASE INCLUDE SEVERANCE PAY, PENSION RIGHTS, STOCK OPTIONS, DEFERRED INCOME ARRANGEMENTS, AND ANY AND ALL COMPENSATION THAT WILL OR MIGHT BE RECEIVED IN THE FUTURE AS A RESULT OF YOUR CURRENT BUSINESS OR PROFESSIONAL RELATIONSHIPS.

ALL LISTED IN THE SF 278

22. DO YOU HAVE ANY PLANS, COMMITMENTS, OR AGREEMENTS TO PURSUE OUTSIDE EMPLOYMENT, WITH OR WITHOUT COMPENSATION, DURING YOUR SERVICE WITH THE GOVERNMENT? IF SO, PLEASE PROVIDE DETAILS. **NO**

23. AS FAR AS CAN BE FORESEEN, STATE YOUR PLANS AFTER COMPLETING GOVERNMENT SERVICE. PLEASE SPECIFICALLY DESCRIBE ANY AGREEMENTS OR UNDERSTANDINGS, WRITTEN OR UNWRITTEN, CONCERNING EMPLOYMENT AFTER LEAVING GOVERNMENT SERVICE. IN PARTICULAR, DESCRIBE ANY AGREEMENTS, UNDERSTANDINGS, OR OPTIONS TO RETURN TO YOUR CURRENT POSITION.

UPON THE COMPLETION OF MY GOVERNMENT SERVICE, I PLAN TO REACTIVATE MY COMPANY, FXTAYLOR ASSOCIATES, LLC.

24. IF YOU ARE PRESENTLY IN GOVERNMENT SERVICE, DURING THE PAST FIVE YEARS OF SUCH SERVICE, HAVE YOU RECEIVED FROM A PERSON OUTSIDE OF GOVERNMENT AN OFFER OR EXPRESSION OF INTEREST TO EMPLOY YOUR SERVICES AFTER YOU LEAVE GOVERNMENT SERVICE? IF YES, PLEASE PROVIDE DETAILS. **N/A**

25. IS YOUR SPOUSE EMPLOYED? IF YES AND THE NATURE OF THIS EMPLOYMENT IS RELATED IN ANY WAY TO THE POSITION FOR WHICH YOU ARE SEEKING CONFIRMATION, PLEASE

INDICATE YOUR SPOUSE'S EMPLOYER, THE POSITION, AND THE LENGTH OF TIME THE POSITION HAS BEEN HELD. IF YOUR SPOUSE'S EMPLOYMENT IS NOT RELATED TO THE POSITION TO WHICH YOU HAVE BEEN NOMINATED, PLEASE SO STATE.

MY SPOUSE IS THE CO-OWNER OF A CATERING BUSINESS THAT HAS NO ASSOCIATION WITH THE POSITION FOR WHICH I HAVE BEEN NOMINATED.

26. LIST BELOW ALL CORPORATIONS, PARTNERSHIPS, FOUNDATIONS, TRUSTS, OR OTHER ENTITIES TOWARD WHICH YOU OR YOUR SPOUSE HAVE FIDUCIARY OBLIGATIONS OR IN WHICH YOU OR YOUR SPOUSE HAVE HELD DIRECTORSHIPS OR OTHER POSITIONS OF TRUST DURING THE PAST FIVE YEARS.

NAME OF ENTITY	POSITION	DATES HELD	SELF OR SPOUSE

THE GENERAL ELECTRIC COMPANY
- VICE PRESIDENT AND CHIEF SECURITY OFFICER
- MARCH 2005 TO NOVEMBER 2013
- SELF

INTERNATIONAL SECURITY MANAGEMENT ASSOCIATION
- Member and Director
- 05/2005- Present
- SELF

AMERICAN CORPORATE PARTNERS
- Director
- 2008-Present
- SELF

NATIONAL ORGANIZATION OF BLACK LAW ENFORCEMENT EXECUTIVES
- Director
- 2008-2009
- SELF

27. LIST ALL GIFTS EXCEEDING $100 IN VALUE RECEIVED DURING THE PAST FIVE YEARS BY YOU, YOUR SPOUSE, OR YOUR DEPENDENTS. (NOTE: GIFTS RECEIVED FROM RELATIVES AND GIFTS GIVEN TO YOUR SPOUSE OR DEPENDENT NEED NOT BE INCLUDED UNLESS THE GIFT WAS GIVEN WITH YOUR KNOWLEDGE AND ACQUIESCENCE AND YOU HAD REASON TO BELIEVE THE GIFT WAS GIVEN BECAUSE OF YOUR OFFICIAL POSITION.)

NONE

REDACTED

REDACTED

PART E - ETHICAL MATTERS

38. HAVE YOU EVER BEEN THE SUBJECT OF A DISCIPLINARY PROCEEDING OR CITED FOR A BREACH OF ETHICS OR UNPROFESSIONAL CONDUCT BY, OR BEEN THE SUBJECT OF A COMPLAINT TO, ANY COURT, ADMINISTRATIVE AGENCY, PROFESSIONAL ASSOCIATION, DISCIPLINARY COMMITTEE, OR OTHER PROFESSIONAL GROUP? IF SO, PROVIDE DETAILS. NO

See answer to question 44.

39. HAVE YOU EVER BEEN INVESTIGATED, HELD, ARRESTED, OR CHARGED BY ANY FEDERAL, STATE, OR OTHER LAW ENFORCEMENT AUTHORITY FOR VIOLATION OF ANY FEDERAL STATE, COUNTY, OR MUNICIPAL LAW, REGULATION, OR ORDINANCE, OTHER THAN A MINOR TRAFFIC OFFENSE, OR NAMED AS A DEFENDANT OR OTHERWISE IN ANY INDICTMENT OR INFORMATION RELATING TO SUCH VIOLATION? IF SO, PROVIDE DETAILS. **NO**

40. HAVE YOU EVER BEEN CONVICTED OF OR ENTERED A PLEA OF GUILTY OR NOLO CONTENDERE TO ANY CRIMINAL VIOLATION OTHER THAN A MINOR TRAFFIC OFFENSE? IF SO, PROVIDE DETAILS. **NO**

41. ARE YOU PRESENTLY OR HAVE YOU EVER BEEN A PARTY IN INTEREST IN ANY ADMINISTRATIVE AGENCY PROCEEDING OR CIVIL LITIGATION? IF SO, PLEASE PROVIDE DETAILS. **NO**

42. HAVE YOU BEEN INTERVIEWED OR ASKED TO SUPPLY ANY INFORMATION AS A WITNESS OR OTHERWISE IN CONNECTION WITH ANY CONGRESSIONAL INVESTIGATION, FEDERAL, OR STATE AGENCY PROCEEDING, GRAND JURY INVESTIGATION, OR CRIMINAL OR CIVIL LITIGATION IN THE PAST TEN YEARS? IF SO, PROVIDE DETAILS. **NO**

43. HAS ANY BUSINESS OF WHICH YOU ARE OR WERE AN OFFICER, DIRECTOR, OR PARTNER BEEN A PARTY TO ANY ADMINISTRATIVE AGENCY PROCEEDING OR CRIMINAL OR CIVIL LITIGATION RELEVANT TO THE POSITION TO WHICH YOU HAVE BEEN NOMINATED? IF SO, PROVIDE DETAILS. (WITH RESPECT TO A BUSINESS OF WHICH YOU ARE OR WERE AN OFFICER, YOU NEED ONLY CONSIDER PROCEEDINGS AND LITIGATION THAT OCCURRED WHILE YOU WERE AN OFFICER OF THAT BUSINESS.) **NO**

44. HAVE YOU EVER BEEN THE SUBJECT OF ANY INSPECTOR GENERAL INVESTIGATION? IF SO, PROVIDE DETAILS.

IN 1998 THE DOD IG RECEIVED A COMPLAINT FROM A MEMBER OF MY COMMAND THAT ALLEGED THAT I HAD IMPROPERLY USED THE RESULTS OF A POLYGRAPH EXAMINATION OF THE INDIVIDUAL TO TAKE ACTION TO DECERTIFY HIM AS AN AFOSI SPECIAL AGENT. I WAS INFORMED THAT THE ALLEGATIONS WERE UNSUBSTANTIATED.

IN 2006, DURING THE CONDUCT OF AN FBI BACKGROUND INVESTIGATION PRIOR TO MY SELECTION AS A MEMBER OF THE PRESIDENT'S PRIVACY AND CIVIL LIBERTIES OVERSIGHT BOARD, I WAS INFORMED BY THE FBI AGENT CONDUCTING THE

IVESTIGATION THAT AN INSPECTOR GENERAL COMPLAINT HAD BEEN FILED AGAINST ME AT THE STATE DEPARTMENT. THE COMPLAINT ALLEGED THAT I HAD IMPROPERLY INTERFERED WITH THE DIPLOMATIC SECURITY PROMOTION BOARD BY INQUIRING ABOUT THE COMPOSITION OF THE PROMOTION PANEL. AS FAR AS I KNOW, THE STATE DEPARTMENT IG RECORDED THE COMPLAINT BUT TOOK NO FURTHER ACTION. I WAS NOT MADE AWARE OF ANY COMPLAINT BY THE STATE DEPARTMENT IG OR ANY OTHER OFFICIAL AT STATE.

PART F - SECURITY INFORMATION

45. HAVE YOU EVER BEEN DENIED ANY SECURITY CLEARANCE OR ACCESS TO CLASSIFIED INFORMATION FOR ANY REASON? IF YES, PLEASE EXPLAIN IN DETAIL. **NO**

46. HAVE YOU BEEN REQUIRED TO TAKE A POLYGRAPH EXAMINATION FOR ANY SECURITY CLEARANCE OR ACCESS TO CLASSIFIED INFORMATION? IF YES, PLEASE EXPLAIN.

YES. DURING MY TENURE IN AFOSI, I WAS REQUIRED TO UNDERGO A PERIODIC COUNTERINTELLIGENCE SCOPE POLYGRAPH. I DO NOT RECALL THE NUMBER OF EXAMS THAT I TOOK.

47. HAVE YOU EVER REFUSED TO SUBMIT TO A POLYGRAPH EXAMINATION? IF YES, PLEASE EXPLAIN. **NO**

PART G - ADDITIONAL INFORMATION

48. DESCRIBE IN YOUR OWN WORDS THE CONCEPT OF CONGRESSIONAL OVERSIGHT OF U.S. INTELLIGENCE ACTIVITIES. IN PARTICULAR, CHARACTERIZE WHAT YOU BELIEVE TO BE THE OBLIGATIONS OF THE _____ AND THE INTELLIGENCE COMMITTEES OF THE CONGRESS RESPECTIVELY IN THE OVERSIGHT PROCESS.

CONGRESSIONAL OVERSIGHT ESSENTIALLY MEANS THAT THE CONGRESS HAS THE AUTHORITY AND RESPONSIBILITY TO ENSURE THAT ALL US INTELLIGENCE OPERATIONS ARE CONDUCTED CONSITENT WITH THE US CONSTITUTION AND US LAW. I BELIEVE THAT CONGRESS SHOULD BE KEPT FULLY INFORMED OF US INTELLIGENCE ACTIVITIES TO MEET THIS OVERSIGHT RESPONSIBILITY. I BELIEVE THAT I HAVE THE RESPONSIBILITY TO KEEP CONGRESSIONAL COMMITTEES FULLY AND TRUTHFULLY INFORMED OF MATTERS UNDER MY AUTHORITY

49. EXPLAIN YOUR UNDERSTANDING OF THE RESPONSIBILITIES OF THE UNDERSECRETARY OF HOMELAND SECURITY FOR INTELLIGENCE AND ANALYSIS. THE OFFICE IS RESPONSIBLE FOR THE OVERSIGHT AND EXECUTION OF THE NATIONAL INTELLIGENCE PROGRAM WITHIN DHS. THE INCUMBANT IS THE DHS CHIEF INTELLIGENCE OFFICER AND IS RESPONSIBLE FOR THE COORDINATION OF INTELLIGENCE OPERATIONS ACROSS THE HOMELAND SECURITY INTELLIGENCE ENTERPRISE.

DISTRICT OF COLUMBIA :

AFFIRMATION

I, **FRANCIS X. TAYLOR**, DO SWEAR THAT THE ANSWERS I HAVE PROVIDED TO THIS QUESTIONNAIRE ARE ACCURATE AND COMPLETE.

2/25/2014 (Date)

Francis X Taylor (Name)

ACKNOWLEDGED BEFORE ME ON 2.25.2014.

Agnes Yackshaw (Notary)

AGNES YACKSHAW
NOTARY PUBLIC DISTRICT OF COLUMBIA
My Commission Expires October 14, 2016

AGNES YACKSHAW NOTARY PUBLIC EXP. 10-14-16 DISTRICT OF COLUMBIA

TO THE CHAIRMAN, SELECT COMMITTEE ON INTELLIGENCE:

In connection with my nomination to be UNDER SECRETARY, INTELLIGENCE AND ANALYSIS, DEPARTMENT OF HOMELAND SECURITY, I hereby express my willingness to respond to requests to appear and testify before any duly constituted committee of the Senate.

Francis X. Taylor

Signature

Date: 2/25/2014

SELECT COMMITTEE ON
INTELLIGENCE

UNITED STATES SENATE

Additional Prehearing Questions
for
Mr. Francis X. Taylor
upon his nomination to be the
Under Secretary for Intelligence and Analysis of the
Department of Homeland Security

Role and Responsibilities of the Under Secretary for Intelligence and Analysis

QUESTION 1: I&A's mission was originally defined in the Homeland Security Act of 2002, which mandated I&A's responsibility for critical infrastructure analysis. The mission was further defined by the Intelligence Reform and Terrorism Prevention Act of 2004 and the Implementing Recommendations of the 9/11 Commission Act of 2007. What is your understanding of the history and purpose of the establishment by Congress of the office of the Under Secretary for Intelligence & Analysis in DHS?

My understanding of the history and Congressional intent behind the DHS Office of Intelligence and Analysis (I&A) is that I&A was created to serve as an analytic and information sharing hub for Departmental, Federal, State, local, private sector and other partners with homeland security and counter-terror responsibilities. Given the criticality of effective information sharing to these efforts , I&A was to a) understand the information resources and requirements of these partners, b) develop mechanisms to identify and access required information from and for each, and c) produce intelligence and information products responsive to those requirements. The Homeland Security Act also provided explicit authorities to enable the performance of these analytic and information sharing efforts. Over time, Congress enacted revisions to the Homeland Security Act to address evolving requirements such as establishing the role and authorities of the Chief Intelligence Officer and of the DHS Intelligence Components, establishing the State & Local Fusion Center Initiative, the Information Sharing Fellows Program, and the Interagency Threat Assessment and Coordination Group, among others.

The Implementing Recommendations of the 9/11 Commission Act also established the Under Secretary for I&A as the DHS Chief Intelligence Officer (CINT). The DHS CINT exercises leadership and authority over intelligence policy and programs throughout the Department and provides strategic oversight to and supports the missions and goals of members of the DHS Intelligence Enterprise (IE). The CINT performs the following functions:

- Coordinates and enhances integration within the DHS IE;
- Establishes the intelligence collection, gathering, processing, analysis, production, and dissemination priorities, policies, processes, standards, guidelines, and procedures for the DHS IE;
- Establishes a unified structure and process to support the intelligence missions and goals of the DHS IE;
- Ensures that, whenever possible, the Department produces and disseminates timely, targeted unclassified reports and analytic products designed for action by DHS Components, SLTT, and Private Sector customers;
- Based on intelligence priorities set by the President, and guidance from the Secretary and, as appropriate, the Director of National Intelligence, (i) provides to the Head of each DHS Intelligence Component guidance for developing the budget pertaining to the Component Intelligence Programs (CIPs) of such Components; and (ii) presents to the Secretary a recommendation for a consolidated budget for the DHS IE, together with any comments from the Heads of DHS Intelligence Components;

- Ensures the integration of information and standardization of the format of the products of the members of the DHS IE; and
- Provides training and guidance for employees, officials, and senior executives within the DHS IE to develop knowledge of laws, regulations, operations, policies, procedures, and programs that are related to the functions of the Department relating to the collection, gathering, processing, analysis, production, and dissemination of counterintelligence, foreign intelligence, and homeland security intelligence.

- In addition to statutes, I&A's strategy was further refined by Departmental and IC strategies and guidance, including Vision 2025, the Quadrennial Homeland Security Review, and the Department's Bottom-Up Review. What do you understand I&A's current mission to be?

  Within the context of the QHSR, I&A's mission is to integrate intelligence and information sharing capabilities and counterintelligence activities across the Department and to provide a clear threat picture to DHS leadership. As such, I&A's broader stated mission is "to equip the Homeland Security Enterprise with the intelligence and information it needs to keep the homeland safe, secure, and resilient." I believe that is the right mission for this organization, and if confirmed, I will endeavor to effectively execute it.

- In your opinion, does I&A have a focused and well-defined mission consistent with the purpose Congress originally intended?

  I&A's mission statement appears consistent with Congress' intent as I understand it and have described it above. If confirmed, I'd expect that as I become more familiar with I&A's many initiatives and programs, as well as its strengths and challenges, that some will appear more closely aligned to that mission than others, and that there may be additional missions that the President, the Director of National Intelligence, or the Secretary have assigned it that will also need to be considered.

  Congress intended I&A to:
  - *Perform All-Source Analysis and Dissemination*
  - *Ensure DHS Access to Information*
  - *Promote Internal and External Information Sharing*
  - *Protect Information from Unauthorized Disclosure*
  - *Protect Intelligence Sources and Methods.*

  I believe I&A plays a unique and critical role in helping operators and decision makers protect the homeland by providing access to timely, relevant, and comprehensive intelligence and information across the full range of Homeland Security missions. Its current priorities are:
  - Enhance support to operations through cross-cutting analysis
  - Be a model for information sharing and Safeguarding
  - Integrate and strengthen the DHS Intelligence Enterprise (IE)

- What should the mission of I&A be in the future?

  At this time, I believe that Congresses' initial intent for I&A was and continues to be correct, and I am grateful for the advances in that mission that have been made by each of I&A's previous leaders. With regard to the future, if I am fortunate enough to serve as I&A's leader, I expect my contribution may be more focused on how I&A performs its mission than on revisiting the nature of the mission itself.

- How should I&A's role be distinct from the analytic role played by other members of the Intelligence Community (e.g. CIA, DIA, FBI, INR)? Do you assess that this role is currently being performed?

  I&A is positioned within the Department and the IC to use DHS data, information from state and local law enforcement, and intelligence from the IC in a way no one else can. If confirmed, I plan to conduct an in depth assessment of operations and metrics and would be pleased to report back to the Committee.

- Are there legal authorities that DHS(I&A) does not possess but that it should?

  At this time, the Under Secretary for Intelligence and Analysis' authorities appear appropriate given the breadth of the DHS Intelligence Mission. If confirmed, I will assess the authorities and would work with my leadership and the Congress, as appropriate, to fill any identified gaps.

- Are there any legal authorities that the DHS(I&A) possesses that it does not need or should not have?

  As I mentioned before, I think the Under Secretary for Intelligence and Analysis' authorities appear appropriate given the breadth of the DHS Intelligence Mission. If confirmed, I would assess these authorities for adjustment and if necessary work with my leadership and the Congress, as appropriate, to correct any problems.

- Is the United States assuming less risk of a terrorist attack than it otherwise would because of the capabilities established in DHS(I&A)? If so, explain why.

  Risk is a calculation of vulnerabilities and threat; because the threat is evolving there will always be risk. I&A was established following 9/11 in order to afford the State & Local law enforcement and private sector the information needed to anticipate future threats and vulnerabilities within their localities. I believe that DHS I&A is an added value to protecting the homeland and positively affecting the risk equation.

- What unique role should I&A be performing, if any, with regard to countering violent extremism in the United States?

  This is an area I have not had an opportunity to fully assess at this point. I acknowledge that it is important to the Department's efforts to protect the Homeland and learning more

about this topic will be a priority, if confirmed. I look forward to learning more about this issue and discussing this in more detail with the Committee in the future.

- What unique role should I&A play in supporting the efforts of DHS entities to combat trade-based money laundering, illegal bulk cash transfers, exploitation of money service businesses, and other illicit money flows that support the drug trade and other security challenges?

  I&A's role should be to de-conflict the work of the Components to ensure efforts are being supported and not duplicated within the DHS IE on these topics. This highlights the need for better departmental collections coordination to make the Department's efforts more effective and efficient in these, and other important topics.

Priorities and Performance

QUESTION 2: If confirmed, how will you personally evaluate whether your tenure as Under Secretary for Intelligence & Analysis has been a success?

If confirmed, I believe in setting mission priorities and objectives and continually measuring performance and making adjustments. I plan to make this assessment at the beginning of my tenure at I&A and adjusting it throughout my time as Undersecretary.

- Have you discussed with the Secretary of Homeland Security his specific expectations of you, if confirmed as Under Secretary, and his expectations of I&A as a whole? If so, please describe those expectations.

  I had the opportunity to meet with the Secretary on his expectations. They are clear: 1) make the fusion center process work by improving the two-way flow of communications; 2) ensure DHS information is accessible and utilized in I&A analysis to better inform the policy makers, operators, and customer sets that I&A supports and; 3) eliminate programs that are duplicative within the Department and with other agencies.

- Have you discussed with the Director of National Intelligence his expectations of the relationship between I&A and the Office of the Director of National Intelligence and other elements of the Intelligence Community? If so, please describe those expectations.

  I have spoken with DNI Clapper. He requested that I continue to execute NIP funds at I&A prudently and with a view toward best supporting the State & Local customer set. He asked that I continue to build on the relationship with the other IC elements. He considers I&A's role with the State & Locals to be a critical piece of the national security apparatus protecting our homeland.

- What do you believe are the most critical analytic priorities for I&A today?

My top priority is to enhance the level of service I&A provides to its unique customer sets at the state and local level, and in the private sector. I want to better understand their needs in order to more appropriately target and tailor our analysis for them.

I&A's intelligence analysis priorities will be ever-evolving based on new intelligence and customer requirements of the Secretary, DHS operational components, and state, local, tribal, territorial, and private sector customers in the field.

I am encouraged about the efforts that I&A has led throughout the DHS Intelligence Enterprise to build a Program of Analysis, which identifies the most pressing Key Intelligence Questions for which I&A and other partners (in DHS and around the IC) will conduct research and analysis to build intellectual capital.

- I&A has many customers competing for a limited amount of analytic capacity. Who is I&A's primary customer?

  I&A has one of the broadest customer bases in the IC, ranging from the Secretary, to DHS policymakers and operators, to thousands of state and local officials and private sector partners – each of whom have different information classification requirements and limitations. All of them are important, and we do and will continue to work to meet their needs by producing a broad range of products at different classification levels. I think the issue is to ensure that I&A is not duplicative of other analytical efforts and uses its unique information access to produce quality products that exceed customer requirements.

Workforce

QUESTION 3: Morale within the office of the Under Secretary for Intelligence and Analysis has been consistently low. As Under Secretary for I&A, what is your plan to address this?

I am aware of the consistently low scores reported on recent I&A employment satisfaction surveys. I believe morale increases when people understand the mission they carry out, their roles in that mission, and how those roles make a difference. It is not an overnight process, but one that will be a top priority for me if I am confirmed.

- Why will this strategy work where others have failed?

  I have led large organizations several times in my career and I believe high moral comes when people understand expectations, are given the tools to succeed, and feedback on performance. If confirmed, I&A personnel will know how much I value what they do from day one.

- Do you have a human capital strategy to recruit and retain the "best and brightest" to I&A?

Over the course of my career, I have had the opportunity to develop and oversee human capital strategies in a variety of managerial positions, from the Air Force to the State Department. I also developed the security process for GE. My philosophy is that an organization must tie objectives to mission expectations, and then develop a recruitment strategy to find the right people to meet the mission needs.

I understand that it is a real challenge to recruit the "best and the brightest." I have been briefed on the Intelligence Committee efforts to include excepted service authorities within the FY2012 Intelligence Authorization Act, and I believe this can be a very useful tool. It is my understanding that this authority has been recently applied to the hiring process at I&A.

If confirmed, I look forward to finding ways to best leverage this new authority to fill any outstanding gaps in the I&A workforce and implement an effective human capital strategy. I hope to provide the Committee with a more comprehensive strategy after I have had an opportunity to assess the situation and determine a new strategy.

- Are there any reforms you plan to take to improve the skill set and experience profile of the DHS I&A workforce?

It is my understanding that a senior I&A official has recently been assigned to institute strategic workforce initiatives for IA and the DHS IE including updating existing career roadmaps, ensuring clear career options are understood by both employees and managers, and that rotational opportunities exist for all members of the IE. The initiatives strive to create a professional homeland intelligence workforce that better understands the needs and capabilities of DHS and its unique partners.

Rotational assignments are also an integral part of I&A's improvement of the skill set of its workforce. I&A participates in the Intelligence Community Joint Duty Assignment Program, and has revamped the DHS Intelligence Rotational Assignment Program. Both programs allow the workforce to gain additional professional development opportunities via rotational assignments to the IC and DHS Intelligence Enterprise (IE) organizations.

Should I be fortunate enough to be confirmed, I plan to review the new roadmap immediately. I believe that morale and a solid workforce is critical to the overall success of I&A, and the customers it supports.

- A significant portion of I&A's budget since its inception has been used for contractor support. Previously, contract personnel made up 63 percent of I&A's workforce before this percentage was significantly reduced in response to concerns and direction from the congressional intelligence committees. Within the context of I&A, what do you believe are the appropriate roles for contractor staff to play?

I have been briefed that I&A's reliance on contractor support has steadily declined since 2009. In FY 2014, contractors now only comprise 27% of its total workforce. Contractors are a valuable resource which allows I&A to surge assets to emerging areas

of interest or concern where it would be more cumbersome to hire federal employees for the same functions. Contract staff can be used as a surge force to immediately respond to an issue, and allows I&A to perform those functions.

- Do you believe that contractor staff should serve as intelligence analysts, and if so, under what conditions?

  While optimally all intelligence analysts would be USG personnel, contract intelligence analysts play an important role in bringing subject matter expertise to bear in an organization quickly as organic expertise in various areas is grown and matured. Growing deep organic organizational expertise in any subject are take years as analyst gain broadening experiences and expand their research over time. Where gaps in specific skills or expertise exist in I&A's analytic organization, it is appropriate to utilize contract intelligence analysts until which time organic government expertise is grown of until that subject matter expertise is no longer needed.

  Contractors are a valuable resource that allows I&A to surge assets to emerging areas of interest or concern where it would be more cumbersome to hire federal employees for the same functions. Contractors are also useful in watch standing and other critical functions where speed in hiring is paramount.

- I&A now enjoys direct hiring authority. How has this new authority influenced I&A's ability to recruit and retain personnel?

  It is my understanding that I&A was provided in the FY2012 Intelligence Authorization Act with excepted service hiring authority, which would allow it to hire outside of the Office of Personnel Management rule set. I have been further briefed that I&A has only recently applied this new authority to the hiring process. Should I be fortunate to be confirmed, I look forward to reviewing the implementation of the new authority and making any appropriate modifications to the business rules.

- How are the career paths of analysts specifically managed to ensure that they have opportunities to serve in DHS or elsewhere in the IC at the senior most levels?

  I have not had the opportunity to conduct an in depth assessment of the proposed process. I understand the proposed analyst career paths will have both a technical and management track. Both tracks will allow analyst the opportunity at the higher grades to serve in already established senior level positions within the IC, DHS and other agencies. I&A currently fills on a reoccurring basis Senior Advisors, Chief of Staff, and Senior Liaison Officer positions in the IC, DHS and other agencies.

- If confirmed, do you plan to provide additional opportunities for I&A analysts to work directly with I&A customer groups to improve the level of collaboration between I&A analysts and the customers they serve?

Workforce planning is integrated into the way in which employees are detailed to ensure all career paths are able to effectively have and administer a rotational assignment at different junctures in the analyst career. The goal is to foster collaboration, and greater awareness of our customers, including working with the Intelligence Officers at the Fusion Centers, at all levels of an analyst career, not just at the senior levels.

I absolutely think this is a great idea. If confirmed, I hope to expand efforts already underway to deploy multiple analysts to State Fusion Centers and each of our operational components. Additionally, we have a private sector program office that regularly engages with ISACs from each of the critical sectors as well as analysts deployed to and leading the Domestic Security Alliance Council in an effort to better understand and serve our private sector customers.

Fusion Centers

QUESTION 3: The purpose of the federal fusion centers is to provide state, local, tribal, and territorial officials with situational awareness, threat information, and intelligence on a continuous basis and to receive such information from these entities. Do you recommend any changes to the statute that provides the basis for federal support for fusion centers?

At this time I am unaware of any additional legislation needed. If confirmed, I will maintain a constant conversation with the committee and request any additional legislation to strengthen the outcomes of the federal government's support to and relationships with state and local fusion centers.

- How many fusion centers have you visited?

  I have not had an opportunity to visit a fusion center yet, but this will be a top priority for me if I am confirmed.

- How can Congress measure the effectiveness of fusion centers?

  I have been briefed on I&A's work to support fusion centers and the work it has done over the past several years to develop and implement an assessment program with its federal, state, and local partners. The assessment program evaluates two key components:
  - Capabilities of the national network of fusion centers
  - The performance of these centers in executing their capabilities and contributing to our homeland security efforts

  If confirmed, I intend to work closely with the Congress to validate and improve these measures.

- What document defines the characteristics of a properly working fusion center? What percentage of fusion centers are working as designed?

In my briefings on this issue, it is my understanding that the Federal Government measures the efficacy of a fusion center based on their core capabilities to receive, analyze, and disseminate information, which is reflected in I&A's annual fusion center assessment. In the 2012 assessment, I&A found that the average of fusion centers scored well above 80% in meeting those requirements.

- Is this the right model for fusion centers?

  I understand that the current structure functions effectively for our state and local partners. If confirmed, I look forward to engaging them on this topic to strengthen these already robust relationships and fine tune the incorporation of their data into I&A's analysis products.

- Does I&A currently provide adequate support to all fusion centers?

  I understand that I&A support includes deployed personnel, training, technical assistance, exercise assistance, security clearances, connectivity to federal systems, and technology. If confirmed, I look forward to evaluating the overall level of support provided and working with the Committee to discuss the future of I&A's domestic support to the fusion center network.

- During the last two years, there have been several reports conducted by the Government Accountability Office, the House Homeland Security Committee, and by the Senate Homeland Security and Governmental Affairs Committee Permanent Subcommittee on Investigations regarding domestic information sharing entities and fusion centers. Have you read these reports?

  I have read each of these reports. If confirmed, I will assess the DHS capacity for information sharing and support to fusion centers and make appropriate recommendations to Congress.

- Please list each of the recommendations from these reports with which you agree or believe merit further consideration.

  If confirmed, I intend to have regular conversations with Congress and the I&A team to assess all recommendations and evaluate actions that can be taken to incorporate those recommendations where appropriate. I look forward to following up with you once I have had an opportunity to review the recommendations made by Congress and others.

Management

QUESTION 4: What do you believe are the most important management-related challenges facing I&A today?

I received an initial briefing from I&A's Plans, Policy, and Performance Management team on the progress that has been made with regard to management of I&A over the last few years. I

believe the current management capacity is solid and moving in the right direction. While I have not been able to do a thorough review of the management issues facing I&A, I saw an apparent rigor in processes that will enable me to definitively answer this question in the future.

- Previous reports have found I&A processes to be ill-defined, inconsistent, and ad hoc. Does DHS I&A tie budgets and financial planning to requirements through a defined and stable long-term budgeting, planning, and programming process? If so, do you have confidence that the process effectively serves its purpose?

  Over the course of my career, I have gained a deep appreciation for the effectiveness of well-defined, consistent, and repeatable management processes. This certainly applies to the need for clear financial planning and budgeting that is lined to long-term strategic goals.

  It is clear to me that my predecessors paid significant attention to these shortcomings and worked hard to address the process inconsistencies within the organization. I am excited by how much progress has been made, and if confirmed, I would continue that progress in a positive direction moving forward.

- Do you believe DHS I&A should have outcome measures for antiterrorism and intelligence-related programs consistent with those measures established by other government agencies? Please explain.

  Yes, consistent with the Government Performance and Results Act of 1993, our intelligence-related measures should be outcome-based to the greatest extent possible. This ensures that our activities are producing the desired results.

  I understand that the new FY2014 Program of Analysis provides an opportunity to assess the extent to which analytic production by I&A and other DHS components aligns to established DHS and national priorities. I further understand that I&A works closely with the ODNI staff and other IC members to identify and implement best practices, and is open to additional views on this challenging but important topic. This is certainly a topic that I think warrants additional attention and development, and plan to take a close look into it should I be fortunate enough to be confirmed.

- Do you believe that any of the following are inherently governmental functions: (a) strategic planning, (b) policy support, (c) intelligence analysis, (d) foreign relations, (e) counterintelligence program support, and (f) state and local fusion centers support?

  I believe the listed functions are inherently governmental; therefore, they should be performed by government employees. I also recognize that missions are always changing and evolving and there needs to be flexibility to fill gaps with contractor support until government resources can be identified. I always believe that government employees should be responsible for direction of any action that is inherently governmental.

- How do you intend to measure financial and human capital processes as a part of I&A's performance measures?

  I received an initial briefing on this topic and am quite pleased by what I was told. I believe I&A's team is focused on the right issues, and I look forward to working to continuing to refine allocating resources to mission priorities.

- I&A has undergone several realignments since it was established in 2002. Do you anticipate undertaking a similar realignment or restructuring? If so, what would be the costs and benefits of doing so?

  If confirmed, I will make continuing assessments of I&A and make recommendations about how to improve structure and performance.

I&A's Relationship with the Intelligence Community

QUESTION 5: What role should I&A play in disseminating information obtained from other elements of the Department of Homeland Security to the Intelligence Community?

I&A plays a critical role in helping operators and decision makers protect the homeland by disseminating and providing access to timely, relevant, and comprehensive intelligence and information across the full range of Homeland Security missions (e.g., preventing terrorism and enhancing security, securing and managing our borders, enforcing and administering our immigration laws, safeguarding cyberspace, and ensuring resilience to disasters).

IA plays a key role in integrating component data with that collected or produced by the IC to add value where DHS data contributes to an identity, contacts, travel, or derogatory information such as criminal activity. DHS data can, and has, contributed to the IC's knowledge about a threat.

- What kinds of information should be so disseminated and from what elements of the DHS?

  I&A supports the dissemination and analysis of a wide range of Department information to other agencies of the Federal Government, to include the Intelligence Community, with responsibilities related to homeland security, and to agencies of State, tribal, territorial, local, and private sector entities. This includes law enforcement information, suspicious activity reporting information, unique travel and immigration data, seizures data, and cyber intrusion data.

- What limitations should apply to this dissemination, if any?

  DHS must ensure the integrity of ongoing law enforcement investigations, and ensure that information sharing practices are conducted in a manner consistent with the law, including Federal privacy and civil rights laws, and international treaties when applicable.

- If a U.S.-person or non-U.S. person voluntarily provides information to a DHS entity such as TSA, CBP, or USCIS, do you believe that information should readily be made available for Title 50 entities conducting intelligence activities?

  The collecting and sharing of information is a grave responsibility shared by many within the Department. The Department's components are charged with being careful stewards of the information collected from the public. The Privacy Act, the Violence Against Women Act, the Intelligence Reform and Terrorism Prevention Act, and Executive Order 12333, U.S. Intelligence Activities, are significant legal authorities that the Department looks to when determining the circumstances of sharing information reasonably believed to constitute terrorism information. The Department's Chief Privacy Officer, Officer for Civil Rights and Civil Liberties and General Counsel also serve significant roles in determining the scope of terrorism information that can be further disseminated within the Intelligence Community and also with our state, local, tribal and territorial and private partners.

- In your role as Under Secretary for I&A, what assistance do you expect from a U.S. Intelligence Community apparatus that is primary geared to foreign threats?

  I&A today has excellent partnerships across the U.S. Intelligence Community, and it is I&A's job to ensure they continue to mature and strengthen. I&A's collaboration, in particular, with NCTC, CIA, NSA, and FBI occurs every day. As I&A's IC partners uncover potential threats to the Homeland through their reporting and analysis of foreign activities, I&A needs to ensure its partners know how to alert I&A to these threats so that it can utilize its unique DHS data to broaden our understanding of the threats and to help the Department mitigate them.

- While the mission of I&A is statutorily unique; the particular program activities carried out at the division and branch levels are not. If confirmed, will you commit to reviewing I&A programs to ensure that they are not redundant or duplicative of any other Federal, state, local, or private effort?

  For example, the Border Security Branch performs work that in some instances appears duplicative of the type of work done by Customs and Border Protection. Both the Department of Homeland Security (DHS) and Federal Bureau of Investigation (FBI) play a role in sharing terrorism-related information with state, local and tribal governments and law enforcement agencies. Both DHS and CIA maintain open source intelligence capabilities.

  Absolutely, and consistent with the Secretary's direction, if confirmed, I will discontinue those activities that duplicate the work of others. Our limited resources must be focused on what we bring uniquely to the Intelligence Community.

- Do you believe that the roles of DHS and the FBI are clear with respect to domestic information-sharing?

Protecting the Homeland is a team sport and requires DHS, FBI, the IC, and state and local law enforcement to collaborate. A top priority of mine, if confirmed, will be to ensure that DHS and FBI leaders have a shared plan for domestic information sharing, which is critical to the safety and security of the Nation and an important reminder of the gaps that existed prior to 9/11.

- How do you envision the relationship between DHS and FBI in providing intelligence support for law enforcement personnel?

  If confirmed, I look forward to working closely with the FBI to ensure that our unique capabilities are used to meet their intelligence needs. Our efforts must be complementary.

- Is the National Counterterrorism Center satisfied with the degree of information sharing from DHS and the degree of access to DHS data stores?

  I do not have any firsthand knowledge about information sharing relationships between DHS and the NCTC. Having said that, I do understand how information collected by DHS could prove useful for other Intelligence Community organizations conducting sensitive national security work. If confirmed, I hope to examine the memoranda and agreements currently in place that govern the sharing of DHS data with NCTC, and pledge to work with my counterparts to find a way to ensure DHS has a way to share critical information with NCTC while still honoring all applicable privacy and civil rights/civil liberties protections such data may have been collected under.

I&A's Relationship with State, Local, Tribal, Territorial, and Private Partners

QUESTION 6: What role should I&A play in disseminating information obtained from other elements of the Intelligence Community to state, local, tribal, territorial, and private partners?

I&A should, and does, provide the tools for SLTT and private sector partners to receive information from the IC by way of classified connectivity and relevant, timely analysis.

- What is the proper role of I&A in framing requests for information from state and local law enforcement officials, as well as retaining such information and disseminating it to the Intelligence Community?

  I&A ensures that its field personnel who interface with SLTT customers are trained in Intelligence Oversight, CRCL and Privacy guidelines. They provide guidance on the formulation of requests so that RFI's are appropriate for DHS to respond. Any I&A responses intended for SLTT customers receive additional oversight review and vetting before dissemination. I&A does not share SLTT requests or the results of those request with other partners. Responses may be shared with other partners if they have requested the same information from DHS I&A and the response is cleared by the requester and can satisfy multiple customers.

- As Under Secretary for I&A, what measures would you take to improve the effectiveness of efforts to share information in both directions?

  If confirmed, I plan to conduct an extensive review of the process, and its metrics and outcomes to determine its effectiveness and where gaps, if any, need to be addressed. I will be able to better answer this question after that review.

- What forms of information (e.g. threat information, infrastructure vulnerability, etc.) are appropriate for sharing?

  I&A should, and does, make an effort to share as much information as possible with SLTT partners to enable timely, informed action to prevent, protect against, and effectively respond to threats in the Homeland. This goal must be balanced against the need to protect information to avoid compromising investigations, sources and methods, and the privacy, civil rights, and civil liberties of U.S. persons. All of these issues are important to the process.

- I&A has taken positive steps to provide intelligence reporting that has greater relevance to its private sector customers. What additional steps will you implement to ensure that I&A private sector customers are provided with timely and relevant intelligence reports?

  During my eight years at GE, I experienced firsthand the need for, and sometimes the lack thereof, timely, relevant information that would inform both corporate operations and actions to protect our financial resources and investments. With this perspective, if confirmed, it would be one of my top priorities to thoroughly review how I&A can better serve the needs of the private sector. I look forward to sharing the results of that review and having an open dialogue with this Committee on ways to meet the intelligence needs of the private sector.

- Do you intend to work with I&A customers to determine training needs and requests?

  I have been briefed about fusion centers and I&A's training programs, and it is my understanding that I&A works with its state and local partners to identify training that can and should be integrated into I&A intelligence training curricula. If confirmed, I believe we should link training requirements to the capacity of the fusion centers to meet their missions.

- How do you plan to incorporate the IC law enforcement and IE partners training plans into the I&A training plan?

  If confirmed as Under Secretary, I intend to leverage I&A's current relationships and processes with state and local law enforcement, as well as the HSIC to ensure that I&A receives input from, and meets the training needs of, its customers. I will also ensure that IC and state and local training opportunities are available to DHS personnel when possible.

- What do you expect out of state, local, tribal, territorial, and private partners writ large to assist you in performing your roles and responsibilities as Under Secretary?

  If confirmed, I intend to be actively engaged with all of I&A's partners and stakeholders to ensure an open dialogue and relationship that will support a two-way exchange of ideas to meet our shared goals.

I&A's Relationship within DHS Intelligence Enterprise and DHS

QUESTION 7: The Under Secretary for I&A is responsible for coordinating and enhancing integration among the intelligence components of the Department of Homeland Security, including those at Customs and Border Protection (CBP), Immigration and Customs Enforcement, (ICE) and Transportation Security Administration (TSA). What is your assessment of efforts to date to improve integration between I&A and the components, and among the components?

In my initial discussions on this topic, it is apparent to me that efforts to improve integration between I&A and the components have matured in recent years, but there is more to be done. If I become Under Secretary, I would continue to leverage the HSIC to ensure that I&A and all the DHS Components are integrating efforts to meet the Department's mission of protecting the Homeland.

My experience with DOD investigative organizations is that such collaboration identifies gaps and duplicative processes that can be resolved collectively better than individually.

- What assistance do you expect out of the rest of DHS, and the other intelligence elements of the DHS Intelligence Enterprise to help you in performing your roles and responsibilities as Under Secretary and as the head of the Homeland Security Intelligence Council (HSIC)?

  DHS Components, including all of the intelligence elements, have a responsibility to coordinate and collaborate to effectively achieve the Department's mission. If all of the DHS intelligence elements work together to define their specific operational and tactical intelligence needs, I would, as Under Secretary and CINT, be able to better coordinate activities and make recommendations on resources.

- What role should I&A play in disseminating information obtained from other elements of the Intelligence Community to other elements of the Department of Homeland Security?

  I&A should not serve as a gatekeeper but rather should enable appropriate access to IC information to enable DHS component missions and operations. I&A provides SCI network access to the components to enable direct access to IC holdings. Additionally, I&A produces tailored all-source analytic products based on IC information specifically for the operations of the Homeland Security Enterprise.

- What authority, if any, has the Secretary provided to you in your role as the head of the HSIC? Does this include budgeting or providing strategic guidance?

  I have been informed that many of the Under Secretary's authorities are enumerated in the Homeland Security Act of 2002. In addition to those enumerated authorities, I understand that the Secretary, in DHS Delegation Number 08503, delegated authorities regarding interaction with the Intelligence Community, Information Sharing and Safeguarding, Intelligence Training, and the State, Local and Regional Fusion Center initiative. The Chief Intelligence Officer (CINT) has several tools to integrate the Intelligence Enterprise (IE) through the HSIC, including setting common DHS standards and overseeing the execution of Departmental policy or common services. Also, as CINT, I would advise the Secretary on the overall intelligence priorities to inform the budgets of the Department's intelligence elements.

- What steps do you believe are the key barriers to enhanced coordination and integration, and what steps would you take as Under Secretary to overcome these barriers?

  Having not yet served in the DHS Intelligence Enterprise, I am not fully familiar with the specific barriers that may be hindering coordination and integration. However, having spent a considerable tenure of my career inside the Intelligence Community, I often find that the barriers referred to in the question above may not be limited to the DHS Intelligence Enterprise.

  In my experience, coordination and integration is often hindered by:

    - Competing priorities between component operational needs and enterprise priorities with limited resources
    - Differing authorities among intelligence components

  If confirmed, I would seek to address and overcome these kinds of challenges by:

    - Developing and communicating consistent enterprise priorities
    - Identifying and leading collaboration to address gaps in intelligence support to operations and gaps in intelligence capabilities
    - Developing consistent policy, strategy, and opportunities for common training and career growth among Intelligence Enterprise staff.

- Do you believe that each of the components of DHS should retain its own intelligence function, or would the Department be better suited by having I&A assume their efforts?

  No, I&A should not assume the intelligence functions or efforts of the Components. Each DHS Operating Component has its own operational and tactical intelligence functions, tailored to its own unique mission. The role of I&A in the enterprise is to integrate and align the efforts of the Component Intelligence Programs to maximize the effectiveness of DHS intelligence in support of the Homeland Security Enterprise.

- Some DHS components have their own individual intelligence support units that provide operational support to their field elements. How does I&A uniquely augment these efforts?

  I&A produces tailored all-source analytic products, fusing Intelligence Community, DHS component, and State and local information, specifically for the operations of the Homeland Security Enterprise. Additionally, I&A provides a centralized collection requirements management process and a centralized intelligence request for information (RFI) process for the Intelligence Enterprise including intelligence support units. I&A facilitates the synchronization of analysis and collection activities across all of the components to enable all portions of the Enterprise.

- What process is in place to ensure that I&A does not duplicate the efforts of these intelligence support units?

  The Secretary has made it clear to me that I should identify and resolve any unnecessary duplication within the Department, and if confirmed, I intend to use the HSIC as my first line of defense against such duplication. Through this body, all of DHS' intelligence elements can discuss and share their priorities and objectives, as well as de-conflict any overlapping efforts.

Domestic Intelligence Responsibilities
QUESTION 8: Please describe any and all intelligence roles I&A and other DHS intelligence components perform other than analysis.

DHS intelligence components support their operational missions, and I&A has many intelligence responsibilities beyond just analysis to meet its broad mission, to include open source collection, Departmental counterintelligence activities, writing and disseminating raw reporting, and facilitating information sharing among others.

- How does I&A ensure that it does not focus intelligence resources on the First Amendment-protected activities of American citizens?

I&A's intelligence oversight guidelines prohibit collection of information regarding U.S. persons solely for the purpose of monitoring activities protected by the U.S. Constitution such as the First Amendment protected freedoms of religion, speech, press, and peaceful assembly and protest. The guidelines permit U.S. person information collection only where there is a reasonable belief of a nexus between the subject and one or more of I&A's defined collection categories (such as terrorism information, counterintelligence, threats to safety, etc.), and where the information is necessary for the conduct of an authorized I&A mission.

- What policies should govern the use, retention and dissemination of U.S. person information by I&A? How should these policies differ, if at all, from the other elements of the Intelligence Community?

Executive Order 12333 requires that elements of the IC collect, retain, and disseminate information regarding U.S. persons only in accordance with procedures established by the head of the element or department and approved by the Attorney General. These procedures incorporate principles set forth in the EO, and expand upon them as required for the mission specific requirements of each IC element. Like a number of other IC elements, I&A operates under interim procedures while continuing to work with ODNI and Department of Justice attorneys to perfect permanent procedures.

- As a member of the IC, I&A must also adhere to U.S. Code Title 50 (National Security Act) and Executive Order 12333, as amended. Executive Order 12333 establishes procedures for the conduct of intelligence activities, including activities carried out abroad and directed against non-U.S. persons. The order was signed by President Reagan in 1981 and requires each intelligence agency to adhere to Attorney General-approved procedures for the collection, retention, or dissemination of information concerning United States persons. Do you believe Executive Order 12333 continues to provide sufficient guidance for the conduct of intelligence activities, to include procedures for handling incidentally acquired information concerning United States persons?

  In meeting with the various offices within I&A, I am impressed by the fact that the protection of Americans' privacy and civil rights and civil liberties appears to be at the forefront of all of their intelligence activities. If confirmed, I would examine how these protections are actually implemented to ensure that these protections inform how I&A meets its mission.

  The Constitution and EO 12333 correctly inform what the IC can do, and I&A must adhere to both.

- What limitations exist with regard to the collection, retention, and analysis of information related to First Amendment-protected freedoms of speech, association and religion?

  I&A's functions, and its handling of U.S. person information, are subject to numerous legal and policy restrictions, including applicable statutes, the U.S. Constitution, executive orders and directives, and internal departmental guidelines, including I&A's Interim Intelligence Oversight Guidelines. If confirmed, I would consider it a core part of my responsibilities to work closely with the DHS General Counsel, the I&A Intelligence Oversight Office, and the Offices of Privacy and Civil Rights & Civil Liberties to ensure that I&A is operating in full compliance with the law and consistent with DHS policies to ensure the protection of privacy and civil liberties.

- What sources should I&A use when conducting its analysis, in particular in its analysis of U.S. Persons?

  By statute, I&A accesses and receives intelligence and information, including law enforcement information, made available from or reported by other Federal, state, local and private sector entities. While the potential sources of information available to I&A are correspondingly broad, I&A personnel are limited to collecting that information

overtly or from publicly available sources. Furthermore, I&A must comply with specific procedures reflected in its Interim Intelligence Oversight Guidelines whenever collecting, analyzing, or disseminating information involving U.S. Persons.

Analytic Quality

QUESTION 9: In the past I&A has struggled to define the scope, relevance, and quality of its finished intelligence products.

- Some stakeholders perceive I&A as having an intelligence function that is overlapping or redundant. How will you ensure that I&A analytic products are differentiated from those of the rest of the Intelligence Community and the DHS intelligence enterprise?

  While I&A seeks to avoid duplication, it is important to remember that some degree of competing or redundant analysis is necessary and healthy for the IC. One of the lessons learned in the WMD and 9/11 Commissions was that various elements with different missions and perspective should conduct analysis to avoid group-think.

  To avoid unnecessary duplication, I think it is important to de-conflict any production plans with I&A's IC partners, leverage their expertise on foreign events to drive I&A analysis of Homeland implications, and produce joint products when appropriate. I understand that I&A annually publishes a Program of Analysis that captures the key intelligence questions on which they plan to focus; this product can serve as a marker within the IC to identify I&A priority analytic issues for the year.

- How would you assess I&A's analytical tradecraft, analyst training, editing, quality control measures, approval procedures, and independence from political considerations?

  I am not yet in a position to adequately assess I&A's entire analytical program and processes. From what I have learned thus far, I&A is focused on improving analytical tradecraft and review processes and is receiving positive feedback from its customers.

- How does I&A ensure that all I&A analytic reports meet well-defined Intelligence Community analytic tradecraft standards prior to production of intelligence that is disseminated to the IC?

  I am aware that I&A has developed support and advisory services for its analysts and managers to provide timely tradecraft feedback to ensure constant improvement. If confirmed, I will evaluate I&A's analytical processes in the context of the IC standards to ensure that all products meet those standards before dissemination.

- In your opinion, should I&A be an aggregator of intelligence or a value-added provider of analysis? What changes will you implement to reflect this vision?

  I&A statutorily has a mandate to both share terrorism-related information and to produce original analysis. I believe that this broad mission calls for a healthy balance of both.

While I&A is responsible for sharing intelligence produced by others when it is relevant to its state, local, and private sector homeland security partners, I&A also adds significant value by fusing that intelligence together with all sources of information—to include unique Departmental data—to provide a holistic picture of the threats to the Homeland.

- DHS previously released an unclassified report titled, *Right-wing Extremism: Current Economic and Political Climate Fueling Resurgence in Radicalization and Recruitment,* dated April 7 that warned that the faltering economy and the election of the country's first African-American president could fuel support for "right-wing radicalization and recruitment." Specifically, the report stated that rightwing extremists may include "individuals that are dedicated to a single issue, such as abortion or immigration." Additionally, the report warned that "the return of military veterans facing significant challenges into their communities could lead to potential emergence of terrorist groups or lone wolf extremists . . . carrying out violent acts." According to I&A, this report was coordinated with the FBI. Do you believe "rightwing" and "leftwing" extremism are appropriate topics for I&A?

  Since I was not at I&A at the time this report was published in April 7, 2009, I cannot comment on its analytical assessments. I understand that many institutional reforms to I&A's analytic and production processes were set in motion as a result of this report. It forced every I&A employee to contemplate the critical role of domestic intelligence and the delicacy in exercising this analysis with appropriate analytical tradecraft techniques, particularly where the nature of the threat involves individuals or groups willing to engage in illegal acts of violence dangerous to human life or destructive of critical infrastructure and key national resources for political, religious, or other ideologically motivated reasons.

Congressional Oversight

QUESTION 10: Section 502 of the National Security Act of 1947 provides that the obligation to keep the congressional intelligence committees fully and currently informed of all intelligence activities. It applies not only to the Director of National Intelligence but also to the heads of all departments, agencies, and other entities of the United States Government involved in intelligence activities.

- What is your understanding of the standard for meaningful compliance with this obligation by the Secretary of Homeland Security in keeping the congressional intelligence committees, including all their Members, fully and currently informed of intelligence activities?

  I am committed to keeping the congressional intelligence committees fully and currently informed of all intelligence activities as required by the National Security Act of 1947. This includes significant anticipated intelligence activities, significant intelligence failures, and illegal intelligence activities. I believe that meaningful compliance with this

obligation can be achieved by adhering to the Director of National Intelligence's guidance issued in Intelligence Community Directive Number 112, Congressional Notification, dated November 16, 2011.

- Under what circumstances, if any, is it appropriate to brief the Chairman and Vice Chairman and not the full Committee membership?

  While I am not aware of any circumstances in which previous Undersecretaries for I&A have found it necessary or appropriate to so do, it is my understanding that it would be appropriate only when necessary and essential in light of extraordinary circumstances affecting the vital national security interests of the United States, as determined by the President pursuant to Section 503(C)(2) of the National Security Act of 1947.

- Do you pledge to provide all unclassified and classified intelligence products of I&A to this Committee?

  I pledge to work with you in good faith to ensure the Committee has access to all information, classified or unclassified, necessary for full and proper oversight of I&A activities.

- How will you change the I&A budget justification to ensure that it serves as an effective for I&A managers and can be effectively evaluated by the Congress?

  It is my understanding that I&A's budget justification is included in the larger budget justification books of the Department of Homeland Security and the Director of National Intelligence, and as such it must adhere to the structure and format of those documents. I&A provides both versions of the justification to the Intelligence committees on the day they are released. I pledge to work with the committee to look at ways to approve these submissions, subject to DNI, Department, and OMB approval.

- Do division-level managers have visibility into the I&A budget? Do you intend to provide such visibility to these managers, if confirmed?

  It is my understanding that beginning in FY 2013, the I&A CFO tracked and reported execution of annual spend plans at the Division-level, and provided monthly updates to management on planned -vs- actual expenditures. In FY 2014, the I&A CFO has, in conjunction with the rest of I&A, expanded this to include quarterly spending plans, and is monitoring and reporting spending execution at the division level. The I&A CFO provides detailed execution data to the Deputy Under Secretaries each month, no later than the middle of the following month, which links budget execution data and performance information to the priorities in the I&A Strategic Plan. This reporting links the priorities established during the "zero-based" budget work conducted in 2011 with accurate financial data available to all levels of management in I&A to support management decision-making and accountability.

Unauthorized Disclosures of Classified Information

QUESTION 11: If confirmed as the Under Secretary for Intelligence and Analysis of the Department of Homeland Security, please describe the actions you will take to prevent, detect, and report unauthorized disclosures of classified information.

Protection of the intelligence and information that I&A receives is among the foremost obligations of the Under Secretary for Intelligence and Analysis, not only as directed by Presidential and Director of National Intelligence guidance, but because doing so is one of the explicit requirements of the Congress as reflected in the Homeland Security Act. As such, I would anticipate working closely with colleagues in the Office of Security, the Chief Human Capital Officer, the Inspector General, and other DHS and external officials to ensure that DHS has not only a first-rate Insider Threat detection program, but a counterintelligence effort that is equipped, staffed and empowered to provide DHS with robust protection from foreign intelligence threats.

Committee Detention Report

QUESTION 12: As the State Department's Coordinator of Counterterrorism efforts from 2001 to 2002, you were responsible for implementing U.S. counterterrorism policy overseas and coordinating the U.S. government response to international terrorist activities. Were you aware of the CIA's Detention and Interrogation Program during your time of service?

As S/CT coordinator, I became aware of this program, but I was not involved in the policy discussions for this program and was not directed to facilitate the implementation of the program.

Francis X Taylor
2/25/2014

DISTRICT OF COLUMBIA:

AGNES YACKSHAW NOTARY PUBLIC EXP. 10-14-16 DISTRICT OF COLUMBIA

ACKNOWLEDGED BEFORE ME ON 2.25.2014.

Agnes Yackshaw

AGNES YACKSHAW
NOTARY PUBLIC DISTRICT OF COLUMBIA
My Commission Expires October 14, 2016

Post-Hearing Questions for the Record
Submitted to the Honorable Francis X. Taylor
From Senator Tom Carper and Senator Tom Coburn

"Nominations to be DHS; Under Secretary for Intelligence and Analysis"
March 5, 2014

Coburn Questions

1. The Senate Select Committee on Intelligence determined that DHS Office of Intelligence and Analysis (I&A) had more analysts than the number of finished intelligence products that it produced. And many have questioned the usefulness of I&A products. Are you aware that I&A had more analysts on staff than total finished products last year? What would you attribute to this low-production? If you discover that I&A analytic production is redundant or irrelevant, will you consider downsizing the organization accordingly?

   RESPONSE: My understanding of I&A's workforce, mission requirements, and customer sets is that I&A's functional responsibilities extend well beyond analytic production, but that even in the limited context of analysis, output is generally measured by more than just the number of finished intelligence products. If confirmed, it is one of my top priorities to gain a full understanding of I&A's mission responsibilities and analytic activities, to reduce any areas of redundancy, and to find ways to improve I&A's responsiveness to its customers where necessary.

2. Assessments of DHS finished intelligence products—including the PSI Fusion Center report and an independent review by the Center for Investigative Reporting—have found that the quality of DHS intelligence is of questionable value. For example, we found that DHS intelligence was often outdated or provided little value. Have you viewed the recently finished intelligence products produced by I&A in your time with GE or while serving in government? If so, which ones? What is your opinion of their quality?

   RESPONSE: I have only had an opportunity to review a collection of recent I&A finished intelligence since my nomination. If confirmed, I am committed to continually reviewing the quality of I&A analytic products and making adjustments when necessary.

3. DHS's intelligence program was created in the aftermath of 9/11/2001 terrorist attacks, and importantly before the Intelligence Reforms of 2004. A key question facing the Department moving forward is who is the customer that needs DHS' intelligence products. The Intelligence Community (IC) does not appear to be a key consumer of DHS produced finished intelligence. It is possible that DHS I&A could provide more value pushing information down (to state, local, and private sector partners) rather than trying to compete within the IC. Who do you believe to be the primary customer of DHS produced finished intelligence? Given the strong competition within the IC to produce useful all-source finished intelligence about counter-terrorism, would DHS be providing more value by focusing on reporting to state, local, and private sector partners? What about raw intelligence produced by DHS' components?

RESPONSE: Based on my reading of the statutes and executive orders that govern I&A, I&A has many customers with different priorities that are served in different ways. I&A's value comes from ensuring that data obtained by and held within the Department is shared with, its customers, consistent with applicable authorities and privacy protections, in accordance with their individual mission requirements. This is another area, if confirmed, that I plan to focus on understanding and finding ways to improve.

4. In 2012, I issued the bipartisan PSI fusion center report, which found that, despite spending as much as $1.4 billion on fusion centers, DHS could not point to an instance when a fusion center provided information to the Intelligence Community that disrupted a terrorist attack. GAO also reported that there was duplication between field-based intelligence programs, including between Joint-Terrorism-Task Forces (JTTFs) and fusion centers. Do you agree with the PSI investigations assessment of the fusion center program? Will you review the fusion center program and report back to us about whether it is providing value?

   RESPONSE: Since my nomination, I have met with the Secretary, I&A leaders, Major City Chiefs, International Association of Chiefs of Police, and on the topic of fusion centers. While I have gained a lot of insight into the mission and value of these state and locally owned and operated entities relative to the Federal Government, it would be premature for me to take a position with respect to the PSI Report without having had a sufficient opportunity to fully consider and assess the program. However, the efficacy of the fusion center program is one of the Secretary's priorities, and I will, if confirmed, fully assess the value of fusion centers and share my findings with this Committee.

5. Surveys have shown that DHS I&A has among the lowest morale in the federal government. Gen. Taylor, in your answers to the prehearing questions, you noted multiple efforts being made by DHS to improve the quality of personnel hired by I&A (i.e. excepted service authorities which allow them to bypass the USAJobs.gov process for hiring capable employees). To what do you attribute the low morale of I&A employees? Is there a connection between the offices' low morale and the perceived quality of personnel recruited by I&A? What measures will you take to improve morale at I&A?

   RESPONSE: In my experience, a workforce experiences low morale when they do not feel connected to the mission of the organization. One of my first initiatives, if confirmed, will be to meet with the I&A senior leadership to ensure that I&A's mission, and the workforce's understanding of that mission, is clear, and that everyone understands how their work aligns with that mission.

6. If confirmed, one of your responsibilities will be to serve as the Department's Chief Intelligence Officer, a challenging position given that you would not have management or budgetary authority over components' intelligence programs. How do you assess the level of cooperation in terms of overall direction in priority setting between I&A and the Components? How can this process be strengthened? Does I&A's lack of budget authority over the Components' intelligence shops hinder cooperation and integration? Should I&A wield control over the components'

intelligence budgets? How would you work to improve the intelligence strategy and mission across DHS given the limited power of the Chief Intelligence Officer?

RESPONSE: Through the Homeland Security Intelligence Council (HSIC), the Chief Intelligence Officer carries out responsibilities already conferred upon him in statute to coordinate and enhance intelligence integration across the Department, including through strategic oversight of Component intelligence activities, providing annual budget guidance to Component heads pertaining to such activities, and conducting annual budget reviews of each Component intelligence program. He does so based upon the intelligence priorities set by the President, separate guidance from the Secretary and Director of National Intelligence, and in accordance with the overall priorities of each Component and the Department as a whole. If confirmed, I plan to work very closely with the various Component intelligence programs and key intelligence officials, primarily through the HSIC, to strengthen communication and cooperation and to examine the budgeting processes currently in place.

7. DHS has invested an estimated $231 million in the Homeland Security Information Network (HSIN) over 9 years but has not yet achieved the information sharing capability envisioned. HSIN was supposed to be the technology portal for DHS to share unclassified intelligence information within the DHS Intelligence Enterprise, and with state, local, and private sector partners. But an audit conducted by the Department of Homeland Security's Office of Inspector General (IG) of the Homeland Security Information Network — the only Federal secure, unclassified Internet portal that enables information sharing and collaboration across the homeland security enterprise — has found that DHS has few subscribers using it. Are you familiar with the DHS OIG's audit of the Homeland Security Information Network? How will you promote information sharing between the Components and the HSIN? Do you think DHS should do outreach to get more state, local, and private sector partners to subscribe to the HSIN?

   RESPONSE: I have read the DHS OIG's audit of HSIN; however, I do not have a complete understanding of how HSIN is, or is not, currently being used. If confirmed, I will evaluate this resource and ensure that the intended participants have access to the platform.

8. The Homeland Security Information Network program is managed by another office (DHS's Office of Operations Coordination and Planning). Since I&A doesn't manage the Homeland Security Information Network, how you would you work with the Office of Operations Coordination and Planning to improve the use of the Network?

   RESPONSE: I understand that in addition to intelligence dissemination, HSIN serves dozens of other homeland security communities of interest. I believe that it is in the best interest of the Department for I&A, and its partners within the Department, to work together to ensure that resources are being appropriately used for their intended purpose.

9. In your prehearing questionnaire for SSCI you stated that if confirmed, you would commit to reviewing I&A programs to ensure that they are not redundant or duplicative of any other Federal, state, local, or private effort. Do you maintain that commitment to eliminating programs

that are redundant or duplicative? In your briefings from DHS personnel, have any preliminary areas for consolidation or elimination been identified?

RESPONSE: While I have not specifically identified areas of duplication as of yet, I remain committed to identifying and eliminating any unnecessary redundant or duplicative intelligence efforts with the full support of the Secretary to do so.

10. This spring, GAO is set to produce a report that will evaluate the DHS Intelligence Enterprise, which we expect to have many recommendations for how to improve DHS's intelligence mission and programs. Will you commit to meeting with GAO and learning about their findings and recommendations to understand how to reform and strengthen the DHS Intelligence Enterprise?

RESPONSE: If confirmed, I will review GAO's findings when they are released and commit to fully cooperating with GAO in their evaluation of the DHS Intelligence Enterprise.

Carper Question

As DHS enters the next decade of its maturity, we may very well find that homegrown violent extremism, including from domestic non Islamic violent extremists, presents the greatest terrorist threat to our country. What role do you believe I&A should play in helping to combat homegrown violent extremism, including from domestic non Islamic violent extremists?

RESPONSE: I agree that homegrown violent extremists (HVE) pose a significant threat to the United States. As I understand it, I&A's mission is neither limited to foreign-based threats, nor to threats associated with any particular political, ideological, or religious perspective, but is instead focused on terrorist and other threats to homeland security, regardless of their origin or motivation. I believe that I&A's broad legislative mandate in this regard, and its unique position at the intersection of the Federal Government and state and local law enforcement, will play a crucial role in identifying HVE.

International Association of
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February 21, 2014

The Honorable Dianne Feinstein
United States Senate
Chairwoman
Select Committee on Intelligence
Washington, DC, 20510

The Honorable Saxby Chambliss
United States Senate
Vice Chairman
Select Committee on Intelligence
Washington, DC, 20510

Dear Chairwoman Feinstein and Vice Chairman Chambliss:

On behalf of the International Association of Chiefs of Police (IACP), I am pleased to inform you of our support for the nomination of General Francis X. Taylor to serve as the next Under Secretary for Intelligence and Analysis (I&A) at the Department of Homeland Security (DHS). The IACP believes that the selection of General Taylor is a logical decision and one that will enhance and strengthen the Office of Intelligence and Analysis' mission and ability to ensure our homeland is safe, secure, and resilient against terrorism threats.

It is the position of the IACP that that General Taylor's prior experience serving in the United States military, as Coordinator for Counterterrorism, and as Assistant Secretary of State for Diplomatic Security make him highly qualified to handle the unique and diverse challenges our country faces. In addition, General Taylor understands the crucial role and the challenges that federal, state, local and tribal law enforcement agencies play in combating terrorism and the importance of inter-agency communication and information sharing.

We had the opportunity to meet with General Taylor today and he clearly articulated the importance of I&A and disseminating intelligence throughout DHS and to state, local and tribal law enforcement. Additionally, General Taylor was well versed and understanding of the role of the National Network of Fusion Centers and the important role they play in the protection of the homeland.

We strongly believe that General Taylor is well positioned to serve as the next Under Secretary for Intelligence and Analysis. Therefore, the IACP urges you to rapidly confirm General Taylor's nomination. Please do not hesitate to contact me or Mr. Bart R. Johnson, IACP Executive Director, if the IACP may be of further assistance.

Sincerely,

Chief Yousry Zakhary
President

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February 24, 2014

The Hon. Dianne Feinstein
Chairman Vice
Select Comm. On Intelligence
U.S. Senate
Washington, D.C. 20510

The Hon. Saxby Chambliss
Chairman
Select Comm. On Intelligence
U.S. Senate
Washington, D.C. 20510

Dear Senators Feinstein and Chambliss:

On behalf of the Major Cities Chiefs, representing the 66 largest jurisdictions across the Nation, I am writing to support the nomination of Francis Taylor to become Undersecretary for Intelligence and Analysis at the Department of Homeland Security (DHS).

During our interview with General Taylor, we were convinced and impressed by his knowledge and credentials. His achievements demonstrate conviction, professionalism and strength, qualities needed for success at DHS. General Taylor is widely respected for his distinguished record of public service. With decades of experience in the Federal Intelligence Community, he is no stranger to Washington and knows how to get things done.

General Taylor made a strong and clear commitment to strengthen the relationship with State and local law enforcement and to build on lessons learned from such tragic events as the Boston marathon attacks. Critical efforts now underway at DHS must not be delayed or halted – they require his immediate attention and stewardship. He recognizes that DHS partnerships with law enforcement include countering violent extremism, suspicious activity reporting and the fusion centers. He has pledged to work with us on how to strengthen information sharing between law enforcement, the FBI and DHS.

We will begin our dialogue with General Taylor next month and we have invited him to address our next general meeting, to be held in San Francisco in May.

There is no higher priority than the safety of the public we are sworn to protect. Chiefs and Sheriffs are grateful for your leadership and we turn to you now to move this nomination swiftly through the confirmation process.

Sincerely,

Charles H. Ramsey
Police Commissioner, Philadelphia Police Department
President, Major Cities Chiefs Association